

Ref: AAI/CAP/2022/4-010/Guidelines/PT/932

Date:22.06.2022

Guidelines on DGCA Observations during Surveillance Audit/Inspection of ATS Stations

With reference to the DGCA observations i.r.o. Surveillance Inspection of ATCO Licensing conducted by ALD Section, DGCA at various airports as per their Annual Surveillance Plan. Some of the observations in various categories which need further clarification are summarized below along with necessary guidance.

1. Examination (Written)

1.1 Observations

- a. The questions in the question bank are not duly categorised as per topics.
- b. No documentation regarding weightage of topics i.r.o. question paper for written examination.
- c. Answer keys for the question paper and question bank have not been prepared.
- d. Record keeping i.r.o. examination and security of question paper and question bank is not as mentioned in chapter 4 and chapter 6 of RTM.
- e. Review and update of question bank is not being done as per para 6.2.2 of chapter 6 of RTM.
- f. Register for record of used and unused answer books is not being maintained.
- g. Provision of taking feedback from examiner and examinee is not being followed as per para 6.2.2.2 and 6.2.2.3 of chapter 6 of RTM.

1.2 Guidelines

1.2.1 Preparing Question Bank

- a. The question bank shall contain questions duly categorised as per topic for each rating examination and master answer-key of the question bank shall also be prepared.
- b. The question paper shall contain questions from every topic. Each topic in the question bank may have questions of different weightage according to their relevance and importance.

Illustrations*

Question bank of airports in category E may contain 6 questions of 1 mark each, 6 questions of 2 marks each, 4 questions of 3 marks each, 6 questions of 4 marks each, etc. from every chapter/topic.

Similarly, question bank of airports in category C and category D may contain 10 questions of 1 mark each, 10 questions of 2 marks each, 6 questions of 3 marks each, 6 questions of 4 marks each, etc. from every chapter/topic.

1.2.2 Review and Update of Question Bank

- a. ATS In-Charge/ Training In-charge shall also prepare a template of feedback form for all examinations conducted at their station. (A sample feedback template is attached as **Annexure I**). Record of feedback received to be maintained.
- b. ATS In-charge / Training In-charge along with the Examiner(s) will review and update Question bank at least once in a year as per para 6.2.2 of RTM and records of review committee meeting to be maintained.

1.2.3 Procedure for preparing Question Paper

- a. The weightage of each topic shall be determined according to their relevance as per applicable RTM (Generic /Station Specific) and should be documented. Questions shall be included from each topic as mentioned in chapter 3 of RTM.

As an illustration, the weightage to each topic is mentioned in the question paper for Aerodrome Control Rating is given in the following table:

S. No.	Subjects/Topics	Marks Allotted in the Written Examination of 100 Marks*
1.	Aerodrome lay out, physical characteristics and visual aids	[12-15]
2.	Airspace structure	[8-12]
3.	Applicable rules, procedures and source of information	[12-15]
4.	Air navigation facilities	[6-8]
5.	Air traffic control equipment and its use	[5-8]
6.	Terrain and prominent landmarks Characteristics of air traffic and traffic flow	[5-7]
7.	Characteristics of air traffic and traffic flow	[12-15]
8.	Weather phenomena	[12-15]
9.	Emergency, search and rescue plans	[12-15]
10	Any other subject considered appropriate for the particular Air Traffic Services unit	[6-10]

** The range of marks in every topic may vary from station to station depending upon the complexity of various factors.*

2. Logbook

2.1 Observations

- a. The logbooks were found having incorrect entries, multiple over-writings and corrections, non-coherence of entries made by trainee ATCOs and respective OJT instructor.
- b. The process of quarterly verification of correctness of log book entries is not being followed meticulously.
- c. In appendix IV, “Record of Experience and Logging of On-watch Hours”, ATCOs are not filling all the fields from **a** to **k** and are not signing on both left and right pages of the logbook.
- d. In ATCO logbook, details such as date of opening/closing of logbook, rating and rating examination, endorsement of rating, proficiency checks, AELP and Medical assessment, etc. are not being filled by various ATCOs under different headings in the logbook.
- e. Uniformity in filling different columns in the ATCOs logbook by ATCOs of the stations is not being followed.
(A sample Logbook is attached herewith as **Annexure II** for reference)

