**COMPLIANCE MATRIX**

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

**Air Traffic Service Requirements**

**ANNEX IV — PART-ATS**

**SPECIFIC REQUIREMENTS FOR PROVIDERS OF AIR TRAFFIC SERVICES**

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

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

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| **Amendment record** |
| **Issue** | **Date**  | **Purpose** |
| 5 | February 2022 | Amended by ORS9 Decision 6 |
| 6 | September 2022 | Amended by Statutory Instruments 1203, [ORS 9 Decision 13](https://publicapps.caa.co.uk/docs/33/ORS9CAADecisionNo13WithDatesForSigning.pdf), to rename UK Guidance Material (UK GM) to Compliance Matrix Guidance Notes (CM GN) and include ref to Annex VII Part DAT. |
| 7 | August 2023 | Amended to include Compliance Matrix Guidance Material for the Coordination between Aerodrome Operators and Air Traffic Service Providers ATS.OR.110 and Coordination between Aeronautical Information Services and Air Traffic Services Providers ATS.OR.125. |
| 8 | April 2025 | Document review. Updated hyperlinks and minor typos. Removed out of date text. |

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

UK Regulation (EU) No 2017/373 is applicable to all the services and functions shown in the diagram below which has been extracted from the regulation.

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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 VII DATA 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 XII Part NM not included.

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

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

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| **Compliance Matrix** | **Compliance Matrix Section** | **ATS** | **MET** | **AIS** | **DAT** | **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** | **X** | **X** | **X** |
| Section 2 | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** |
| Section 3 | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** |  |  |
| Section 4 | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** |
| Section 5 | **X** |  |  |  |  |  |  |  |  |  |  |
| Section 6 | **\*** | **X** | **X** | **X** | **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 VII |  |  |  |  |  |  | **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 type of service provided, refer to Tables 1 and 2 of the ANNEX XIII Matrix** |

**Introduction to Compliance Matrix ANNEX IV AIR TRAFFIC SERVICE REQUIREMENTS**

UK Regulation (EU) No 2017/373 requires that Air Traffic Service providers must comply with the Specific Requirements detailed in Annex IV of the regulation.

This Compliance Matrix contains all the Annex IV ATS specific Organisational Requirements (ORs) except those applicable to the management of change which are detailed separately in the Compliance Matrix ANNEX III.

It should be noted that some AMCs contain words ‘Should’ and ‘May. Unless an Alternative Means of Compliance (AltMoC) is approved and used, the words ‘Should’ and ‘May’ are to be interpreted as ‘Shall’ and ‘Must’.

The compliance matrix should be used as a checklist to enable you to establish the level of compliance of your organisation with the 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.

Applicants are to submit the completed compliance matrices and the referenced supporting documentation including the uniquely identified procedures below as applicable.

ATS.OR.305(b) The procedure to detect the use of psychoactive substances by air traffic controllers. New applicants must submit a copy of their psychoactive substances procedure for approval. (Only required where an Air Traffic Control service is provided).

ATS.OR.320(a) ATCO Rostering systems. New applicants must submit a copy of their ATCO Rostering System for approval. (Only required where an Air Traffic Control service is provided).

**How to complete this Compliance Matrix**

The Matrix is divided into four sections.

**Sections 1,2 and 4** to be completed by all Air Traffic Service providers.

**Section 3** is only to be completed by Air Traffic Service providers who provide an Air Traffic Control service.

**Section 2** is divided into two parts for Complex and non-Complex providers, only the relevant part needs to be completed.

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 Compliance Matrix, Guidance Notes (CM GN) where applicable.

The original UK Regulation (EU) No 2017/373 and current AMC and Guidance Material (GM) can be accessed via the CAA web site. [UK Regulations | UK Civil Aviation Authority](https://www.caa.co.uk/uk-regulations/)

The requirements and AMC listed below are in the order shown in the regulation.

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.

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

**Example of compliance matrix**

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| **The Regulation and AMC** | **Requirements for all providers (except where indicated)** | **Link** |
| **ATS.OR.200 Safety management system (3)** **Safety assurance (iii)** | Provide a reference that indicates how your organisation’s safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, includes the following components:A Safety Assurance Process that meets the requirements of (3) (iii) of this requirement. *(See AMC Below).* | 373 |
| **AMC1 ATS.OR.200(3)(iii) Safety management system** | CONTINUOUS IMPROVEMENT OF THE SMSProvide a reference that indicates how your organisation’s SMM contains a process to continuously improve the effectiveness of its SMS in compliance with the requirements of this AMC (a) to (d). | 373 |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **ATS.OR.200 Safety management system (3)** An air traffic services provider shall have in place a safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, that includes the following components:(3) Safety assurance(i) Safety performance monitoring and measurement means to verify the safety performance of the organisation and validate the effectiveness of the safety risk controls.(ii) A process to identify changes which may affect the level of safety risk associated with its service and to identify and manage the safety risks that may arise from those changes.(iii) A process to monitor and assess the effectiveness of the SMS to enable the continuous improvement of the overall performance of the SMS. | Return Link |
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| **AMC1 ATS.OR.200(3)(iii) Safety management system** **CONTINUOUS IMPROVEMENT OF THE SMS — COMPLEX ATS PROVIDERS** An air traffic services provider should continuously improve the effectiveness of its SMS by: (a) developing and maintaining a formal process to identify the causes of substandard performance of the SMS; (b) establishing one or more mechanisms to determine the implications of substandard performance of the SMS; (c) establishing one or more mechanisms to eliminate or mitigate the causes of substandard performance of the SMS; and (d) developing and maintaining a process for the proactive evaluation of facilities, equipment, documentation, processes and procedures (through internal audits, surveys, etc.). | 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 IV — SUBPART A — ADDITIONAL ORGANISATION REQUIREMENTS FOR PROVIDERS OF AIR TRAFFIC SERVICES (ATS.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 ATS service providers** except where they relate to the management of changes which are contained in Compliance Matrix ANNEX III

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| **The Regulation and AMC** | **Requirements for all ATS providers (except where indicated)** | **Link** |
| **ATS.OR.100 Ownership (a) (1)** | (a) An air traffic services provider shall notify the competent authority of:(1) its legal status, its ownership structure and any arrangements having a significant impact on control over its assets. | [373](#OR_100) |
| **Provide details of this requirement** |  |  |
| **ATS.OR.100 Ownership (a) (2)** | (a) An air traffic services provider shall notify the competent authorities of:(2) any links *(Business Links)* with organisations not involved in the provision of air navigation services, including commercial activities in which they are engaged either directly or through related undertakings, which account for more than 1 % of their expected revenue; furthermore, it shall notify any change of any single shareholding which represents 10 % or more of their total shareholding. | [373](#OR_100) |
| **Provide details of this requirement** |  |  |
| **ATS.OR.100 Ownership (b)** | (b) An air traffic services provider shall take all necessary measures to prevent any situation of conflict of interests that could compromise the impartial and objective provision of its services. | [373](#OR_100) |
|  | Statement only |  |
| **ATS.OR.105 Open and transparent provision of service** | In addition to point ATM/ANS.OR.A.075 of Annex III, the air traffic service provider shall neither engage in conduct that would have as its object or effect the prevention, restriction or distortion of competition, nor shall they engage in conduct that amounts to an abuse of a dominant position, in accordance with applicable law | [373](#OR_105) |
|  | Statement only |  |

