

Safety Regulation Group



CAP 744

Air Traffic Controllers – Licensing

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Safety Regulation Group



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Air Traffic Controllers – Licensing

1 September 2009

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Revision History

Edition 1

December 2003

CAP 744, UK Manual of Personnel Licensing – Air Traffic Controllers was introduced at the time of the introduction of the European Harmonised ATCO Licensing scheme, in accordance with EUROCONTROL Safety and Regulatory Requirement number 5 ('ESARR5'). It sets out the regulatory requirements for the Licensing of Air Traffic Controllers and Student Air Traffic Controllers in the UK.

Amendment 1/2005

7 July 2005

This amendment incorporated a number of minor revisions to add clarity to the regulatory requirements. These revisions were identified following a review of their application during the period following initial publication.

Amendment 1/2007

26 March 2007

This amendment incorporated a number of minor revisions to add clarity to the regulatory requirements.

Edition 2

1 September 2009

CAP 744 has been revised to reflect changes to the UK regulatory requirements resulting from the implementation of the European Union Community Air Traffic Controller Licence Directive (2006/23/EC).

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Foreword

1 International Obligations and Requirements

The United Kingdom, as a member of the International Civil Aviation Organisation and signatory to the Chicago Convention, complies as far as possible with the standards published in the Annexes to the Convention on International Civil Aviation. The Civil Aviation Act empowers the United Kingdom to implement the Chicago Convention. The United Kingdom also, as a member of the European Union, complies with Community legislation in respect of the licensing of air traffic controllers, specifically the European Union Directive on a Community Air Traffic Controller Licence, Directive 2006/23/EC, as transposed in the UK Air Navigation Order (ANO) legislation. In addition, the United Kingdom, as a signatory to the EUROCONTROL Convention, complies as far as is practicable with EUROCONTROL Safety and Regulatory Requirements (ESARRs), specifically, in the case of air traffic controller licensing, with ESARR number 5.

This CAP, Air Traffic Controllers – Licensing, together with CAP 584, Air Traffic Controllers – Training and the CAP 624 series, Air Traffic Controllers – Performance Objectives, represents the United Kingdom's compliance with the European Union Directive and ESARR number 5 in respect of the training and licensing of air traffic controllers.

2 State Regulatory Body

In the United Kingdom, the Civil Aviation Authority (CAA) regulates air traffic services, including personnel licensing, under powers granted to it by the Civil Aviation Act and in accordance with the articles of the Air Navigation Order. The Air Traffic Standards Division (ATSD) of the CAA's Safety Regulation Group is the air traffic control licensing authority responsible for regulating the licensing scheme.

3 Differences to ICAO and European Requirements

The European Union legislative requirements for the licensing of air traffic controllers are broadly similar to those required by ICAO Annex 1 Personnel Licensing, although the structure and names of the ratings vary in some cases.

4 Format of this Document

This document sets out the requirement at the beginning of each section, followed by the CAA's licensing procedures including the roles and responsibilities of those involved in the licensing process and, where appropriate, additional guidance.

The words 'must', 'shall' and 'will', as used within the requirements and the CAA's licensing procedures, indicate that compliance is compulsory.

In this document, reference to the male gender should be understood to include both male and female persons, except where inappropriate.

5 Effective Date

This amendment becomes effective on 1 September 2009.

Definitions and Abbreviations

1 Definitions

Aerodrome Control Service

Air traffic control service for aerodrome traffic.

Reference: ICAO Doc 9569 Definitions

Air Traffic

All aircraft in flight or operating on the manoeuvring area of an aerodrome.

Reference: ICAO Doc 9569 Definitions

Air Traffic Advisory Service

A service provided within advisory airspace to ensure separation, in so far as practical, between aircraft which are operating on IFR flight plans.

Reference: ICAO Doc 9569 Definitions

Air Traffic Controller Licence

A certificate, by whatever name it may be known, issued and endorsed in accordance with the Directive and entitling its lawful holder to provide air traffic control services in accordance with the ratings and endorsements contained therein.

Reference: EU Directive 2006/23/EC

Air Traffic Control Service

A service provided for the purpose of:

- a) preventing collisions:
 - i) between aircraft, and
 - ii) on the manoeuvring area between aircraft and obstructions; and
- b) expediting and maintaining an orderly flow of air traffic.

Reference: ICAO Doc 9569 Definitions

Air Traffic Service

A generic term meaning variously flight information service, alerting service, air traffic advisory service, air traffic control service (area control service, approach control service or aerodrome control service).

Reference: ICAO Doc 9569 Definitions

Air Traffic Services Unit

A generic term meaning variously air traffic control unit, flight information centre or air traffic services reporting office.

Reference: ICAO Doc 9569 Definitions

Approach Control Service

Air traffic control service for arriving, departing or transiting controlled flights.

Reference: European Manual.

Area Control Centre

A unit established to provide air traffic control service to controlled flights in control areas under its jurisdiction.

Reference: ICAO Doc 9569 Definitions

Area Control Service

Air traffic control service for controlled flights in control areas.

Reference: ICAO Doc 9569 Definitions

Assessor

An air traffic controller authorised by the CAA to make judgements about performance against the requirements of a course of training being undertaken and CAP 624 Air Traffic Controllers – Performance Objectives.

Reference: UK Definition

Competence

The appropriate knowledge, skills and experience to provide the valid air traffic control services stated in an air traffic controller's licence.

Reference: European Manual

European Manual

European Manual of Personnel Licensing – Air Traffic Controllers

Reference: HUM.ET1.ST08.10000-STD-01

Examiner

A rated air traffic controller with an air traffic control licence endorsed with a current qualification that permits the holder to carry out examinations in the operational environment for which the rating is issued.

Reference: UK Definition

Extension Validation

The process by which a valid rating is endorsed for additional operational positions or sectors at the same unit.

Reference: European Manual

Flight Information Service

A service provided for the purpose of giving advice and information useful for the safe and efficient conduct of flights.

Reference: ICAO Doc 9569 Definitions

Initial Training

Training conducted by certified ATC Training Providers on courses approved by the CAA. Initial training comprises basic training and rating training. The object of initial training is to prepare a student for unit training.

Reference: UK Definition

Inspector of Air Traffic Services

An official of the CAA authorised to ensure that the level of competence of licensed air traffic service personnel at air traffic service units, and the operations of those units, meet and comply with the standards and requirements of the CAA.

Reference: UK Definition

Inspector of Air Traffic Services (Training)

An official of the CAA authorised to ensure that the level of competence of students completing courses of training, and the operations of the respective training providers, meet and comply with the standards and requirements of the CAA.

Reference: UK Definition

Language Endorsement

The authorisation entered on and forming part of a licence, indicating the language proficiency of the holder.

Reference: EU Directive 2006/23/EC

On-the-Job Training

The integration in practice of previously acquired job related routines and skills under the supervision of a qualified On-the-Job Training Instructor (OJTI) in a live traffic situation.

Reference: UK Definition

On-the-Job Training Instructor

A rated air traffic controller with an air traffic control licence endorsed with a current qualification that permits the holder to carry out instruction in the operational environment for which the rating is issued.

Reference: European Manual

Operational Position

A position provided and equipped for the purpose of providing an aerodrome control, approach control procedural or approach control surveillance service.

Reference: UK Definition

Psychoactive Substances

Psychoactive substances are: alcohol, opioids, cannabinoids, sedatives and hypnotics, cocaine, other psycho-stimulants, hallucinogens and volatile solvents; whereas coffee and tobacco are excluded.

Reference: Amendment No 162 to ICAO Annex 1

Rated Air Traffic Controller

An air traffic controller holding a licence and valid rating appropriate to the privileges to be exercised.

Reference: ICAO Doc 9569 Definitions

Rating

The authorisation entered on or associated with a licence and forming part thereof, stating specific conditions, privileges or limitations pertaining to such licence.

Reference: EU Directive 2006/23/EC

Rating Endorsement

The authorisation entered on and forming part of a Licence, indicating the specific conditions, privileges or limitations pertaining to the relevant rating.

Reference: EU Directive 2006/23/EC

Sector

Part of a control area and/or part of a flight information region/upper region.

Reference: EU Directive 2006/23/EC

Simulator

Equipment used to simulate all or part of a specific or generic operational environment.

Reference: UK Definition

Student Air Traffic Controller Licence

A licence issued to a student air traffic controller which authorises the holder to provide air traffic control services under the supervision of an on-the-job training instructor.

Reference: UK Definition

Successful Completion

For the purposes of this document, this term or its variant 'successfully completed' is used to indicate that all required parts of training, training courses, associated examinations or assessments or other assessments or examinations have been completed to a satisfactory standard.

Reference: UK Definition

Surveillance Radar Equipment

Surveillance radar equipment includes primary, secondary or multi-radar displays.

Reference: European Manual

Trainee Air Traffic Controller

An air traffic controller who is training to obtain additional ratings or endorsements.

Reference: European Manual

Training

The entirety of theoretical courses, practical exercises, including simulation, and on-the-job training required in order to acquire and maintain the skills to deliver safe, high quality air traffic control services. It consists of:

- a) initial training, providing basic and rating training leading to the grant of a student licence;
- b) unit training, including transitional training prior to on-the-job training, leading to the grant of an air traffic controller's licence;
- c) continuation training, keeping the endorsements of the licence valid;
- d) training of on-the-job training instructors, leading to the grant of the instructor endorsement;
- e) training of examiners.

Reference: EU Directive 2006/23/EC

Training in Unusual Circumstances and Emergencies (TRUCE) Plan

A plan which describes the training carried out at an air traffic control unit in accordance with the Training In Unusual Circumstances and Emergencies (TRUCE) scheme.

Reference: UK Definition

Training in Unusual Circumstances and Emergencies (TRUCE) Scheme

A scheme designed to ensure that staff involved in the provision of an air traffic control service are trained to recognise and handle emergency occurrences and unusual circumstances in a competent manner.

Reference: UK Definition

Training Provider

An organisation which has been certified by the relevant National Supervisory Authority to provide one or more types of training.

Reference: EU Directive 2006/23/EC

Unit Competence Scheme

An approved scheme indicating the method by which the unit maintains the competence of its licence holders.

Reference: EU Directive 2006/23/EC

Unit Endorsement

The authorisation entered on and forming part of a Licence, indicating the ICAO location indicator and the sectors and/or working positions where the holder of the Licence is competent to work.

Reference: EU Directive 2006/23/EC

Unit Training Plan

An approved plan detailing the processes and timing required to allow the unit procedures to be applied to the local area under the supervision of an on-the-job training instructor.

Reference: EU Directive 2006/23/EC

Validation

The process by which a rating is made valid.

Reference: European Manual

Valid Rating

A rating permitting a controller to exercise the privileges of the rating in accordance with the endorsements included in the ATC licence.

Reference: European Manual

Verifier

An Assessor approved by the CAA to monitor that an assessment process is carried out according to set procedures and to the specified requirements.

Reference: UK Definition

2 Abbreviations

ACP	Area Control Procedural
ACS	Area Control Surveillance
ADI	Aerodrome Control Instrument
ADS	Automatic Dependent Surveillance
ADV	Aerodrome Control Visual
AIR	Air Control
ANO	Air Navigation Order 2005 (as amended)
APC	Assessment for Previous Competence
APP	Approach Control Procedural
APS	Approach Control Surveillance
ATC	Air Traffic Control
ATCEB	Air Traffic Control Examining Board (of the Royal Air Force)
ATM	Air Traffic Management
ATS	Air Traffic Service
ATSD	Air Traffic Standards Division (of the CAA)
ATSU	Air Traffic Services Unit
CNS	Communications Navigation Surveillance
FIS	Flight Information Service
GMC	Ground Movement Control
GMS	Ground Movement Surveillance
ICAO	International Civil Aviation Organisation
HATSSRO	Head of ATS Safety Regulation Operations
HECR	Head of En-Route and College Regulation (of the ATSD)
MATS	Manual of Air Traffic Services
MLT	Multilateration
NM	Nautical Mile
OCN	Oceanic
OFF	Offshore
OJT	On-the-Job Training
OJTI	On-the-Job Training Instructor
PAR	Precision Approach Radar
Pre-OJT	Pre On-the-Job Training
RAD	Radar
SARPS	Standards and Recommended Practices
SPT	Special Tasks
SRA	Surveillance Radar Approach
SRATCOH	Scheme for the Regulation of Air Traffic Controllers' Hours
TCL	Terminal Control
TMA	Terminal Control Area

TRUCE	Training in Unusual Circumstances and Emergencies
TWR	Tower Control
UCE	Unit Competence Examiner
UCS	Unit Competence Scheme
UTP	Unit Training Plan

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Part 1 European ATC Licensing Scheme – Description

1 The European Air Traffic Controller Licensing Structure

1.1 The European ATC licence and its Associated Ratings

The European ATC licence has retained the basic concepts of the ICAO licence, in that it uses ratings to indicate the air traffic control disciplines in which controllers may provide air traffic control services, although the ratings vary from ICAO in some cases. The ICAO Aerodrome Control rating is differentiated into the Aerodrome Control Visual and the Aerodrome Control Instrument ratings.

1.2 Rating Endorsements

Rating Endorsements are associated with particular ratings to indicate the task/type of equipment used in the provision of an air traffic control service in that rating discipline. For example, the Approach Control Surveillance rating with a Radar rating endorsement indicates that radar is the surveillance equipment used in providing the ATC service. Rating endorsements are also used to indicate specialist skill areas within particular rating disciplines, for example the Ground Movement Control and Aerodrome Radar rating endorsements associated with the Aerodrome Control Instrument rating. In addition there are two rating endorsements in respect of specialist skill areas that are only applicable to the UK, namely the Offshore and, Special Tasks rating endorsements.

1.3 Licence Endorsements

Licence endorsements are associated with the licence, but not necessarily with any specific rating or rating endorsement. The UK has three such endorsements, namely the On-the-Job Training Instructor (OJTI) endorsement, the Examiner endorsement and the Language Proficiency endorsement. The OJTI and Examiner endorsements are generic to all ATC rating disciplines. A controller may exercise the privileges of these licence endorsements in any rating discipline for which he holds a valid rating and meets the experience requirements.

1.3.1 Language Proficiency Endorsement

A Language Proficiency endorsement for the English language indicates that the holder of the Licence meets the competence requirements to speak and understand the English language. A Licence is not valid unless it contains a valid Language Proficiency endorsement for the English language.

To be issued with a Language Proficiency Endorsement, an applicant must demonstrate compliance with both the Holistic Descriptors and at least Level 4 of the ICAO Language Proficiency Rating Scale as detailed in CAP 624 Part 17, 'Air Traffic Controllers – Performance Objectives: English Language Proficiency'.

1.4 Unit Endorsements

A unit endorsement indicates the air traffic control unit where the licence holder provides an air traffic control service and the individual sectors, groups of sectors or operational positions on which he is competent to provide the appropriate air traffic control service.

A unit endorsement is issued for 12 months and is renewable by an assessment of the controller's competence to continue to provide the air traffic services which it details. A controller who fails an assessment of his competence, or fails to renew the unit endorsement, must not provide the air traffic control service(s) associated with it.

1.5 **Valid Rating**

A valid rating is a rating, including any associated rating endorsement and/or unit endorsement(s), in which the controller is currently competent to provide an air traffic control service.

1.6 **Student Air Traffic Controller (ATC) Licence**

Student ATC licences are issued to individuals who have successfully completed an approved initial course of ATC training and who will be undertaking unit training towards the grant of an air traffic controller licence. A student air traffic controller licence permits the holder to train in the operational environment under the supervision of an On-the-Job Training Instructor (OJTI). A student ATC licence is not valid unless it contains a valid Language Proficiency endorsement for the English language.

NOTE: The holder of an air traffic controller (ATC) licence who is training to obtain additional ratings and/or rating and unit endorsements will not be required to hold a student ATC licence. His ATC licence will act as a student ATC licence and permit him to provide, under supervision, an ATC service for which he does not hold the appropriate rating/endorsement, but for which he has successfully completed initial training.

1.7 **Recognition of European Licences**

In accordance with the European Union Directive 2006/23/EC, the UK shall recognise air traffic controller Licences issued by other Member States of the European Union, where such Licences have been issued in accordance with the provisions of that Directive.

The CAA requirements for the recognition of such Licences are contained in Part 2 Section 6 of this document.

2 Issue of an Air Traffic Controller (ATC) Licence and Associated Endorsements

2.1 The ATC licence identifies the holder as a person who is qualified to provide an air traffic control service. It will be issued to student air traffic controller licence holders who have successfully completed approved unit training and gained a unit endorsement(s) by demonstrating that they are competent to provide an air traffic control service on the sectors, sector groups or operational positions on which they have been training. The licence when issued will contain a rating, rating endorsement, if any, and unit endorsement. While the basic licence is issued for life, there are some components, e.g. the unit endorsement and the Medical Certificate, which must be renewed within notified time periods.

2.2 **Issue of Additional Unit Endorsements**

An ATC licence holder who already holds a valid rating at a unit may be issued with unit endorsements for additional sectors or operational positions associated with that rating, on successful completion of:

- a) the appropriate unit training; and

- b) demonstration that he is competent to provide the air traffic services associated with the additional sectors or operational positions.

2.3 **Issue of Additional Rating(s) and Rating Endorsement(s)**

Additional rating(s) and rating endorsement(s) will be issued to air traffic controller licence holders who have:

- a) successfully completed an approved course of ATC training in those rating(s) and rating endorsement(s);
- b) successfully completed approved unit training; and
- c) gained a unit endorsement by demonstrating their competence to provide air traffic control services on the associated sectors or operational positions.

2.4 **Move to a New Unit**

When an air traffic controller licence holder moves to a new unit, his previously held valid ratings will be cancelled, unless he will still be providing an air traffic control service at his previous unit.

Provided the controller already holds the ratings and rating endorsement(s) needed in respect of the air traffic control services at his new unit and has exercised their privileges within the previous four years, to make his ratings valid for the new unit he will be required to:

- a) successfully complete the unit training plan; and
- b) gain a unit endorsement by demonstrating competence to provide an air traffic control service on a sector or operational position at that unit.

2.5 **Record of Ratings and Endorsements Held**

The ratings that a controller obtains will be entered in the ATC licence and will remain for the lifetime of the holder unless revoked by the CAA. The licence will include the date ratings were first issued.

2.6 **Maintenance of the ATC Licence**

Although the ATC licence is issued for the lifetime of a controller he may not exercise its privileges unless it contains: a valid rating, its associated endorsements, a current Language Proficiency endorsement for the English Language and a current medical certificate.

Following the initial issue of a valid rating a controller will be required to demonstrate continued competence to exercise the privileges of that rating by annual renewal of the unit endorsement(s).

The assessment of competence for renewal of a unit endorsement may be carried out within a 45-day period preceding the date of expiry of the current unit endorsement. Provided the controller is assessed as competent, the unit endorsement will be renewed for 12 months from the date of expiry of the current endorsement. Where the unit wishes to align the expiry dates of all unit endorsements held by a controller, a unit endorsement may be renewed for a shorter period.

If necessary, the assessment of competence for renewal of a unit endorsement may be carried out more than 45 days before the date of the expiry of the current unit endorsement. In such cases, provided the controller is assessed as competent, the

unit endorsement will be renewed for 12 months from the date on which the assessment is conducted.

ATC licence holders, whose English language proficiency endorsement is below Level 6 of the ICAO Language Proficiency Rating Scale, will be evaluated for continued competence in the English language at regular intervals. For Licence holders who demonstrate competence at Level 4 of the ICAO Language Proficiency Rating Scale, the evaluation shall be carried out at intervals not greater than 3 years. For Licence holders who demonstrate competence at Level 5 of the ICAO Language Proficiency Rating Scale, the evaluation shall be carried out at intervals not greater than 6 years.

2.7 **Owner of a Licence**

Student air traffic controller and air traffic controller licences are the property of the licence holders, who are responsible for ensuring use of the licence in accordance with its privileges.

