

15 November 2007

**Certification of ANSPs in accordance with EC Common Requirements
Regulation No 2096/2005: Maintenance of Compliance**

In July 2007, the CAA was pleased to confirm that all UK Air Navigation Service Providers (ANSPs) compliant with the European Common Requirements Regulation (CRs) in advance of the 21 June 2007 deadline had been Certified and, where appropriate, Designated in accordance with the Service Provision Regulation.

The purpose of this letter is to provide an update on areas of the CRs which take effect after 21 June 2007 and to remind certified ANSPs of additional actions they need to take to ensure that full compliance is maintained.

Quality Management System (QMS) Requirement

The date for compliance with the appropriate QMS requirement is 21 December 2007 (i.e. one year after the entry into force of the CRs). Some ANSPs will already have addressed the QMS requirement, but may still wish to review their arrangements against the material referenced below.

In order to assist organisations with the development and improvement of their quality management arrangements, the CAA has developed guidance to ANSPs regarding acceptable means of compliance with the QMS requirement. The guidance is enclosed with this letter and is also available on the CAA website at:

<http://www.caa.co.uk/default.aspx?catid=952&pagetype=68&gid=1293>

The guidance follows the proportionate approach to implementation of the CRs outlined by the CAA during earlier consultation with industry and is intended for ANSPs providing Air Traffic Services (ATS) and/or Communications, Navigation, and Surveillance (CNS) Services.

Contingency Plan Requirement

In addition to the management systems already mandated by the CRs, an ANSP is required to produce compliant contingency plans, at the latest, one year after it was issued with a certificate. For example, ANSPs who were Certified on 21 December 2006 are required to have developed contingency plans, at the latest, by 21 December 2007. The following table shows the dates on which certificates were issued to UK ANSPs and the dates by which compliant contingency plans are required to be in place.

Date Certificate Issued	Date By Which Compliance Plans Are Required
21 December 2006	21 December 2007
31 January 2007	31 January 2008
30 March 2007	30 March 2008
02 May 2007	02 May 2008
15 May 2007	15 May 2008
06 June 2007	06 June 2008
15 June 2007	15 June 2008

With regard to compliance with the contingency planning aspects of the CRs for providers of Meteorological and Aeronautical Information Services, requirements for these services will be notified separately by the Directorate of Airspace Policy.

For providers of ATS and/or CNS services, contingency plans must, as a minimum, address safety critical modes of operation. The primary concern is the need to ensure the safe and orderly degradation of services in the event of a contingency situation and the eventual safe recovery of these services. Many ATS and/or CNS service providers may already have satisfactory arrangements in place. This policy does not, however, preclude a wider consideration of any service continuity aspects appropriate to the provider's specific business needs.

ANSPs may wish to consult two ATM Contingency Planning Guidance documents developed by Eurocontrol in accordance with the provisions of the European Convergence and Implementation Plan (ECIP). These are available to download at the following links:

[http://www.eurocontrol.int/ses/gallery/content/public/docs/pdf/tesis/Guidelines for Contingency Released Issue and cover1 signed.pdf](http://www.eurocontrol.int/ses/gallery/content/public/docs/pdf/tesis/Guidelines%20for%20Contingency%20Released%20Issue%20and%20cover1%20signed.pdf)

[http://www.eurocontrol.int/ses/gallery/content/public/docs/pdf/tesis/Reference Guide to Guidelines Contingency released issue 1 and cover signed.pdf](http://www.eurocontrol.int/ses/gallery/content/public/docs/pdf/tesis/Reference%20Guide%20to%20Guidelines%20Contingency%20released%20issue%201%20and%20cover%20signed.pdf)

ATS providers should also refer to AT SIN No. 115.

Maintenance of ANSP Compliance Matrices

To fulfil its obligations under the SES Regulations, the CAA is developing a risk-based audit programme to verify ANSPs' ongoing compliance with the CRs. The development of the audit programme will take account of a number of factors, including the information supplied in an ANSP's Compliance Matrices.

ANSPs are reminded that they are required to maintain the information contained within their Compliance Matrices (submitted to the CAA for initial certification purposes) up to date. ANSPs are obliged to supply this information to CAA staff when requested.

ANSP Personnel Changes

To facilitate the timely provision of information, ANSPs should note the requirement to inform the CAA whenever the organisation's focal point for ANSP Certification, or the person who signed the certification submission, most commonly the ANSP's CEO, changes. This may be done via e-mail to ansp.certification@caa.co.uk or by contacting one of the CAA contact points listed below.

SRG Contact Points

With immediate effect, ANSPs are requested to direct enquiries concerning ANSP Certification to one of the following CAA contact points or the appropriate Regional Office.

John Gibson	Tel: 01293 573441	E-mail: john.gibson@caa.co.uk
Nick Thorpe	Tel: 01293 573191	E-mail: nick.thorpe@caa.co.uk
Maggie Marshall	Tel: 01293 573262	E-mail: maggie.marshall@caa.co.uk

If you have any further questions please contact one of the above or e-mail: ansp.certification@caa.co.uk.

Yours sincerely



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Safety Regulation Group

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Assistant Director, Airspace Policy 1
Directorate of Airspace Policy

Enc: QMS Guidance to ANSPs