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| **ATS.OR.110 Coordination between aerodrome operators and air** **traffic services providers** | Provide a reference that indicates that your organisation has established arrangements with the operator of the aerodrome at which it provides air traffic services to ensure adequate coordination of activities and services provided as well as exchange of relevant data and information.*(Consider AMC requirements below)* | [373](#OR_110) |
| [CM GM](#UK_GM_ATS_OR_110) |
| **AMC1 ATS.OR.110 Coordination between aerodrome operators and** **air traffic services providers** | **ESTABLISHMENT AND IDENTIFICATION OF STANDARD TAXI ROUTES**(a) The air traffic services provider, in coordination with the aerodrome operator, should assess the necessity for establishing standard routes for taxiing aircraft on an aerodrome between runways, aprons and maintenance areas. (b) When established, such routes should be direct, simple and, where practicable, designed to avoid traffic conflicts.(c) Standard routes for taxiing aircraft should be identified by designators distinctively different from those of the runways and ATS routes. | [373](#AMC1_OR_110) |
| **[CM](#UK_GM_AMC1_ATS_OR_110)****[GN](#UK_GM_AMC1_ATS_OR_110)** |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC2 ATS.OR.110 Coordination between aerodrome operators and** **air traffic services providers** | **INFORMATION EXCHANGE ON THE AERODROME CONDITIONS AND OPERATIONAL STATUS OF AERODROME FACILITIES**The air traffic services provider should establish arrangements with the aerodrome operator for the exchange of information regarding the aerodrome conditions, in particular the operational conditions of the movement area, including the existence of temporary hazards, and the operational status of any associated facilities at the aerodrome(s) with which they are concerned. | [373](#AMC2_OR_110) |
| **[CM](#UK_GM_AMC2_ATS_OR_110)****[GN](#UK_GM_AMC2_ATS_OR_110)** |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC3 ATS.OR.110 Coordination between aerodrome operators and** **air traffic services providers** | **APRON MANAGEMENT SERVICES**The air traffic services provider should establish arrangements, including a coordination procedure, with the aerodrome operator and, when applicable, with the other organisation(s) providing apron management services. The coordination procedure between the provider(s) of apron management services and the air traffic services provider should contain at least the following:a) the boundaries of the respective areas of responsibilities on the movement area. (b) the handover points between apron and manoeuvring area. (c) the holding areas. (d) the means of guidance for the aircraft taxiing. (e) the operational information to be exchanged between both parties; and (f) the push back operations, when interfering with the manoeuvring area.  | [373](#AMC3_OR_110) |
| [CM GM](#UK_GM_AMC3_ATS_OR_110) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **AMC4 ATS.OR.110 Coordination between aerodrome operators and** **air traffic services providers** | **COORDINATION FOR LOW-VISIBILITY OPERATIONS**The air traffic services provider should establish arrangements with the aerodrome operator and, where established, with the apron management services provider(s) for the relevant aspects and the definition of the respective responsibilities in conducting low-visibility operations (LVOs). | [373](#AMC4_OR_110) |
| **[CM](#UK_GM_AMC4_ATS_OR_110)****[GN](#UK_GM_AMC4_ATS_OR_110)** |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC5 ATS.OR.110 Coordination between aerodrome operators and** **air traffic services providers** | **COORDINATION FOR RUNWAYS INSPECTIONS**The air traffic services provider should coordinate with the aerodrome operator the conduct of routine and non-routine runway inspections. | [373](#AMC5_OR_110) |
| **[CM](#UK_GM_AMC5_ATS_OR_110)****[GN](#UK_GM_AMC5_ATS_OR_110)** |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC6 ATS.OR.110 Coordination between aerodrome operators and** **air traffic services providers** | **INFORMATION ON THE SAFE USE OF THE MANOEUVRING AREA**When a not previously notified condition pertaining to the safe use by aircraft of the manoeuvring area is reported to or observed by the aerodrome air traffic controllers or by aerodrome flight information services (AFIS) officers, the air traffic services provider should inform the aerodrome operator, and should ensure that operations on that part of the manoeuvring area are terminated until otherwise advised by the aerodrome operator. | [373](#AMC6_OR_110) |
| **[CM](#UK_GM_AMC6_ATS_OR_110)****[GN](#UK_GM_AMC6_ATS_OR_110)** |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.125 Coordination between aeronautical information services and air traffic services providers Part (a)** | Provide a reference that indicates that your organisation has established a process to provide to the relevant aeronautical information services provider the aeronautical information to be published as necessary to permit the utilisation of such air traffic services. | [373](#OR_125) |
| [CM GM](#UK_GM_ATS_OR_125_a) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.125 Coordination between aeronautical information services and air traffic services providers Part (b****)** | Provide a reference that indicates that your organisation has established arrangements to report to the responsible aeronautical information services provider, with a minimum of delay:(1) information on aerodrome conditions.(2) the operational status of associated facilities, services and navigation aids within their area of responsibility.(3) the occurrence of volcanic activity observed by air traffic services personnel or reported by aircraft.(4) any other information considered to be of operational significance. | [373](#OR_125) |
| [CM GM](#UK_GM_ATS_OR_125_b) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **ATS.OR.125 Coordination between aeronautical information services and air traffic services providers Part (c)** | Provide a reference that indicates that before your organisation introduces changes to systems for air navigation under its responsibility it complies with the following:(1) ensure close coordination with the aeronautical information services provider(s) concerned.(2) take due account of the time needed by the aeronautical information services provider for the preparation, production and issuance of relevant material for promulgation.(3) provide the information in a timely manner to the aeronautical information services provider concerned. | [373](#OR_125) |
| [CM GM](#UK_GM_ATS_OR_125_c_d) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.125 Coordination between aeronautical information services and air traffic services providers Part (d)** | Provide a reference that indicates that your organisation observes the predetermined, internationally agreed aeronautical information regulation and control (AIRAC) effective dates in addition to 14 days postage time when submitting to aeronautical information services providers the raw information or data, or both, subject to the AIRAC cycle. | [373](#OR_125) |
| [CM GM](#UK_GM_ATS_OR_125_c_d) |
| **Enter reference(s) where compliance is indicated** |  |  |

**Compliance Matrix SECTION 2**

**ANNEX IV — SUBPART A — ADDITIONAL ORGANISATION REQUIREMENTS FOR PROVIDERS OF AIR TRAFFIC SERVICES (ATS.OR)**

**SAFETY OF SERVICES**

This section of the compliance matrix contains extracts from the above annexe and subpart of the regulation that are applicable to **all ATS service providers** except where they relate to the management of changes which are contained in Compliance Matrix ANNEX III