2.8 **Flow Chart to Demonstrate Concept of Licensing**

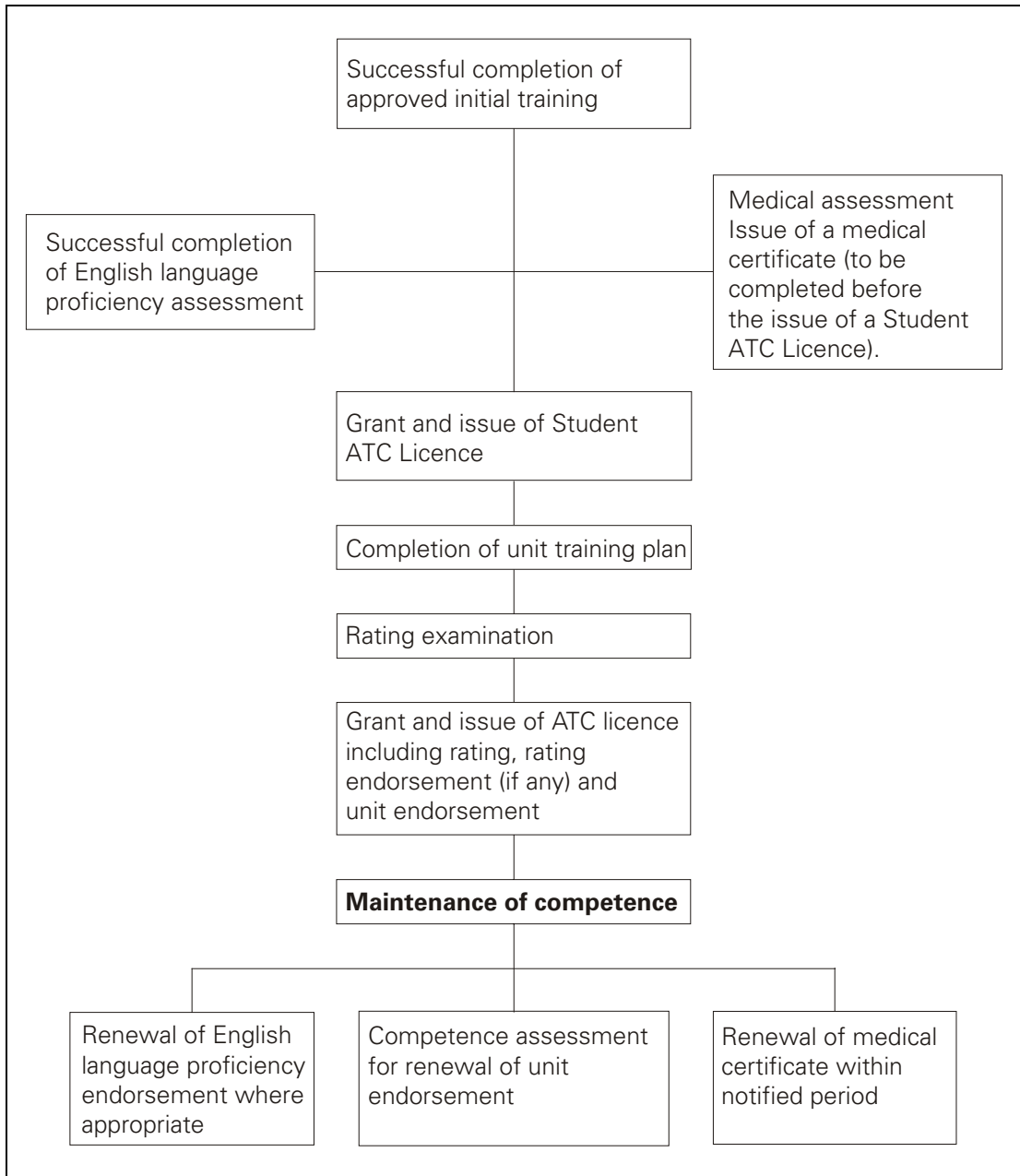


Figure 1 Issue of Student and Air Traffic Controller Licence

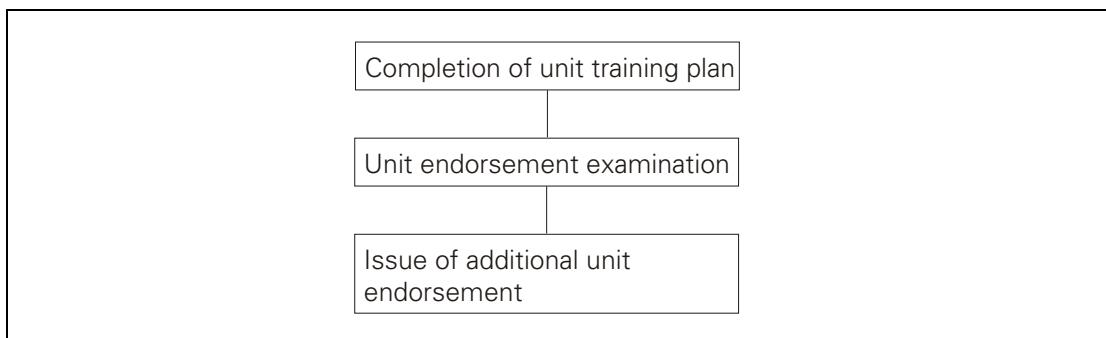


Figure 2 Additional Endorsements at the Same Unit

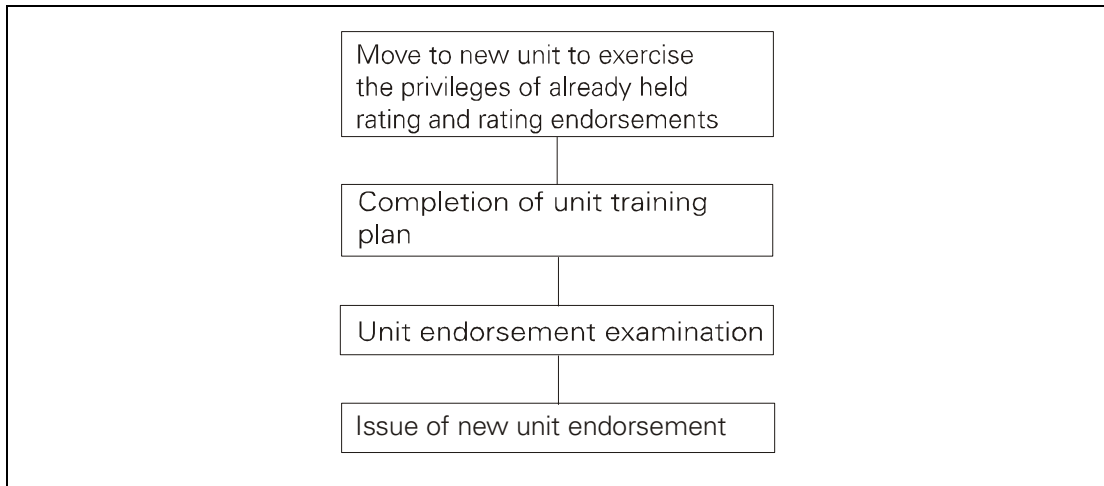


Figure 3 Move to New Unit

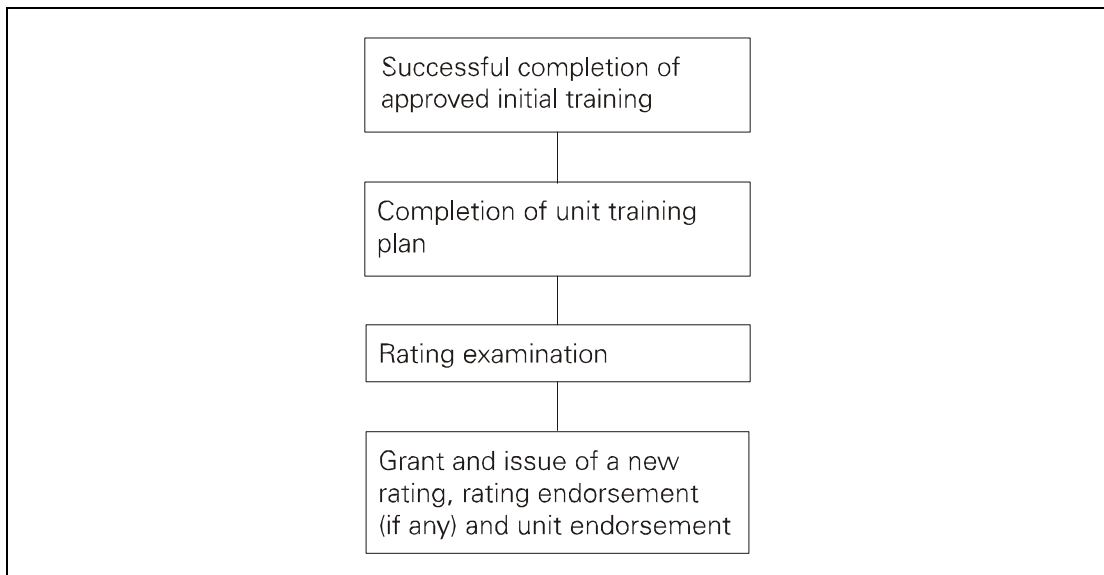


Figure 4 Additional Rating and Rating Endorsement

3 Air Traffic Controller Licence: Procedures and Privileges

3.1 Requirement to Hold a Licence

A person who wishes to act as an air traffic controller in the United Kingdom must hold a valid air traffic controller licence issued or recognised by the CAA, which contains valid ratings and endorsements appropriate to the control tasks to which the controller is assigned. A person not holding an air traffic controller licence, who provides an air traffic control service under supervision towards the grant of an air traffic controller licence, must hold a student air traffic controller licence issued by the CAA.

Applicants for student air traffic controller or air traffic controller licences must satisfy the CAA's Requirements for Proficiency in the English language (CAP 624 Part 17).

3.2 Licensing Stages

The stages to be completed in order to meet the licensing requirements for becoming an air traffic controller are described below. The requirements themselves are set out and amplified in Parts 2 and 3 of this document.

4 Training of Air Traffic Controllers: Phases of Training

For the purpose of the ATC licensing procedures, the training of air traffic controllers is considered to consist of a number of phases:

a) Initial Training

Initial training is conducted at training providers certified by the CAA as appropriate to conduct ATC training courses approved by the CAA. It will include technical subjects and ATC theory and practice, including practical training conducted on simulators. The object of initial training is to prepare a trainee for unit training.

NOTE: Where approved by the CAA, initial training towards UK-specific rating endorsements may be conducted on an approved course of training at an ATC unit.

b) Unit Training

Unit training includes Transitional, Pre-OJT and OJT training and is conducted in accordance with a unit training plan (UTP) approved by the CAA.

c) Transitional and Pre-OJT Training

Transitional and Pre-OJT training are conducted to prepare a trainee for on-the-job (OJT) training at an ATC unit.

d) On-the-Job Training

On-the-job training (OJT) is conducted at an operational ATC position under the supervision of an on-the-job training instructor (OJTI) who holds a valid rating appropriate to the ATC service to be provided under supervision.

e) Assessment of Training Progress

During OJT, the student/trainee should be assessed at intervals to ensure satisfactory progress is being made, to organise additional training and to set targets. It is the responsibility of the OJTI, or authorised assessor, to determine and agree when the trainee has reached the level of knowledge and skill required of an operational controller.

5 Ratings and Endorsements

The rating in an ATC licence indicates the ATC discipline in which a controller may provide an ATC service. Associated with the ratings are rating endorsements which further define the ATC service that may be provided. For example, the radar rating endorsement indicates that radar, both primary and secondary, may be used to provide the ATC services associated with the Approach or Area Control Surveillance Ratings.

To provide the ATC service indicated by a rating and any associated rating endorsement a controller must also hold a unit endorsement. The unit endorsement indicates that a controller is competent to provide an ATC service on specified sectors or operational positions at a particular unit or units. A valid rating consists of a rating, any associated rating endorsement and a unit endorsement.

6 Requirement to Hold Rating(s) of Notified Classes

An ATC licence must contain one or more of the ratings of the classes notified below:

Aerodrome Control Visual	Aerodrome Control Instrument
Approach Control Procedural	Approach Control Surveillance
Area Control Procedural	Area Control Surveillance

7 Privileges of Ratings and Endorsements

7.1 Aerodrome Control Visual (ADV) Rating

The Aerodrome Control Visual (ADV) rating entitles the holder to provide an air traffic control service to aerodrome traffic at an aerodrome that has no published instrument approach or departure procedures.

The Aerodrome Control Visual rating has no associated rating endorsements.

7.2 Aerodrome Control Instrument (ADI) Rating

The Aerodrome Control Instrument (ADI) rating entitles the holder to provide an air traffic control service to aerodrome traffic at an aerodrome that has published instrument approach and/or departure procedures.

7.3 Aerodrome Control Instrument Rating Endorsements

The Aerodrome Control Instrument rating shall have associated with it one or more of the following rating endorsements:

a) Tower Control (TWR)

Aerodrome control may be operated as one position or it may be divided between two, i.e. Ground Movement Control (GMC) and Air Control (AIR).

The tower control rating (TWR) endorsement entitles the holder to provide an aerodrome control service at an aerodrome where aerodrome control is provided from one operational position.

NOTE: A controller may provide ground movement control and air control simultaneously from one operational position (bandboxed) provided:

- the traffic level is such that it can be safely controlled by one controller from the bandboxed position; and
- the controller concerned holds both ground movement control and air control rating endorsements, valid for that unit.

b) Ground Movement Control (GMC)

Where the Aerodrome Control task is differentiated into Ground Movement Control (GMC) and Air Control (AIR), the GMC endorsement is used to indicate that a controller has the skills to provide the ATC services associated with Ground Movement Control.

The Ground Movement Control rating endorsement entitles the holder to provide that part of an aerodrome control service associated with Ground Movement Control.

NOTE: In the UK it is not permitted for controllers to hold only a Ground Movement Control or Air Control rating endorsement. At aerodrome control units where the aerodrome control service is differentiated into air control and ground movement control, unit endorsements associated with these rating endorsements must be gained simultaneously.

c) **Ground Movement Surveillance (GMS) Control**

The Ground Movement Surveillance (GMS) Control endorsement entitles the holder to use Aerodrome Surface Movement Guidance systems in the provision of an aerodrome control service to aircraft on the manoeuvring area during low visibility conditions and to supplement visual observation.

These systems may be based on radar or more advanced tracking technology and are used during low visibility procedures and to enhance the provision of an aerodrome control service in areas outside visual surveillance.

The Ground Movement Surveillance Control endorsement will only be granted to a controller who holds a Tower Control or Ground Movement Control endorsement. (See Figure 5).

d) **Air Control (AIR)**

Where the Aerodrome Control task is differentiated into Ground Movement Control (GMC) and Air Control (AIR), the Air Control endorsement entitles the holder to provide the ATC services associated with Air Control.

NOTE: In the UK it is not permitted for controllers to hold only a Ground Movement Control or Air Control rating endorsement. At aerodrome control units where the aerodrome control service is differentiated into air control and ground movement control, unit endorsements associated with these rating endorsements must be gained simultaneously.

e) **Aerodrome Radar (RAD) Control**

The Aerodrome Radar (RAD) rating endorsement recognises that radar is playing an increasing role in the provision of aerodrome control. The Aerodrome Radar Control rating endorsement entitles the holder to use radar in the provision of an aerodrome control service.

The Aerodrome Radar Control rating endorsement will only be issued at units approved by the CAA where controllers use the Aerodrome Traffic Monitor to its full extent as notified in the Manual of Air Traffic Services Part 1.

The unit MATS Part 2 will define the airspace within which this service may be provided.

The Aerodrome Radar Control endorsement shall not permit the aerodrome controller to use the surveillance radar equipment in any way that will detract from the primary task of providing an aerodrome control service by visual observation of aerodrome traffic.

The Aerodrome Radar Control rating endorsement will only be granted to a controller who holds either a Tower Control or an Air Control rating endorsement. (See Figure 5).

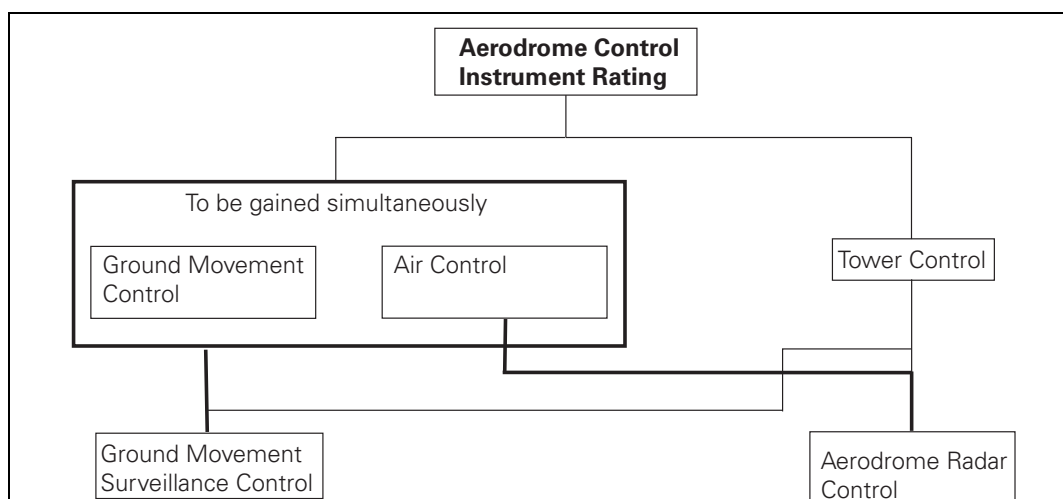


Figure 5 Aerodrome Control Instrument Rating and Endorsements

7.4 **Approach Control Procedural (APP) Rating**

An Approach Control Procedural (APP) rating entitles the holder to provide an air traffic control service to arriving, departing or transiting aircraft without the use of surveillance equipment.

An approach control service may be provided by an approach control unit at an aerodrome or at an area control centre specifically approved by the CAA to provide the service.

The Approach Control Procedural rating has no associated rating endorsements.

7.5 **Approach Control Surveillance (APS) Rating**

An Approach Control Surveillance (APS) rating entitles the holder to provide an air traffic control service to arriving, departing or transiting aircraft with the use of surveillance equipment.

To be valid, the rating must include a Radar, Automatic Dependent Surveillance or Multilateration rating endorsement.

Approach Control Surveillance Rating Endorsements

a) **Radar (RAD)**

The Radar rating endorsement to the Approach Control Surveillance rating indicates that radar is used as the surveillance equipment. It entitles the holder to use radar in the provision of the following services: Approach Control, Terminal Control, Special Tasks and Offshore.

b) **Use of Radar for Instrument Approaches**

Associated with the Radar endorsement are two additional rating endorsements which relate to the use of surveillance equipment by controllers to provide instrument approaches. These are the Precision Approach Radar and the Surveillance Radar Approach rating endorsements.

Before a controller can hold one of these endorsements he must already hold the Radar endorsement (see Figure 6).

Precision Approach Radar (PAR) Endorsement entitles the holder to provide ground controlled precision approaches to aircraft on the final approach to a runway using precision approach radar equipment.

Surveillance Radar Approach (SRA) Endorsement entitles the holder to provide ground controlled non-precision approaches to aircraft on the final approach to a runway using surveillance equipment.

c) **Automatic Dependent Surveillance (ADS)**

The ADS rating endorsement to the Approach Control Surveillance rating indicates that ADS is used as the surveillance equipment. It entitles the holder to use ADS in the provision of the following services: Approach Control, Terminal Control, Special Tasks and Offshore.

d) **Multilateration (MLT)**

The Multilateration (MLT) rating endorsement to the Approach Control Surveillance rating indicates that multilateration is used as the surveillance equipment. It entitles the holder to use multilateration in the provision of the following services: Approach Control and Offshore.

e) **Terminal Control (TCL)**

The Terminal Control rating endorsement entitles the holder to provide an air traffic control service with the use of radar or ADS in airspace designated as a terminal area and/or adjacent sectors designated for the provision of terminal control.

Terminal control starts at a point where the en-route controller hands over responsibility to the terminal controller and ends at a point where the terminal controller hands over to the nominated Aerodrome or Approach controller. The airspace, including the TMA and adjacent sectors, within which a terminal control service is provided must be approved by the CAA and specified for the purpose in the unit's MATS Part 2.

To be granted a Terminal Control rating endorsement a controller must hold a Radar or ADS rating endorsement to an Approach or Area Control Surveillance rating.

f) **Offshore (OFF)**

An offshore rating endorsement is issued to indicate the specialist skills associated with the provision of air traffic control services to aircraft flying to and from offshore oil and gas installations and to other aircraft operating in the vicinity of these aircraft.

The offshore rating endorsement entitles the holder to provide the air traffic control services associated with an offshore service. This rating endorsement is only required for sectors where the CAA has determined that the level and complexity of the task requires a controller to hold it.

To be granted an Offshore rating endorsement a controller must hold a Radar or ADS or Multilateration rating endorsement to an Approach or Area Control Surveillance rating.

g) **Special Tasks (SPT)**

The Special Tasks rating endorsement is issued to indicate the specialist skills associated with the provision of air traffic control services to aircraft flying for the purposes of research and development of aircraft, aircraft equipment and systems and which are not flying in accordance with normal aviation practice, and to other aircraft in the vicinity of these aircraft.

The Special Tasks rating endorsement entitles the holder to provide the air traffic control services associated with the provision of a Special Tasks service. This endorsement is only required at units where the CAA has determined that the level and complexity of the task requires a controller to hold it.

To be granted a Special Tasks rating endorsement a controller must hold a Radar or ADS rating endorsement to an Approach or Area Control Surveillance rating.

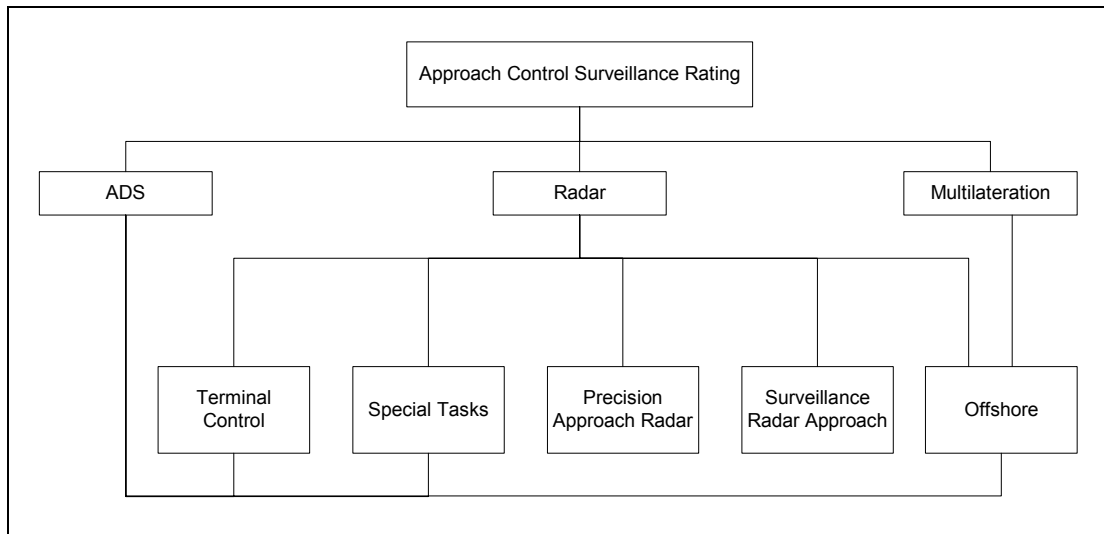


Figure 6 Approach Control Surveillance Rating and Endorsements

7.6 Approval of Approach Control Radar Units

Approach control radar units may apply to their appropriate ATSD Regional Manager to be approved to enable controllers who hold Approach Control Surveillance ratings with an appropriate surveillance endorsement, but do not also hold Approach Control Procedural ratings, to provide a procedural approach control service.