2.2 Guidelines

- a. An ATCO has to fill all the fields given at the bottom of the page in Logbook Appendix IV, “Record of Experience and Logging of On-watch Hours” i.e., from field no. **a to d** (on the **left** side) and from field no. **e to k** (on the **right** side) of the logbook and shall also **sign with date on both the pages** in the declaration column even if ATCO is performing duty as controller only.
e.g. if an ATCO is performing duty as a controller only then the number of hours in fields **d** and **g** will be zero and hence total number of hours of duty performed in field **k** will become equal to field **b**. Hence, same number of hours shall be filled in both the fields **b** and **k**.
- b. There shall not be any over-writing in the ATCO logbook. A wrong entry shall be corrected by striking through a single line and putting the initials at the end of such entry.
- c. A new ATCO logbook shall be issued to an ATCO if the following are exhausted in the logbook:
 - i. Any of the tabular proformas given in Appendix III of the ATCO logbook.
 - ii. Certificate at the end of quarter issued by ATS In-charge/ WSO.
- d. In the License Details, in the Student Air Traffic Controller field either SATCOL details or details of MoCA Exemption orders are to be mentioned for those ATCOs who are exempted to hold SATCOL, as follows:
“Exempted vide MoCA Exemption order no. AV-11012/89/2015-A dated 11th June, 2019”

3. Recurrent training of Instructor/Examiner

3.1 Observations

- a. Recurrent training is not conducted in compliance with CAR section 9, Series L, Part III.

3.2 Guidelines

- a. ATS In-charges are advised that Recurrent Training of Instructors and Examiners is to be carried out as per provision of RTM.

4. System For guarding Against Unfair Practice:

4.1 Observation

- a. There is no conclusive plan in event if a candidate is found to be involved in unfair practice.

4.2 Guidance

- a. ATS In-charges are advised to prepare conclusive action plan, preferably in UTP/SOP of Examination/ Circular (as applicable).

Illustration (in the event of a candidate found involved in unfair practice in written examination):

In the **first** instance of unfair practice, written examination may be declared null and void.

In the **second** instance of unfair practice, the matter may be reported to ED(CAP) along with all the relevant documents.

5. Pre-OJT training

5.1 Observation

- a. There is no documentation regarding provision of training of student ATCO before deploying in an operational unit.

5.2 Guidance

- a. Pre-OJT requirements for SATCOL Holder/Trainee ATCO are to be included preferably in the UTP/ SOP/ Training Manual/Circular.

AIRPORTS AUTHORITY OF INDIA**NAME OF ATS STATION, VXXX****(e.g. DELHI ATS STATION, VIDP)****FEEDBACK FORM - WRITTEN EXAMINATION**

1. Name of the Trainee/ Examiner (*Optional*) :
2. Designation :
3. ATC Rating for which written examination is conducted (tick as applicable) :
 - Aerodrome Control Rating
 - Approach Control Procedural Rating
 - Approach Control Surveillance Rating
 - Area Control Procedural Rating
 - Area Control Surveillance Rating
 - Oceanic Control Rating
4. Date (dd/mm/yyyy) :

The table requires rating on 5-point scale (5- Excellent, 4- Very Good, 3-Good, 2-Fair, 1-Poor) of written examination.

Sl. No.	Parameters	Scale (1 to 5)
1	The question paper has coverage of the syllabus as mentioned in Chapter 3 of RTM.	
2	Questions were relevant and as per SOP's and manuals.	
3	Question paper was theoretically and technically accurate.	
4	Questions were worded clearly and there was no ambiguity.	
5	Instructions for writing the exam were clear and appropriate.	
6	Labels on tables and diagrams were correct and consistent with text in the exam questions.	
7	There was enough space for candidates to draw diagrams and answer the question etc, if required.	
8	The time allowed for the examination was appropriate.	
9	Mark allocation for questions was appropriate.	
10	Examination environment and classroom infrastructure was appropriate.	

Any other comment (*Optional*):

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Signature and Name of Trainee/ Examiner
(Optional)



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Serial No. _____/19

Air Traffic Controller's Log Book

Name of ATCO: _____ SAMPLE KUMAR _____
Employee no.: _____ XXXXXXXX _____
Issued on: _____ dd-mm-yyyy _____
Issued by: _____ GM(ATM)/ATS IN-CHARGE , NAME OF ATS STATION _____
No. of pages: _____ 244 _____

Date of opening

d	d	m	m	y	y	y	y
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Date of Opening shall be mentioned

Date of Closing

d	d	m	m	y	y	y	y
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APPENDIX II

AIR TRAFFIC CONTROLLER'S LOGBOOK

Name _____ SAMPLE KUMAR

Employee No. _____ XXXXXXXXX

Date of Birth _____ dd-mm-yyyy

Telephone/Mobile No. _____ +91XXXXXXXXXX

Date of joining AAI _____ dd-mm-yyyy

Date of joining present station _____ dd-mm-yyyy

Address _____ (PRESENT ADDRESS)

