**COMPLIANCE MATRIX**

**UK (EU) Regulation No 2017/373**

**CNS Requirements**

**ANNEX VIII – PART CNS**

**SPECIFIC REQUIREMENTS FOR PROVIDERS OF COMMUNICATION, NAVIGATION, OR SURVEILLANCE SERVICES**

|  |  |
| --- | --- |
| **Service Provider** |  |
| **Matrix version number** |  | Date |  |

Complete all relevant sections and send the compliance matrix and supporting documents to ansp.certification@caa.co.uk

**General Introduction to the ATM/ANS UK (EU) Regulation No 2017/373 Compliance Matrices**

Regulation (EU) No 2017/373 as retained (and amended in UK domestic law) under the European Union (Withdrawal) Act 2018 is applicable to all the service providers and functions shown in the diagram below which has been extracted from the regulation.

The Compliance matrices have been divided into the following Parts:

ANNEX III ATM/ANS ORGANISATIONAL REQUIREMENTS

ANNEX IV AIR TRAFFIC SERVICES

ANNEX V METEOROLOGICAL SERVICES

ANNEX VI AERONAUTICAL INFORMATION SERVICES

ANNEX VIII COMMUNICATION NAVIGATION OR SURVEILLANCE SERVICES

ANNEX IX AIR TRAFFIC FLOW MANAGEMENT

ANNEX X AIRSPACE MANAGEMENT

ANNEX XI PROCEDURE DESIGN

ANNEX XIII AIR TRAFFIC SAFETY PERSONNEL



Note: ANNEX VII Part DAT and ANNEX XII Part NM not included.

**The table below indicates which of the compliance matrices must be completed by which type of service provider**

**Service Providers must complete the relevant Compliance Matrices and sections as indicated below**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Compliance Matrix** | **Compliance Matrix Section** | **ATS** | **MET** | **AIS** | **CNS** | **ATFM** | **ASM** | **FPD** |
| **Local only** | **METARS** | **Forecast** | **NATS (En Route)** | **ATS Units** |
| ANNEX III | Section 1 | **X** | **X** | **X** | **X** | **X** | **X** |  |  | **X** | **X** |
| Section 2 | **X** | **X** | **X** | **X** | **X** | **X** |  |  | **X** | **X** |
| Section 3 | **X** | **X** | **X** | **X** | **X** | **X** |  |  |  |  |
| Section 4 | **X** | **X** | **X** | **X** | **X** | **X** |  |  | **X** | **X** |
| Section 5 | **X** |  |  |  |  |  |  |  |  |  |
| Section 6 | **\*** | **X** | **X** | **X** | **X** | **X** |  |  | **X** | **X** |
| ANNEX IV | Sections 1 to 4 | **X** |  |  |  |  |  |  |  |  |  |
| ANNEX V | Section 1 |  | **X** | **X** | **X** |  |  |  |  |  |  |
| Section 2 |  | **X** | **X** |  |  |  |  |  |  |  |
| Section 3 |  |  |  | **X** |  |  |  |  |  |  |
| Section 4 |  |  |  | **X** |  |  |  |  |  |  |
| Section 5 |  |  |  | **X** |  |  |  |  |  |  |
| Section 6 |  |  |  |  |  |  |  |  |  |  |
| Section 7 |  |  |  | **X** |  |  |  |  |  |  |
| ANNEX VI |  |  |  |  |  | **X** |  |  |  |  |  |
| ANNEX VIII |  |  |  |  |  |  | **X** |  |  |  |  |
| ANNEX IX | Section 1 |  |  |  |  |  |  | **X** |  |  |  |
| Section 2 |  |  |  |  |  |  |  | **X** |  |  |
| ANNEX X |  |  |  |  |  |  |  |  |  | **X** |  |
| ANNEX XI |  |  |  |  |  |  |  |  |  |  | **X** |
| ANNEX XIII |  |  |  |  |  |  | **X** |  |  |  |  |
| **\*ANNEX III Section 6 may be applicable to some ATS providers. See notes in Section 6****\*The Applicability of ANNEX XIII is dependent upon the scope as specified within each of the subparts of ANNEX XIII** |

**Introduction to Compliance Matrix ANNEX III ORGANISATIONAL REQUIREMENTS**

UK (EU) Regulation No 2017/373 requires that all CNS service providers must comply with the requirements of Annex VIII.

This Compliance Matrix contains all the Annex III Organisational Requirements (ORs) and Technical Requirements (TRs) relating to the provision of CNS.

The compliance matrix should be used as a checklist to enable you to establish the level of compliance of your organisation with the new regulation and to identify areas where further action is required.