To be approved the provider of air traffic services will be required to demonstrate that:

- a) the approach control surveillance service is provided by an ATS surveillance system;
- b) reasonable assurance shall exist that surveillance derived information will be continuously available during the notified period of the provision of an approach control surveillance service except for any notified periods of maintenance;
- c) wherever possible, maintenance shall be planned to be conducted during periods when the approach control surveillance service is not routinely notified as available;
- d) the unit shall be staffed to ensure that an approach control surveillance service is available during the notified period of the provision of an approach control surveillance service;
- e) contingency measures and the procedures to be used in the event of an ATS surveillance system failure are published in the unit MATS Part 2;
- f) flow management arrangements are applied in order to ensure that maximum traffic levels are within the system capacity using the contingency procedures;
- g) the unit has an approved Unit Training Plan (UTP) which provides such additional non-radar training as is appropriate to unit procedures. This training may be undertaken either at the unit or at a certified ATC training provider;
- h) the unit competence scheme (UCS) has procedures for examining controllers to ensure they are competent to provide a procedural service using the contingency arrangements described in the unit MATS Part 2;
- i) the unit has conducted a risk assessment to determine the period that the contingency arrangements described in the unit MATS Part 2 are suitable for application;

- j) a formal review is conducted following periods during which the ATS surveillance system was not available (or periodically if an ATS surveillance system is not available on a regular basis) in order to confirm that the arrangements described in the unit MATS Part 2 remain suitable;
- k) in the event of an ATS surveillance system failure, the contingency measures and procedures described in the unit MATS Part 2 are to be employed by all controllers providing the approach control surveillance service to that aerodrome.

7.7 **Area Control Procedural (ACP) Rating**

An Area Control Procedural (ACP) rating entitles the holder to provide an en-route air traffic control service without the use of surveillance equipment.

Oceanic Control (OCN) Rating Endorsement

An Oceanic Control (OCN) rating endorsement entitles the holder to provide air traffic control services to aircraft operating in the Shanwick Oceanic Control Area. To be granted an Oceanic rating endorsement a controller must hold either an Area Control Procedural or an Area Control Surveillance rating.

7.8 **Area Control Surveillance (ACS) Rating**

An Area Control Surveillance (ACS) rating entitles the holder to provide an air traffic control service in control areas with the use of surveillance equipment.

To be valid, the rating must include a Radar, Automatic Dependent Surveillance, Multilateration or Oceanic Control rating endorsement.

7.9 **Area Control Surveillance (ACS) Rating Endorsements**

a) **Radar (RAD)**

The Radar rating endorsement to the area control surveillance rating indicates that radar is used as the surveillance equipment. It entitles the holder to use radar in the provision of the following services: area control, terminal control, offshore and special tasks.

b) **Automatic Dependent Surveillance (ADS)**

The ADS rating endorsement to the Area Control Surveillance rating indicates that ADS is used as the surveillance equipment. It entitles the holder to use ADS in the provision of the following services: Area Control, Terminal Control, Special Tasks and Offshore.

c) **Multilateration (MLT)**

The Multilateration (MLT) rating endorsement to the Area Control Surveillance rating indicates that multilateration is used as the surveillance equipment. It entitles the holder to use multilateration in the provision of the following services: Area Control and Offshore.

d) **Terminal Control (TCL)**

The Terminal Control rating endorsement entitles the holder to provide an air traffic control service with the use of radar or ADS in airspace designated as a terminal area and/or adjacent sectors designated for the provision of terminal control.

Terminal control starts at a point where the en-route controller hands over responsibility to the terminal controller and ends at a point where the terminal controller hands over to the nominated Aerodrome or Approach controller. The airspace, including the TMA and adjacent sectors within which a terminal control service is provided, must be approved by the CAA and specified for the purpose in the unit's MATS Part 2.

To be granted a Terminal Control rating endorsement a controller must hold a Radar or ADS rating endorsement to an Approach or Area Control Surveillance rating.

e) **Offshore (OFF)**

An offshore rating endorsement is issued to indicate the specialist skills associated with the provision of air traffic control services to aircraft flying to and from offshore oil and gas installations and to other aircraft operating in the vicinity of these aircraft. This endorsement entitles the holder to provide the air traffic control services associated with an offshore service and is only required for sectors where the CAA has determined that the level and complexity of the task requires it to be held.

To be granted an Offshore rating endorsement, a controller must hold a Radar or ADS or multilateration rating endorsement to an Approach or Area Control Surveillance rating.

f) **Special Tasks (SPT)**

The Special Tasks rating endorsement is issued to indicate the specialist skills associated with the provision of air traffic control services to aircraft flying for the purposes of research and development of aircraft, aircraft equipment and systems and which are not flying in accordance with normal aviation practice, and to other aircraft in the vicinity of these aircraft. It entitles the holder to provide the air traffic control services associated with the provision of a Special Tasks service. This endorsement is only required at units where the CAA has determined that the level and complexity of the task requires it to be held.

To be granted a Special Tasks rating endorsement, a controller must hold a Radar or ADS rating endorsement to an Approach Surveillance or Area Surveillance rating.

g) **Oceanic Control (OCN)**

An Oceanic Control rating endorsement entitles the holder to provide air traffic control services to aircraft operating in the Shanwick Oceanic Control Area. To be granted an Oceanic rating endorsement a controller must hold either an Area Control Procedural or Area Control Surveillance rating.

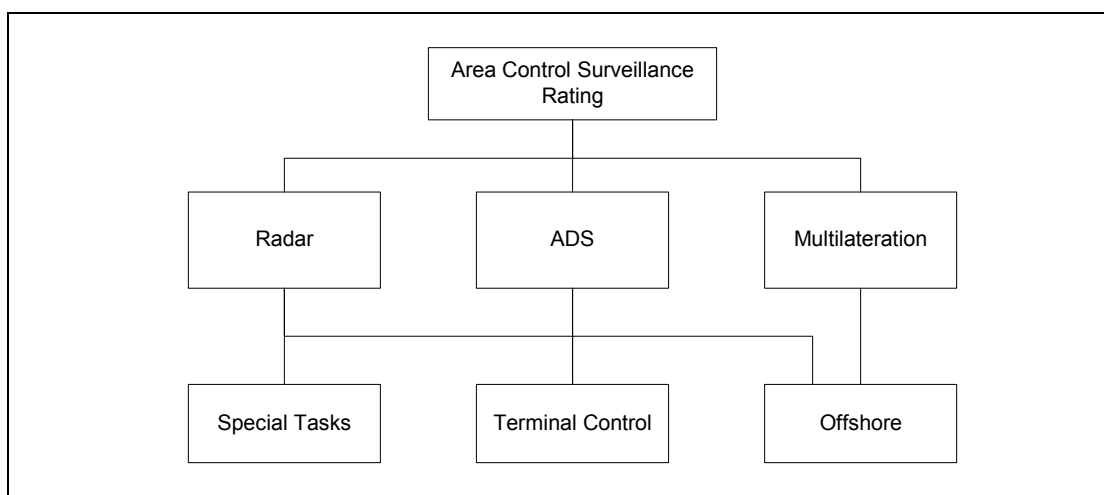


Figure 7 Area Control Surveillance Rating and Endorsements

Part 2 **ATC Licensing – Requirements and Associated Guidance**

1 Air Traffic Controller Licence

1.1 Requirement to Hold an Air Traffic Controller Licence

A person shall not provide an air traffic control service unless he holds an ATC licence with a valid rating, including any associated rating and/or unit endorsement relating to the air traffic control service to be provided, and a current medical certificate of the appropriate class.

The rating shall be of a type notified in Part 1 paragraph 6 of this document.

The rating endorsements shall be of a type notified in Part 1 paragraph 7 of this document.

A current unit endorsement must include details of the ATC unit and the individual sectors or operational positions, including any surveillance equipment to be used, for which the rating is valid.

1.2 Grant, and Privileges, of an Air Traffic Controller Licence

1.2.1 The CAA will grant an applicant an air traffic controller licence provided he:

- a) holds a valid student air traffic controller licence;
- b) has successfully completed a UTP;
- c) has successfully completed TRUCE and been assessed as competent to handle unusual circumstances and aircraft in emergency;
- d) has passed a rating examination;
- e) is at least 21 years of age;
- f) holds a current medical certificate of the appropriate class.

NOTE: In certain cases, the CAA may accept applications from individuals who have not yet reached the age of 21 but have reached the age of 20. In such cases, the CAA will require that the applicant's employer confirms in writing to the CAA that they consider the applicant has demonstrated the necessary level of competence and maturity to justify the granting of an air traffic controller licence.

1.2.2 Privileges of an Air Traffic Controller Licence

An air traffic controller licence authorises the holder to provide air traffic control services at an ATC unit for which he holds a valid rating.

Air traffic controllers must not provide air traffic control services for which they do not hold a valid rating except where they are acting as a student or trainee air traffic controller.

1.3 Roles and Responsibilities

1.3.1 Holders of Air Traffic Controller Licences

An air traffic controller licence holder who provides an air traffic control service shall be responsible for ensuring he:

- a) holds a valid rating(s) appropriate to the air traffic control service he is providing including:

- i) any associated rating endorsement; and
 - ii) a current unit endorsement for the sector(s) or operational position(s) on which he provides an air traffic control service;
- b) holds a Language Proficiency Endorsement for the English language;
 - c) is competent to provide the air traffic control services for which he holds valid rating(s);
 - d) complies with requirements for maintaining currency;
 - e) complies with TRUCE requirements;
 - f) is not fatigued to an extent that may endanger the safety of aircraft to which he is providing an air traffic control service;

NOTE: Complying with the provisions of the scheme for the regulation of air traffic controller hours (SRATCOH) does not absolve the controller from making a judgement as to his fitness to provide a safe air traffic control service.

- g) holds a current medical certificate of the appropriate class and complies with any conditions associated with that medical certificate;
- h) is not under the influence of drink, drugs or medication to an extent that may endanger the safety of aircraft to which he is providing an air traffic control service;
- i) is not suffering from any illness or injury to an extent that may endanger the safety of aircraft to which he is providing an air traffic control service;
- j) signs his licence in ink with his normal signature.

1.3.2 **Providers of Air Traffic Services**

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that air traffic controllers:

- a) are appropriately licensed;
- b) are competent to provide the air traffic control services for which they hold valid ratings;
- c) speak and understand the English language to at least Level 4 of the ICAO Language Proficiency rating scale;
- d) comply with requirements for maintaining currency;
- e) comply with TRUCE requirements;
- f) comply with the provisions of the scheme for the regulation of air traffic controller hours (SRATCOH);
- g) hold a current medical certificate of the appropriate class;
- h) are not under the influence of drink, drugs or medication or suffering from any illness or injury to an extent that may endanger the safety of aircraft to which an air traffic control service is being provided.

2 Student Air Traffic Controller Licence

2.1 **Requirement to Hold a Student Air Traffic Controller Licence**

A person who does not hold an air traffic controller licence shall not provide an air traffic control service under the supervision of an OJTI, unless he holds a student air traffic controller licence.

2.2 **Grant of a Student Air Traffic Controller Licence**

The CAA will grant a student air traffic controller licence to an applicant provided he:

- a) has successfully completed an approved course of initial training;
- b) is at least 18 years of age;
- c) is the holder of a certificate demonstrating a pass in at least one subject at GCSE level or equivalent;
- d) has demonstrated competence to speak and understand the English Language to at least Level 4 of the ICAO Language Proficiency Rating Scale;
- e) holds a current medical certificate of the appropriate class.

NOTE: The CAA may accept applications from individuals who do not meet the minimum educational requirement given in c) above. In such circumstances, the CAA will require that the training provider that has conducted the rating training for the individual, confirm in writing to the CAA that the individual has demonstrated the necessary level of competence to justify the granting of a Student air traffic controller licence.

A student air traffic controller licence will be issued for a period of two years and may be reissued for a further period of two years provided unit training has commenced. Any extension beyond this time will be at the discretion of the CAA.

A student air traffic controller licence will be cancelled on issue of an air traffic controller licence.

2.3 **Privileges of a Student Air Traffic Controller Licence**

The holder of a student air traffic controller licence is authorised to provide an air traffic control service under the supervision of an OJTI who holds a valid rating appropriate to the air traffic service being provided.

The air traffic control service being provided by the holder of a student air traffic controller licence under supervision must be in a rating discipline for which he has successfully completed an approved course of initial training.

NOTE: Student air traffic controllers must commence the unit training plan of the unit where they will be training towards the grant of an air traffic controller licence and associated rating and endorsement(s) within 6 months of completion of the initial course of training in that rating; see Part 3 paragraph 2.1.

2.4 **Roles and Responsibilities**

2.4.1 **Holders of Student Air Traffic Controller Licences**

A student air traffic controller licence holder who provides an air traffic control service under supervision shall be responsible for ensuring he:

- a) holds a current student air traffic controller licence;
- b) does not provide an air traffic control service in a rating discipline for which he has not successfully completed an approved course of initial training;
- c) holds a Language Proficiency Endorsement for the English language;
- d) holds a current medical certificate of the appropriate class;
- e) signs his licence in ink with his normal signature;
- f) complies with SRATCOH whilst undergoing OJT;
- g) is not fatigued to an extent that may endanger the safety of aircraft to which he is providing an air traffic control service.

2.4.2 Providers of Air Traffic Services

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that:

- a) student air traffic controllers:
 - i) hold a current student air traffic controller licence;
 - ii) have successfully completed an approved course of initial training in the rating discipline in which they will be providing an ATC service under supervision;
 - iii) commence the unit training plan within 6 months of their having completed the initial course of training in the rating discipline in which they will be providing an air traffic control service under supervision;
 - iv) hold a Language Proficiency Endorsement for the English language;
 - v) comply with SRATCOH whilst undergoing OJT;
 - vi) hold a current medical certificate of the appropriate class.
- b) the OJTI supervising the student air traffic controller holds a valid rating appropriate to the ATC service being provided.

3 Trainee Air Traffic Controller

3.1 Requirement

The holder of an air traffic controller licence shall not provide an air traffic control service for which he does not hold a valid rating, except under the supervision of an OJTI.

The trainee air traffic controller providing the ATC service under supervision must:

- a) have successfully completed an approved course of initial training in the rating discipline which relates to the ATC service being provided, or
- b) hold, or have held within the previous four years, the rating and rating endorsement (if any) which relates to the ATC service being provided, and
- c) in relation to a) above, commence the unit training plan within 6 months of having completed the initial course of training in the rating discipline in which he will be providing an air traffic control service under supervision;
- d) holds a Language Proficiency Endorsement for the English language;
- e) comply with SRATCOH whilst undergoing OJT;
- f) hold a current medical certificate of the appropriate class.

The supervising controller must be a qualified OJTI and hold a valid rating appropriate to the ATC service being provided.

3.2 Privileges of the Holders of Air Traffic Controller Licences (Trainee Air Traffic Controllers)

An air traffic controller licence entitles the holder to provide an air traffic control service, for which he does not hold a valid rating, under the supervision of an OJTI, who holds a valid rating appropriate to air traffic control service being provided.

Trainee air traffic controllers are holders of air traffic controller licences who are undergoing on-the-job training (OJT):

- a) towards the grant of a rating and rating endorsement (if any) in which they have not previously held a valid rating, but in which they have successfully completed an approved course of initial training;
- b) on additional operational positions or sectors at the same unit (extension validation) at which they already hold valid ratings in the rating and rating endorsement (if any) appropriate to the air traffic control service to be provided;
- c) at a unit where they do not yet hold a valid rating in the rating and rating endorsement (if any) appropriate to the air traffic control service to be provided but in which they hold, or have held within the previous four years, a valid rating in the same rating discipline at another unit.

NOTE: A controller who has not exercised the privileges of a particular rating and/or rating endorsement within the previous four years must not commence on-the-job training until he has been assessed for previous competence and successfully completed any training and assessments required.

3.3 Roles and Responsibilities

3.3.1 Trainee Air Traffic Controllers

A trainee air traffic controller who provides an air traffic control service under supervision shall be responsible for ensuring he:

- a) holds a current air traffic controller licence;
- b) holds the appropriate rating and rating endorsement (if any) and has exercised the privileges of that rating and rating endorsement (if any) within the previous 4 years;
- c) does not provide an air traffic control service under supervision in a rating and rating endorsement (if any) which he does not hold unless he has successfully completed an approved course of initial training in the appropriate discipline(s);
- d) in relation to c) above, commences the unit training plan within 6 months of having completed the initial course of training in the rating discipline in which he will be providing an air traffic control service under supervision;
- e) holds a Language Proficiency Endorsement for the English language;
- f) complies with SRATCOH whilst undergoing OJT;
- g) holds a current medical certificate of the appropriate class;
- h) is not fatigued to an extent that may endanger the safety of aircraft to which he is providing an air traffic control service.

3.3.2 Providers of Air Traffic Services

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that trainee air traffic controllers:

- a) hold an air traffic controller licence which includes rating(s) and rating endorsement(s) appropriate to the air traffic control service being provided under supervision and have exercised the privileges of those rating(s) and rating endorsement(s) within the preceding 4 years;
- b) do not provide an air traffic control service under supervision in a rating discipline for which they do not hold a valid rating unless they have successfully completed an approved course of initial training in the appropriate discipline(s);

- c) who are training towards the issue of an additional rating as in b) above commence the unit training plan within 6 months of completion of the initial course of training in the rating discipline in which they will be providing an air traffic control service under supervision;
- d) hold a Language Proficiency Endorsement for the English language;
- e) comply with SRATCOH whilst undergoing OJT;
- f) hold a current medical certificate of the appropriate class.

NOTE: Student and trainee air traffic controllers must commence the unit training plan within 6 months of completing the initial course of training in the rating discipline in which they will be providing an air traffic control service under supervision; see Part 3 paragraph 2.1. Having commenced the unit training plan, students/trainees must continue through the plan without interruption, except for normal periods of leave, sickness or to maintain existing unit endorsement(s). Any requirement for extended periods of absence during unit training other than those cited above is subject to approval by the appropriate ATSD Regional Manager, who may set requirements for additional training.

4 On-the-Job Training Instructor (OJTI) Licence Endorsement

An on-the-job training instructor (OJTI) licence endorsement may be used in association with any of the licence holder's valid ratings.

4.1 Requirements for the Issue of an OJTI Licence Endorsement

4.1.1 To be issued with an OJTI licence endorsement the applicant must:

- a) hold an air traffic controller licence;
- b) have successfully completed an approved OJTI training course;
- c) have held a valid rating in the rating discipline in which he will instruct for a period of at least two years;
- d) hold, and have held for a period of at least six months, a rating valid on the sectors or operational position on which he will instruct.

NOTE: Units may apply to the appropriate ATSD Regional Manager to reduce the minimum experience requirement in c) above to one year.

4.1.2 An OJTI who is supervising a:

- a) student air traffic controller; or
- b) trainee air traffic controller; or
- c) controller whose ATC rating, rating endorsement or unit endorsement has been provisionally suspended or suspended;

shall remain responsible for the safety of the service being provided. Suspension of air traffic controller licences is addressed in Part 3, paragraph 12, of this Manual.

4.2 Privileges of an OJTI Licence Endorsement

An OJTI licence endorsement shall entitle the holder to supervise student and trainee air traffic controllers while they provide an air traffic control service for which they do not hold a valid rating.

An OJTI shall only supervise student and trainee air traffic controllers while they are providing an ATC service for which he holds a valid rating.

4.3 Roles and Responsibilities

4.3.1 On-the-job Training Instructors (OJTIs)

The OJTI shall be responsible for:

- a) the safety of the air traffic control service that the student air traffic controller or trainee air traffic controller is providing under his supervision;
- b) ensuring that student air traffic controllers:
 - i) hold a current student air traffic controller licence;
 - ii) have successfully completed an approved course of initial training in the rating discipline in which they will be providing an ATC service under supervision; and
 - iii) hold a current medical certificate of the appropriate class.
- c) ensuring that trainee air traffic controllers:
 - i) hold an air traffic controller licence which includes the rating(s) and rating endorsement(s) appropriate to the air traffic control service being provided under supervision and have exercised their privileges within the preceding four years; or
 - ii) have successfully completed an approved course of initial training, in the rating and rating endorsement (if any) appropriate to the ATC service being provided under supervision; and
 - iii) hold a current medical certificate of the appropriate class.
- d) determining and reporting on the training progress;
- e) identifying any deficiencies in knowledge or skill and recommending remedial training;
- f) recommending student and trainee air traffic controllers as being at an appropriate level of competence where they should be successful at a rating or unit endorsement examination;
- g) supervising controllers who have had their rating(s) and/or rating endorsement(s) and/or unit endorsement(s) suspended;
- h) reviewing and monitoring the unit training plan and proposing changes to the training.

NOTE: Where providers of air traffic services have procedures included in their safety cases to satisfy the requirements in b) and c) above the OJTI will not be required to check the student or trainee's licence, training record or medical status.

4.3.2 Providers of Air Traffic Services

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that OJTIs:

- a) hold an OJTI licence endorsement and valid ratings entitling them to provide the air traffic control services in which they are supervising student or trainee air traffic controllers;
- b) have received specific training on the conduct of the UTP;
- c) who are required to instruct or assess TRUCE have received specific training on the conduct and/or assessment of TRUCE;
- d) are competent to supervise student or trainee air traffic controllers;
- e) are assessed at least every three years for their ongoing competence to train and supervise student or trainee air traffic controllers.

- 4.3.3 Providers of air traffic services shall ensure that an OJTI is permitted to provide an air traffic control service without any training responsibilities, for sufficient time to remain competent on the specific sector(s) or operational position(s) for which he provides on-the-job training.
- 4.3.4 An OJTI who is assessed as no longer competent to train and supervise student or trainee air traffic controllers shall not undertake duties as an OJTI until he has been assessed as competent to do so. Should a controller be unable to demonstrate competence as an OJTI, the ATS unit must inform ATS Licensing who will arrange for the removal of the OJTI licence endorsement.

5 Examiner Licence Endorsement

An examiner licence endorsement may be used in association with any of the licence holder's valid ratings.

5.1 Limitation on Authority

An examiner licence endorsement does not confer on the holder the authority to renew or issue a unit endorsement that has been provisionally suspended or suspended by the CAA, except in accordance with conditions set by the CAA for the removal of the provisional suspension or suspension.

