

**DIRECTORATE OF CERTIFICATION OF ATS PERSONNEL**

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**CAPC**

**CERTIFICATION OF ATS PERSONNEL CIRCULAR NO. 07 of 2022**

**ACTION TAKEN REPORT ON DGCA SURVEILLANCE AUDIT AND INTERNAL  
INSPECTION/AUDIT IN RESPECT OF ATCO LICENSING**

**1 Introduction:**

- 1.1 Pursuant to the promulgation of PART XII of Aircraft Rules 1937, DGCA has published relevant Civil Aviation Requirements (CARs) and ATCO Licensing Division (ALD) Circulars in accordance with above Rules. Rating Training Manual (RTM) of ATS Stations and Training Procedure Manual (TPM) are applicable at ATS Stations and ATSTOs/AELTOs & TSPs respectively.
- 1.2 Penalties have been promulgated for certain non-compliances by ATCOs which are published in Schedule VIB of the Aircraft Rules 1937. These penalties not only cause financial impact but also adversely affect reputation and goodwill of AAI as well as Air Traffic Controllers.
- 1.3 ATCO Licensing Division of DGCA carries out Surveillance Audits of various ATS stations and ATSTOs/AELTOs & TSPs generally as per their published Annual Surveillance plan (ASP) for compliance with Aircraft Rules 1937, relevant DGCA CARs, ALD Circulars, provisions of RTM and any other regulation laid down in ATM Inspector Handbook of DGCA.
- 1.4 As per DGCA approved RTM, ANSP (O/o ED-CAP) has been empowered for conducting internal inspection/audit for compliance of various provisions.

**2 Purpose:**

Purpose of this circular is to provide guidelines to ATSTOs, AELTOs & TSPs, ATS Stations and O/o GM(ATM-region) for elimination of deficiencies identified during DGCA/DoCAP inspection/audit.



This Circular defines:

- a. procedures and responsibilities in respect of submission and redressal of the findings/observations by DGCA during their Surveillance Inspection on ATCO Licensing.
- b. procedures for internal inspection/audit by the DoCAP for compliance by ATSTOs, AELTOs & TSPs, ATS stations in respect of ATCO Licensing.

### 3 Applicability:

- 3.1 This CAPC is applicable to the officials of CAP Dte CHQ, GMs (ATM-Region), post holders of ATSTOs, AELTOs & TSPs, ATS In-charges and ATCOs.

### 4 Procedures:

#### 4.1 Action Taken Reports (ATRs), Evidences and Probable Date of completion (PDCs) of DGCA Audit observations:

- 4.1.1 As per DGCA ATM Inspector Handbook, the findings by DGCA Inspector are classified in two levels:

S. No.	Level	Observation
1.	Level 1 (L1)	Any significant non-compliance with the applicable requirement which lowers the safety standard and hazard seriously the flight safety
2.	Level 2 (L2)	Any non-compliance with applicable requirement which could lower the safety standard and possibly hazard the flight safety.

- 4.1.2 As per DGCA ATM Inspector Handbook, the following time frame shall be applicable for elimination of deficiencies identified by DGCA,

Determined Action Level	Time frame for elimination of Deficiencies identified by DGCA Inspector
Level 1	Level 1 finding has to be resolved immediately (within 7 Days) and the same should be informed to DGCA through suitable means
Level 2( ↓ )	
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



4.1.3 Upon receipt of the report of Surveillance Inspection from DGCA, the ATS In-charge shall send the ATR, evidence along with PDC (if any) to DGCA within the time indicated, with copy to ED(CAP) and GM(ATM-region). ATS In-charge shall ensure that any observation for which PDC has been submitted, needs to be closed well within PDC date.

- a) ATS In-charges will raise the issues with respective APD/CIC (Coordination In charge) under intimation to GM(ATM-region), if required.
- b) GM(ATM) of the airport/Region will raise the issues with RED concerned, if required.
- c) Accountable Manager /Head of Training (HoT) of ATSTOs/AELTOs & TSPs will raise the issues with RED/ED concerned, if required.

#### 4.2 Internal Inspection/Audit by CAP Dte:

The procedures and periodicity of the internal inspection/audit by CAP Dte shall be as under:

4.2.1 CAP Dte has published “Guidelines on DGCA Observations during Surveillance Audit/Inspection of ATS Stations” on AIM India website (<https://aim-india.aai.aero>) under Documents>Public Documents>CAP Documents>Miscellaneous section.