A list of the supporting documents referred to in the compliance matrix should be entered into the table below.

This Compliance Matrix is to be maintained and amended when changes are made to the supporting documents.

**How to complete this Compliance Matrix**

The Matrix is divided into two sections:

**SECTION 1 and 2** - To be completed by all CNS Service Providers.

The Matrix is laid out in the format shown in the example below.

The first column lists the regulation and associated Acceptable Means of Compliance (AMC). Where there is no AMC, compliance must be indicated against the regulation or the part of the regulation that has no AMC associated.

The second column provides a very brief description of the requirements.

The third column provides a link to the actual regulation or AMC so full details of the requirement can be viewed as shown below. After viewing the regulation or AMC clicking on the ‘return link’ will bring you back to where you were in the compliance matrix. The third column also provides links to UK Guidance Material (UK GM) where applicable.

The original UK (EU) regulation No 2017/373 and current AMC and GM can be accessed via the CAA web site. [ATM/ANS provision of services | Civil Aviation Authority (caa.co.uk)](https://info.caa.co.uk/uk-regulations/atmans-provision-of-services/)

The requirements and AMC listed below are in the order shown in the regulation except for SECTIONS 4, 5 and 6 Change Management.

Under each requirement a space is provided to enable you to indicate in which of your organisation’s documents compliance can be demonstrated.

Unless specifically asked for, statements of compliance are not required within the compliance matrix.

Where your organisation is not yet compliant with a requirement enter ‘UNDER DEVELOPMENT’ followed by a target date for completion. This should be no more than 6 months. Items marked as under development will be in the scope of the next routine oversight audit.

Complete all relevant sections and send the compliance matrix and supporting documentation to ansp.certification@caa.co.uk

**Example of compliance matrix**

|  |  |  |
| --- | --- | --- |
| **The Regulation and AMC** | **Requirements for all providers (except where indicated)** | **Link** |
| **ATM/ANS.OR.A.055 Findings and corrective actions** | Document a process for dealing with findings raised by the CAA. Identify root cause and development of corrective action plan | 373 |
| **AMC1 ATM/ANS.OR.A.055(b) Findings and corrective actions** | This relates to the scope of the corrective action, include in above documented process | 373 |
| **Enter reference(s) where compliance is indicated** | Detailed in Management system procedure MSP.002 Section 6, Audits and Findings |  |

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| **ATM/ANS.OR.A.055 Findings and corrective actions** After receipt of notification of findings from the competent authority, the service provider shall: (a) identify the root cause of the non-compliance; (b) define a corrective action plan that meets the approval by the competent authority; (c) demonstrate corrective action implementation to the satisfaction of the competent authority within the time period proposed by the service provider and agreed with that authority, as defined in point ATM/ANS.AR.C.050(e). | Return Link |
| **AMC1 ATM/ANS.OR.A.055(b) Findings and corrective actions** **GENERAL** The corrective action plan defined by the service provider should address the effects of the non-conformity and its root cause. | Return Link |

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| **Referenced Documents** |
| **Index** | **Title of Document** | **Current Issue No.** | **Date of Issue** |
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| **Referenced Documents** |
| **Index** | **Title of Document** | **Current Issue No.** | **Date of Issue** |
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**Compliance Matrix SECTION 1**

**ANNEX VIII - SUBPART A — ADDITIONAL ORGANISATION REQUIREMENTS FOR PROVIDERS OF COMMUNICATION, NAVIGATION, OR SURVEILLANCE SERVICES (CNS.OR)**

**General Requirements**

This section of the compliance matrix contains extracts from the above annexe and subpart of the regulation that are applicable to **all CNS providers**

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| **The Regulation and AMC** | **Requirements for all CNS providers**  | **Link** |
| **CNS.OR.100 Technical and operational competence and capability (a)** | Provide a reference that indicates that your organisation’s engineering management system ensures the availability, continuity, accuracy and integrity of their communication, navigation or surveillance services, as applicable. | [373](#OR_100) |
| [UK GM](#GM_OR_100a) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **CNS.OR.100 Technical and operational competence and capability (b)** | Provide a reference that indicates that your organisation’s engineering management system confirms the quality level of the services provided and how it can be demonstrated that the equipment is regularly maintained and, where required, calibrated. | [373](#OR_100) |
| [UK GM](#GM_OR_100b) |
| **Enter reference(s) where compliance is indicated** |  |  |

**Compliance Matrix SECTION 2**

**ANNEX VIII - SUBPART B — TECHNICAL REQUIREMENTS FOR PROVIDERS OF COMMUNICATION, NAVIGATION OR SURVEILLANCE SERVICES (CNS.TR)**