5.2 Requirements for the Issue of an Examiner Licence Endorsement

To be issued with an examiner licence endorsement the applicant must:

- a) have exercised, for the immediately preceding two years, the privileges of the rating/rating endorsement for which he will be required to examine/assess at that unit;
- b) hold, for a minimum of one year, a current unit endorsement for the sector or operational position for which he will be certifying competence;
- c) have successfully completed an approved course of Examiner training; and
- d) provide evidence of having completed at least two supernumerary duties to the satisfaction of the CAA, as follows:
 - i) in the case of unit ATC examiners the supernumerary duties must be for rating or unit endorsement examination boards;
 - ii) in the case of Unit Competence Examiners (UCEs) the supernumerary duties must be for certifying continuing competence for the renewal of unit endorsements.

The CAA may appoint as ATC examiners air traffic controllers from amongst its staff.

5.3 Privileges of an Examiner's Licence Endorsement

An examiner licence endorsement entitles the holder to conduct examinations associated with the ATC licence.

The CAA may grant examiner licence endorsements that entitle the holder to conduct one or more of the following:

- a) rating examinations leading to the issue of an air traffic controller licence and valid rating(s), rating endorsement(s) if any and unit endorsement(s);
- b) rating examinations leading to the issue of additional ratings and rating endorsements (if any) and unit endorsements;
- c) unit endorsement examinations for the issue of unit endorsements;

- d) annual competence assessments for the renewal of unit endorsements;
- e) language proficiency assessments to confirm that licence holders' English language proficiency meets the requirements of Level 6 of the ICAO Language Proficiency Rating Scale.

NOTE: Holders of the Examiner licence endorsement are not permitted to assess English language proficiency at levels below Level 6 unless specifically authorised to do so by the CAA.

5.4 **Types of Examiner**

5.4.1 **CAA ATC Examiners**

Inspectors of ATS are CAA ATC Examiners and are authorised to conduct all examinations associated with the issue and maintenance of ATC licences.

5.4.2 **Unit ATC Examiners**

Unit ATC examiners are controllers authorised by the CAA to participate in unit endorsement examinations.

Where specifically authorised by the CAA, unit ATC examiners may conduct unit endorsement examinations subject to the permission of the appropriate ATSD Regional Manager, who may require an Inspector of ATS to conduct the examination or to audit the examination process.

5.4.3 **Unit Competence Examiners**

Unit Competence Examiners (UCEs) are examiners authorised by the CAA to conduct annual competence assessments for the renewal of unit endorsements in accordance with the approved Unit Competence Scheme (UCS).

The CAA will specify which examinations an Examiner is entitled to conduct, and units shall record this information, typically in the Unit Training Plan.

5.5 **Roles and Responsibilities of the Provider of Air Traffic Services.**

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that:

- a) the unit has an appropriate number of suitably qualified examiners;
- b) examiners do not conduct examinations for which they do not hold the appropriate examiner endorsement;
- c) examiners hold valid ratings appropriate to the examinations they are conducting;
- d) examiners are competent to conduct the examinations.
- e) examiners are assessed at least every three years for their ongoing competence to conduct the examinations.

An Examiner who is assessed as no longer competent to conduct examinations shall not undertake duties as an Examiner until he has been assessed as competent to do so. Should a controller be unable to demonstrate competence as an Examiner, the ATS unit must inform ATS Licensing who will arrange for the removal of the Examiner licence endorsement.

NOTE: Roles and responsibilities of examiners are detailed in Part 3 of this document.

6 Recognition of Licences Issued by Other EU Member States

In accordance with the European Union Directive 2006/23/EC, the UK shall recognise student and air traffic controller Licences issued by other Member States of the European Union, where such Licences have been issued in accordance with the provisions of that Directive.

6.1 Requirements for Recognition

- 6.1.1 The holder of such a Licence who intends to seek employment as an air traffic controller in the UK, shall apply in writing to the CAA to obtain confirmation that his Licence is acceptable to the CAA, before seeking such employment.
- 6.1.2 The Licence cannot be used in the UK unless it is accompanied by confirmation from the CAA that the Licence has been recognised as acceptable by the CAA as the UK Licensing Authority.
- 6.1.3 The Licence-holder shall submit a copy of his Licence and accompanying Medical Certificate to the CAA to request recognition of the Licence in accordance with the Directive. The Licence-holder shall indicate to the CAA if he intends to exchange his Licence issued by another EU Member State for a Licence issued by the CAA in the event that he is successful in gaining employment in the UK as an air traffic controller. The CAA shall only issue a Licence in cases where a provider of air traffic services confirms the individual is employed, or has been offered employment, by them.
- 6.1.4 The CAA shall verify the validity of the Licence with the State of Licence issue and, once satisfied, shall then issue a confirmation of Licence recognition to the holder to confirm that the Licence, together with the ratings and rating endorsements contained within it, and its accompanying Medical Certificate, are acceptable.
- 6.1.5 Should the Licence-holder subsequently obtain employment as an air traffic controller in the UK, his employer shall advise the appropriate ATS Regional Manager or Head of En-Route and College Regulation who shall agree the Training Plan to be undertaken by the Licence-holder. The Training Plan must ensure that those elements of initial training specific to the UK national conditions, as detailed in the relevant rating Part(s) of CAP 624, are taught and assessed prior to the Licence-holder commencing unit training.
- 6.1.6 Where the Licence-holder elects to exchange his Licence for a Licence issued by the CAA, the CAA shall issue a UK Licence to the individual containing the same ratings and endorsements as those contained in the original Licence.
- 6.1.7 Where the individual has not held a valid rating in the ATC rating discipline in which they wish to undertake training within the previous 4 years, he shall be required to undertake an Assessment of Previous Competence, in accordance with Part 3, paragraph 3.2 of this document.
- 6.1.8 To commence UK unit training, the individual must be in possession of either:
 - a) his original Licence together with the CAA's confirmation of Licence recognition;
or
 - b) a Licence issued by the CAA.
- 6.1.9 The CAA shall attend the examination board for the initial award of a unit endorsement for all individuals whose Licence has been recognised or exchanged in accordance with the above.

6.1.10 Administrative procedures for the recognition of student and air traffic controller Licences issued by other Member States of the European Union are contained in paragraph 13 of Part 4 of this document.

6.2 Roles and Responsibilities

6.2.1 Holders of Air Traffic Controller Licences

6.2.1.1 The holder of an air traffic controller licence, issued by another EU Member State in accordance with the provisions of the European Union Directive 2006/23/EC, who wishes to obtain UK CAA recognition of his Licence shall be responsible for ensuring he:

- a) submits a copy of his Licence and its accompanying Medical Certificate to the CAA;
- b) informs the CAA of his intention either to use his existing Licence whilst working as an air traffic controller in the UK or exchange his Licence for an equivalent Licence issued by the UK CAA; and
- c) retains the CAA confirmation of Licence recognition with his Licence at all times.

6.2.1.2 Following receipt of either the CAA confirmation of Licence recognition or a CAA air traffic controller Licence, the holder shall be responsible for ensuring he complies with the CAA requirements for air traffic controllers as detailed throughout this document.

6.2.2 Providers of Air Traffic Services

6.2.2.1 Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that:

- a) they advise the CAA when an individual, who has obtained a CAA confirmation of Licence recognition or who intends to apply for CAA recognition of his Licence, is employed or about to be employed by them;
- b) they submit to the appropriate ATSD Regional Manager or Head of En-Route and College Regulation, a Training Plan for such an individual. The Training Plan must include training and assessment on those elements of initial training specific to the UK national conditions, as detailed in the relevant Part(s) of CAP 624, and which must be completed satisfactorily prior to the commencement of unit-specific training;
- c) they inform the appropriate ATSD Regional Manager or Head of En-Route and College Regulation when it is intended that the Licence-holder undertakes an examination for the first award of a unit endorsement.

7 Applications for Recognition of Air Traffic Controller Training Obtained in an ECAC Member State that is not an EU Member State

The UK shall consider recognition of air traffic controller training and experience obtained in an ECAC Member State, which is not an EU Member State, where that State licences its controllers in accordance with the EUROCONTROL European Manual of Personnel Licensing - Air Traffic Controllers, or in accordance with European Union Directive 2006/23/EC.

7.1 Requirements

- 7.1.1 An individual who intends to seek employment as an air traffic controller in the UK, shall apply in writing to the CAA to request confirmation that his ATC training and experience can be recognised by the CAA, before seeking employment.
- 7.1.2 To be acceptable, the individual shall hold or have held within the previous 4 years, a valid rating in the ATC rating discipline in which they wish to undertake training.
- 7.1.3 Where the CAA recognises the individual's training and experience, it shall confirm this to the individual and also confirm that the individual is permitted to commence training at a certified UK Initial Training Provider with a view to obtaining a UK Student ATCO Licence.
- 7.1.4 The certified UK Initial Training Provider, with whom the individual intends to undertake training, shall produce a Training Plan taking into account the skills, knowledge and experience of the individual and the objectives of the relevant initial rating course(s). The Training Plan must be approved by ATSD.
- 7.1.5 The identification of skills and knowledge may be achieved through a comparison of the syllabus of the ATC training course(s) undertaken by the individual in another State with that of the equivalent UK ATC training course;
- 7.1.6 Upon successful completion of the Training Plan, the individual shall undertake a Final Assessment of competence, conducted by the ATC training provider.
- 7.1.7 The individual must also be assessed for English language proficiency to at least Level 4 of the ICAO language proficiency rating scale.
- 7.1.8 Upon successful completion of the Final Assessment of competence and English language proficiency assessment, the training provider shall make a Declaration to ATSD that the individual is considered ready to commence unit training.
- 7.1.9 On receipt of the Declaration, the CAA shall issue a UK Student ATCO Licence to the individual.

8 Applications for Recognition of Air Traffic Controller Training Obtained in States other than EU/ECAC Member States

- 8.1 The UK CAA is able to recognise the ATC training provided by other European Union and ECAC Member States. This is because the ATC rating training provided by those States must meet, as a minimum, the Eurocontrol Common Core Content (CCC) training syllabus requirements.
- 8.2 The UK CAA has no knowledge of the ATC rating training syllabus of courses undertaken in other States and how these compare with the CCC training syllabus. As a result, the CAA is unable to recognise the ATC training undertaken in non-EU Member States.
- 8.3 Individuals who have undertaken ATC training in non-EU States and who wish to obtain a UK air traffic controller Licence shall be required to:
 - a) Provide a full Gap Analysis of what (if any) elements of the CCC were not covered by the rating training courses undertaken in the non-EU State. This analysis would require a comparison of the syllabi of those courses with the CCC syllabi and must be undertaken by one of the CAA certified UK Training Providers;
 - b) On completion of this analysis, undertake an Assessment for Previous Competence (APC) at one of the CAA certified UK Training Providers;

- c) Successfully complete a Training Plan, produced by the certified UK Training Provider. The Training Plan would address any weaknesses identified from the APC together with any training needs identified from the Gap Analysis. It would also need to include training specific to the UK national conditions, such as UK legislation. The Training Plan would need to be presented to the CAA for approval before commencement.
 - d) Successfully undertake a Final Assessment conducted by the Training Provider who must then declare to the CAA whether or not the individual is considered competent to commence unit training in the UK.
- 8.4 On receipt of a positive Declaration to this effect, the CAA would issue a UK Student Air Traffic Controller Licence which would entitle the individual to commence unit training in the appropriate rating or ratings. The Training Plan and Final Assessment will be based on the requirements of those parts of CAP 624 relevant to the rating(s) involved.

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Part 3 ATC Licensing – Safety Regulation Procedures

Safety regulation procedures assist in ensuring that the air traffic control services provided by licensed air traffic controllers at air traffic control units are safe and that the ATC services they provide satisfy the requirements of the unit and the aircraft operators.

1 Training

1.1 Requirement

The training of air traffic controllers must adequately prepare student and/or trainee air traffic controllers for the grant of an ATC licence and/or associated rating(s). Such training must provide the necessary skills and knowledge to an appropriate level of competence to enable student or trainee air traffic controllers to provide an air traffic control service while operating under the supervision of an OJTI.

For the purposes of safety regulation procedures, air traffic controller training is divided into two phases:

- a) initial training;
- b) unit training, comprising transitional training, pre on-the-job training and OJT.

In order to provide either form of training to air traffic controllers, a training provider must be certified by the CAA. Full details of the CAA certification requirements are contained in CAP 584 Air Traffic Controllers – Training.

Performance objectives that controllers must demonstrate in any particular rating and/or rating endorsement are contained in CAP 624 Air Traffic Controllers – Performance Objectives.

2 Initial Training

2.1 Requirement

Initial training courses must provide student and/or trainee air traffic controllers with the necessary skills and knowledge to a level of competence that will prepare them for training at operational units. Notwithstanding this requirement, the training courses must at least satisfy the ECAC Common Core Content training guidelines, as required by Part A to Annex II of the EC Directive.

A student or trainee air traffic controller who fails an approved course of initial training may re-take the course.

A student or trainee air traffic controller shall commence unit training, in a rating discipline in which he has successfully completed initial training, within six months of completing the initial training course. If he does not commence unit training within this period, he must undertake an assessment for previous competence (APC) in that rating discipline and successfully complete any further training identified before being allowed to commence unit training.

2.2 Initial Training Courses

- 2.2.1 Initial training courses are approved by the CAA and conducted by training providers certified by the CAA to conduct initial training, in accordance with the requirements detailed CAP 584.

2.3 Language Training and Evaluation

All air traffic controllers are required to demonstrate a minimum standard of proficiency to speak and understand the English language.

Individuals who demonstrate expert language proficiency in English, e.g. native and very proficient non-native speakers, do not need to be formally evaluated for their English language proficiency. Expert language proficiency is defined as Level 6 of the ICAO Language Proficiency Rating Scale.

Individuals who do not demonstrate expert language proficiency in English are required to be assessed for their proficiency to speak and understand English. Individuals are required to reach at least Level 4 of the ICAO Language Proficiency Rating Scale and may require language training in order to be able to achieve this level.

The assessment of language proficiency is to be conducted by an organisation, and in a manner, approved by ATSD. This will include the issuance of a certificate as proof of the level of language proficiency demonstrated by each student.

3 Assessments for Previous Competence (APCs)

3.1 Requirement

3.1.1 An air traffic controller shall undertake an Assessment for Previous Competence (APC):

- a) when he has not held a valid rating in a rating and rating endorsement (if any) included in his ATC licence, for a period of more than 4 years; or
- b) when specifically required by the CAA.

3.1.2 A student or trainee air traffic controller shall undertake an APC when he has not commenced unit training within six months of completing an approved course of initial training.

3.2 Assessment for Previous Competence – the Four-year Rule

3.2.1 Requirement

A controller who has not held a valid rating in a rating and rating endorsement (if any) included in his ATC licence, for a period of more than four years, shall undertake an APC before commencing unit training in that rating. The controller shall obtain written confirmation from the CAA of his eligibility to undertake an APC.

3.2.2 Responsibilities

3.2.2.1 Air Traffic Controller Licence Holders

Air traffic controllers who have not exercised the privileges of a particular rating or rating endorsement for more than four years shall not commence unit training in that rating or rating endorsement:

- a) unless they successfully complete an APC in that rating and rating endorsement (if any);
- b) if more than 6 months have elapsed since they successfully completed the APC referred to in a) above.

NOTE: Where b) above applies, controllers will be required to successfully complete a further APC before commencing unit training.

3.2.2.2 Providers of Air Traffic Services

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that controllers who have not exercised the privileges of a particular rating or rating endorsement for a period of more than four years do not commence unit training in that rating or rating endorsement:

- a) unless they have undertaken and successfully completed an APC in that rating and rating endorsement (if any);
- b) if more than 6 months have elapsed since the successful completion of the APC referred to in a) above.

3.3 Assessment for Previous Competence - CAA Requirement when Competence in Doubt

3.3.1 The CAA may require a controller to undertake an assessment for previous competence when his ability to provide a safe air traffic control service is in doubt. The level of competence, against which the controller is assessed, is that required for successful completion of an approved course of initial training.

3.4 Assessment for Previous Competence – the 6-month Rule

3.4.1 Requirement

A student or trainee air traffic controller who does not commence unit training within 6 months of having completed the initial course of training in the rating discipline in which they will be providing an air traffic control service under supervision, shall undertake an Assessment for Previous Competence.

3.4.2 Responsibilities

3.4.2.1 Air Traffic Controller Licence Holders

Student and trainee air traffic controllers who have not commenced unit training within 6 months of having completed the initial course of training in the rating discipline in which they will be providing an air traffic control service under supervision, shall not commence unit training in that rating:

- a) unless they successfully complete an APC in that rating;
- b) if more than 12 months have elapsed since they successfully completed the APC referred to in a) above.

NOTE: Where b) above applies, controllers will be required to successfully complete a further APC before commencing unit training.

3.4.2.2 Providers of Air Traffic Services

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that controllers who have not commenced unit training within 6 months of having completed the initial course of training in the rating discipline in which they will be providing an air traffic control service under supervision, do not commence unit training in that rating:

- a) unless they have undertaken and successfully completed an APC in that rating;
- b) if more than 12 months have elapsed since the successful completion of the APC referred to in a) above.

3.5 **Arrangements for Assessments for Previous Competence**

Assessments for previous competence may be conducted at a certified training provider or at a unit approved to conduct assessments for previous competence.

3.5.1 **Assessment for Previous Competence at Certified Training Providers**

3.5.1.1 Certified training providers offering approved courses of initial training and wishing to conduct APCs shall submit their proposals to ATSD for approval.

3.5.1.2 Where so approved, certified training providers may conduct APCs for:

- a) air traffic controllers who have not exercised the privileges of a particular rating or rating endorsement for more than four years;
- b) air traffic controllers who are specifically required by the CAA to undertake an assessment for previous competence;
- c) student or trainee air traffic controllers who have not commenced unit training within six months of completing an approved course of initial training.

3.5.1.3 Proposals for assessing for previous competence should include:

- a) details of the assessments to be used; and
- b) nominations of the verifiers who will conduct the assessments.

3.5.1.4 Certified training organisations shall inform an Inspector of ATS (Training) prior to each assessment taking place. The Inspector of ATS (Training) may wish to attend at any assessment.

3.5.2 **Assessments for Previous Competence at ATC Units**

3.5.2.1 To be considered for approval by the CAA to conduct APCs, units must have had an approved Level 2 UTP for a minimum of two years.

3.5.2.2 ATC units wishing to assess controllers for previous competence must submit their proposal to ATSD for approval. Approval will only be considered at units which have appropriate simulation facilities as detailed in CAP 584. A unit's proposal to assess for previous competence must include:

- a) details of the assessments to be used; and
- b) nominations of the verifier(s) who will conduct the assessments.

3.5.2.3 Prior to conducting any APC, units shall inform their ATSD Regional Manager, who may require an Inspector of ATS to be present at the assessment.

3.5.2.4 ATC units may apply for approval to assess the competence of:

- a) controllers who have not exercised the privileges of a particular rating and rating endorsement (if any) for the previous four years;
- b) student or trainee air traffic controllers who have not commenced unit training within six months of completing an approved course of initial training.

3.5.2.5 A separate assessment must be made for each rating and associated rating endorsement (if any).

3.5.2.6 Controllers whose competence is assessed at an ATC unit may only commence unit training at that unit. However, should a controller not be granted a unit endorsement at that unit, he may commence unit training at another unit without the need for a further assessment provided that the period between ending training at the first unit and commencing training at the second unit is not greater than 6 months. In such circumstances the second unit must have a Level 2 Unit Training Plan.

- 3.5.2.7 Controllers who are to undertake an APC at an air traffic control unit may commence unit training, but only that part of the unit training that is designed to prepare them for the APC.

Following the APC, the controller shall be required to satisfactorily complete any training to satisfy deficiencies in his knowledge, skill or competence identified by the APC, and undertake any further assessments required.

3.6 **APCs for Credit towards an Approved Course of Initial Training**

- 3.6.1 UK ATC licence holders already holding a particular rating and rating endorsement (if any) may undertake an APC to be granted credit towards an approved course of training in other rating(s) and rating(s) endorsement(s), if any, as follows:

Rating already held	Approved course of training for which an allowance for previous competence may be made
Approach Control Surveillance rating and radar rating endorsement	Area Control Surveillance rating and radar rating endorsement
Area Control Surveillance rating and radar rating endorsement	Approach Control Surveillance rating and radar rating endorsement

4 **Unit Training**

- 4.1 Every air traffic control unit must have a unit training plan, approved by the CAA, which details the processes by which student and/or trainee air traffic controllers are trained.
- 4.2 Full details of requirements in respect of unit training plans are contained in CAP 584 Air Traffic Controllers – Training.

5 **Competence**

5.1 **Rating Competence**

Rating competence is the ability of a controller to apply his appropriate knowledge, skills and experience to provide air traffic control services as notified in his air traffic controller licence.

5.1.1 **Requirement**

Before a rating is issued to a controller, he must demonstrate competence in that rating.

Units shall require controllers to complete a minimum amount of operational controlling time in each of their valid ratings sufficient to enable them to maintain their competence in those ratings.

Units must have training procedures, which include training to handle unusual circumstances and emergencies.

Before a student air traffic controller is granted a valid ATC licence and associated rating he must be assessed as competent by an authorised person.

Trainee controllers, already holding an ATC licence, shall demonstrate their competence if they wish to make their rating(s) valid on additional positions in the same unit or at another unit.

The licence of an air traffic controller who does not continue to meet the competence requirements for a particular rating shall be varied by suspending that rating in accordance with the procedures set out in paragraph 12 of this part of the document.

6 Rating Examinations

6.1 A rating examination is an examination for the issue of an:

- a) ATC licence and associated rating, rating endorsement (if any) and unit endorsement; or
- b) additional rating, rating endorsement (if any) and unit endorsement to an existing licence.

All rating examinations will be chaired by an Inspector of ATS.

The board for a rating examination will comprise an Inspector of ATS and a unit ATC examiner. At units without unit ATC examiners the board will comprise an Inspector of ATS.

Where civilian air traffic controllers provide air traffic services at a military airfield, an ATCEB examiner may be present.

When applying for rating examinations, units shall give their ATSD Regional Manager or Head of En-Route and College Regulation, as appropriate, thirty days notice prior to the proposed examination date and to inform him of the planned number of hours for the candidate to complete the UTP.

The use of simulators to demonstrate competence at a rating examination is not permitted except that a specifically approved simulator may be used to demonstrate the application of procedures not seen during that examination.

