

ANNEX C to letter dated 15 November 2007

QMS Based on Principles in the Common Requirements

Common Requirements Reference	Points to consider	Additional Guidance (This includes areas where elements of an SMS might be used to demonstrate compliance with parts of the QMS requirement and these are shaded in grey)
<p>The ANSP shall define the quality policy in such a way as to meet the needs of different users as closely as possible (CR Annex 1 Para 3.2 (a))</p>	<ul style="list-style-type: none"> <li>• What is your organisation's quality policy and where is it documented?</li> <li>• Is it endorsed by the person ultimately accountable and responsible for the performance of the organisation?</li> <li>• Does it reflect the needs of different users as closely as possible?</li> <li>• How is it communicated to your staff and customers?</li> </ul>	<p><i>As part of the Single European Sky Implementation Support (SESIS) project, Eurocontrol publishes guidance material for ANSPs covering a number of areas including QMS at: <a href="http://www.eurocontrol.int">http://www.eurocontrol.int</a>. Further information regarding the ISO 9001 standard can be found at <a href="http://www.iso.org">http://www.iso.org</a>.</i></p> <p><i>The structure of a generic integrated management system is shown on the Guidance CD-Rom produced by the CAA. In this model the QMS provides a framework of general principles, within which the more specialised SMS, Security Management System (SyMS) and Financial Management System (FMS) sit.</i></p> <p><i>Additional guidance on development of a quality policy, including a generic quality policy statement, is also available on the CAA Guidance CD-Rom.</i></p> <p><i>The more focused statement of safety policy required by the Common Requirements (Annex 2 Para 3.1.1) is specifically required to function as a foundation for the ANSP's SMS and to define the organisation's fundamental approach to managing</i></p>

		<i>safety.</i>
<p>The ANSP shall set up a quality assurance programme that contains procedures designed to verify that all operations are being conducted in accordance with applicable requirements, standards and procedures (CR Annex 1 Para 3.2 (b))</p>	<ul style="list-style-type: none"> <li>• Do you have a documented procedure covering the planning, conduct and reporting of internal audits, as well as any remedial action identified?</li> <li>• Do you publish an internal audit programme designed to ensure that all applicable requirements, standards and procedures are audited over an appropriate time frame?</li> <li>• Are your requirements, standards and procedures documented and understood throughout your organisation? How is this achieved?</li> </ul>	<p><i>Elements of an SMS that could help demonstrate compliance with this section of the QMS requirement might include:</i></p> <ul style="list-style-type: none"> <li>• <i>An internal safety audit programme meeting the Common Requirements (Annex 2 Para 3.1.3). See also CAP 670 (ATS Safety Requirements) Part B Section 1 APP 01 para 5.12 for further information on internal safety audits;</i></li> <li>• <i>Documented arrangements to detect changes in functional systems or operations in accordance with the Common Requirements (Annex 2 Para 3.1.3). See also CAP 670 (ATS Safety Requirements) Part B Section 1 APP 01 para 5.13 for further information on safety monitoring.</i></li> </ul> <p><i>ATC units are required to have a Unit Training Plan (UTP), approved by the CAA, detailing the processes by which student and/or trainee air traffic controllers are trained. At units with a Level 2 UTP, the controller assessment process is verified by Unit Verifiers authorised by the CAA. ATC providers with Level 2 UTPs could use the verification element of their Plan as a means of demonstrating compliance with the assurance requirement in relation to the training of controllers. See CAP 744 (UK Manual of Personnel Licensing – Air Traffic Controllers) Part 3 Para 6.4 for further information on verification of unit training.</i></p> <p><i>A Local Competence Scheme (LCS), under which controllers are monitored or regularly tested to</i></p>

		<p><i>ensure they maintain competence, should consist of a competence scheme based on operational experience and a competence checking system. Where an approved LCS is established, an ATC provider could use this as an additional means of demonstrating compliance with the assurance requirement in relation to the continuing competence of controllers. See also CAP 744 (UK Manual of Personnel Licensing – Air Traffic Controllers) Part 3 Para 11 for further information.</i></p>
<p>The ANSP shall provide evidence of the functioning of the quality system by means of manuals and monitoring documents (CR Annex 1 Para 3.2 (c))</p>	<ul style="list-style-type: none"> <li>• Which documents within your organisation describe your management systems and stipulate how certain tasks should be performed?</li> <li>• What records does your organisation keep that show how you monitor your management systems?</li> </ul>	<p><i>Elements of an SMS that could help demonstrate compliance with this section of the QMS requirement might include:</i></p> <ul style="list-style-type: none"> <li>• <i>The range of key documents that describe how an ANSP’s management systems work or how certain tasks should be performed. These documents need to be controlled and will normally include an ANSP’s SMS documentation. See Annex D for further information regarding key documents and their control;</i></li> <li>• <i>Records of safety monitoring activity such as internal safety audit reports, records of remedial action, minutes of safety review meetings etc, that could demonstrate compliance with the monitoring element of the requirement.</i></li> </ul>
<p>The ANSP shall appoint management representatives to monitor compliance with, and adequacy of, procedures to ensure safe and efficient operational practices (CR Annex 1 Para 3.2 (d))</p>	<ul style="list-style-type: none"> <li>• Who within your organisation is responsible for monitoring compliance with and adequacy of procedures?</li> <li>• How is this achieved?</li> </ul>	<p><i>On matters of quality the management representative(s) or quality manager should be a part of the management team and report directly to top management, therefore having the authority to make changes where needed (ISO 9001:2001 Para 5.5.2 refers).</i></p>

	<ul style="list-style-type: none"> <li>• How and to whom does this person or people report?</li> </ul>	<p><i>However, the Common Requirements (Annex 2 para 3.1.2) require that the safety management function identified as responsible for the development and maintenance of the SMS is, wherever possible, independent of line management, whilst still being accountable directly to the highest organisational level.</i></p>
<p>An ANSP shall perform reviews of the quality system in place and take remedial actions, as appropriate (CR Annex 1 Para 3.2 (e))</p>	<ul style="list-style-type: none"> <li>• Does top management review the organisation's performance at planned intervals?</li> <li>• How is this achieved?</li> <li>• How do you track remedial actions?</li> </ul>	<p><i>Elements of an SMS that could help demonstrate compliance with this section of the QMS requirement might include:</i></p> <ul style="list-style-type: none"> <li>• <i>Conducting the review as a standing agenda item at a high-level safety meeting. The review could cover information produced by an ANSP's SMS, including for example, findings from internal safety audits as well as any external CAA audits, any operational or technical occurrences considered to have significant safety implications, and the results of any relevant investigations, together with customer feedback and any overall trends identified by the ANSP. The progress of remedial actions could be monitored at the same meeting.</i></li> </ul>