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| **The Regulation and AMC** | **PART 1: ONLY COMPLEX ATS PROVIDERS NEED TO COMPLETE THIS PART** | **Link** |
| **ATS.OR.200 Safety management system (1)** **Safety policy and objectives** | Provide a reference that indicates that your organisation’s safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, includes the following components? A Safety policy and objectives that meets the requirements of (1) (I to v) of this requirement. *(Note AMC requirements below).* | [373](#OR_200_1) |
| **AMC1 ATS.OR.200(1)(i) Safety management system** | **SAFETY POLICY** Provide a reference that indicates how your organisation’s safety policy complies with the requirements of this AMC (a) and (b). | [373](#AMC1_OR_200_1_i) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(ii) Safety management system** | **ACCOUNTABILITIES** Provide a reference that indicates how your organisation’s safety management system complies with the requirements of this AMC (a) to (c). | [373](#AMC1_OR_200_1_ii) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(ii); (iii) Safety management system (a)** | **ORGANISATION AND ACCOUNTABILITIES**Provide a reference that indicates how your organisation’s safety management system identifies the safety manager who, irrespective of other functions, has ultimate responsibility and accountability, on behalf of the organisation, for the implementation and maintenance of the SMS. | [373](#AMC1_OR_200_1_ii_iii) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(ii); (iii) Safety management system (b)** | **ORGANISATION AND ACCOUNTABILITIES**Provide a reference that indicates how your organisation’s safety management system clearly defines lines of safety accountability throughout the organisation, including a direct accountability for safety on the part of senior management. | [373](#AMC1_OR_200_1_ii_iii) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(ii); (iii) Safety management system (c)** | **ORGANISATION AND ACCOUNTABILITIES**Provide a reference that indicates how your organisation’s safety management system identifies the accountabilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS. | [373](#AMC1_OR_200_1_ii_iii) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **The Regulation and AMC** | **PART 1: ONLY COMPLEX ATS PROVIDERS NEED TO COMPLETE THIS PART** | **Link** |
| **AMC1 ATS.OR.200(1)(ii); (iii) Safety management system (d)** | **ORGANISATION AND ACCOUNTABILITIES**Provide a reference that indicates how your organisation’s safety management system documents and communicate safety responsibilities, accountabilities, and authorities throughout the organisation. | [373](#AMC1_OR_200_1_ii_iii) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(ii); (iii) Safety management system (e)** | **ORGANISATION AND ACCOUNTABILITIES**Provide a reference that indicates how your organisation’s safety management system defines the levels of management with authority to make decisions regarding safety risk tolerability. | [373](#AMC1_OR_200_1_ii_iii) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC2 ATS.OR.200(1)(ii); (iii) Safety management system (a)** **Safety Manager** | **ORGANISATION AND ACCOUNTABILITIES** Provide a reference that indicates how your organisation’s SMS encompass safety by including a safety manager in the organisational structure which meets the requirements of this AMC part (a) (1 to 3). | [373](#AMC2_OR_200_1_ii_iii) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC2 ATS.OR.200(1)(ii) ;(iii)** **Safety management system (b) Safety Review Board** | **SAFETY REVIEW BOARD**Provide a reference that indicates how your organisation’s SMS encompass safety by including a safety review board in the organisational structure which meets the requirements of this AMC part (b) (1 to5). | [373](#AMC2_OR_200_1_ii_iii_b) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(iv) Safety management system** | **COORDINATION OF EMERGENCY RESPONSE PLANNING FOR ATS PROVIDERS** Provide a reference that indicates how your organisation’s emergency response plan complies with the requirements of this AMC (a) and (b). | [373](#AMC1_OR_200_1_iv) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(v) Safety management system** **(a)** | **SAFETY MANAGEMENT MANUAL (SMM)** Provide a reference that indicates how your organisation’s SMM includes:(a) scope of the SMS. | [373](#AMC1_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **The Regulation and AMC** | **PART 1: ONLY COMPLEX ATS PROVIDERS NEED TO COMPLETE THIS PART** | **Link** |
| **AMC1 ATS.OR.200(1)(v) Safety management system (b)** | **SAFETY MANAGEMENT MANUAL (SMM)** Provide a reference that indicates how your organisation’s SMM includes:(b) safety policy and objectives. | [373](#AMC1_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(v) Safety management system (c)** | **SAFETY MANAGEMENT MANUAL (SMM)** Provide a reference that indicates how your organisation’s SMM includes: (c) safety accountability of the accountable manager. | [373](#AMC1_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(v) Safety management system (d)** | **SAFETY MANAGEMENT MANUAL (SMM)** Provide a reference that indicates how your organisation’s SMM includes:(d) safety responsibilities, accountabilities and authorities of key safety personnel throughout the air traffic services provider. | [373](#AMC1_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(v) Safety management system (e)** | **SAFETY MANAGEMENT MANUAL (SMM)** Provide a reference that indicates how your organisation’s SMM includes:(e) documentation control procedures. | [373](#AMC1_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(v) Safety management system (f)** | **SAFETY MANAGEMENT MANUAL (SMM)** Provide a reference that indicates how your organisation’s SMM includes:(f) hazard identification and safety risk management schemes. | [373](#AMC1_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(v) Safety management system (g)** | **SAFETY MANAGEMENT MANUAL (SMM)** Provide a reference that indicates how your organisation’s SMM includes: (g) safety performance monitoring. | [373](#AMC1_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **The Regulation and AMC** | **PART 1: ONLY COMPLEX ATS PROVIDERS NEED TO COMPLETE THIS PART** | **Link** |
| **AMC1 ATS.OR.200(1)(v) Safety management system (h)** | **SAFETY MANAGEMENT MANUAL (SMM)** Provide a reference that indicates how your organisation’s SMM includes:(h) incident investigation and reporting. | [373](#AMC1_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(v) Safety management system (i)** | **SAFETY MANAGEMENT MANUAL (SMM)** Provide a reference that indicates how your organisation’s SMM includes:(i) emergency response planning. | [373](#AMC1_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(v) Safety management system (j)** | **SAFETY MANAGEMENT MANUAL (SMM)** Provide a reference that indicates how your organisation’s SMM includes: (j) management of change (including organisational changes with regard to safety responsibilities and changes to functional systems). *NOTE: this only need be a cross reference to your change management procedure* | [373](#AMC1_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(v) Safety management system (k)** | **SAFETY MANAGEMENT MANUAL (SMM)** Provide a reference that indicates how your organisation’s SMM includes:(k) safety promotion. | [373](#AMC1_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC2 ATS.OR.200(1)(v) Safety management system** | **SAFETY RECORDS**Provide a reference that indicates how your organisation’s SMM details which safety records are to be maintained and retained in compliance with the requirements of this AMC (a) to (m) as applicable. | [373](#AMC2_OR_200_1_v) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.200 Safety management system (2)** **Safety risk management** | Provide a reference that indicates where your organisation’s safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, includes the following components:A Safety Risk Management process that meets the requirements of (2) (I to iii) of this requirement. | [373](#OR_200_2) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **The Regulation and AMC** | **PART 1: ONLY COMPLEX ATS PROVIDERS NEED TO COMPLETE THIS PART** | **Link** |
| **ATS.OR.200 Safety management system (3)** **Safety assurance (i) and (ii)** | Provide a reference that indicates how your organisation’s safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, includes the following components:A Safety Assurance Process that meets the requirements of (3) (i and ii) of this requirement. | [373](#OR_200_3) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.200 Safety management system (3)** **Safety assurance (iii)** | Provide a reference that indicates how your organisation’s safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, includes the following components:A Safety Assurance Process that meets the requirements of (3) (iii) of this requirement. *(See AMC Below).* | [373](#OR_200_3) |
| **AMC1 ATS.OR.200(3)(iii) Safety management system** | **CONTINUOUS IMPROVEMENT OF THE SMS**Provide a reference that indicates how your organisation’s SMM contains a process to continuously improve the effectiveness of its SMS in compliance with the requirements of this AMC (a) to (d). | [373](#AMC1_OR_200_3_iii) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.200 Safety management system (4)** **Safety promotion** | Provide a reference that indicates how your organisation’s safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, includes the following component:A Safety promotion process that meets the requirements (4) (i) of this requirement. *(See AMCs Below).* | [373](#OR_200_4) |
| **AMC1 ATS.OR.200(4)(i) Safety management system (a) Training** | **TRAINING AND COMMUNICATION**Provide a reference that indicates how your organisation’s SMM details that all personnel should receive safety training as appropriate for their safety responsibilities. | [373](#AMC1_OR_200_4_i) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(4)(i) Safety management system (b)** **Communication** | **TRAINING AND COMMUNICATION** Provide a reference that indicates how your organisation’s SMM details a process for establishing communication about safety matters that that complies with the requirements of this AMC (b) (1) and (2). | [373](#AMC1_OR_200_4_i) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.215 Licensing and medical certification requirements for air traffic controllers** | An air traffic services provider shall ensure that air traffic controllers are properly licensed and hold a valid medical certificate, in accordance with UK (EU) Regulation No 2015/340. | [373](#ATS_OR_215) |
|  | Statement only no detail required. (Covered in UK (EU) reg No 2015/340 compliance matrix) |  |