6.2 Roles and Responsibilities

6.2.1 Inspectors of ATS

Inspectors of ATS are responsible for determining whether the student or trainee air traffic controllers they are examining are competent to exercise the privileges of their ATC licences in respect of particular rating(s), rating endorsement(s) (if any) and unit endorsement(s).

6.2.1.1 Inspectors of ATS are responsible for determining if:

- a) student air traffic control licence holders are competent to provide the air traffic control service for which they are being examined towards the grant of an ATC licence, associated rating(s), rating endorsement(s) (if any) and unit endorsement(s); and
- b) trainee air traffic controllers are competent to provide the air traffic control service for which they are being examined towards the issue of additional rating(s), rating endorsement(s) (if any) and unit endorsement(s).

6.2.1.2 Inspectors of ATS are responsible for ensuring that student air traffic controllers who are candidates for rating examinations towards the issue of an ATC licence, rating(s), rating endorsement(s) (if any) and unit endorsement(s):

- a) hold a current student air traffic controller licence;
- b) have successfully completed an approved course of initial training in the rating discipline in which they are to be examined;

- c) have successfully completed the unit training plan and have been recommended by an OJTI or assessor as being at an appropriate competence standard to be successful at a unit endorsement examination;
- d) have successfully completed TRUCE and, where appropriate, have been assessed as competent to handle unusual circumstances and aircraft in emergency;
- e) hold a current medical certificate of the appropriate class.

6.2.1.3 Inspectors of ATS are responsible for ensuring that trainee air traffic controllers who are candidates for rating examinations towards the issue of additional rating(s), rating endorsement(s) (if any), and unit endorsement(s):

- a) hold a current air traffic controller licence;
- b) have successfully completed an approved course of initial training in the rating and rating endorsement (if any) in which they are to be examined;
- c) have successfully completed the UTP and been recommended by an OJTI or assessor as being at an appropriate competence standard to be successful at a unit endorsement examination;
- d) have successfully completed TRUCE and, where appropriate, have been assessed as competent to handle unusual circumstances and aircraft in emergency;
- e) hold a current medical certificate of the appropriate class.

6.2.2 Providers of Air Traffic Services

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that:

- a) a candidate for a rating examination:
 - i) holds a current student or air traffic controller licence;
 - ii) has successfully completed an approved course of initial training in the rating and rating endorsement (if any) in which he is to be examined;
 - iii) has successfully completed the unit training plan and been recommended by an OJTI or assessor as being at an appropriate competence standard to be successful at a unit endorsement examination;
 - iv) has successfully completed TRUCE and been assessed as competent to handle unusual circumstances and aircraft in emergency;
- b) training records are complete and available for scrutiny by the examiner;
- c) if the unit examiner is not also an appropriately qualified OJTI, an appropriately qualified OJTI is available to supervise the candidate and take responsibility for the safety of the air traffic control service being provided during the examination;
- d) where a unit ATC examiner is to conduct the examination, authorisation is sought from the appropriate ATSD Regional Manager;
- e) the CAA is advised of the requirement for a rating or unit endorsement examination, giving a minimum of 30 days notice and stating the planned number of hours for the candidate to complete the UTP.

NOTE: With reference to e) above, units should contact their ATSD Regional Manager if they are unable to give the required 30 days' notice.

6.3 **Failing a Rating Examination**

A candidate failing a rating examination shall not be permitted to retake the examination until a period of at least 30 days has elapsed and will be required to undertake both the practical and the oral examination at further attempts.

The appropriate ATSD Regional Manager shall agree the minimum additional training required in consultation with the ATS Provider.

7 **Unit Endorsement Examinations**

7.1 A unit endorsement examination is an examination for the issue of:

- a) additional unit endorsement(s) on operational position(s) or sector(s) at the same unit at which controllers already hold valid ratings in the rating and rating endorsement (if any) appropriate to the air traffic control service to be provided (extension validation);
- b) unit endorsement(s) at a unit where the controller does not yet hold a valid rating in the rating and rating endorsement (if any) appropriate to the air traffic control service to be provided but in which he holds, or has held within the previous four years, a valid rating at another unit.

7.2 The board for a unit endorsement examination will comprise:

- a) an Inspector of ATS and a unit ATC examiner, or
- b) a unit ATC examiner authorised to be responsible for the conduct of examination boards and a unit ATC examiner.

Where civilian air traffic controllers provide air traffic services at a military airfield, an ATCEB examiner may be present.

When applying for unit endorsement examinations, units shall give their ATSD Regional Manager thirty days notice prior to the proposed examination date and to inform him of the planned number of hours for the candidate to complete the UTP.

The use of simulators to demonstrate competence at a unit endorsement examination is not permitted except that a specifically approved simulator may be used to demonstrate the application of procedures not seen during that examination.

7.3 **Roles and Responsibilities**

7.3.1 **Unit ATC Examiners**

7.3.1.1 Unit ATC examiners shall be responsible for determining if controllers they are examining are competent or not competent to exercise the privileges of their ATC licences on particular sectors or operational positions at that unit.

Unit ATC examiners shall ensure that controllers whose competence they are examining towards the issue of a unit endorsement:

- a) hold a current air traffic controller licence;
- b) hold, or have held within the last four years, a valid rating and rating endorsement (if any) in the rating discipline appropriate to the air traffic control service in which the controller will be examined towards the grant of a unit endorsement;
- c) hold a current medical certificate of the appropriate class.

7.3.1.2 Before a candidate undertakes a rating examination, the Unit ATC examiner must ensure that the candidate:

- a) holds a valid air traffic controller licence;

- b) has successfully completed a UTP;
- c) has successfully completed TRUCE training and, where appropriate, been assessed as competent to handle unusual circumstances and aircraft in emergency;
- d) has been recommended by the OJTI or assessor as being at an appropriate level of competence to be successful at the examination;
- e) holds a medical certificate of the appropriate class.

7.3.2 **Providers of Air Traffic Services**

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that:

- a) a candidate for a unit endorsement examination:
 - i) has exercised, within the last four years, the privileges of the rating and rating endorsement (if any) appropriate to the air traffic control service to be provided;
 - ii) holds a valid air traffic controller licence;
 - iii) has successfully completed the UTP and been recommended by an OJTI or assessor as being at an appropriate level of competence to be successful at the examination;
 - iv) has successfully completed TRUCE training and been assessed as competent to handle unusual circumstances and aircraft in emergency;
- b) training records are complete and available for scrutiny by the examiner;
- c) in the case where an Inspector of ATS conducts the examination, there is a suitably qualified OJTI available to supervise the candidate and take responsibility for the safety of the air traffic control service being provided during the examination;
- d) where a unit ATC examiner is to conduct the examination, that authorisation is sought from the appropriate ATSD Regional Manager;
- e) the appropriate ATSD Regional Manager is advised of the requirement for a unit endorsement examination, giving a minimum of 30 days notice and stating the planned number of hours for the candidate to complete the UTP.

NOTE: With reference to e) above the ATSD Regional Manager should be contacted if it is not possible to give the required 30 days' notice.

7.4 **Failing a Unit Endorsement Examination**

A candidate failing a unit endorsement shall not be permitted to retake the examination until a period of at least 30 days has elapsed.

The appropriate ATSD Regional Manager shall agree the minimum period of additional training required, in consultation with the ATS provider.

A candidate who fails a unit endorsement may, at the discretion of the ATSD Regional Manager, be required to:

- a) take both the practical and the oral element at further attempts at the examination;
or
- b) only that element of the examination failed at the previous attempt.

7.5 **Conduct of Unit Endorsement Examinations**

Units that have an approved Level 2 UTP may be authorised by the CAA to conduct unit endorsement examination boards in the absence of an Inspector of ATS. Where this is the case, the CAA will specifically authorise particular unit ATC examiners to be responsible for the conduct of the examination board.

To be authorised to be responsible for the conduct of a unit endorsement examination board, an ATC examiner must provide evidence that he has undertaken two supernumerary duties being responsible for the conduct of an examination board to the satisfaction of the CAA. One of these examination boards must be in the presence of an Inspector of ATS.

On transferring to another unit, a unit ATC examiner will retain his examiner's licence endorsement but his approval to conduct unit endorsement examination boards will be cancelled. To be responsible for the conduct of unit endorsement examination boards at his new unit he must:

- a) meet the experience requirements for being a unit examiner at his new unit; and
- b) be nominated to the CAA by the provider of air traffic services at that unit.

7.6 **Roles and Responsibilities**

7.6.1 **Unit ATC Examiner Authorised to Conduct Examination Boards**

A unit ATC examiner who is responsible for the conduct of an examination board for a unit endorsement examination must ensure:

- a) that the candidate is fully briefed on:
 - i) the schedule for the examination board and its constituent parts;
 - ii) the persons involved and their roles in the examination;
 - iii) the right to appeal under Regulation 6 of the CAA Regulations in respect of the conduct of the examination.
- b) that the candidate and those involved in the examination are appropriately licensed;
- c) that the unit ATC examiners meet all the licensing requirements to act as a member of the board;
- d) that a controller who is appropriately licensed supervises the candidate during the practical element of the examination;

NOTE: This may be one of the members of the examination board provided he is an OJTI and holds a valid rating appropriate to the air traffic service to be provided.

- e) that during the oral element of the examination the questions asked conform to the guidance in paragraph 9.6.2 of this part of this document;
- f) that the candidate is fully debriefed following the examination with, if appropriate, the reasons for failure;
- g) that the necessary licensing documentation is completed.

The CAA will issue a letter of authorisation to confirm that a controller is authorised to act as the ATC Examiner responsible for the conduct of unit endorsement examinations.

7.6.2 **Providers of Air Traffic Services**

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that:

- a) they obtain the authorisation of their ATSD Regional Manager before they conduct a unit endorsement examination;
- b) the unit ATC examiner responsible for the conduct of the examination board has been approved by the CAA to conduct unit endorsement examination boards;
- c) the other unit examiners involved in the unit endorsement examination are appropriately licensed;
- d) the CAA is advised of the result of the examination.

7.7 **Holding of a Unit Endorsement at More than One Unit**

7.7.1 Where it is intended that a controller holds a unit endorsement concurrently at more than one unit, the Air Traffic Service Provider, or Providers, concerned are to inform the ATSD Regional Manager or Head of En-Route and College Regulation, as appropriate.

7.8 **Temporary Unit Endorsement Examinations**

7.8.1 A temporary unit endorsement is one that is granted to a controller in order that he can provide an air traffic control service at an event that requires such a service for a short period of time, typically 3 or 4 days.

7.8.2 Controllers who wish to apply for a temporary unit endorsement examination must hold a current unit endorsement at a permanent unit in the same rating as that for which the temporary unit endorsement is required.

8 **Maintaining a Licence**

8.1 **Routine Maintenance**

8.1.1 **Requirements**

A licensed air traffic controller must not provide the air traffic control service associated with a valid rating unless he remains competent to provide that ATC service and holds a current medical certificate of the appropriate class.

Providers of air traffic services shall advise the CAA when a controller is no longer considered competent to provide the ATC service associated with a valid rating.

Air traffic control units must have procedures to ensure that controllers returning from extended periods of planned or unexpected absence, but who still satisfy the unit procedures for maintaining competence, are competent to provide the air traffic control services for which they hold valid ratings.

Providers of air traffic services shall ensure that a controller who is assessed as medically unfit to hold an ATC licence is withdrawn from operational duty.

Providers of air traffic services shall ensure that the CAA is advised when a controller is no longer medically fit to provide an air traffic control service.

ATC units must have procedures to ensure that controllers satisfy the unit requirements relating to the maintenance of operational competence.

These procedures shall include requirements for controllers to at least:

- a) complete a minimum specified number of controlling hours within a specified period on the sectors or operational positions for which they hold valid ratings; and
- b) be subject to an assessment of their continuing competence by continuous assessment, by a dedicated competence check, or by a combination of both.

Subject to approval by the CAA, all or part of the requirements detailed above for the maintenance or renewal of competence may be satisfied by the use of a simulator.

8.2 **Maintenance of Competence**

Controllers must maintain their competence as one of the requirements for holding a valid rating or ratings associated with the ATC licence.

8.2.1 **Duration and Renewal of Unit Endorsement**

A unit endorsement is issued for 12 months. It is renewable by an assessment of the controller's competence to continue to provide the air traffic services on particular sectors or operational positions detailed in the unit endorsement.

The assessment of competence for renewal of a unit endorsement may be carried out within a 45-day period preceding the date of expiry of the current unit endorsement. Provided the controller is assessed as competent, the unit endorsement will be renewed for 12 months from the date of expiry of the current endorsement (date to date). ATS Providers shall maintain records of the renewal of Unit Endorsements.

NOTE: This periodicity is designed to ensure that unit endorsements are renewed by the due date. It is also consistent with the renewal period that applies to medical certificates under the European Class 3 Medical Requirements for air traffic controllers.

Providers of air traffic services shall ensure that the CAA is informed in the event that a unit endorsement is not renewed or is withdrawn.

8.2.2 **Failure of a Competence Assessment or Failure to Renew a Unit Endorsement**

A controller who fails a competence assessment, or fails to renew his unit endorsement, must not provide the air traffic control service(s) associated with the unit endorsement.

8.3 **Duration and Renewal of OJT Instructor Licence Endorsement**

The OJT Instructor Licence Endorsement is issued for a 3-year period. It is renewable by an assessment of the controller's competence to continue to train and supervise student or trainee air traffic controllers.

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that holders of an OJT Instructor licence endorsement are assessed for competence at least every three years. The renewal of an OJT Instructor licence endorsement may be carried out within the 90-day period preceding the date of expiry of the current OJT Instructor licence endorsement. Provided the controller is assessed as competent, the OJT Instructor licence endorsement will be renewed for a further 3 years from the date of expiry of the current endorsement. Providers of air traffic services shall inform the CAA of the outcome of the assessment in all cases.

The assessment of competence for renewal of the OJT Instructor licence endorsement must confirm that the holder continues to meet the Performance Objectives detailed in CAP 624 Part 12.

8.4 **Duration and Renewal of Examiner Licence Endorsement**

The Examiner Licence Endorsement is issued for a 3-year period. It is renewable by an assessment of the controller's competence to continue to conduct examinations for the ATC licence.

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that holders of an Examiner licence endorsement are assessed for competence at least every three years. The renewal of an Examiner licence endorsement may be carried out within the 90-day period preceding the date of expiry of the current Examiner licence endorsement. Provided the controller is assessed as competent, the Examiner licence endorsement will be renewed for a further 3 years from the date of expiry of the current endorsement. Providers of air traffic services shall inform the CAA of the outcome of the assessment in all cases.

The assessment of competence for renewal of the Examiner licence endorsement must confirm that the holder continues to meet the Performance Objectives detailed in CAP 624, Part 13.

8.5 **Duration and Renewal of English Language Proficiency Endorsement**

For licence-holders whose English language competence is assessed to be at Level 6 of the ICAO Language Proficiency Rating Scale, the English language proficiency endorsement will be issued for the lifetime of the holder, unless revoked by the CAA.

For licence-holders whose English language competence is assessed to be at Level 5 of the ICAO Language Proficiency Rating Scale, the English language proficiency endorsement will be issued for a period of 6 years.

For licence-holders whose English language competence is assessed to be at Level 4 of the ICAO Language Proficiency Rating Scale, the English language proficiency endorsement will be issued for a period of 3 years.

In both the latter two cases above, the English language proficiency endorsement is renewable by an assessment of the controller's competence to speak and understand the English language.

The assessment of competence for the renewal of the English language proficiency endorsement shall be carried out within a 90-day period preceding the date of expiry of the current English language proficiency endorsement. Provided the controller is assessed as competent, the English language proficiency endorsement will be renewed for a further period of 3 or 6 years, as appropriate, from the date of the expiry of the current endorsement. The assessment of competence for the renewal of the English language proficiency endorsement may only be carried out by organisations approved to do so by ATSD.

8.6 **Failure of an Assessment for the Renewal of the English Language Proficiency Endorsement**

A controller, who fails a competence assessment for the renewal of the English language proficiency endorsement, must not provide an air traffic control service. In such circumstances, the controller shall be permitted to undertake a further assessment, typically following an appropriate period of retraining. Should a controller fail a second assessment, providers of air traffic services are required to advise their ATSD Regional Manager or Head of En-route and College Regulation, as appropriate.

If a controller fails to renew his English language proficiency endorsement before the date of expiry, he must not provide an air traffic control service until such time as he has successfully undertaken a competence assessment for English language proficiency.

9 The Unit Competence Scheme

- 9.1 All air traffic control units are required to have a Unit Competence Scheme approved by the CAA. The Unit Competence Scheme (UCS) should detail the process by which controllers are monitored or regularly tested to ensure they maintain their competence and should include details of required continuation training for controllers and a competence checking system.

Units shall submit their proposed Unit Competence Scheme to the ATSD Regional Manager or Head of En-route and College Regulation, as appropriate, for approval.

- 9.2 In accordance with the approved Unit Competence Scheme, the continuing competence of controllers for the renewal of unit endorsements may be conducted by local competence examiners, or by ATSD Inspectors of ATS. In all cases, units must advise ATSD of the renewal of unit endorsements.

The scheme shall be fully documented indicating:

- a) the process by which controllers will be assessed;
- b) the operational objectives they will be required to meet;
- c) the person(s) responsible for formally accepting that the process has been correctly conducted;
- d) the formal mechanism by which the controller will be notified of the result of any competence assessment;
- e) the method by which the unit keeps controllers' competence records.

Assessment for competence should be conducted when there is a representative traffic sample in respect of the traffic levels and the range of procedures to be used.

The use of simulators to demonstrate competence is not permitted except that a specifically approved simulator may be used to demonstrate the application of procedures not seen during that assessment.

The CAA will audit Unit Competence Schemes.

9.3 Roles and Responsibilities

9.3.1 Providers of Air Traffic Services

Providers of air traffic services, at units where they are responsible for the provision of air traffic control services, must have processes, procedures and competent personnel to ensure that the controllers providing the air traffic control service at those units are competent.

Providers shall satisfy this responsibility by implementing an approved Unit Competence Scheme and by ensuring that all controllers complete TRUCE and are assessed in their competence to handle unusual circumstances and aircraft in emergency, as detailed in section 10 of this part of this document.

9.4 Competence Examination by Inspectors of ATS

At units that do not have Unit Competence Examiners, the Unit Competence Scheme shall provide that Inspectors of ATS will conduct the annual competence assessments.

An Inspector of ATS will assess all controllers in all the operational positions for which they hold current unit endorsements to ensure they are competent to exercise the privileges of their ratings and rating endorsements (if any) while providing an air traffic control service on the particular sector(s) or operational position(s) detailed in their unit endorsements.

9.5 Roles and Responsibilities

9.5.1 Unit Competence Examiners and Inspectors of ATS

Unit competence examiners (UCEs) and Inspectors of ATS shall be responsible for determining whether the controllers they are assessing are competent to exercise the privileges of their ATC licences in respect of particular unit endorsements.

A UCE is only authorised to assess for continuing competence for the renewal of a unit endorsement on sector(s) or operational position(s) for which his ratings are valid.

UCEs and Inspectors of ATS shall ensure that controllers whose competence they examine towards the renewal of a unit endorsement:

- a) hold a current air traffic controller licence;
- b) hold current unit endorsements for the sector(s) or operational position(s) for which competence is to be assessed;
- c) have successfully completed TRUCE training and been assessed as competent to handle unusual circumstances and aircraft in emergency;
- d) hold a current medical certificate of the appropriate class.

9.6 Conduct of Annual Competence Examinations by Inspectors of ATS

The competence check conducted by an Inspector of ATS will consist of:

- a) a practical check in all operational positions indicated on the controller's current unit endorsement;
- b) an oral assessment, which may be conducted as part of the practical debrief or as a separate assessment.

9.6.1 The duration of the practical check will depend on the traffic situation pertaining at the time. The Inspector of ATS will require to see a representative level of traffic intensity and complexity for that unit. He may also require to see the candidate handle a simulated emergency, a communications exercise or a practice call out of the Airport Rescue and Fire Fighting Service.

If the traffic requirements are not met, the Inspector will not certify the controller as competent and a further practical check will have to be conducted at a later date. In this situation the CAA may consider issuing an exemption from the Air Navigation Order to allow the controller to continue to exercise the privileges of his ratings at that unit while not holding a current unit endorsement.

9.6.2 The oral assessment will consist of:

- a) questions from:
 - i) the unit MATS Part 2;
 - ii) current supplementary instructions;
 - iii) temporary operating instructions and other relevant operational documents;
 - iv) relevant parts of MATS Part 1;
 - v) relevant AICs;
 - vi) CAP 717 where appropriate;
- b) questions relating to the practical check;
- c) scenario type questions relating to:
 - i) the use of operational procedures not seen during the practical check; and

- ii) handling of unusual circumstances and aircraft in emergency.

The Inspector of ATS will require evidence that TRUCE has been satisfactorily completed by the controller.

Provided the competence check is satisfactory the Inspector of ATS will sign the unit endorsement page of the licence and issue it to the controller.

In the event that a controller is considered not competent at either the practical or oral assessment, the Inspector of ATS will immediately inform the controller concerned. Notwithstanding that the previous unit endorsement(s) has not expired, the controller must not exercise the privileges of his ATC licence in respect of that unit endorsement(s) unless under the supervision of a suitably qualified OJTI.

Where the competence assessment covers more than one operational position or sector this requirement shall only apply to the unit endorsement(s) for which the controller has been assessed as not competent.

A controller must demonstrate competence before the unit endorsement(s) is renewed. If competence is not demonstrated before the unit endorsement(s) expires, the controller must undergo a unit endorsement examination in order to regain the unit endorsement(s).

If during the period between annual competence checks the ATS Provider becomes aware that a controller's competence is in doubt, he must remove the controller from duty and advise the appropriate ATSD Regional Manager or Head of En-Route and College Regulation (HECR) of his actions.

9.7 **Conduct of Annual Competence Examinations by Unit Competence Examiners**

The UCE must only certify continuing competence on a sector(s) or operational position(s) for which his ratings are valid.

