ANSP Compliance Matrix

Annex I

GENERAL REQUIREMENTS FOR THE PROVISION OF AIR NAVIGATION SERVICES

	1. TECHNICAL AND OPERATIONAL COMPETENCE AND CAPABILITY	
Common Requirement Question.	**<u>Annex 1, CR 1, Question 1:</u>** **Please identify documented measures in place to maintain adequate technical and operational capacity and expertise within your normal operational environment.**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	2. ORGANISATIONAL STRUCTURE AND MANAGEMENT – 2.1 Organisational Structure	
Common Requirement Question.	**<u>Annex 1, CR 2.1, Question 1:</u>** **Please identify how the organisational structure is defined, documented, and approved, to ensure that it supports the safe efficient and continuous provision of services.**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	2. ORGANISATIONAL STRUCTURE AND MANAGEMENT – 2.1 Organisational Structure	
Common Requirement Question.	**<u>Annex 1, CR 2.1, Question 2:</u>** **Please identify how the authorities, duties, responsibilities, inter-departmental relationships, and reporting lines are defined, in particular, the management personnel in charge of safety, quality, security, finance and human resources related functions.**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	2. ORGANISATIONAL STRUCTURE AND MANAGEMENT – 2.2 Organisational Management	
Common Requirement Question.	**<u>Annex 1, CR 2.2, Question 1:</u>** ***(Not applicable to ANSPs requesting a derogated certificate):*** **How do you propose to meet the requirements to produce a five-year business plan and an annual plan covering the elements set out in the requirement above?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	2. ORGANISATIONAL STRUCTURE AND MANAGEMENT – 2.2 Organisational Management	
Common Requirement Question.	**Annex 1, CR 2.2, Question 2:** ***(Not applicable to ANSPs requesting a derogated certificate):*** **What mechanisms do you have in place to ensure that an effective consultation with users occurs?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	3. SAFETY AND QUALITY MANAGEMENT – 3.1 Safety Management	
Common Requirement Question.	**<u>Annex 1, CR 3.1, Question 1:</u>** **What arrangements have been established to manage safety?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	3. SAFETY AND QUALITY MANAGEMENT – 3.1 Safety Management	
Common Requirement Question.	**<u>Annex 1, CR 3.1, Question 2:</u>** **How have stakeholders been identified, and what is their influence to the safety of services?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	3. SAFETY AND QUALITY MANAGEMENT – 3.1 Safety Management	
Common Requirement Question.	**<u>Annex 1, CR 3.1, Question 3:</u>** **What formal interfaces do you have with stakeholders?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	3. SAFETY AND QUALITY MANAGEMENT – 3.2 Quality Management System	
Common Requirement Question.	**<u>Annex 1, CR 3.2, Question 1:</u>** **Please provide details of any certificated QMS, issued by an accredited organisation and covering the air navigation services to be provided.**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	3. SAFETY AND QUALITY MANAGEMENT – 3.2 Quality Management System	
Common Requirement Question.	**<u>Annex 1, CR 3.2, Question 2:</u>** **If you do not hold a certificated QMS what arrangements are in place to manage quality?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	3. SAFETY AND QUALITY MANAGEMENT – 3.2 Quality Management System	
Common Requirement Question.	**<u>Annex 1, CR 3.2, Question 3:</u>** **What arrangements are in place for document control?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	3. SAFETY AND QUALITY MANAGEMENT – 3.2 Quality Management System	
Common Requirement Question.	**<u>Annex 1, CR 3.2, Question 4:</u>** **If no quality management system currently exists what plans do you have to develop one within 2 years after entry into force of the Common Requirements regulation?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	3. SAFETY AND QUALITY MANAGEMENT – 3.3 Operations Manuals	
Common Requirement Question.	**<u>Annex 1, CR 3.3, Question 1:</u>** **Please identify the operations manuals relating to your service provision.**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	3. SAFETY AND QUALITY MANAGEMENT – 3.3 Operations Manuals	
Common Requirement Question.	**<u>Annex 1, CR 3.3, Question 2:</u>** **How do you ensure that personnel concerned have access to operations manuals.**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	3. SAFETY AND QUALITY MANAGEMENT – 3.3 Operations Manuals	
Common Requirement Question.	**<u>Annex 1, CR 3.3, Question 3:</u>** **How do you ensure that operations personnel are expeditiously informed of amendments and when they come into force?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	3. SAFETY AND QUALITY MANAGEMENT – 3.3 Operations Manuals	
Common Requirement Question.	**<u>Annex 1, CR 3.3, Question 4:</u>** **How do you maintain currency of the operations manuals?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 1:</u>** **Please identify particular individuals or post-holders within your organisation to whom security responsibilities and accountabilities are assigned.**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 2:</u>** **Have you established a formal Security Management System (SyMS), and does it comply with a recognised standard (e.g. ISO17799)?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 3:</u>** **How do you ensure security of your facilities and personnel against unlawful interference? (e.g. environmental, physical and information security measures; employee vetting via approved agencies, Counter Terrorism and Criminal Records checks and previous employee references).**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 4:</u>** **How do you ensure security of your operational data, and restrict access only to those authorised?