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| **The Regulation and AMC** | **PART 2: ONLY NON-COMPLEX ATS PROVIDERS ONLY NEED TO COMPLETE THIS PART** | **Link** |
| **ATS.OR.200 Safety management system (1) (2) and (3)** | Provide a reference that indicates that your organisation’s safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, includes the following components: A Safety policy and objectives, Safety risk management and Safety assurance that meets the requirements of (1) to (3) of this requirement. *(See AMCs Below).* | [373](#OR_200_1_2_3_NC) |
| **AMC1 ATS.OR.200(1); (2); (3) Safety management system (a)** | **GENERAL**Provide a reference that indicates that your organisation’s SMS contains a documented safety policy includes a commitment to improve towards the highest safety standards, comply with all the applicable legal requirements, meet all the applicable standards, consider the best practices and provide the appropriate resources. | [373](#AMC1_OR_200_1_2_3) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1); (2); (3) Safety management system (b)** **(First Part)** | **GENERAL**Provide a reference that indicates that your organisation’s SMS documents a process to develop, coordinate and maintain an emergency response plan (ERP) in cooperation with other stakeholders that ensures orderly and safe transition from normal to emergency operations and return to normal operations. | [373](#AMC1_OR_200_1_2_3) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1); (2); (3) Safety management system (b)** **(Second Part)** | **GENERAL**Provide a reference that indicates that your organisation’s ERP determines the actions to be taken by the air traffic services provider or specified individuals in an emergency and reflects the size, nature and complexity of the activities performed by the air traffic services provider. | [373](#AMC1_OR_200_1_2_3) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1); (2); (3) Safety management system (c)** | **GENERAL**Provide a reference that indicates that your organisation’s SMS documents a process to ensure that safety risk management is performed using hazard checklists or similar risk management tools or processes, which are integrated into the activities of the air traffic services provider. | [373](#AMC1_OR_200_1_2_3) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1); (2); (3) Safety management system (d)** | Provide a reference that indicates that your organisation’s SMS documents a process to ensure that safety risks related to changes are managed.Note: a cross reference to your change management procedure is sufficient. | [373](#AMC1_OR_200_1_2_3) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **The Regulation and AMC** | **PART 2: ONLY NON-COMPLEX ATS PROVIDERS ONLY NEED TO COMPLETE THIS PART** | **Link** |
| **AMC1 ATS.OR.200(1); (2); (3) Safety management system (e)** | Provide a reference that indicates that your organisation’s SMS documents who is to fulfil the role of safety managers and details their responsibilities for coordinating the safety management system (SMS). | [373](#AMC1_OR_200_1_2_3) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1); (2); (3) Safety management system (f)** | Provide a reference that indicates that your organisation’s SMS documents a process for identifying responsibilities for hazard identification, risk assessment and mitigation. | [373](#AMC1_OR_200_1_2_3) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **The Regulation and AMC** | **PART 2: ONLY NON-COMPLEX ATS PROVIDERS ONLY NEED TO COMPLETE THIS PART** | **Link** |
| **ATS.OR.200 Safety management system (1)** **(ii);(iii)** | Provide a reference that indicates that your organisation’s safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, includes the following components. *(See AMCs Below).* | [373](#OR_200_1_NC) |
| **AMC1 ATS.OR.200(1)(ii) and (iii) Safety management system (a)** | **ORGANISATION AND ACCOUNTABILITIES**Provide a reference that indicates how your organisation’s safety management system identifies the safety manager who, irrespective of other functions, has ultimate responsibility and accountability, on behalf of the organisation, for the implementation and maintenance of the SMS. | [373](#AMC1_OR_200_1_ii_iii_NC) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(ii) and (iii) Safety management system (b)** | **ORGANISATION AND ACCOUNTABILITIES** Provide a reference that indicates how your organisation’s safety management system clearly defines lines of safety accountability throughout the organisation, including a direct accountability for safety on the part of senior management. | [373](#AMC1_OR_200_1_ii_iii_NC) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(ii) and (iii) Safety management system (c)** | **ORGANISATION AND ACCOUNTABILITIES** Provide a reference that indicates how your organisation’s safety management system identifies the accountabilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS. | [373](#AMC1_OR_200_1_ii_iii_NC) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(ii) and (iii) Safety management system (d)** | **ORGANISATION AND ACCOUNTABILITIES** Provide a reference that indicates how your organisation’s safety management system documents and communicates safety responsibilities, accountabilities and authorities throughout the organisation. | [373](#AMC1_OR_200_1_ii_iii_NC) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.200(1)(ii) and (iii) Safety management system (e)** | **ORGANISATION AND ACCOUNTABILITIES** Provide a reference that indicates how your organisation’s safety management system defines the levels of management with authority to make decisions regarding safety risk tolerability. | [373](#AMC1_OR_200_1_ii_iii_NC) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **The Regulation and AMC** | **PART 2: ONLY NON-COMPLEX ATS PROVIDERS ONLY NEED TO COMPLETE THIS PART** | **Link** |
| **ATS.OR.200 Safety management system (4) (i)** | Provide a reference that indicates how your organisation’s training programme ensures that the personnel are trained and competent to perform their SMS duties. | [373](#OR_200_4_NC) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.200 Safety management system (4) (ii)** | Provide a reference that indicates how your organisation’s safety communication process ensures that the personnel are aware of the SMS implementation. | [373](#OR_200_4_NC) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.215 Licensing and medical certification requirements for air traffic controllers** | An air traffic services provider shall ensure that air traffic controllers are properly licensed and hold a valid medical certificate, in accordance with UK (EU) Regulation No 2015/340. | [373](#OR_215_NC) |
|  | Statement only no detail required. (Covered in UK (EU) regulation No 2015/340 compliance matrix) |  |