The assessment of continuing competence may, at the discretion of the UCE, be conducted by:

- a) continuous assessment; or
- b) a dedicated practical check; or
- c) a combination of a) and b) above; and
- d) an oral assessment conducted in accordance with paragraph 9.6.2 above, and
- e) any additional requirements as part of the Unit Competence Scheme.

The UCE must obtain evidence that the controller has successfully completed TRUCE training and has been assessed as competent to handle unusual circumstances and aircraft in emergency.

9.8 **Continuous Assessment**

Continuous assessment may be achieved by the UCE observing the standard of the air traffic control service provided by those whose competence he will certify as he works with them during normal watch keeping duties. The UCE shall, before he renews the controller's unit endorsement or declares him as not competent, appraise the controller of his performance.

Where the UCE has not had sufficient contact with the controller to adequately assess his performance he shall not renew his unit endorsement until he has conducted a dedicated practical check. The UCE must advise the controller concerned that a dedicated practical check is to be conducted.

To conduct a dedicated practical check, the UCE shall sit adjacent to the controller to observe any radar or data display being used and to monitor the RTF and telephones. If there are overriding operational reasons an UCE may assess a controller from a remote position. In these circumstances the UCE must advise the controller of the situation. Following a dedicated practical check the UCE shall de-brief the controller being examined and apprise him of his performance.

At some time prior to the date by which competence must be certified the UCE must conduct an oral assessment. Questions asked will be those indicated in paragraph 9.6.2 of this part of this document.

In the event that a controller is considered not competent at either the practical or oral assessment, and notwithstanding that the previous unit endorsement(s) has not expired, the controller must not exercise the privileges of his ATC licence in respect of that unit endorsement(s) unless under the supervision of a suitably qualified OJTI.

Where the competence assessment covers more than one operational position or sector this requirement shall only apply to the unit endorsement(s) for which the controller has been assessed as not competent.

A controller must demonstrate competence before the unit endorsement(s) is renewed. If competence is not demonstrated before the current unit endorsement(s) expires, the controller must undergo a unit endorsement examination in order to regain the unit endorsement(s).

9.9 **Retraining and Assessment of Controllers Found Not Competent**

9.9.1 **Requirement**

A controller who has been assessed as not competent at an annual competence assessment will not have his unit endorsement renewed. He will be required to undergo a period of training under the supervision of an OJTI and be declared as competent following a successful unit endorsement examination.

9.9.2 **Retraining**

In cases where a controller's ability to safely exercise the privileges of a particular rating and rating endorsement (if any) is in doubt, ATSD may require the controller to be assessed for previous competence.

10 **Training in Unusual Circumstances and Emergencies (TRUCE)**

10.1 **Objective of TRUCE Scheme**

The objective of the TRUCE scheme is to ensure that staff involved in the provision of an air traffic control service are trained to recognise and handle emergency occurrences and unusual situations.

Additional guidance related to the TRUCE scheme can be found in CAP 584.

10.2 **TRUCE Plan and Records**

Requirement

Air traffic control units shall submit plans for TRUCE that are acceptable to the CAA. The plan shall require controllers to complete at least 4 hours TRUCE every 12 months and be assessed as competent to handle unusual circumstances and aircraft in emergency before being granted a unit endorsement.

Units shall review TRUCE plans periodically to ensure that they continue to meet the scheme objectives.

Air traffic control units shall maintain accurate records of training conducted in accordance with their TRUCE plans.

TRUCE records shall include details of the assessment of controllers' performance where appropriate.

10.3 **TRUCE Assessment**

TRUCE assessments are assessments of a controller's competence to handle unusual circumstances and aircraft in emergency.

Requirement

Controllers shall be assessed as having satisfactorily completed the appropriate TRUCE and associated assessment prior to:

- a) the issue of a unit endorsement; or
- b) the issue of an additional unit endorsement where the TRUCE requirements are different; or
- c) the renewal of a unit endorsement.

Controllers shall complete the appropriate TRUCE and associated assessment at least once every 12 months.

A controller shall not provide an air traffic control service in a rating for which he is not competent to handle unusual circumstances and aircraft in emergency.

10.4 **TRUCE Assessment Process**

TRUCE assessments shall be conducted by Unit Competence Examiners or by Inspectors of ATS.

Inspectors of ATS shall conduct TRUCE assessments as part of the annual assessments of controllers' competence for the renewal of unit endorsements.

10.5 **Action when a Controller Fails a TRUCE Assessment**

Units shall ensure that a controller who is assessed as not competent to handle unusual circumstances and aircraft emergencies is withdrawn from duty. In such cases the ATS provider must immediately report the action to the ATSD Regional Manager or Head of En-Route and College Regulation as appropriate, who will provisionally suspend the rating in which the controller failed to demonstrate competence in handling unusual circumstances and aircraft in emergency.

In consultation with the ATS provider, the ATSD Regional Manager or Head of En-Route and College Regulation as appropriate will determine the conditions for the withdrawal of the provisional suspension, normally a period of retraining and assessment.

Provided the controller satisfies these conditions, the provisional suspension will be withdrawn. Failure to meet the conditions will result in the CAA taking further licensing action as detailed in paragraph 12 of this part of this document.

10.6 **Roles and Responsibilities**

10.6.1 **Unit Competence Examiners and CAA Inspectors of ATS**

Unit Competence Examiners and CAA Inspectors of ATS shall be responsible for:

- a) determining whether controllers are competent to handle unusual circumstances and aircraft in emergency.
- b) ensuring that candidates for TRUCE assessments have completed the required TRUCE training.

10.6.2 Providers of Air Traffic Services

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that:

- a) the UTP contains TRUCE and assessment procedures;
- b) all air traffic controllers at the unit who hold unit endorsements complete the appropriate TRUCE training and are competent to handle unusual circumstances and aircraft in emergency;
- c) the unit has sufficient Unit Competence Examiners;
- d) Unit Competence Examiners are competent to assess controllers in their ability to handle unusual circumstances and aircraft in emergency;
- e) controllers who fail, or fail to complete, a TRUCE assessment within the notified time period are withdrawn from operational duty;
- f) the ATSD Regional Manager or Head of En-Route and College Regulation as appropriate is advised concerning controllers in e) above.

11 Controllers' Current Experience

11.1 Requirement

To maintain competence, controllers shall be required to carry out a minimum amount of controlling time on each sector or operational position for which their ratings are valid.

11.2 Maintaining Currency

Units shall have procedures to ensure that controllers exercise the privileges of their air traffic controller licences on each sector or operational position for which their ratings are valid for a minimum period of time during each watch or over a specified period. These procedures shall be approved by the ATSD Regional Manager or Head of En-Route and College Regulation as appropriate

Units shall maintain records of the hours worked on each sector or operational position for every licence holder. These records shall be made available to the CAA on request.

Units shall ensure that watch rosters enable controllers to meet the currency requirements.

A controller who does not satisfy the minimum currency requirement for a particular sector(s) or operational position(s) will be required to complete unit procedures for regaining his currency.

Units shall have procedures to enable controllers to regain their currency. These shall include requirements and guidance:

- a) to ensure that controllers who do not satisfy the minimum currency requirement do not provide an air traffic control service on the sector(s) or operational position(s) concerned, unless they are monitored by an OJTI who holds a valid rating appropriate to the air traffic service being provided;
- b) detailing the operational responsibilities of the monitoring OJTI and the controller he is monitoring;
- c) to enable an OJTI to determine when the monitored controller no longer requires operational support.

11.3 If the OJTI and the controller being monitored cannot agree that operational support is no longer required the monitored controller shall be subject to a dedicated practical check of his competence by a UCE or by an Inspector of ATS.

11.4 **Roles and Responsibilities**

11.4.1 **Air Traffic Controllers**

Watch keeping air traffic controllers shall:

- a) comply with the unit ATC procedures for maintaining currency;
- b) advise the provider of air traffic services if they have failed to meet the currency requirements.

11.4.2 **The Controller being Monitored**

The controller who has not met the minimum currency requirements and is being monitored by an OJTI shall be responsible for:

- a) that part of the air traffic control service allocated to the monitored controller as detailed in unit procedures;
- b) advising the OJTI when he considers he no longer requires operational support.

11.4.3 **The OJTI**

An OJTI who is monitoring a controller who has not met the minimum currency requirements shall be responsible for:

- a) that part of the air traffic control service allocated to the OJTI as detailed in unit procedures;
- b) determining when the controller he is monitoring no longer requires operational support;
- c) advising the ATS provider when he cannot agree with the monitored controller that operational support is no longer required.

11.4.4 **Providers of Air Traffic Services**

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that:

- a) the appropriate Inspector of ATS is advised of the minimum number of hours within a notified period, for each sector or operational position, that a controller must spend providing an air traffic control service to remain current;
- b) units have procedures to enable controllers who do not satisfy the minimum currency requirement to regain their currency;
- c) watch rosters enable controllers to maintain their currency;
- d) refresher training is provided where required; and
- e) the appropriate Inspector of ATS is advised when the OJTI and controller being monitored cannot agree that operational support is no longer required and that a dedicated practical check of competence is required.

11.5 **Failure to Satisfy Ongoing Experience Requirements**

Where a controller fails to satisfy a unit's procedures for ongoing experience, the unit shall deal internally with the matter and, unless the controller is subsequently found to be not competent, no licensing action will be taken.

12 Suspension and Revocation of Air Traffic Controller Licences

12.1 Authority to Suspend or Revoke a Licence

In the United Kingdom only the CAA may issue, provisionally suspend, suspend or revoke an air traffic controller licence or any of its associated ratings or endorsements.

12.1.1 Requirement

An air traffic controller whose competence is in doubt must be withdrawn from duty by the unit and must not be permitted to continue to provide an unsupervised air traffic control service.

12.1.2 Withdrawal from Operational Duty

The withdrawal of a controller from duty should initially be without prejudice to the controller. A controller shall be withdrawn from operational duty by the unit if he:

- a) has been involved in an incident or accident where the safety of aircraft was compromised;
- b) is determined by the unit's competence scheme to be not competent;
- c) fails, or fails to undertake, a TRUCE assessment within the notified period;
- d) fails to satisfy minimum currency requirements.

NOTE: In a) above 'been involved in' includes controllers who were providing the ATC service to the aircraft involved and any other controllers who are considered by the provider to have contributed to the ATC incident or aircraft accident.

A controller implicated as having contributed to an accident or incident must remain withdrawn from duty by the unit even if this will require the withdrawal of a particular ATC service or closure of an aerodrome ATC unit.

Exceptionally, where the immediate withdrawal of a controller would adversely affect the safety of aircraft, the controller may continue to provide an ATC service but must be withdrawn from duty by the unit as soon as it is safe to do so. Providers at units where this has occurred must keep a written record of the incident which includes the reason for not immediately withdrawing the controller from duty.

12.2 Local Management Assessment

12.2.1 Immediately following an incident or accident, the unit shall ensure that a local management assessment is conducted. This assessment will aim to determine the cause of the incident or accident and whether a controller is implicated in the cause.

Units shall ensure that the local management assessment is conducted by local ATC management or by a "responsible person", normally a senior controller nominated by the provider.

12.2.2 Units shall ensure that the local management assessment is comprehensive and, in cases where separation was, or may have been, compromised, include as a minimum the following information:

- a) the date and time of the incident;
- b) the aircraft involved;
- c) the location of the incident;
- d) the departure and destination aerodromes of the aircraft ;
- e) the names and licence numbers (if immediately available) of the controller(s) involved;

- f) a brief description of the incident;
- g) the heights of the aircraft ;
- h) any action taken to resolve the incident including;
 - i) avoiding action including turns, climbs, descents or stopping climbs or descents,
 - ii) traffic information and visual sightings,
 - iii) pilot action in the event of TCAS Advisory,
 - iv) if the incident triggered the radar systems Separation Monitoring Function or there was a Short Term Conflict Alert,
- i) local action taken in respect of the controllers involved and the justification for taking this action.

Units shall ensure that this information is telephoned to the ATSD Regional Manager or Head of En-Route and College Regulation as appropriate, who will make a decision as to any licensing action to be taken. The documented record of the local management assessment must be retained by the unit and made available to the CAA if required.

At single manned units the controller shall resolve the immediate traffic situation, remove himself from duty and close the aerodrome ATC unit.

Units that experience difficulty conducting a local management assessment, or in reaching a conclusion following the assessment, shall contact their ATSD Regional Manager for advice.

Following the local management assessment, or withdrawal from duty at a single manned unit, the unit must contact the ATSD Regional Manager or Head of En-Route and College Regulation as appropriate who will decide the action, including any licensing action, to be taken.

Units shall ensure that the local management assessment is fully documented.

12.3 **Provisional Suspension**

Provisional suspension is a temporary measure which places a licence, or its associated rating(s) and endorsement(s), in abeyance pending inquiry or investigation into the case.

12.3.1 **Provisional Suspension of the ATC licence**

The CAA will provisionally suspend the ATC licence of a controller:

- a) whose competence to provide all ATC services is in doubt;
- b) whose fitness to hold an ATC licence is considered by the CAA to be in doubt.

A controller whose licence is provisionally suspended shall not provide an air traffic control service. The provisionally suspended licence will not act as a student air traffic controller licence.

12.3.2 **Provisional Suspension of Rating(s)**

The CAA will provisionally suspend the rating(s) of a controller whose competence to provide an ATC service associated with those rating(s) is in doubt.

A controller shall not exercise the privileges of a provisionally suspended rating, or of any rating or unit endorsement(s) associated with that rating, except under the supervision of an OJTI who holds a valid rating appropriate to the ATC service being provided.

A controller may continue to exercise the privileges of ratings which are not subject to provisional suspension.

12.3.3 **Provisional Suspension of Rating Endorsements**

The CAA will provisionally suspend the rating endorsement(s) of a controller whose competence to provide an ATC service associated with those rating endorsements is in doubt.

A controller shall not exercise the privileges of a provisionally suspended rating endorsement, or of any unit endorsements associated with that rating endorsement, except under the supervision of an OJTI who holds a valid rating appropriate to the ATC service being provided.

A controller may continue to exercise the privileges of rating endorsements which are not subject to provisional suspension.

12.3.4 **Provisional Suspension of Unit Endorsements**

The CAA will provisionally suspend the unit endorsement(s) of a controller whose competence to provide the ATC service associated with the unit endorsement(s) is in doubt.

A controller shall not exercise the privileges of a provisionally suspended unit endorsement except under the supervision of an OJTI who holds a valid rating appropriate to the ATC service being provided.

A controller may continue to exercise the privileges of unit endorsements which are not subject to provisional suspension.

12.3.5 **Conditions and Removal of Provisional Suspension**

The CAA may set conditions for the removal of the provisional suspension of rating(s), rating endorsement(s) and unit endorsement(s). These conditions will normally be a period of unit training followed by an assessment of the controller's competence for the renewal of a unit endorsement or by a unit endorsement examination.

Provided the controller satisfies these conditions, the provisional suspension will be removed.

Because provisional suspension is enforced to give the CAA a period in which to gather evidence and to investigate the circumstances of an incident or accident, there is no appeal under Regulation 6 of the CAA Regulations against a provisional suspension.

12.4 **Suspension**

Suspension is the act of placing an ATC licence, or its associated rating(s), rating endorsement(s) or unit endorsement(s), in abeyance. Normally, conditions would be set whereby the controller may seek withdrawal of the suspension of rating(s) and/or endorsement(s).

12.4.1 **Proposal to Suspend**

The CAA will issue a proposal to suspend the rating(s), rating endorsement(s) or unit endorsement(s) of a controller:

- a) who is unable or unwilling to meet the conditions for the removal of a provisional suspension;
- b) where a more extensive investigation of an incident or accident indicates that the controller is deficient in basic ATC knowledge and skills that unit training cannot correct.

During the period of the proposal to suspend, the provisional suspension will remain in force and controllers must continue to comply with the requirements associated with the provisional suspension.

A proposal to suspend, including the conditions for the removal of the suspension, is subject to appeal under Regulation 6 of the CAA Regulations.

A controller who successfully fulfils the conditions associated with the removal of a suspension will have the suspension removed.

The CAA will suspend the ATC licence, or its associated rating(s), rating endorsement(s) or unit endorsement(s) of a controller who does not appeal or who is unsuccessful at an appeal. If the appeal is successful, the suspension will be lifted.

12.4.2 **Removal of a Suspension**

Conditions for removal of a suspension will normally involve:

- a) an assessment for previous competence conducted at a certified training provider, or at the unit where the controller is employed, provided it is approved to conduct APCs;
- b) successful completion of any training and further assessments identified by the verifier as being required;
- c) successful completion of unit training and passing of a unit endorsement examination in the rating and/or rating endorsement that was suspended.

A controller whose rating(s), rating endorsement(s) or unit endorsement(s) have been suspended must not provide the ATC services associated with those rating(s), rating endorsement(s) or unit endorsement(s) except to comply with the conditions for the removal of the suspension and under the supervision of an OJTI who holds a valid rating appropriate to the ATC service being provided.

12.5 **Revocation**

Revocation is the act of withdrawing a licence or its associated rating(s), rating endorsement(s) or unit endorsement(s).

12.5.1 **Proposal to Revoke**

The CAA will propose to revoke the ATC licence of a controller who it considers is not a fit person to hold an ATC licence. In such a case the licence will either have already been provisionally suspended or will be provisionally suspended at the same time as the proposal to revoke is notified. A controller whose ATC licence is provisionally suspended shall not provide an air traffic control service even under supervision.

The CAA will propose to revoke the ATC licence or associated rating(s), rating endorsement(s) or unit endorsement(s) of a controller who is unable to regain his competence to provide the ATC service(s) associated with his licence, rating(s), rating endorsement(s) or unit endorsement(s).

The proposal to revoke an ATC licence, or associated rating(s), rating endorsement(s) or unit endorsement(s) is subject to appeal under Regulation 6 of the CAA Regulations. If the appeal is successful, the proposal to revoke will be withdrawn.

The CAA will revoke the licence, or associated rating(s), rating endorsement(s) or unit endorsement(s) of a controller who does not appeal or is unsuccessful at an appeal.

12.6 Roles and Responsibilities

12.6.1 Air Traffic Control Licence Holders

A controller whose ATC licence has been provisionally suspended must not provide an air traffic control service.

A controller whose rating(s), rating endorsement(s) or unit endorsement(s) has been provisionally suspended or suspended must not provide the ATC services associated with those rating(s), rating endorsement(s) or unit endorsement(s), except to comply with the conditions for removal of the suspension and under the supervision of an OJTI who holds a valid rating appropriate to the ATC service being provided.

12.6.2 Providers of Air Traffic Services

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that:

- a) controllers whose ATC licence have been suspended do not provide an air traffic control service;
- b) controllers whose rating(s), rating endorsement(s) or unit endorsement(s) have been provisionally suspended do not provide the ATC services associated with those rating(s), rating endorsement(s) or unit endorsement(s), except to comply with the conditions for removal of the suspension and under the supervision of an OJTI who holds a valid rating appropriate to the ATC service being provided;
- c) the unit has written procedures:
 - i) detailing the action to be taken following the withdrawal of a controller from duty in the event of his involvement in an incident or accident;
 - ii) for conducting a local management assessment or, in the situation of single manning, the action to be taken by the controller involved in the incident or accident.
- d) a responsible person who will conduct local management assessments is nominated to the appropriate ATSD Regional Manager;
- e) the ATSD Regional Manager or Head of En-Route and College Regulation as appropriate is advised that there has been an incident and of the action taken by the unit;
- f) the controller complies with any conditions relating to the provisional suspension or suspension;
- g) the ATSD Regional Manager or Head of En-Route and College Regulation as appropriate is advised of the outcome of any training and assessment of the controller required for the removal of a provisional suspension or a suspension.

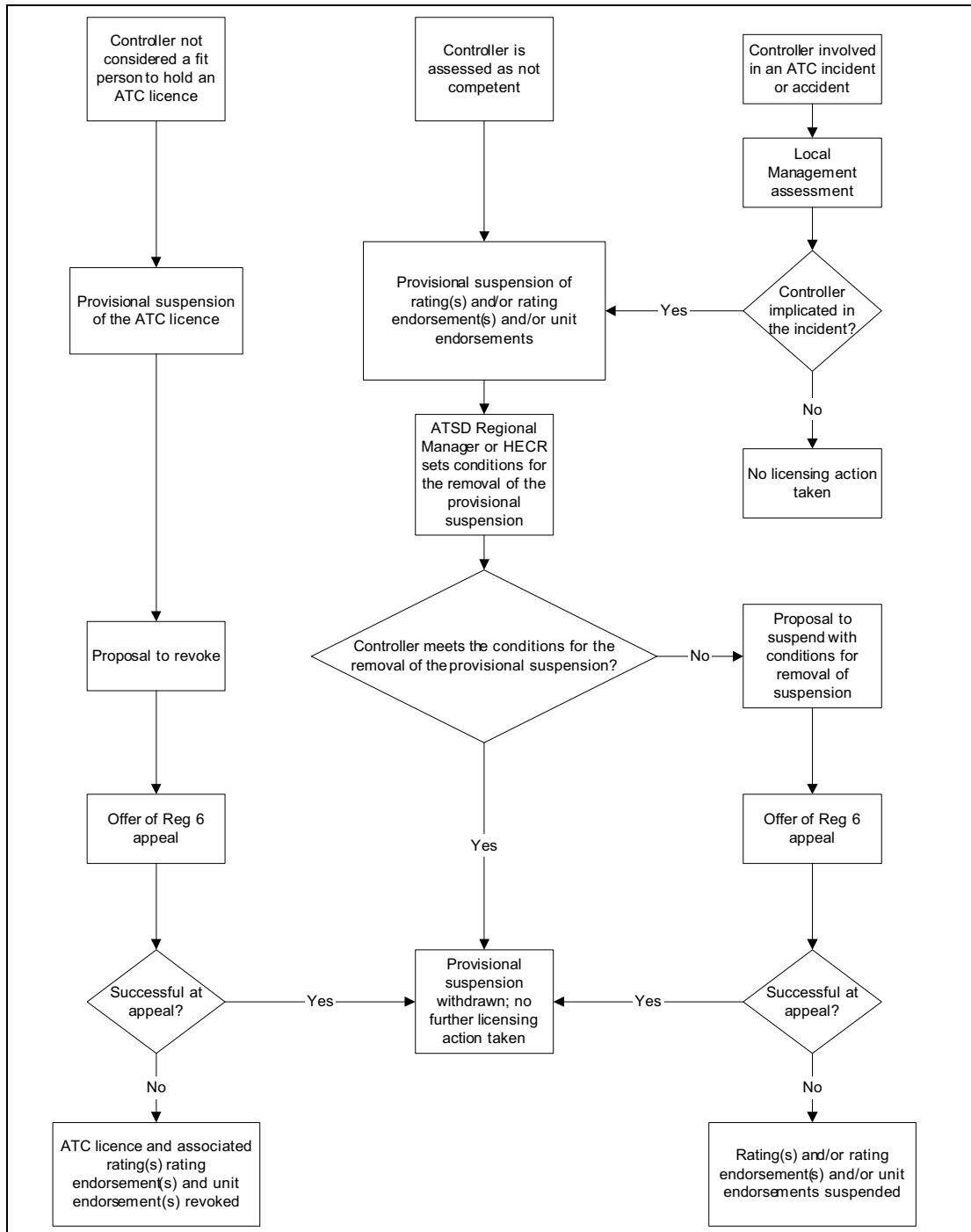


Figure 8 Suspension and Revocation of Licence Flow Chart

13 Cancellation of Unit Endorsements

Unit endorsements may be cancelled where a controller is no longer required to provide an ATC service on a particular sector and/or operational position, or when sectors are reorganised and sector names or designations change. It may also be the case, with increasing traffic loading and complexity, that controllers specialise on a smaller number of sectors and either voluntarily stop providing a service on a particular sector or are required to do so by unit management. The licence holder shall inform ATSD Licensing Administration in the event that a unit endorsement is withdrawn, cancelled or not renewed unless the unit has procedures to inform ATSD on the licence holder's behalf.

