

## RA 3221 - Enhanced Air Traffic Services Units

### Rationale

Military ► **Aircraft** ◄ require access to controlled airspace in the UK Flight Information Region (FIR) / Upper Information Region (UIR) to meet training and operational requirements. The provision of Air Traffic Services (ATS) for such activity provides a barrier which mitigates the Risk to Life (RtL) of mid-air collision. ATS in controlled airspace may only be delivered by units with the appropriate approval from the Civil Aviation Authority (CAA) in order to meet ► **United Kingdom** ◄ obligation under the European Council Implementing Regulation ► **2018/1139** ◄<sup>1</sup>. This Regulatory Article specifies the requirements for ATS provision in active Temporary Reserved Areas (TRAs) in Class C airspace and in Control Zones (CTR) / Control Areas (CTA) by a unit other than the notified airspace controlling authority.

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### Regulation 3221(1)

#### Enhanced Air Traffic Services Units

3221(1) Only units approved by the CAA **shall** provide ATS within active TRAs in Class C airspace, or within an Aerodrome CTR / CTA, when they are not the designated Controlling Authority.

### Acceptable Means of Compliance 3221(1)

#### Enhanced Air Traffic Services Units

1. A unit **should** be designated as an Enhanced Air Traffic Services Units (ATSU), by approval from the CAA<sup>2</sup>, in order to provide a military ATS within an active TRA in Class C airspace, or within an Aerodrome CTR / CTA when they are not the designated Controlling Authority, with the exception of ► **Swanwick Military (78 Sqn)** ◄<sup>3</sup> or an ARU<sup>4</sup>.
2. **TRA.** Enhanced ATSUs **should** only provide UK Flight Information Services (FIS) within an active TRA which is included in their CAA approval. ► **Aircraft** ◄ controlled by Enhanced ATSUs **should not** enter or cross airways within a TRA that ► **is** ◄ active during TRA activation hours.
3. **CTR / CTA.** The following options for implementation **should** be considered:
  - a. The provision of a combined facility using shared communication, navigation and surveillance infrastructure in order to deliver surveillance based ATS associated with the participating Aerodromes, or;
  - b. Separate facilities from which ATS ► **is** ◄ provided wholly, or partly, in accordance with (iaw) formal delegation arrangements. Where such arrangements are considered to be appropriate, greater emphasis **should** be placed on the interoperability and communication infrastructure required to support such operations and in particular the contingency and recovery arrangements put in place by both units.
4. **Criteria for Enhanced ATSUs.** Aviation Duty Holders (ADHs) and Heads of Establishment (HoEs) applying for Enhanced ATSU status **should** demonstrate

<sup>1</sup> ► Refer to [CAP 2020A00: Basic Regulation 2018/1139](#) ◄ (commonly referred to as the 'Basic Regulation') ► ◄.

<sup>2</sup> CAA approval is detailed in [CAA Safety and Airspace Regulation Group \(SARG\) Policy](#); ATS Provision within Controlled Airspace by Units not Notified as the Controlling Authority including Annex B, ATS Provision Within Activated Temporary Reserved Areas (TRA) by Enhanced ATSU and Annex D, ATS Provision within an Aerodrome CTR / CTA.

<sup>3</sup> ► **Swanwick Military (78 Sqn)** ◄ is designated by the MOD as the Controlling Authority for en-route Operational Air Traffic (OAT) ATS provision. Furthermore, given its co-location with and shared use of National Air Traffic Services (NATS) infrastructure and systems, which are approved for use by the CAA; the requirement to seek additional Autonomous Radar Unit (ARU) status is waived.

<sup>4</sup> ► Refer to ◄ RA 3222 – Autonomous Radar Units.

**Acceptable  
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compliance with the following requirements:

- a. **Personnel.** The ATS provider **should** demonstrate that it is resourced with sufficient suitably qualified controllers<sup>5</sup> and support staff to undertake the task defined within the application.
- b. **Technical Requirements.** The ATS provider **should**, as a minimum, meet the applicable military technical standards<sup>6</sup> and functionality requirements for surveillance and communication. Authorization will be considered by the CAA in consultation with Defence Airspace and Air Traffic Management (DAATM). Specifically:

- (1) **Surveillance Requirements.** ATS providers **should** demonstrate that they are equipped with surveillance equipment which meets the surveillance coverage and redundancy requirements set out within CAP 670<sup>7</sup> and / or DefStan 00-972 (as appropriate to the submission) and is commensurate with the defined task. Where such requirements are not met, these **should** be detailed within the unit's Hazard analysis with appropriate contingency mitigations, including to address the Risk of sensor failure. Where **► Aircraft ◀** are operating close to the lateral and / or vertical limits of surveillance coverage, ATS providers **should** inform the pilot of reductions in the provision of traffic information iaw CAP 774.

- (2) **Communication Requirements:**

- (a) **Land-based.** Land-based ATSU providers **should** demonstrate that they are equipped with communications equipment and systems which meet the requirements stipulated within CAP 670<sup>8</sup> and / or DefStan 00-972 and are commensurate with the defined Enhanced ATSU task.

- (b) **Maritime.** Communication requirements for Royal Navy (RN) ships seeking authorization to provide ATS within an active TRA **should** be considered by DAATM on a case-by-case basis.

- (c) **Airborne.** Airborne ATS providers **should** demonstrate that they can maintain continuous 2-way radio contact with both the **► Aircraft ◀** under their control and the Control and Reporting Centre (CRC) tasked as their Weapons Manager. The latter **should** be able to act as a point of contact with the Area Control Centre (ACC) and other land-based ATS providers as necessary to facilitate co-ordination requirements.