**Compliance Matrix SECTION 3**

**ANNEX IV — SUBPART A — ADDITIONAL ORGANISATION REQUIREMENTS FOR PROVIDERS OF AIR TRAFFIC SERVICES (ATS.OR)**

**SPECIFIC HUMAN FACTORS REQUIREMENTS FOR AIR TRAFFIC CONTROL SERVICE PROVIDERS**

This section of the compliance matrix contains extracts from the above annexe and subpart of the regulation that are applicable to **all ATC service providers** except where they relate to the management of changes which are contained in Compliance Matrix ANNEX III

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| **The Regulation and AMC** | **REQUIREMENTS FOR AIR TRAFFIC CONTROL PROVIDERS ONLY** | **Link** |
| **ATS.OR.300 Scope** | This section establishes the requirements to be met by the air traffic control service provider with regard to human performance in order to:(a) prevent and mitigate the risk that air traffic control service is provided by air traffic controllers with problematic use of psychoactive substances.(b) prevent and mitigate the negative effects of stress on air traffic controllers to ensure the safety of air traffic.(c) prevent and mitigate the negative effects of fatigue on air traffic controllers to ensure the safety of air traffic. | [373](#OR_300) |
|  | Statement only. No input required |  |
| **ATS.OR.305 Responsibilities of air traffic control service providers with regard to the problematic use of psychoactive substances by air traffic controllers (a)** | (a) An air traffic control service provider shall develop and implement a policy, with related procedures, in order to ensure that the problematic use of psychoactive substances does not affect the provision of air traffic control service. (*See AMC Below).* | [373](#OR_305) |
| **AMC1 ATS.OR.305(a) Responsibilities of air traffic control service providers with regard to the problematic use of psychoactive substances by air traffic controllers**  | **POLICY AND PROCEDURES**Provide a reference that indicates that your organisation assures the following within the context of the policy, The air traffic control service provider should:(a) provide training or educational material to air traffic controllers relating to:(1) the effects of psychoactive substances on individuals and subsequently on-air traffic control service provision.(2) established procedures within its organisation regarding this issue; and(3) their individual responsibilities with regard to legislation and policies on psychoactive substances. (b) make available appropriate support for air traffic controllers who are dependent on psychoactive substances. (c) encourage air traffic controllers who think that they may have such a problem to seek and accept help made available by their air traffic control service provider(d) ensure that air traffic controllers are treated in a consistent, just and equitable manner as regards the problematic use of psychoactive substances. (e) establish and implement principles and procedures for occurrence investigation and analysis to consider the problematic use of psychoactive substances as a contributing factor. | [373](#AMC1_OR_305_a) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **ATS.OR.305 Responsibilities of air traffic control service providers with regard to the problematic use of psychoactive substances by air traffic controllers (b)** | (b) Without prejudice to provisions laid down in Regulation (EU) 2016/679 and the applicable national legislation on testing of individuals, the air traffic control service provider shall develop and implement an objective, transparent and non-discriminatory procedure for the detection of cases of problematic use of psychoactive substances by air traffic controllers. This procedure shall take into account provisions laid down in point ATCO.A.015 of UK (EU) Regulation No 2015/340. *(See AMC Below).* | [373](#OR_305) |
| **AMC1 ATS.OR.305(b)** **Responsibilities of air traffic control service providers with regard to the problematic use of psychoactive substances by air traffic controllers** | Provide a reference that indicates that your organisation’s objective, transparent and non-discriminatory procedure for the detection of cases of problematic use of psychoactive substances by air traffic controllers specifies the following:The objective, transparent and non-discriminatory procedure should specify:(a) the mechanisms and responsibilities for its initiation.(b) its applicability in terms of timing and locations.(c) the person(s)/body responsible for testing the individual.(d) the testing process.(e) thresholds for psychoactive substances.(f) the process to be followed in case of detection of problematic use of psychoactive substances by an air traffic controller; and(g) the appeal process. | [373](#AMC1_OR_305_b) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.305 Responsibilities of air traffic control service providers with regard to the problematic use of psychoactive substances by air traffic controllers (c)** | (c) The procedure in point (b) shall be approved by the competent authority. | [373](#OR_305) |
|  | Provide a copy of your procedure on the problematic use of psychoactive substances.To enable the CAA to approve this procedure it must be uniquely identified in accordance with your document control process. I.e., Issue number, date of issue and amendment state. |  |