14 Medical Certification

14.1 Introduction

The holders of student and air traffic controller licences are required to have a minimum standard of medical fitness to ensure they are fit to provide an ATC service and to minimise, as far as possible, the risk that they will become suddenly incapacitated to an extent that the safety of aircraft could be compromised.

14.2 Student and Air Traffic Controller Licence Holders

14.2.1 Requirement

An air traffic controller shall not provide an air traffic control service unless he holds a valid medical certificate of the appropriate class.

A student or trainee air traffic controller shall not provide an air traffic control service under supervision unless he holds a valid medical certificate of the appropriate class.

The holder of a student or air traffic controller licence who fails a medical examination shall not provide an air traffic control service even though the previous medical certificate held may not have expired.

The holder of a student or air traffic controller licence who fails a medical examination, or who has any medical limitations or conditions placed on the medical certificate, shall notify the unit management.

The holder of a student or air traffic controller licence shall notify his/her unit management when there is a decrease in his/her medical fitness that might render him/her unable to safely and properly exercise the privileges granted by his/her licence.

14.3 Medical Examinations

The EUROCONTROL 'Requirements for European Class 3 Medical Certification of Air Traffic Controllers' sets out the minimum medical standards for issue of medical certificates associated with the European ATC licence.

A certificate issued in association with a student air traffic controller licence remains in force following the grant of an air traffic controller licence.

Although the medical examination is only one of the requirements for the grant of an air traffic controller licence, applicants are nevertheless strongly advised to ensure that their medical standard is satisfactory before they commence an approved course of initial training.

14.4 Injury, Illness and Pregnancy

The validity of the medical certificate of a licence holder who suffers personal injury or illness involving incapacity throughout a period of 20 consecutive days will be deemed to be suspended and the holder must inform the CAA in writing of such injury or illness.

A controller who has reason to believe that she is pregnant must inform the CAA.

The CAA shall impose any limitations or conditions it thinks fit on the medical certificate and the holder of the medical certificate shall not provide an air traffic control service unless he or she complies with those limitations or conditions.

Where the medical certificate is suspended due to personal injury or illness, the CAA will advise the licence holder of any conditions or procedures for having the suspension lifted.

Any limitations or conditions imposed will be clearly indicated on the medical certificate to the extent that unit management can tell from the medical certificate if the controller concerned is complying with those limitations or conditions. An example of a condition notified on a medical certificate would be to require a controller to wear correcting spectacles.

14.5 Roles and Responsibilities

14.5.1 Student and Air Traffic Controller Licence Holders

Student air traffic controllers shall not provide an air traffic control service under supervision unless they hold a current medical certificate of the appropriate class.

Air traffic controllers shall not provide an air traffic control service unless they hold a current medical certificate of the appropriate class.

14.5.1.1 Holders of a current medical certificate shall be responsible for:

- a) ensuring that their medical certificates are renewed by the due date and that special tests are completed when required;
- b) advising the CAA Medical Department of any illness or injury following 20 consecutive days as in paragraph 14.4 above, or as soon as it is known that the period will exceed 20 days;
- c) in the case of female controllers, advising the CAA Medical Department as soon as possible when they have reason to believe they are pregnant;
- d) seeking advice from the CAA Medical Department if they have reason to believe they have fallen below the required medical standards, or require advice regarding the likely impact of illness or medication on their fitness to provide an ATC service.

When a licence holder whose medical certificate has been suspended believes he is fit to resume his functions, he shall obtain a report from his own doctor and forward it to the CAA Medical Department.

A controller who is pregnant must comply with any stipulations laid down by the CAA Medical Department while exercising the privileges of her licence.

NOTE: The CAA Medical Department will determine what medical examinations, if any, licence holders must undergo before being pronounced fit to resume their functions under their ATC licences.

14.5.1.2 Licence holders whose medical certificates have been issued with conditions shall be responsible for:

- a) complying with those conditions;
- b) advising the provider of air traffic services, at the unit(s) where they exercise the privileges of their licences, that their medical certificates have been issued subject to conditions and what those conditions are. An example of a condition notified on a medical certificate would be to require a controller to wear correcting spectacles.

Licence holders who cannot comply with conditions placed upon their medical certificates shall not provide an air traffic control service.

Licence holders must take their most recent medical certificate with them when attending the medical examination.

14.5.2 Providers of Air Traffic Services

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that student and air traffic controller licence holders:

- a) hold current medical certificates of the appropriate class;
- b) are advised:
 - i) of any unit procedure for arranging medical examinations or advising them when their medical certificate is due for renewal; or
 - ii) that it is the controller's individual responsibility to ensure that he renews his medical certificate.
- c) who are unable to meet any conditions placed upon their medical certificates do not provide an air traffic control service.

NOTE: Providers who require advice on the medical aspects of any conditions imposed on licences should contact the CAA Medical Department.

14.6 **Failure of a Medical Examination**

A controller or a student air traffic controller who fails his medical examination shall not exercise the privileges of his ATC licence.

If the medical certificate in the licence has not already expired the controller shall surrender the certificate to the medical examiner or forward it to the CAA Medical Department.

The licence holder shall not exercise the privileges of his licence until he is again passed fit and holds a valid medical certificate.

14.7 **Appeal Against an Assessment of Fitness to Hold a Medical Certificate**

If an applicant for a medical certificate has failed the medical examination, he/she may appeal against the medical decision. The CAA Medical Appeal Procedure is available from the CAA Medical Department and CAA website.

14.8 **Psychoactive Substances (Alcoholic Drink and Problematical Drugs and Medicines)**

An air traffic controller who is providing an air traffic control service while under the influence of psychoactive substances may not be aware that his or her judgement and skill have been degraded to the extent that the service being provided is unsafe. This may be the case where psychoactive substances are being abused, or where medicines have been prescribed by a doctor, or non prescription medicines obtained for a minor illness.

The CAA Medical Department ensures that licence holders are able to obtain the necessary advice and/or information to enable them to decide if they should, or should not, provide an ATC service while taking specific medicines.

14.8.1 **Requirement**

The holder of a student or air traffic controller licence shall not provide an air traffic control service while under the influence of psychoactive substances, including any medicine, that might have a negative influence on his capacity to provide a safe air traffic control service.

Student and air traffic controller licence holders shall ensure they do not take medicine before or while providing an air traffic control service that would have a detrimental effect on their operational performance.

Unit management shall have a process for monitoring controllers for psychoactive substance abuse. A controller who is suspected of being under the influence of psychoactive substances shall be immediately withdrawn from operational duty by the unit and the CAA Medical Department advised of the circumstances.

14.9 Roles and Responsibilities

14.9.1 Holders of Student and Air Traffic Controller Licences

Student and air traffic controller licence holders shall ensure that:

- a) they do not provide an air traffic control service if they are under the influence of psychoactive substances that might have a negative influence on their capacity to provide a safe air traffic control service;
- b) they consult with their doctor on the likely effect on their operational efficiency of any medicine they have been prescribed;
- c) before taking any non prescription medicine they consult the Aeronautical Information Circular issued by the CAA Medical Department titled 'Medication and Air Traffic Control'.

NOTE: Any student air traffic controller or air traffic controller who is uncertain as to the likely effect of any medicine or psychoactive substances on his ability to provide a safe air traffic control service should contact the CAA Medical Department for advice.

14.9.2 Providers of Air Traffic Services

Providers of air traffic services at units where they are responsible for the provision of air traffic control services must have processes, procedures and competent personnel to ensure that student and air traffic controller licence holders:

- a) are monitored for psychoactive substance abuse;
- b) are withdrawn from operational duty if they are considered to be under the influence of psychoactive substances that might have a negative affect on their capacity to provide a safe air traffic control service;

The provider must inform the ATSD Regional Manager or Head of En-Route and College Regulation as appropriate and the CAA Medical Department as soon as possible after withdrawing a student air traffic controller or an air traffic controller from duty in accordance with b) above.

NOTE: ICAO Annex 1 and Doc 9654-AN/945 'Manual on Prevention of Problematic Use of Substances in the Aviation Workplace' provide advice on developing procedures for monitoring controllers for alcohol or drug abuse. CAA guidance on withdrawing a controller from operational duty when considered to be under the influence of a psychoactive substance is provided at Appendix 1 to this document.

Part 4 ATS Licensing Administration Procedures

1 Introduction

- 1.1 Within the UK only the CAA may issue or amend Student and Air Traffic Controller licences. Licence administration for such licences is undertaken by the ATS Licensing Section within the Personnel Licensing Department of the CAA.
- 1.2 Licence administration is the process by which the CAA ensures that Student and Air Traffic Controller licences are issued and maintained in accordance with the ATC licensing requirements. To carry out this function the CAA maintains accurate current and historical records, including personal details, training records and air traffic control qualifications of licence holders.

2 Personal Details

The CAA maintains the following personal details on all licence holders:

- a) full name;
- b) date and place of birth;
- c) nationality;
- d) private address; and
- e) the address of the unit(s) where the student or air traffic controller licence holder is providing an ATC service.

In the case of the first application for a Student Air Traffic Controller licence, a copy of a birth certificate or passport is required as legal proof of the applicant's name, date of birth and nationality.

Each Student and Air Traffic Controller licence issued is uniquely numbered. Licence holders should quote this number in all communications with the ATS Licensing Section.

3 Licence Records

- 3.1 The CAA maintains the following licence records on student air traffic controller licence holders:
- a) details of the successful completion of initial training, including the date of completion and the results of any associated assessment or examinations;
 - b) the rating discipline, including any rating endorsement, in which the licence holder may provide an ATC service under supervision;
 - c) the unit where the licence holder is providing a service under supervision and the date the licence will expire.
- 3.2 The CAA maintains the following licence records on Air Traffic Controller Licence holders:
- a) details of the successful completion of any initial training and the results of any associated assessment or examinations;
 - b) current valid rating(s), including rating endorsement(s) and unit endorsement(s);

- c) licence endorsements;
 - d) the unit(s) at which the controller is providing an air traffic control service;
 - e) previously held rating(s), rating endorsement(s) and unit endorsement(s) including the units where the controller previously provided an air traffic control service;
 - f) details of any action taken by the licensing authority to suspend or revoke the air traffic controller licence or its associated rating(s), rating endorsement(s) or unit endorsement(s);
 - g) the date when any current medical certificate expires.
- 3.3 ATS providers are to inform the ATS Licensing Section of all renewals of unit endorsements and also in the event that a unit endorsement is not renewed or is withdrawn.

4 Application Forms and Fees

- 4.1 Applications for air traffic controller licences, rating(s), rating endorsement(s), and unit endorsement(s) must be made using CAA form SRG 1411.
Applications for student air traffic controller licences must be made using CAA form SRG 1421.
- 4.2 The correct fee must be included with all applications for the licences, ratings and associated endorsements referred to above. Details of the CAA's Scheme of Charges for the issue of licences and endorsements are published in Official Record Series 5 and are available from the CAA website.
- 4.3 Applications for Examiner and OJTI licence endorsements or renewal of same must be made on CAA form SRG 1415. There is no charge for inclusion or renewal of these endorsements on the applicant's ATC licence.
- 4.4 The renewal of a unit endorsement and/or a language proficiency endorsement is to be recorded on form SRG 1416 which should be submitted to the CAA.
- 4.5 CAA forms SRG 1411, 1415, 1416 and 1421 are available from the ATS Licensing Section or may be downloaded from the CAA website at www.caa.co.uk/atsforms.

All applications must be sent to:

ATS Licensing Section
Personnel Licensing Department
CAA Safety Regulation Group
Aviation House
Gatwick Airport South
West Sussex
RH6 0YR

5 Application for the Grant of a Student Air Traffic Controller Licence

- 5.1 An applicant for a student air traffic controller licence must meet all the requirements for the grant of a Student Air Traffic Controller licence as notified in Part 2 paragraph 2.2 of this document.
- 5.2 The application for the licence must be made using CAA form SRG 1421 and be accompanied by a copy of the applicant's birth certificate or passport. The application should be sent to the ATS Licensing Section.

- 5.3 Should a Student Air Traffic Controller Licence need to be renewed or amended, an application to this effect should be made using CAA form SRG 1421 and sent to the ATS Licensing Section.
- 5.4 To enable the CAA to issue a Student Air Traffic Controller Licence as soon as possible after the completion of initial training, the application for the grant of a Student Air Traffic Controller Licence should be made at least 14 days before the end of the approved course of training. Training providers will provide the ATS Licensing Section with the names of students who have successfully completed an approved course of training.

6 Application for the Grant of an Air Traffic Controller Licence

- 6.1 An applicant for an air traffic controller licence must meet all the requirements for the grant of an Air Traffic Controller licence as notified in Part 2 paragraph 1.2 of this document.

The application must include the rating, rating endorsement (if any) and unit endorsement to be included in the licence.

6.2 Rating and Rating Endorsements

The tables below indicate the ratings and rating endorsements required to provide particular air traffic services.

6.3 Aerodrome Control Units

6.3.1 Initial Training – Aerodrome Control Visual

All approved aerodrome control rating courses meet the requirements for the initial Aerodrome Control Instrument rating and contain all the elements for initial training for the Aerodrome Control Visual rating.

Table 1 Aerodrome Control Visual Rating

Rating	Rating Endorsement	Air Traffic Service
Aerodrome Control Visual	No associated rating endorsement	Aerodrome Control

- 6.3.1.1 Where an air traffic controller, who has been exercising the privileges of an Aerodrome Control Visual rating, moves to a unit requiring an Aerodrome Control Instrument rating, the new unit must ensure that the Unit Training Plan takes account of the differences between the Aerodrome Control Visual and Aerodrome Control Instrument environments.

6.3.2 Initial Training – Aerodrome Control Instrument

- 6.3.2.1 The approved aerodrome control rating course provides the initial training for the Aerodrome Control Instrument rating and the Tower Control, Ground Movement Control and Air Control rating endorsements.
- 6.3.2.2 At units that use Ground Movement Radar or other Surveillance Control systems for the guidance of surface traffic, a Ground Movement Surveillance Control rating endorsement is required. The initial training for this rating endorsement may be conducted at the unit and must be identified as such within the unit training plan.

6.3.2.3 The Aerodrome Radar rating endorsement will be issued at units which are approved by the CAA to use the Aerodrome Traffic Monitor (ATM) to the full extent as notified in MATS Part 1 Section 2, Chapter 1, paragraph 17. The initial training for the Aerodrome Radar rating endorsement may also be conducted at the unit.

Units wishing to use the ATM to its full extent should contact their ATSD Regional Manager.

6.3.2.4 For units that are not approved to use the ATM to the full extent as notified in MATS Part 1 Section 2, Chapter 1, paragraph 17, an Aerodrome Radar rating endorsement will not be issued and initial training for the use of the ATM to this level will be part of the approved aerodrome control instrument rating course.

6.3.3 Applications for an Aerodrome Control Instrument Rating

6.3.3.1 When applying for an Aerodrome Control Instrument rating, one of the following rating endorsements or combinations of rating endorsements must be applied for at the same time:

- a) Tower Control, or
- b) Tower Control with either or both:
 - i) Ground Movement Surveillance Control
 - ii) Aerodrome Radar Control
- c) Air Control and Ground Movement Control, or
- d) Air Control and Ground Movement Control with either or both:
 - i) Ground Movement Surveillance Control
 - ii) Aerodrome Radar Control

Table 2 Aerodrome Control Instrument Rating and associated Rating Endorsements

Rating	Rating Endorsement	Air Traffic Service
Aerodrome Control Instrument	Tower Control	Aerodrome Control
	Ground Movement Control	Aerodrome Control (GMC)
	Ground Movement Surveillance Control	Aerodrome Control (GMC)
	Air Control	Aerodrome Control (AIR)
	Aerodrome Radar Control	Aerodrome Control

6.4 Approach Control Units

6.4.1 Initial Training – Approach Control Procedural

The initial training for an Approach Control Procedural Rating may be obtained by attending an approved approach control procedural rating course.

Table 3 Approach Control Procedural Rating

Rating	Rating Endorsement	Air Traffic Service
Approach Control Procedural	No associated rating endorsement	Approach Control

6.5 **Approach and Approach Radar Control Units**

6.5.1 **Initial Training – Approach Control Surveillance**

- 6.5.1.1 The approved Approach Control Surveillance rating courses use radar as the surveillance equipment and satisfy the initial training requirements for the Approach Control Surveillance rating and the Radar and Surveillance Radar Approach rating endorsements.
- 6.5.1.2 Approved courses for the Special Tasks rating endorsement are conducted at RAF Shawbury.
- 6.5.1.3 At present the Offshore rating endorsement is only required by air traffic controllers providing the Offshore Advisory Service at Aberdeen. The initial training for this rating endorsement is conducted at the unit and is identified as such within the unit training plan.
- 6.5.1.4 The training for the Terminal Control rating endorsement is conducted at the unit concerned and is identified as such within the unit training plan.

6.5.2 **Applications for an Approach Control Surveillance Rating**

- 6.5.2.1 When applying for an Approach Control Surveillance rating one of the following rating endorsements, or combinations of rating endorsements, must be applied for at the same time:
 - a) Radar
 - b) Automatic Dependent Surveillance
 - c) Multilateration
 - d) Radar and Surveillance Radar Approach
 - e) Radar and Precision Approach Radar
 - f) Radar and Offshore
 - g) Automatic Dependent Surveillance and Offshore
 - h) Multilateration and Offshore
 - i) Radar and Special Tasks
 - j) Automatic Dependent Surveillance and Special Tasks
 - k) Radar and Terminal Control
 - l) Automatic Dependent Surveillance and Terminal Control

6.5.3 **Precision Approach Radar Endorsement**

- 6.5.3.1 A precision approach radar rating endorsement will only be granted to an air traffic controller licence holder who already holds an Approach Control Surveillance rating with a Radar rating endorsement.

6.5.4 **Offshore and Special Tasks Endorsements**

- 6.5.4.1 The air traffic services associated with the Offshore and Special Tasks rating endorsements are not considered appropriate to maintain the skills associated with providing an approach radar control service.
- 6.5.4.2 An air traffic controller licence holder who is exercising the privileges of an Offshore or Special Tasks rating endorsement to the Approach Control Surveillance rating must undertake an assessment for previous competence before commencing unit training at an approach control unit if:

- a) he is more than four years from holding a valid Approach Control Surveillance rating, or
- b) the Approach Control Surveillance rating was granted in association with an Offshore or Special Tasks rating endorsement and the controller is more than six months from the end of an approved Approach Control Surveillance rating course.

Table 4 Approach Control Surveillance Rating and associated Rating Endorsements

Rating	Rating Endorsement	Air Traffic Service
Approach Control Surveillance	Radar	Approach Radar Control
	Automatic Dependent Surveillance	Approach Control using ADS
	Multilateration	Approach Control using Multilateration
	Surveillance Radar Approach	Approach Radar Control (SRA)
	Precision Approach Radar	Precision Approach Radar Control
	Offshore	Offshore Advisory Service
	Special Tasks	Special Tasks Service
	Terminal Control	Terminal Control Service

6.6 Oceanic Area Control Centre

6.6.1 Initial Training

6.6.1.1 The Area Control Procedural rating is only issued in the UK in association with an Oceanic Control rating endorsement, the initial training for which will be conducted at the Scottish and Oceanic Area Control Centre.

6.6.2 Application for an Area Control Procedural Rating

An application for an Area Control Procedural Rating examination must include an application for an Oceanic Control rating endorsement.

Table 5 Area Control Procedural Rating and Rating Endorsement

Rating	Rating Endorsement	Air Traffic Service
Area Control Procedural		Area Control
	Oceanic	Oceanic Control

6.7 Area Control Centres

6.7.1 Initial Training – Area Control Surveillance

6.7.1.1 The approved Area Control Surveillance initial rating courses use radar as the surveillance equipment and satisfy the initial training requirements for the Area Control Surveillance rating and the Radar rating endorsement.

6.7.1.2 The initial approved course of training for the Special Tasks rating endorsement is conducted at RAF Shawbury.

6.7.1.3 At present the Offshore rating endorsement is only required by controllers providing the Offshore Advisory Service at Aberdeen. The initial training for this rating endorsement is conducted at the unit and is identified as such within the unit training plan.

6.7.1.4 The training for the Terminal Control rating endorsement is conducted at the unit concerned and is identified as such within the unit training plan.