This section of the compliance matrix contains extracts from the above annexe and subpart of the regulation that are applicable to **CNS service providers**

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| **The Regulation and AMC** | **Requirements for all CNS providers**  | **Link** |
| **CNS.TR.100 Working methods and operating procedures for providers of communication, navigation or surveillance services** | A communication, navigation or surveillance services provider shall be able to demonstrate that its working methods and operating procedures are compliant with the standards of Annex 10 to the Chicago Convention on aeronautical telecommunications in the following versions as far as they are relevant to the provision of communication, navigation or surveillance services in the airspace concerned. | [373](#TR_100) |
|  | Statement only. |  |
| **CNS.TR.100 Working methods and operating procedures for providers of communication, navigation or surveillance services (a)** | Provide evidence of compliance with the following requirement if applicable to your organisations CNS service provision.Annex 10, Volume I on radio navigation aids in its 6th edition of July 2006, including all amendments up to and including No 89; | [373](#TR_100) |
| [UK GM](#GM_TR_100acd) |
| **Enter relevant ANO 205 approval numbers for radio navigation aids if held. New service providers enter ‘No approvals held’.** |  |  |
| **CNS.TR.100 Working methods and operating procedures for providers of communication, navigation or surveillance services (b)** | Annex 10, Volume II on communication procedures, including those with PANS status in its 6th edition of October 2001, including all amendments up to and including No 89. | [373](#TR_100) |
| [UK GM](#GM_TR_100b) |
|  | Compliance with this requirement by CNS service providers is not required. Refer to UK GM |  |
| **CNS.TR.100 Working methods and operating procedures for providers of communication, navigation or surveillance services (c)** | Provide evidence of compliance with the following requirement if applicable to your organisations CNS service provision.Annex 10, Volume III on communications systems in its 2nd edition of July 2007, including all amendments up to and including No 89; | [373](#TR_100) |
| [UK GM](#GM_TR_100acd) |
| **Enter relevant ANO 205 approval numbers for communications systems if held. New service providers enter ‘No approvals held’.** |  |  |

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| **CNS.TR.100 Working methods and operating procedures for providers of communication, navigation or surveillance services (d)** | Provide evidence of compliance with the following requirement if applicable to your organisations CNS service provisionAnnex 10, Volume IV on surveillance radar and collision avoidance systems in its 4th edition of July 2007, including all amendments up to and including No 89; | [373](#TR_100) |
| [UK GM](#GM_TR_100acd) |
| **Enter relevant ANO 205 approval numbers for surveillance radar and collision avoidance systems if held. New service providers enter ‘No approvals held’.** |  |  |
| **CNS.TR.100 Working methods and operating procedures for providers of communication, navigation or surveillance services (e)** | Provide evidence of compliance with the following requirement if applicable to your organisations CNS service provisionAnnex 10, Volume V on aeronautical radio frequency spectrum utilisation in its 3rd edition of July 2013, including all amendments up to and including No 89 | [373](#TR_100) |
| [UK GM](#GM_TR_100e) |
| **Enter either of the following statements:****‘All relevant W/T licenses and spectrum allocation documents held and available for inspection along with relevant ANO 205 approvals’ or for new service providers****‘Not Compliant, ANO 205 approvals not held’.** |  |  |

**The UK (EU) Regulations and the AMC reference material**

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| **CNS.OR.100 Technical and operational competence and capability**(a) A communication, navigation or surveillance services provider shall ensure the availability, continuity, accuracy and integrity of their services.(b) A communication, navigation or surveillance services provider shall confirm the quality level of the services they are providing and shall demonstrate that their equipment is regularly maintained and, where required, calibrated. | [Return OR.100 (a)](#RETURN_OR_100a) |
| [Return OR.100 (b)](#RETURN_OR_100b) |
|  |
| **UK GUIDANCE MATERIAL providing guidance on compliance with CNS.OR.100 (a)**Records need to be kept demonstrating the ‘availability’ and ‘continuity’ of CNS systems. Such records should be compared to the manufacturer’s expected availability figures. Where the manufacture’s projected availability figures are not met this may indicate an underperformance of the functional system as referred to in ATM/ANS.OR.B.005 (d) and should be subjected to formal safety review.The ‘accuracy and integrity’ of the services provided will require regular checks and calibration. The nature of these checks/calibration will depend on the type of equipment in question i.e. internal and external monitoring systems, flight calibration, CRC for data systems. Records of such checks/calibration should be maintained. | [Return OR 100 (a)](#RETURN_OR_100a) |
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| **UK GUIDANCE MATERIAL providing guidance on compliance with CNS.OR.100(b)**Maintenance and calibration needs to be carried out IAW the manufacture’s recommendations and records kept.Equipment used for calibration must itself be calibrated and records kept.The MS/SMS/Maintenance Exposition should contain a procedure detailing the methods used for the calibration of test equipment and special tools. | [Return OR 100 (b)](#RETURN_OR_100b) |