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| **ATS.OR.310 Stress (a)** | In accordance with point ATS.OR.200, an air traffic control service provider shall:(a) develop and maintain a policy for the management of air traffic controllers' stress, including the implementation of a critical incident stress management programme. *(See AMC Below).* | [373](#OR_310) |
| **AMC1 ATS.OR.310(a) Stress part (a)**  | **STRESS MANAGEMENT POLICY**Provide a reference that indicates that your organisation’s stress management policy complies includes the following requirements. (a) The air traffic controllers’ stress management policy should: (1) procedures for critical incident stress management.(2) principles and procedures to enable stress reporting.(3) principles and procedures for occurrence investigation and analysis to consider stress as contributing factor.(4) method(s) for the identification and management of the effect of air traffic controllers’ stress on the safety of operations.(5) include the commitment to: (i) provide appropriate resources.(ii) consider the best practices.(iii) enforce stress management programme(s) as a responsibility of managers, staff involved in stress management and air traffic controllers.(6) be periodically reviewed to ensure it remains relevant and appropriate. | [373](#AMC1_OR_310_a) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.310(a) Stress part (b)**  | (b) In accordance with the policy in point (a), the air traffic control service provider should establish and implement:(1) procedures for critical incident stress management.(2) principles and procedures to enable stress reporting.(3) principles and procedures for occurrence investigation and analysis to consider stress as contributing factor; and(4) method(s) for the identification and management of the effect of air traffic controllers’ stress on the safety of operations. | [373](#AMC1_OR_310_a) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.310 Stress (b)** | Provide a reference that indicates that your organisation has established and documented a process to provide air traffic controllers with education and information programmes on the prevention of stress, including critical incident stress, complementing human factors training provided in accordance with Sections 3 and 4 of Subpart D of Annex I to UK (EU) Regulation No 2015/340. | [373](#OR_310) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **ATS.OR.315 Fatigue (a)** | In accordance with point ATS.OR.200, an air traffic control service provider shall:(a) develop and maintain a policy for the management of air traffic controllers' fatigue; *(See AMC Below).* | [373](#OR_315) |
| **AMC1 ATS.OR.315(a) Fatigue Part (a)** | **FATIGUE MANAGEMENT POLICY**Provide a reference that indicates that your organisation’s fatigue management policy includes the following requirements.(a) The air traffic controllers’ fatigue management policy should:(1) principles and procedures to enable fatigue reporting(2) principles and procedures for occurrence investigation and analysis to consider fatigue as contributing factor.(3) procedures for the identification and management of the effect of fatigue on the safety of operations.(4) be communicated, with visible endorsement, throughout the air traffic control service provider.(5) include a commitment to:(i) consider the best practices.(ii) provide appropriate resources; and(iii) enforce fatigue management as a responsibility of managers, staff involved in fatigue management procedures and air traffic controllers.(6) be periodically reviewed to ensure it remains relevant and appropriate. | [373](#AMC1_OR_315_a) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.315(a) Fatigue part (b)** | (b) In accordance with the policy in point (a), the air traffic control service provider should establish and implement:(1) principles and procedures to enable fatigue reporting.(2) principles and procedures for occurrence investigation and analysis to consider fatigue as contributing factor.(3) procedures for the identification and management of the effect of fatigue on the safety of operations | [373](#AMC1_OR_315_a) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.315 Fatigue (b)** | Provide a reference that indicates that your organisation has established and documented a process to provide air traffic controllers with information programmes on the prevention of fatigue, complementing human factors training provided in accordance with Sections 3 and 4 of Subpart D of Annex I to UK (EU) Regulation No 2015/340. | [373](#OR_315) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **ATS.OR.320 Air traffic controllers' rostering system(s) (a)** | Provide a reference that indicates that your organisation has developed a process to implement and monitor a rostering system in order to manage the risks of occupational fatigue of air traffic controllers through a safe alternation of duty and rest periods.*(Consider AMC requirements below)* | [373](#OR_320) |
| **AMC1 ATS.OR.320(a) Air traffic controllers’ rostering system(s)** | **STUDENT AND TRAINEE AIR TRAFFIC CONTROLLERS**The rostering principle below is a means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:**Rostering Principle**The rostering system should apply equally to student and trainee air traffic controllers undertaking live traffic on-the-job training. | [373](#AMC1_OR_320_a) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC2 ATS.OR.320(a) Air traffic controllers’ rostering system(s)** | **ANCILLARY TASKS**An ancillary task is any task in an operational control room which is not directly associated with the provision of an ATC service and is considered to be duty. Where the conduct of such ancillary tasks during a duty period is unavoidable, the ATC service provider should be able to demonstrate that the air traffic controller will not be distracted from their primary function or placed under undue pressure. These ancillary tasks and the person/role responsible for discharging them should be clearly identified in the unit’s MATS Part 2. | [373](#AMC2_OR_320_a) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **ATS.OR.320 Air traffic controllers' rostering system(s) (a) (1)** | Provide a reference that indicates that your organisation has developed a process to implement and monitor a rostering system in order to manage the risks of occupational fatigue of air traffic controllers through a safe alternation of duty and rest periods that complies with the following: **(1) maximum consecutive working days with duty.***(Consider AMC requirements below)* | [373](#OR_320) |
| **AMC1 ATS.OR.320(a)(1) Air traffic controllers’ rostering system(s)** | **MAXIMUM CONSECUTIVE WORKING DAYS WITH DUTY**Together, the following rostering principles are means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:(a) The maximum number of consecutive working days with duty should not exceed either 6 days or consecutive periods of duty totalling 50 hours within 6 days, whichever is achieved earlier.(b) The maximum number of consecutive ‘morning’ duty periods should not exceed 5 days.(c) Not more than 2 ‘early starts’ should be worked in a period of 144 hours (6 days).(d) Consecutive ‘early start’ duties should not be permitted where both duties commence before 0600.(e) In determining the maximum number of consecutive ‘morning’ duty periods, ‘early start’ duty periods should be counted, and those commencing before 0600 should count double | [373](#AMC1_OR_320_a_1) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.320 Air traffic controllers' rostering system(s) (a) (2)** | Provide a reference that indicates that your organisation has developed a process to implement and monitor a rostering system in order to manage the risks of occupational fatigue of air traffic controllers through a safe alternation of duty and rest periods that complies with the following: **(2) maximum hours per duty period.***(Consider AMC requirements below)* | [373](#OR_320) |
| **AMC1 ATS.OR.320(a)(2) Air traffic controllers’ rostering system(s)** | **MAXIMUM HOURS PER DUTY PERIOD**Together, the following rostering principles are means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:(a) Except as indicated in b) and (c) below the maximum hours per duty period should not exceed 10 hours.(b) The maximum hours for an ‘early start’ duty period should not exceed 8 hours.(c) The maximum hours for a ‘morning’ duty period should not exceed 8 ½ hours.(d) Within 720 consecutive hours (30 days) the aggregate of periods of duty should not exceed 300 hours, provided that periods of duty (excluding on call duty) do not exceed 200 hours. | [373](#AMC1_OR_320_a_2) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **AMC2 ATS.OR.320(a)(2) Air traffic controllers’ rostering system(s)** | **LIMITS FOR ‘ON CALL’ DUTIES**Together, the following rostering principles are means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:(a) The maximum ‘on call’ duty period, where the controller does not attend the place of work, should be 20 hours and all ‘on call’ duty time spent in attendance at the place of work should count double.For example, if an air traffic controller attends the place of work ten hours after commencing an ‘on call’ duty, the 20-hour maximum ‘on call’ period of duty will be reached when the air traffic controller completes five hours at the place of work [10 hours + (5 hours x 2 = 10 hours) = 20 hours].(b) Not more than two ‘on call’ duty periods should be worked in a period of 144 hours (6 days).(c) Prior to commencing an ‘on call’ duty period, air traffic controllers should be rested in accordance with the limitations defined by the ATC service provider and, if called in, should then be subject to the minimum interval between duty periods as specified by the service provider. An ‘on call’ air traffic controller who is not called in during an overnight ‘on call’ duty should not be utilised before midday on the day the overnight ‘on call’ duty finished.(d) Normally only one attendance at the place of work per ‘on call’ duty period should be permitted.(e) ATC service providers should ensure that their rostering system addresses how they intend to operate in exceptional circumstances outside the normal operating limitations.(f) Where an air traffic controller is rostered for a shift of duty as part of the operational shift pattern but is instructed to remain “on call” rather than “on site”, the limitations for their originally rostered standard duty period should apply. | [373](#AMC2_OR_320_a_2) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **ATS.OR.320 Air traffic controllers' rostering system(s) (a) (3)** | Provide a reference that indicates that your organisation has developed a process to implement and monitor a rostering system in order to manage the risks of occupational fatigue of air traffic controllers through a safe alternation of duty and rest periods that complies with the following: **(3) maximum time providing air traffic control service without breaks.***(Consider AMC requirements below)* | [373](#OR_320) |