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 5:</u>** **Please identify the media used to obtain, produce and maintain operational data, (i.e. paper/electronic based) and relevant standards applied.**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 6:</u>** **How do you carry out security risk assessments and, when was the last assessment carried out?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 7:</u>** **What security monitoring and improvement processes do you have in place?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 8:</u>** **What provisions have you made for security reviews?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 9:</u>** **How do you act upon and disseminate lessons learned from security reviews?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 10:</u>** **What specific processes have you established for the mitigation of *safety-related* issues identified through the security review process?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 11:</u>** **What process and means do you have in place to detect security breaches and alert personnel with appropriate security warnings?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	4. SECURITY	
Common Requirement Question.	**<u>Annex 1, CR 4, Question 12:</u>** **What processes do you have in place to identify recovery action and mitigate against future occurrences?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	5. HUMAN RESOURCES	
Common Requirement Question.	**<u>Annex 1, CR 5, Question 1:</u>** **What documented policies are in place for the recruitment and training of personnel to ensure they are appropriately skilled?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	6. FINANCIAL STRENGTH. – 6.1 Economic and Financial Capacity & 6.2 Financial Audit	
Common Requirement Question.	**Annex 1, CR 6.1 & 6.2, Question 1:** ***(Not applicable to ANSPs requesting a derogated certificate):*** **Do regular independent financial audits take place?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	6. FINANCIAL STRENGTH. – 6.1 Economic and Financial Capacity & 6.2 Financial Audit	
Common Requirement Question.	**Annex 1, CR 6.1, Question 2:** ***(Not applicable to ANSPs requesting a derogated certificate):*** **If so by whom and at what frequency?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	7. LIABILITY AND INSURANCE COVER	
Common Requirement Question.	**<u>Annex 1, CR 7, Question 1:</u>*(Not applicable to ANSPs requesting a derogated certificate):*** **Can you confirm the level and type of liability insurance that you have in place (to cover ANSP related risks only) and the provider of that cover?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	7. LIABILITY AND INSURANCE COVER	
Common Requirement Question.	**Annex 1, CR 7, Question 2:***(Not applicable to ANSPs requesting a derogated certificate):* **Do you currently provide statistical data on aircraft type and movements to the CAA?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	7. LIABILITY AND INSURANCE COVER	
Common Requirement Question.	**Annex 1, CR 7, Question 3:***(Not applicable to ANSPs requesting a derogated certificate):* **Do you obtain services or information from other ANSPs and if so please specify details?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	7. LIABILITY AND INSURANCE COVER	
Common Requirement Question.	**<u>Annex 1, CR 7, Question 4:</u>*(Not applicable to ANSPs requesting a derogated certificate):*** **In such cases as (3) are you included as additionally insured on the liability insurance of another ANSP? Is it your intention to cover liability in this way?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	8. QUALITY OF SERVICES – 8.1 Open and transparent provision of services	
Common Requirement Question.	**<u>Annex 1, CR 8.1, Question 1:</u>** **Where are your conditions for access to services published?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	8. QUALITY OF SERVICES – 8.1 Open and transparent provision of services	
Common Requirement Question.	**<u>Annex 1, CR 8.1, Question 2:</u>** **What formal user consultation arrangements have you put in place and how often do you consult with your users?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	8. QUALITY OF SERVICES – 8.1 Open and transparent provision of services	
Common Requirement Question.	**<u>Annex 1, CR 8.1, Question 3:</u>** **What information is made available to users as part of the consultation process?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	8. QUALITY OF SERVICES – 8.2 Contingency plans	
Common Requirement Question.	**<u>Annex 1, CR 8.2, Question 1:</u>** **What contingency plans exist?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	8. QUALITY OF SERVICES – 8.2 Contingency plans	
Common Requirement Question.	**<u>Annex 1, CR 8.2, Question 2:</u>** **If not currently in place what arrangements will be put into place to develop contingency plans within 12 months following certification?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	8. QUALITY OF SERVICES – 8.2 Contingency plans	
Common Requirement Question.	**<u>Annex 1, CR 8.2, Question 3:</u>** **What is the scope of the contingency plans?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	9. REPORTING REQUIREMENTS	
Common Requirement Question.	**Annex 1, CR 9, Question 1:** ***(Not applicable to ANSPs requesting a derogated certificate):*** **How do you plan to meet the requirement to produce an annual report?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		

	9. REPORTING REQUIREMENTS	
Common Requirement Question.	**Annex 1, CR 9, Question 2:** ***(Not applicable to ANSPs requesting a derogated certificate):*** **What information will be made available to users as part of the user consultation process?**	
Control measures in place.		
	Document Reference:	**Version Number and Date:**
	Document Reference:	**Version Number and Date:**
Planned measures not currently complete.		
	Date planned measures are to be completed:	
Additional Comments.		