5. **CTR / CTA.** In addition, for control within a CTR / CTA, a Letter of Agreement (LOA) **should** be agreed between the applicant, the notified airspace controlling authority and other relevant parties as identified on a case-by-case basis. The LOA **should** include:

- a. Definition of both the task to be undertaken by all ATS providers involved in the agreement and the applicable terms and conditions including, where appropriate, the priorities that will be afforded to interacting departure and arrival profiles from each unit.
- b. Detailed procedures for the sharing of, and right of access to, airspace specified within the agreement and the associated co-ordination procedures to be employed.
- c. Description of agreed contingency procedures including the criteria and procedures for the suspension of the LOA.
- d. A narrative description and graphical depiction of the lateral and vertical limits of the specified Area of Operations in which the ATSU will operate.

<sup>5</sup> Controllers that have successfully completed a MOD or CAA approved course to support the task required, and either hold a local operating endorsement or be undergoing training with an instructor or screen controller.

<sup>6</sup> **► Refer to ◀** [CAP 670](#) – ATS Safety Requirements and DefStan 00-972.

<sup>7</sup> **► Refer to ◀** [CAP 670](#) – Part C, Section 3: SUR 01.

<sup>8</sup> **► Refer to ◀** [CAP 670](#) – Part C, Section 1: COM.

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**Enhanced Air Traffic Services Units**

6. Enhanced ATSU status has been granted to a limited number of units<sup>9</sup>, the list may be obtained from DAATM.
7. **TRAs.** Details of TRAs (including activation times) can be found in the UK Aeronautical Information Publication (AIP), En-route Information. Within an active TRA, UK FIS<sup>10</sup> applies for the provision of ATS, not Class C rules for Radar Control. If doubt exists over the activation status of a TRA, the Military Airspace Booking Coordination Cell (MABCC) is to be consulted.
8. **Non-UK Military Air Surveillance and Control System (ASACS) Units.** ASACS units which are not UK military are constrained to the provision of Tactical Information<sup>11</sup> only within active TRAs and are not permitted by the CAA to provide UK ATS, except within airspace segregated for the activity.
9. **CTR / CTA.** Within a CTR / CTA, control services must be provided iaw the airspace classification and the pilot's Flight Rules.
10. The requirements to hold Enhanced ATSU status to provide ATS in a CTR / CTA when ►they are◄ not the notified airspace authority does not apply to the Balder CTA or Ekofisk CTA where the MOD retains the right to operate with 'Due Regard'<sup>12</sup>.
11. **Approval Procedure.** ADHs or HoEs seeking Enhanced ATSU status will undertake Hazard identification, Risk Assessment and mitigation iaw applicable MAA Regulatory Publications (MRP) safety regulations<sup>13</sup> and single service policy, in order to confirm that the unit is able to provide an ATS to ►Aircraft◄ operating within the airspace required. This assessment ►will◄ address all aspects of the ATS system, and thus encompass personnel, training, ATS procedures and equipment. In developing the Risk Assessment, particular regard ►will◄ be given to contingencies in the event of unserviceabilities.
12. **Equipment standards.** Surveillance requirements in Def Stan 00-972►<sup>14</sup>◄ are predominately based upon airfield equipment. For submissions for en-route airspace, surveillance equipment standards may be found in CAP 670, specifically the requirement for dual-sensors.
13. Applications for Enhanced ATSU status will be made through the appropriate chain of command to DAATM. DAATM, in turn, will co-ordinate such requests with the MAA for oversight to ensure all relevant military requirements have been addressed prior to submission to the CAA<sup>15</sup>.
14. **CTR / CTA.** The assessment for ATS provision in a CTR / CTA ►will◄ also include the additional considerations:
- Communication, navigation and surveillance infrastructure.
  - The interaction and deconfliction of ATS procedures including lateral separation requirements, the interaction of Instrument Flight Rules (IFR) and Visual Flight Rules (VFR) flights, responsibilities for the issuance of IFR, VFR and Special VFR (SVFR) clearances, runway selection protocols and Surveillance ►Minimum◄ Altitude Charts / Radar Vector Charts.
  - The classification of the airspace, delineation of internal CTR / CTA boundaries and the limits of delegation or shared access.
  - Altimeter setting procedures.
  - Aircraft emergencies, notification requirements and contingency arrangements.
  - Qualification and training of personnel.

<sup>9</sup> This only applies to MOD Air Traffic Control, UK Air Surveillance and Control ►System◄ (ASACS) Units and Maritime platforms.

<sup>10</sup> ►Refer to◄ RA 3224 - UK Flight Information Services and [CAP 774](#) UK Flight Information Services.

<sup>11</sup> ►Refer to◄ NATO Tactical Control Rules. iaw Allied Administrative Publication (AAP)-49 Air Control Terms and Definitions and STANAG 1183, NATO Qualifications For Fixed Wing Above Water Warfare (AWW) / Air Defence (AD) AS Controllers (ATP-81), accessed via UK Defence Standardization listings, [StanMIS](#).

<sup>12</sup> Subject to the conditions set out within UK AIP ENR 1.4 paragraph 2.4.1.1 - Note 4.

<sup>13</sup> ►Refer to◄ MRP 1000 Series, DefStan 00-972 and ATM 3000 Series - RA 3120 to 3140 for Surveillance Equipment Safety Cases and Release To Service requirements.

<sup>14</sup> ►Refer to Def Stan 00-972 - Military Air Traffic Services Equipment Safety and Performance Standards (Aerodrome, Terminal and Naval Air Traffic Services).◄

<sup>15</sup> Where applications for Enhanced ATSU status are associated with an Airspace Change Proposal (ACP), the CAA will consider the application alongside the ACP and will issue its decision co-incident with the regulatory decision on the ACP.

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