| **AMC1 ATS.OR.320(a)(3) Air traffic controllers’ rostering system(s)** | **MAXIMUM TIME PROVIDING AIR TRAFFIC CONTROL SERVICE WITHOUT BREAKS**Together, the following rostering principles are means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:(a) The maximum time providing ATC service without a break should not exceed 2 hours.(b) Notwithstanding point (a), at units where workload for any part of the day is judged to be low and the activity is spasmodic rather than continuous, the maximum time providing ATC service without a break, at these times, should not exceed 4 hours.(c) Notwithstanding points (a) and (b), for a controller on an ‘early start duty’ (see ORS9 Decision 6 AMC1 .45 Duty period) commencing before 0600, all operational duty periods shall be limited to 1.5 hours. For a controller on an ‘early start duty’ commencing at or after 0600, the first operational duty period shall be limited to 1.5 hours. | [373](#AMC1_OR_320_a_3) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.320 Air traffic controllers' rostering system(s) (a) (4)** | Provide a reference that indicates that your organisation has developed a process to implement and monitor a rostering system in order to manage the risks of occupational fatigue of air traffic controllers through a safe alternation of duty and rest periods that complies with the following: **(4) the ratio of duty periods to breaks when providing air traffic control service.***(Consider AMC requirements below)* | [373](#OR_320) |
| **AMC1 ATS.OR.320(a)(4) Air traffic controllers’ rostering system(s)** | **RATIO OF DUTY PERIODS TO BREAKS WHEN PROVIDING ATC SERVICE**The rostering principle shown in AMC1 ATS.OR.320(a)(5) below is a means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:The ratio of operational duty periods to breaks should be 1:4; for example, 15 minutes break for 1 hour operational duty period | [373](#AMC1_OR_320_a_4) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **ATS.OR.320 Air traffic controllers' rostering system(s) (a) (5)** | Provide a reference that indicates that your organisation has developed a process to implement and monitor a rostering system in order to manage the risks of occupational fatigue of air traffic controllers through a safe alternation of duty and rest periods that complies with the following: **(5) minimum rest periods**.*(Consider AMC requirements below)* | [373](#OR_320) |
| **AMC1 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s)** | **MINIMUM REST PERIODS**Together, the following rostering principles (a) to (e) are means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers. | [373](#AMC1_OR_320_a_5) |
| **AMC1 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s) (a)** | (a) Notwithstanding AMC1.ATS.OR.320(a)(4), where the maximum time providing ATC service without a break is 2 hours in accordance with point (a) of AMC1 ATS.OR.320(a)(3), such periods should not exceed a period of 2 hours without there being taken during, or at the end of, that period a break or breaks totalling not less than 30 minutes during which period a controller does not exercise the privileges of their licence. | [373](#AMC1_OR_320_a_5) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s) (b)** | (b) Notwithstanding AMC1.ATS.OR.320(a)(4), where the maximum time providing ATC service without a break is greater than 2 hours in accordance with point (b) of AMC1 ATS.OR.320(a)(3), a break, or breaks should be taken pro-rata, during, or at the end of, that period of operational duty (for example, 45 minutes after 3 hours or 60 minutes after 4 hours) during which period a controller does not exercise the privileges of their licence | [373](#AMC1_OR_320_a_5) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s) (c)** | (c) There should be an interval of not less than 12 hours between the conclusion of one duty period and the commencement of the next period of duty. This interval should only be reduced (and only by a maximum of 1 hour) with the approval of the controller concerned and in any individual case such a reduction should be permitted no more than once in a period of 720 consecutive hours (30 days). | [373](#AMC1_OR_320_a_5) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC1 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s) (d)** | (d) Upon the conclusion of six consecutive duty periods within 144 consecutive hours (6 days), or upon consecutive duty periods within 144 consecutive hours (6 days) reaching a total of 50 hours, whichever is the earlier, there should be an interval of a minimum of 60 hours before the commencement of the next duty period. This interval may be reduced in accordance with paragraph (e). | [373](#AMC1_OR_320_a_5) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **AMC1 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s) (e)** | (e) Within 720 consecutive hours (30 days) there should not be fewer than three intervals between the conclusion of one duty period and the commencement of the next period of duty. These intervals should total not less than 180 hours with the minimum interval being not less than 54 hours. | [373](#AMC1_OR_320_a_5) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC2 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s)** | **SHIFT HANDOVER**The rostering principle below is a means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:Where an interval of a minimum of 60 hours or 54 hours between duty period has been stipulated, that interval may be reduced by up to 30 minutes solely for the purpose of orderly shift handover. | [373](#AMC2_OR_320_a_5) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC3 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s)** | **TRIAL AND EVALUATION SIMULATIONS**(a) Trial and evaluation simulations which take place within duty periods, or in place of operational duties, should be conducted within the overall limitations of duty periods.(b) Where trial and evaluation simulations take place within a stipulated rest period, then an interval of 48 hours should exist between the end of the simulation and the commencement of the next duty period. Alternatively, an interval of 24 hours should immediately precede and immediately follow such periods of simulator duty. | [373](#AMC3_OR_320_a_5) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AMC4 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s)** | **SECONDARY EMPLOYMENT**(a) Any secondary employment that involves exercising the privileges of an ATCO licence is subject to the rest period limitations prescribed by the most restrictive ATC service provider.(b) ATCO.A.015(b) (Reg UK (EU) No 2015/340 Annex I Sub-Part A) states that “licence holders shall not exercise the privileges of their licence when having doubts of being able to safely exercise the privileges of the licence” and cites fatigue (GM1 ATCO.A.015(b)) as grounds for that doubt.(c) It is the CAA’s view that air traffic controllers who engage in secondary employment within stipulated rest periods are at risk of failing to meet their responsibilities under ATCO.A.015(b) and should be required by their contract of employment to declare this to their employer. | [373](#AMC4_OR_320_a_5) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **ATS.OR.320 Air traffic controllers' rostering system(s) (a) (6)** | Provide a reference that indicates that your organisation has developed a process to implement and monitor a rostering system in order to manage the risks of occupational fatigue of air traffic controllers through a safe alternation of duty and rest periods that complies with the following: (**6) maximum consecutive duty periods encroaching the night-time, if applicable, depending upon the operating hours of the air traffic control unit concerned**.*(Consider AMC requirements below)* | [373](#OR_320) |
| **AMC1 ATS.OR.320(a)(6) Air traffic controllers’ rostering system(s)** | **MAXIMUM CONSECUTIVE DUTY PERIODS ENCROACHING THE NIGHTTIME**Not more than two night duties should be worked in immediate succession. In all cases the maximum night duty period should not exceed 9.5 hours and the night duty should conclude no later than 0730 hours | [373](#AMC1_OR_320_a_6) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.320 Air traffic controllers' rostering system(s) (a) (7)** | Provide a reference that indicates that your organisation has developed a process to implement and monitor a rostering system in order to manage the risks of occupational fatigue of air traffic controllers through a safe alternation of duty and rest periods that complies with the following: **(7) minimum rest period after a duty period encroaching the night-time**.*(Consider AMC requirements below)* | [373](#OR_320) |
| **AMC1 ATS.OR.320(a)(7) Air traffic controllers’ rostering system(s)** | **MINIMUM REST PERIOD AFTER A DUTY PERIOD ENCROACHING THE NIGHTTIME**(a) Upon the conclusion of a single night duty, or two consecutive night duties, there should be an interval of a minimum of 54 hours before the commencement of the next period of duty.(b) ATC service providers may, in exceptional circumstances and with the approval of the air traffic controller concerned, offer a 48-hour minimum interval between the end of a single night duty and the commencement of the next period of daytime duty. This allowance should only be utilised to cover short notice staffing difficulties and not when planning for, or as part of, the published unit roster. | [373](#AMC1_OR_320_a_7) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **ATS.OR.320 Air traffic controllers' rostering system(s) (a) (8)** | Provide a reference that indicates that your organisation has developed a process to implement and monitor a rostering system in order to manage the risks of occupational fatigue of air traffic controllers through a safe alternation of duty and rest periods that complies with the following: **(8) minimum number of rest periods within a roster cycle***(Consider AMC requirements below)* | [373](#OR_320) |
| **AMC1 ATS.OR.320(a)(8) Air traffic controllers’ rostering system(s)** | **MINIMUM NUMBER OF REST PERIODS WITHIN A ROSTER CYCLE**During any calendar or leave year a minimum of 10 days of total holiday entitlement should be taken in whole periods of not less than five consecutive days of booked leave (excluding rostered days off). | [373](#AMC1_OR_320_a_8) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **ATS.OR.320 Air traffic controllers' rostering system(s) (b)** | (b) An air traffic control services provider shall consult those air traffic controllers who will be subject to the rostering system, or, as applicable, their representatives, during its development and its application, to identify and mitigate risks concerning fatigue which could be due to the rostering system itself. | [373](#OR_320) |
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**Compliance Matrix SECTION 4**