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| **CNS.TR.100 Working methods and operating procedures for providers of communication, navigation or surveillance services** A communication, navigation or surveillance services provider shall be able to demonstrate that its working methods and operating procedures are compliant with the standards of Annex 10 to the Chicago Convention on aeronautical telecommunications in the following versions as far as they are relevant to the provision of communication, navigation or surveillance services in the airspace concerned:(a) Volume I on radio navigation aids in its 6th edition of July 2006, including all amendments up to and including No 89;(b) Volume II on communication procedures, including those with PANS status in its 6th edition of October 2001, including all amendments up to and including No 89;(c) Volume III on communications systems in its 2nd edition of July 2007, including all amendments up to and including No 89;(d) Volume IV on surveillance radar and collision avoidance systems in its 4th edition of July 2007, including all amendments up to and including No 89;(e) Volume V on aeronautical radio frequency spectrum utilisation in its 3rd edition of July 2013, including all amendments up to and including No 89.  | [Return TR 100](#RETURN_TR_100) |
| [Return TR 100 (a)](#RETURN_TR_100a) |
| [Return TR 100 (b)](#RETURN_TR_100b) |
| [Return TR 100 (c)](#RETURN_TR_100c) |
| [Return TR 100 (d)](#RETURN_TR_100d) |
| [Return TR 100 (e)](#RETURN_TR_100e) |
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| **UK GUIDANCE MATERIAL providing guidance on compliance with CNS.TR.100 (a) (c) (d)**Paragraphs (a) (c) and (d) directly relate to CNS equipment and a CNS provider must be able to demonstrate compliance with the relevant ICAO standards of Annex 10. The CAA has extracted the equipment requirements of the Annex 10 standards and has published these in CAP 670 Part C.The Air Navigation Order (ANO) Article 205 states ‘*A person must not cause or permit any air traffic service equipment to be established or used in the United Kingdom otherwise than under and in accordance with an approval granted by the CAA to the person in charge of the equipment’.*Such approvals are issued by the CAA when an item of air traffic service equipment or system is deemed to be compliant with the relevant requirements laid down in CAP 670, with Interoperability requirements of UK (EU) Regulation No 552/2004 and other applicable requirement such as safety cases, maintenance routines, safeguarding, physical and ergonomic arrangements, and staff competence etc.Therefore, holders of ANO Article 205 approvals issued by the CAA may present these as evidence of compliance with paragraphs (a) (c) and (d) of this technical requirement. Where 205 approvals are not held, as in the case of a new service provider applying for certification, demonstration with the requirements of the Article 205 approval must be provided and approvals obtained for all air traffic service equipment/systems before a certificate can be issued. | [Return TR.100 (a)](#RETURN_TR_100a) |
| [Return TR.100 (c)](#RETURN_TR_100c) |
| [Return TR.100 (d)](#RETURN_TR_100d) |
| **UK GUIDANCE MATERIAL providing guidance on compliance with CNS.TR.100 (b)**The standards in Annex 10, Volume II are not directly relevant to CNS service providers. These standards relate to communication procedures and message protocols and are more relevant to the users of the communication services provided by the CNS service provider. This requirement is replicated in Annex IV, Part ATS, ATS.TR.100 as a requirement for Air Traffic Service providers therefore no demonstration of compliance with this requirement by CNS service providers is required. | [Return TR 100 (b)](#RETURN_TR_100b) |
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| **UK GUIDANCE MATERIAL providing guidance on compliance with CNS.TR.100 (e)**All CNS equipment which radiates within the radio frequency spectrum is required to have a WT licence issued by OFCOM and a spectrum allocation documentation issued by the CAA. Where the CNS provision is provided at an aerodrome the W/T licence will be issued to the aerodrome owner, but it is the responsibility of the CNS provider to ensure that these licenses are held.The possession/availability of these documents and the adherence to their requirements is part of the ANO Article 205 approval process, therefor holders of relevant ANO 205 approvals are deemed to be compliant with this requirement and the following statement should be entered. ‘All relevant W/T licenses and spectrum allocation documents held and available for inspection along with relevant ANO 205 approvals. New service providers who currently do not hold ANO 205 approvals should enter ‘Not Compliant, ANO 205 approvals not held’. | [Return TR 100 (e)](#RETURN_TR_100e) |