

Quality Management System Guidance for Organisations providing ATS and/or CNS

CAA guidance to Air Navigation Service Providers on the Requirements for a Quality Management System in accordance with Commission Regulation (EC) No 2096/2005 (Common Requirements)

1 Introduction

- 1.1 Single European Sky (SES) legislation requires air navigation service providers (ANSPs) within the EU to be certified in accordance with Commission Regulation (EC) No 2096/2005 (Common Requirements). Annex 1 Paragraph 3.2 of the Regulation states that ANSPs are to implement a quality management system (QMS) as part of the management systems required in order to obtain the necessary certificate. A copy of this paragraph of the Common Requirements is at Annex A.
- 1.2 The final date for implementation of a QMS, as confirmed by the European Commission, is **21 December 2007**, i.e. 2 years after the entry into force of the Common Requirements Regulation.

2 Purpose and Scope

- 2.1 Extensive contact with ANSPs during the certification process indicated a need for the CAA to provide further guidance regarding acceptable means of compliance with the QMS element of the Common Requirements.
- 2.2 Annex 1 to the Common Requirements, which contains the QMS requirement, applies to all categories of service provision. Subsequent Annexes each contain differing and more detailed requirements applying to a specific category of service provision. Annexes 2 and 5, applying to providers of Air Traffic Services (ATS) and providers of Communications, Navigation and Surveillance (CNS) services respectively, require the implementation of a Safety Management System (SMS). This guidance outlines a more integrated approach to quality and safety management and is therefore intended for organisations to whom the SMS requirement applies, i.e. those providing ATS, either Air Traffic Control (ATC) or Flight Information Service (FIS), and/or CNS services. Some of these organisations may also provide meteorological and aeronautical information services.
- 2.3 This paper has been developed in the light of the guidance material provided by Eurocontrol as part of its Single European Sky Implementation Support (SEIS) project, and taking account of the proportionate approach to the certification and designation of ANSPs set out in the CAA's consultation document of 6 June 2005.

3 UK Approach to ANSP Certification

- 3.1 It is CAA policy, as outlined in earlier consultation, to minimise costs to industry arising from SES legislation by utilising existing structures, systems and processes wherever possible. The CAA also undertook to apply the Common Requirements Regulation in a manner proportionate to the aviation safety risk posed by the

services(s) under consideration. This guidance follows a pragmatic, graduated approach to the Requirements, taking into account the scale and complexity of each ANSP's operation and the services provided.

4 Types of Certificate

- 4.1 No ANSP is wholly exempt from the Common Requirements, but under Article 4 (2) of the Regulation, ANSPs who elect not to seek business outside their home State and who meet the requirements of Article 4(1) regarding traffic levels or annual turnover may be eligible for derogation from some aspects of the Requirements. Accordingly, the CAA, as the UK's National Supervisory Authority (NSA), has issued 2 types of certificate; a non-derogated certificate is recognised by other Member States and allows an ANSP to offer its services to other ANSPs, airports and airspace users within the European Community; in contrast, a derogated certificate, which is issued in accordance with the provisions of Article 4, carries no right of mutual recognition and restricts the ANSP to providing services within UK airspace.

5 UK ANSPs

- 5.1 Air navigation services in the UK are currently provided by 67 certificated ANSPs. This includes 14 CNS-only ANSPs, 18 FIS providers and 33 ATC providers. Fourteen of the ATC providers, mainly those providing services at the UK's major airports or en-route, currently hold non-derogated certificates. The remaining CNS, FIS and ATC providers all currently hold derogated certificates.

6 ANSPs Holding Non-derogated Certificates

- 6.1 ANSPs holding a non-derogated certificate are typically larger organisations, mainly providing ATS and CNS services at the UK's major airports or en-route. In recognition of the scale and complexity of these ANSPs' operations, acceptable means of compliance for ANSPs holding non-derogated certificates are as follows (summarised at Annex B).

- EN ISO 9001 Certificate. An EN ISO 9001 certificate issued by an appropriately accredited organisation is an acceptable means of compliance as stated in the Common Requirements. An ANSP intending to demonstrate compliance with the QMS requirement by means of certification against ISO 9001 should ensure that the scope of the quality system covers all air navigation services it provides. The organisation issuing the certificate is to be an accredited certification body and have the required business sector experience (see Annex B for further information). ANSPs intending to demonstrate QMS compliance by means of an ISO 9001 certificate should note that they are required to accept the disclosure of the certification documentation to the CAA, as the UK's NSA, upon the latter's request.
- QMS Designed according to Principles within the Common Requirements. In accordance with the Common Requirements Regulation, the implementation of a QMS covering all air navigation services provided by an ANSP and designed according to the principles established in Annex 1 Paragraph 3.2 of the Regulation is also an acceptable means of compliance.

- 6.2 Safety may be considered as an integral part of a quality air traffic service, and there are a number of similarities between a QMS, which is more generic in nature and designed to reduce waste, and an SMS, which is more specialised and concerned with safety assurance and risk management. The CAA has determined that ANSPs

may demonstrate compliance with relevant aspects of the QMS requirement by means of existing management systems, such as an SMS, where these have been implemented in order to ensure that relevant standards are maintained. Acceptance of elements of existing systems is designed to alleviate the burden on ANSPs, whilst recognising that an effective QMS should be a part of the organisation's culture rather than a 'bolt-on' addition.

- 6.3 The required QMS is to be in place by **21 December 2007**. Guidance regarding the implementation of a QMS following the principles embodied in the Common Requirements and utilising elements of an SMS is at Annex C.

7 ANSPs Holding Derogated Certificates

- 7.1 ANSPs holding derogated certificates and providing ATS and/or CNS services are typically single site operations, with lower levels of traffic, whose operations involve a lower level of risk than larger, more complex ANSPs. Depending on the scale and complexity of each individual ANSP's operation, it may be appropriate for some ANSPs holding derogated certificates to establish a QMS as described above, utilising elements of existing systems (see Annex C for further information). As a minimum however, the CAA has determined that an acceptable means of compliance for ANSPs holding derogated certificates is as follows (also summarised at Annex B).

- Document Control System. An effective document control system benefits an organisation in a number of ways and in the majority of cases is part of the organisational management systems already established by ANSPs to maintain the relevant standards e.g. SMS. The CAA therefore determined that, as a minimum, ANSPs holding a derogated certificate would be required to implement a suitable document control system supporting, or within, a management system, to meet the QMS requirement. These arrangements should also demonstrate that quality is being managed by the organisation. This requirement is consistent with the pragmatic and proportionate approach adopted by the CAA and helps to alleviate the burden on ANSPs with derogated certificates.

- 7.2 The required document control system is to be in place by **21 December 2007**. Guidance regarding the implementation of a document control system is at Annex D.

8 Eligibility for Derogation

- 8.1 ANSPs that envisage that as a result of increased traffic levels they may cease to be eligible for derogation should seek CAA advice regarding the application of the Common Requirements at the earliest opportunity.

9 Continuing Oversight

- 9.1 To fulfil its obligations under Commission Regulations (EC) No 550/2004 (Service Provision) and 2096/2005 (Common Requirements) the CAA intends to develop a risk-based audit programme to verify ANSPs' ongoing compliance with the Common Requirements. ANSPs will be expected to have objective evidence that the QMS elements or document control arrangements, as appropriate to the ANSP with regard to the type of certificate held, are described in its documentation and operate as described.

- 9.2 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

should be aware that they are required to maintain their Compliance Matrices (as submitted to the CAA for initial certification purposes) up to date.