6.7.2 Applications for an Area Control Surveillance Rating

6.7.2.1 When applying for an Area Control Surveillance rating one of the following rating endorsements, or combinations of rating endorsements, must be applied for at the same time:

- a) Radar
- b) Automatic Dependent Surveillance
- c) Multilateration
- d) Radar and Offshore
- e) Multilateration and Offshore
- f) Automatic Dependent Surveillance and Offshore
- g) Radar and Special Tasks
- h) Automatic Dependent Surveillance and Special Tasks
- i) Radar and Terminal Control
- j) Automatic Dependent Surveillance and Terminal Control
- k) Oceanic Control

6.7.3 Offshore and Special Tasks rating Endorsements

Table 6 Area Control Surveillance Rating and Rating Endorsements

Rating	Rating Endorsement	Air Traffic Service
Area Control Surveillance	Radar	Area Radar Control
	Automatic Dependent Surveillance	Area Control using ADS
	Multilateration	Area Control using Multilateration
	Oceanic	Oceanic Control
	Special Tasks	Special Tasks Service
	Terminal Control	Terminal Control Service
	Offshore	Offshore Advisory Service

6.7.3.1 The air traffic services associated with the Offshore and Special Tasks rating endorsements are not considered appropriate to maintain the skills associated with providing an Area Control Surveillance Service at an Air Traffic Control Centre.

6.7.3.2 An air traffic controller licence holder who is exercising the privileges of an Offshore or Special Tasks rating endorsement to the Area Control Surveillance rating must undertake an assessment for previous competence before commencing unit training at an ATCC or Terminal Control Centre if:

- a) he is more than four years from holding a valid Area Control Surveillance rating at an ATCC or Terminal Control Centre, or
- b) the Area Control Surveillance rating was granted in association with an Offshore or Special Tasks rating endorsement and the controller is more than six months from the end of an approved Area Control Surveillance rating course.

6.8 Unit Endorsements

6.8.1 A unit endorsement indicates the sector(s) or operational position(s) at which an air traffic controller is competent to provide an air traffic control service.

6.8.2 Operational positions include:

- a) Aerodrome Control
- b) Ground Movement Control
- c) Air Control
- d) Approach Control
- e) Approach Radar Control
- f) Precision Approach Radar

At terminal control units there may be both sectors and operational positions.

7 Issue of a New Air Traffic Controller Licence

7.1 Once a Student Air Traffic Controller is considered ready to undertake a first rating validation examination, the ATC Unit should contact the appropriate ATSD Regional Manager at least 30 days prior to the proposed examination date. The process is shown at Figure 1 below.

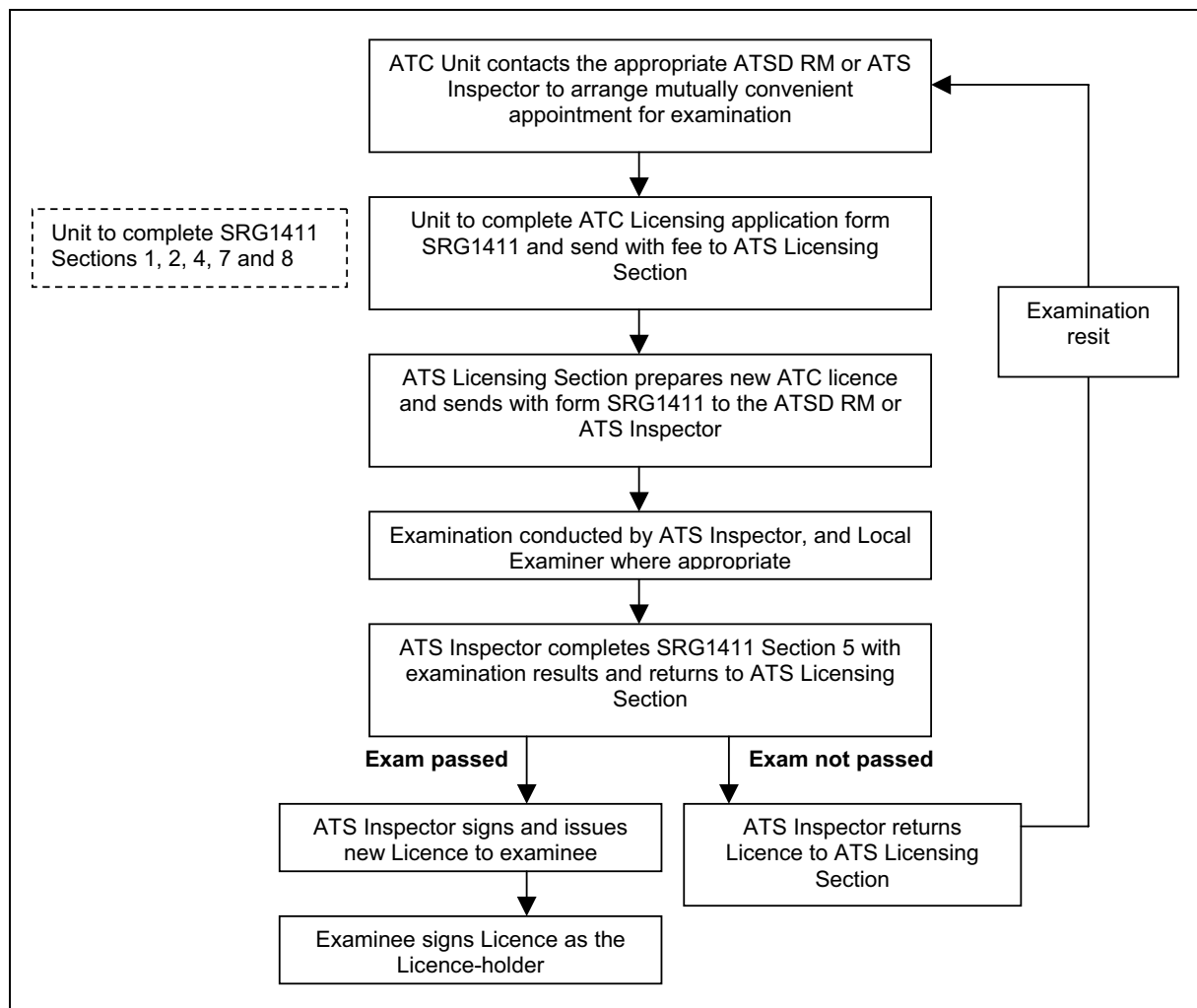


Figure 1 Process for the issue of a new Air Traffic Controller licence upon successful completion of first rating validation examination

8 Issue of an Additional Rating and/or Rating Endorsement

- 8.1 Examinations for the grant of an additional rating or rating endorsement are rating examinations.
- 8.2 To be granted an additional rating or rating endorsement a controller must meet the requirements in Part 1 paragraph 2.3 of this document.
- 8.3 Once a trainee air traffic controller is considered ready to undertake the rating validation examination, the ATC Unit should contact the appropriate ATSD Regional Manager (or HECR) at least 30 days prior to the proposed examination date. The process is shown at Figure 2 below.

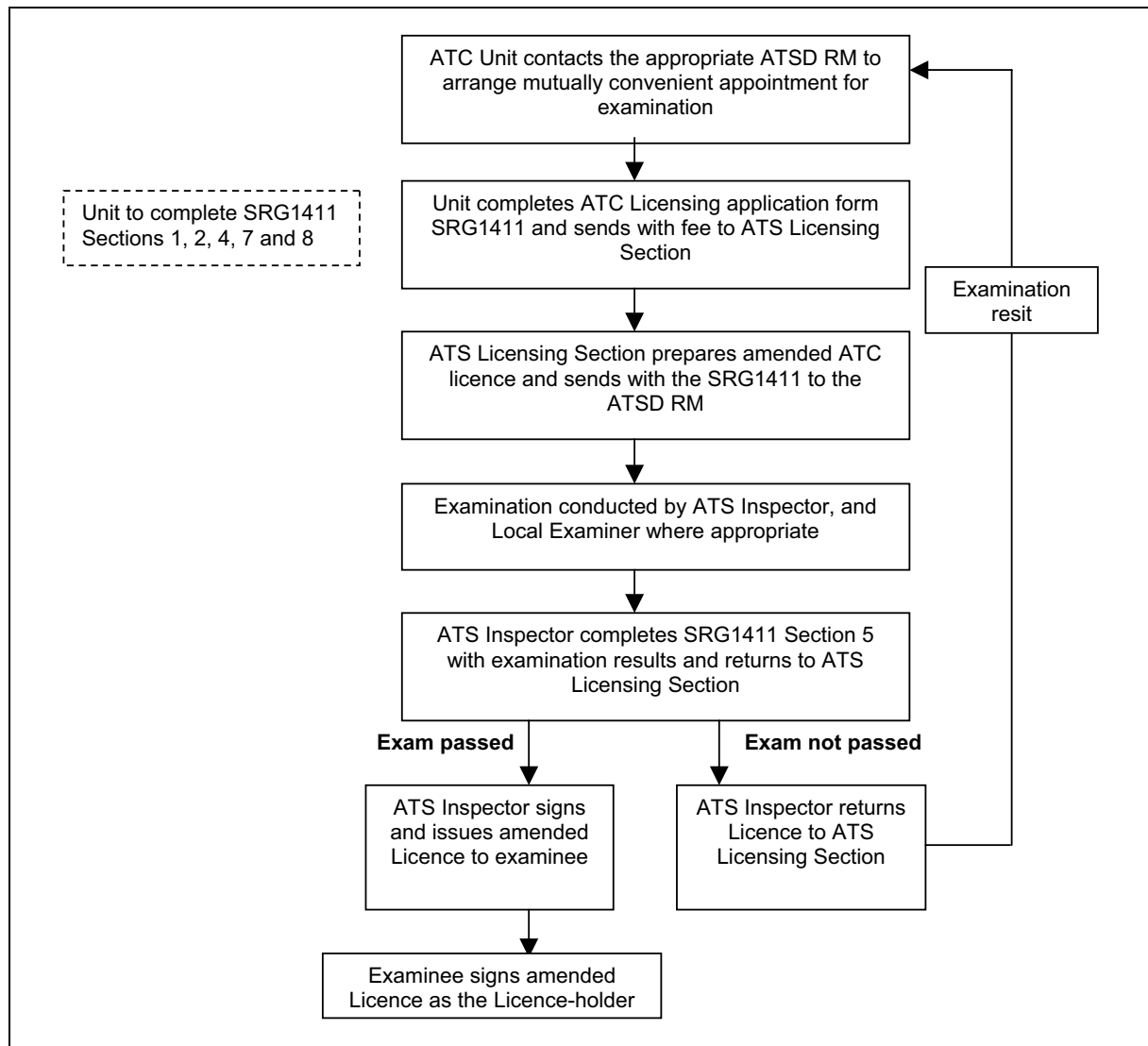


Figure 2 Process for the issue of an additional rating and/or rating endorsement

9 Issue of a Unit Endorsement

- 9.1 Unit endorsement examinations are examinations where a controller already holds the appropriate rating and rating endorsement (if any), but will either:
- be extending his valid rating to other sectors; or
 - have moved to another unit to make his rating(s) valid there.

- 9.2 Unit endorsement examinations are conducted by an Inspector of ATS or, with the authorisation of the ATSD Regional Manager, by a unit examiner.
- 9.3 Units must advise the ATSD Regional Manager before all unit endorsement examinations. The Regional Manager will decide who will conduct the examinations.
- 9.4 The process for unit endorsement examinations is shown at Figure 3 below.

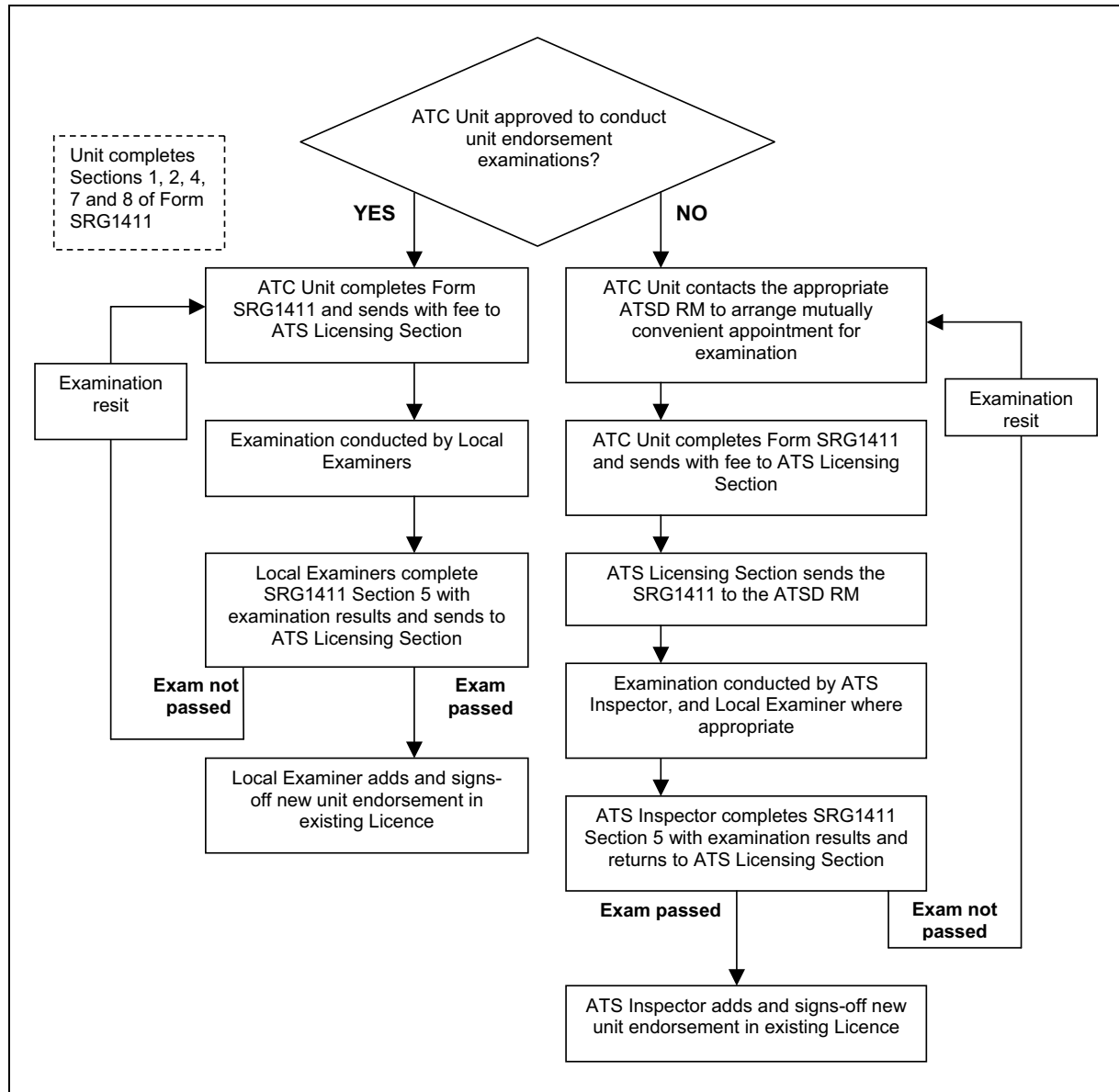


Figure 3 Process for the issue of a unit endorsement

10 Arranging Rating and Unit Endorsement Examinations

- 10.1 The scheduling of examinations is subject to agreement between the providers of air traffic services and the ATSD Regional Managers. Because of the uncertainties associated with the progress of trainees, arrangements for rating or unit endorsement examinations and any requests for rescheduling should be made by telephone.
- 10.2 To enable the ATSD Regional Managers to appropriately allocate resources it is important that providers advise them when student or trainee air traffic controllers commence unit training.

- 10.3 An application for a rating examination must be made to the appropriate ATSD Regional Manager at least 30 days prior to the requested date, giving the number of hours training the candidate still has to undertake to complete the unit training plan.

11 Applications for an Examiner or OJTI Licence Endorsement

- 11.1 Applicants for an Examiner or OJTI licence endorsement must meet the requirements in Part 2 of this document - paragraph 5.2 for Examiners and paragraph 4.1 for OJTIs.
- 11.2 An application for either an Examiner or OJTI licence endorsement should be made using CAA form SRG 1415.

12 Renewal of Unit Endorsements

- 12.1 The renewal of a Unit Endorsement(s) is to be recorded using Form SRG 1416 and which must be submitted to the CAA in accordance with the submission instructions on the form.

13 Applications for Assessments for Previous Competence

- 13.1 Assessments for previous competence are required:
- a) when a student or trainee air traffic controller licence holder does not commence unit training within six months of completing an approved course of initial training;
 - b) when an air traffic controller will be commencing unit training in a particular rating or rating endorsement, the privileges of which he has not exercised for more than four years; and
 - c) when specifically required by the CAA;
 - d) when an air traffic controller, who is the holder of an Approach or Area Control Surveillance rating previously granted in association with an Offshore or Special Tasks endorsement, and who is more than 6 months from completing the appropriate rating course, wishes to commence training towards the award of a unit endorsement which is not associated with the Offshore or Special Tasks rating endorsements. See paragraphs 6.5.4 and 6.7.3 of this part of this document.
- 13.2 Controllers who are required to undertake an assessment for previous competence must first obtain a letter from the ATS Licensing Section confirming their eligibility to undertake the assessment.
- 13.3 Once in possession of the letter of eligibility, arrangements should be made directly with the training provider. The training provider must obtain agreement to the schedule for the assessment from the Inspector of ATS (Training) who may require to attend the assessment. In the case of assessments conducted at ATC units, the ATC unit must obtain agreement to the schedule for the assessment from the appropriate ATSD Regional Manager, who may require to attend the assessment at the unit.
- 13.4 The assessment may be conducted either:
- a) at a certified training provider; or
 - b) at the unit where the controller will undergo unit training, provided that unit has been approved by the CAA to conduct such assessments.

- 13.5 Where the CAA specifically requires an air traffic controller licence holder to undertake an assessment for previous competence, this will be conducted at a certified training provider and a CAA representative will attend the assessment.
- 13.6 The requirement for a controller who has not exercised the privileges of a particular rating and/or rating endorsement for more than four years to take an assessment for previous competence relates to:
- a) all ratings; and
 - b) the Offshore, Precision Approach Radar, Special Tasks, Terminal Control and Oceanic rating endorsements.
- NOTE:** Where the assessment for previous competence is conducted by a certified training provider, a controller may, if successful, commence unit training at any unit.

14 Applications for Recognition of Licences Issued by other EU Member States

- 14.1 Individuals who wish to apply to the CAA for recognition of their student or air traffic controller Licence issued by another EU Member State should complete CAA Form SRG 1424 and submit it to the CAA's ATS Licensing Section. The completed form must be accompanied by a copy of the Licence and accompanying Medical Certificate.
- 14.2 The CAA will verify the information contained in the Licence and Medical Certificate with the State of Licence issue and will, once satisfied, issue a confirmation of Licence recognition to the individual.
- 14.3 In cases where the individual chooses to exchange his existing Licence for a Licence issued by the CAA, the CAA shall issue a Licence that contains the same ratings and endorsements as contained in the original Licence.

15 Disclosure of Information

- 15.1 The CAA will make available to licence holders on request records of previously held ratings, rating endorsements and unit endorsements to enable controllers to provide this information to other State Licensing Authorities.
- 15.2 The CAA will provide verification, where appropriate, of the licence qualifications and operational experience of the licence holders to other EU State Licensing Authorities.

Appendix 1 Guidance to ATS Providers on Withdrawing a Controller from Operational Duty when Considered to be Under the Influence of a Psychoactive Substance

1 Introduction

- 1.1 Part 3 paragraph 14.9.2 b) requires that providers of air traffic services must have processes, procedures and competent personnel to ensure that student air traffic controller licence holders and air traffic controller licence holders are withdrawn from operational duty if they are considered to be under the influence of psychoactive substances that might have an effect on their ability to provide a safe air traffic control service.
- 1.2 The following paragraphs provide guidance on how this requirement may be satisfied.

2 Guidance

- 2.1 Supervisors and Managers, together with immediate co-workers, are probably best placed to identify a controller who may be engaging in psychoactive substance abuse. In cases where a member of staff has reasonable grounds to suspect that a controller is under the influence of a psychoactive substance that might have an effect on their ability to provide a safe air traffic control service, his primary concern should be the safety of the air traffic control service and therefore should immediately inform a responsible person (ideally identified in unit procedures) so that immediate action can be taken to remove the controller from duty.
- 2.2 An ATS provider should consider the following:
- a) The need for general awareness training for Supervisors/Managers and staff members on psychoactive substance abuse issues, particularly 'tell-tale' signs, and the safety implications of such abuse;
 - b) The need for training and procedures for Supervisors/Managers to manage such a situation. This may include:
 - i) how to manage the immediate removal of the individual from the operational position;
 - ii) actions to be taken to report the situation to the Unit management and to the CAA;
 - iii) any action to be taken in respect of reporting the incident to the police and how to ensure that the presence of police officers and any actions they may wish to take, including the taking of a breath test or other sample does not impact on the safe provision of the ATC service¹ (whereas most aspects of the provision of an ATS are the remit of the CAA, being under the influence of a psychoactive substance whilst on duty is a criminal offence under the Railways and Transport Safety Act 2003);
 - iv) possible arrangement of a breath test or taking of other samples by a medical examiner on behalf of the employer for use in company procedures;

1. Railways and Transport Safety Act 2003

- v) if appropriate, how to manage the removal of the individual from the Unit;
 - vi) actions to ensure continuation of a safe air traffic control service (immediate resource implications as a result of the removal of the controller from duty and the consequential loss of Supervisor /Manager whilst managing the incident);
 - vii) documents and reports to be completed to record action taken.
- c) Procedures to be followed by Unit Management after the event in order to manage all necessary follow-up actions including:
- i) interview of the individual concerned and the Supervisor/Manager concerned;
 - ii) medical examination of the individual concerned to ascertain the extent of abuse and current medical condition;
 - iii) possible discussions with the police in respect of legal processes;
 - iv) discussions with the CAA in respect of the incident and the individual's medical condition to determine any Licensing action to be taken;
 - v) disciplinary and other action to be taken by the employer in respect of the individual and the relationship to the provision of a safe ATC service. The possibilities should be detailed in the employer's terms and conditions of employment.