E-mail ID _____ samplekumar@aai.aero



APPENDIX III

License Details					
Type of License Held	License Number	Issuing Authority	Date of Issue	Date of Expiry	Date of Renewal
Student Air Traffic Controller	XXXXX	DGCA	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY if Applicable +
			or		
	Exempted vide MoCA Order No. AV-11012/89/2015-A dated 11th June ,2019				
Air Traffic Controller	XXXXX	DGCA	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY if Applicable +

APPENDIX III


Endorsement of Rating on License			
Sl. No.	Name of Unit / Rating	Date of Endorsement	
1.	ADC[VXXX]	DD-MM-YYYY	
2.	ADC[VXXX]-APP[VXXX]	DD-MM-YYYY	
3.	APP[VXXX]-APP(S)[VXXX]	DD-MM-YYYY	
4.	ACC[VXXX]	DD-MM-YYYY	
5.	ACC(S)[VXXX]	DD-MM-YYYY	

Training Courses Attended at Approved Training Centre						
Sl. No	Name of Training Centre	Name of the Course	Course Duration		Result	Signature of Training Incharge
			From	To		
1.	CATC ALLAHABAD, PRAYAGRAJ	ADC-APP* Course	DD-MM-YYYY	DD-MM-YYYY	PASS	
2.	NIATAM, GONDIA	ACC*	DD-MM-YYYY	DD-MM-YYYY	PASS	
3.	HTC HYDERABAD	JET-ATM* ADC-APP COURSE	DD-MM-YYYY	DD-MM-YYYY	PASS	
4.	CATC ALLAHABAD, PRAYAGRAJ	SCC	DD-MM-YYYY	DD-MM-YYYY	PASS	
5.						

*Pre Approval Course.Exempted vide MoCA Order No AV-11012/89/2015-A dated 11th June,2019 (for courses which commence prior to 7th July 2019).
 Note-Details of only ADC,APP,ACC,SCC Courses shall be metioned in this table. Details of other training shall be mentioned in "Details of other training attended".

APPENDIX III

Details of Rating and Related Examination etc.					
Sl. No	Name of Rating	Station (4 Letter ICAO Indicator)	Date(s) of written Examination	Date of Assessment/Board	Date of first Independent Duty
1.	ADC	VXXX	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY
2.	ACC	VXXX	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY
3.	ACC(S)	VXXX	DD-MM-YYYY	DD-MM-YYYY	DD-MM-YYYY
4.					
5.					

Details of Proficiency Checks						
Sl. No.	Name of Rating	Station (4 Letter ICAO Indicator)	Date of Proficiency Check	Proficiency Assessor		Remark
				Name	Signature	
1.	ADC	VXXX	DD-MM-YYYY	SAMPLE KUMAR 6		
2.						
3.						
4.						
5.						

APPENDIX III

Summary Brought Forward From Previous Logbook

Sl. No.	Purpose of Duty	Rating	No. of Hours	No. of Days	Remarks
1.	CONTROLLING	ADC	HH:MM	XXX	
2.	ON THE JOB TRAINING	ADC	HH:MM	XXX	
3.	OJT INSTRUCTION	ADC	HH:MM	XXX	
4.					

Place of Posting in Chronological Order

Sl. No.	ATS Station	Period of Stay		Ratings Held	Remarks
		From	To		
1.	CSMIA, Mumbai	DD-MM-YYYY	DD-MM-YYYY	ADC, APP, APP(S), ACC, ACC(S), OCC	
2.	IGI, New Delhi	DD-MM-YYYY	DD-MM-YYYY	ADC-APP	
3.	CCS Lucknow	DD-MM-YYYY	DD-MM-YYYY	ADC, APP-APP(S)	
4.					
5.					
6.					



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CERTIFICATE AT THE END OF QUARTER

Certified that log entries made in this ATCO Log Book (ALB) for the period DD-MM-YYYY to
DD-MM-YYYY have been checked and found correct.

Dated: DD-MM-YYYY

(Signature of ATS In-charge/WSO)

Name _____

Designation _____

Only ATS-in-Charge or WSO can verify here

Details of other Trainings Attended

Sl.No	Name of Training Centre	Name of Course	Duration		Remarks
			From	To	
1	CATC ,ALLAHABAD PRAYAGRAG	PANS-OPS Course	DD-MM-YYYY	DD-MM-YYYY	
2	CATC ,ALLAHABAD PRAYAGRAG	SEARCH AND RESCUE COURSE	DD-MM-YYYY	DD-MM-YYYY	
3	DELHI ATS STATION	Instructor Technique Course	DD-MM-YYYY	DD-MM-YYYY	
4	DELHI ATS STATION	Annual Refresher Training	DD-MM-YYYY	DD-MM-YYYY	