4.2.2 The Checklist of the internal Inspection/Audit for ATCO Licensing, ATSTOs and AELTOs have been published on AIM India website (<https://aim-india.aai.aero>) under Documents>Public Documents >CAP Documents>Miscellaneous section.

4.2.3 The periodicity of the internal inspection/audit will be as per the table given below:

S No.	Details of ATSTO/AELTO/ATS Station/O/o GM (ATM-Region)	Frequency of internal inspection/audit	No of Days (Excluding Journey time)	No of Team member
1	ATSTOs/AELTOs, Delhi, Mumbai, Kolkata, Chennai, Guwahati and other ATS Stations with Area Control Centres (ACCs)/ Surveillance Units	Once in every two years	Minimum 2 Days	Minimum 2
2	ATS Stations not included in above categories.	Once in every Three years	Minimum 1 Day	Minimum 2

**Table1:** Periodicity of the internal inspection/audit



- 4.2.4 Significant findings in previous inspection/Audit will require increased frequency of audits, spot checks and nil or no significant findings may result in reduction of the frequency in the routine planned audits.
- 4.2.5 ED(CAP) at his discretion, may instruct for conducting internal inspection/audit of any additional ATS station not meeting above criteria.
- 4.2.6 In case of exigency/Operational requirement, the Inspection/Audit can be conducted in Online Mode.
- 4.2.7 The team leader will intimate ATS-In-Charge /Accountable Manager regarding Internal Inspection/audit details at least 15 days in advance.
- 4.2.8 In case of any exigency/Operational requirement, ATS-In-Charge/Accountable Manager may request ED(CAP) for deferment of Inspection/Audit with due justification, provided that such request is communicated to ED(CAP) within two working days of receipt of information about proposed visit.

### **4.3 Process of Internal Inspection/Audit at ATS station(s) /ATSTO(s)/AELTO(s)/ O/o GM(ATM-Region):**

- 4.3.1 The Inspection/Audit shall start with “opening meeting” with ATS-In-Charge/Accountable Manager /GM(ATM-Region) and other officials.
- 4.3.2 The Inspection/Audit shall be carried out as per Internal Audit Checklist as mentioned in para 4.2.2.
- 4.3.3 The observations made during Inspection/Audit shall be recorded against each item of audit checklist and summarised during the closing meeting with ATS-In-Charge/Accountable Manager/GM(ATM-Region).
- 4.3.4 The Team Leader shall forward the observations along with filled-in Inspection/Audit Checklist to ATS-in Charge/Accountable Manager/GM(ATM-Region) within 7 working days after completion of Inspection/Audit.
- 4.3.5 After receipt of observations, ATS-In-Charge/Accountable Manager/GM(ATM-Region) shall take appropriate action for resolving the observation(s) made during Inspection/Audit and submit the ATR within 15 working days in prescribed format as Appendix I along with supporting evidence(s).
- 4.3.6 After receipt of ATR, the JGM/DGM(CAP) of concerned Region will close the observation(s) in consultation with Team Leader and GM(CAP).
- 4.3.7 ATS-In-Charge /Accountable Manager/GM(ATM-Region) shall send status on pending observation(s) to CAP Dte on email [gmcap@aai.aero](mailto:gmcap@aai.aero) in the first week of every quarter.

### **5 Queries:**

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

Executive Director [CAP]  
Airports Authority of India  
Rajiv Gandhi Bhawan  
Safdarjung Airport  
New Delhi-110003  
E-mail: [edcap@aai.aero](mailto:edcap@aai.aero)



## 6 References:

- a) DGCA Enforcement Policy and Procedures Manual.
- b) DGCA Procedure Manual for Granting Exemption from Aircraft Rule(s) and Civil Aviation Requirements.
- c) DGCA Manual of Regulatory Audits.
- d) DGCA ATM Inspector Handbook.

(Note: Above documents are available on <https://www.dgca.gov.in/> under section Regulations and Guidance>Manuals and Procedures.)

## 7 Validity

- 7.1 This CAPC will be effective from 1st January 2023 and will remain in force until further notice.

**(O S EKKA)**  
**EXECUTIVE DIRECTOR [CAP]**  
**AIRPORTS AUTHORITY OF INDIA**  
**Dated: 23-12-2022.**

**Action Taken report (ATR)**

**Internal Inspection/Audit done on Date(s).....**

**Station.....**

<b>S.No</b>	<b>Observation No.</b>	<b>Observation</b>	<b>Action Taken/Action Plan</b>	<b>Remarks/PDC (if any)</b>

**Date:**

**Signature with official Stamp**

**Name:.....**

**ATS-In-Charge**

**Enclosure: 1.**Evidence attached for each observation.