**ANNEX IV —SUBPART B — TECHNICAL REQUIREMENTS FOR PROVIDERS OF AIR TRAFFIC SERVICES (ATS.TR)**

**GENERAL REQUIREMENTS**

This section of the compliance matrix contains extracts from the above annexe and subpart of the regulation that are applicable to all **ATS service providers** except where they relate to the management of changes which are contained in Compliance Matrix ANNEX III

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| **ATS.TR.100 Working methods and operating procedures for providers of air traffic services** | (a) An air traffic services provider shall be able to demonstrate that its working methods and operating procedures are compliant with:(1) Implementing UK (EU) Regulation No 923/2012; and(2) the standards laid down in the following Annexes to the Chicago Convention, as far as they are relevant to the provision of air traffic services in the airspace concerned:(i) Annex 10 on aeronautical telecommunications, 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;(ii) without prejudice to UK (EU) Regulation No 923/2012, Annex 11 on air traffic services in its 13th edition of July 2001, including all amendments up to and including No 49.(b) Notwithstanding point (a), for air traffic services units providing services for flight testing, the competent authority may specify additional or alternative conditions and procedures to those contained in point (a) when so required for the provision of services for flight testing. | [373](#TR_100) |
| [**CM GN**](#UK_GM_ATS_TR_100) |
| **Enter reference(s) where compliance is indicated** |  |  |

**The UK (EU) Regulations and the AMC and Compliance Matrix Guidance Notes**

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| **ATS.OR.100 Ownership**(a) An air traffic services provider shall notify the competent authority of: (1) its legal status, its ownership structure and any arrangements having a significant impact on control over its assets. (2) any links with organisations not involved in the provision of air navigation services, including commercial activities in which they are engaged either directly or through related undertakings, which account for more than 1 % of their expected revenue; furthermore, it shall notify any change of any single shareholding which represents 10 % or more of their total shareholding. (b) An air traffic services provider shall take all necessary measures to prevent any situation of conflict of interests that could compromise the impartial and objective provision of its services.Amended by Statutory Instrument 2020 No.694 | [Return OR 100 (a) (1)](#RETURN_OR_100_a_1) |
| [Return OR 100 (a) (2)](#RETURN_OR_100_a_2) |
| [Return OR 100 (b)](#RETURN_OR_100_b) |
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| **ATS.OR.105 Open and transparent provision of service**In addition to point ATM/ANS.OR.A.075 of Annex III, the air traffic service provider shall neither engage in conduct that would have as its object or effect the prevention, restriction or distortion of competition, nor shall they engage in conduct that amounts to an abuse of a dominant position, in accordance with applicable law.Amended by Statutory Instrument 2020 No.694 | [Return OR 105](#RETURN_OR_105) |
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| **ATS.OR.110 Coordination between aerodrome operators and air traffic services providers**An air traffic services provider shall establish arrangements with the operator of the aerodrome at which it provides air traffic services to ensure adequate coordination of activities and services provided as well as exchange of relevant data and information.Included by statutory Instrument 2021 1203 | [Return OR 110](#RETURN_OR_110) |
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| **CM GUIDANCE NOTES providing guidance on compliance with ATS.OR.110 Coordination between aerodrome operators and air traffic services providers**The Air Traffic Service provider should be able to provide evidence of regular attendance at minuted Aerodrome Operations meetings and other interface /project meetings between aerodrome operator and ANSP.The ATS provider should ensure that they are included in review process of aerodrome operational changes / changes to aerodrome manuals / RFFS procedures etc. prior to their implementation.Ensure that formal arrangements between the aerodrome operator and ATS provider include details of the coordination of activities related to the exchange of relevant data and information, and the associated roles and responsibilities for the provision and maintenance of aeronautical information to the AIS provider See **ATS.OR.125** | [Return OR 110](#RETURN_OR_110) |
| **AMC1 ATS.OR.110 Coordination between aerodrome operators and air traffic services providers****ESTABLISHMENT AND IDENTIFICATION OF STANDARD TAXI ROUTES**(a) The air traffic services provider, in coordination with the aerodrome operator, should assess the necessity for establishing standard routes for taxiing aircraft on an aerodrome between runways, aprons and maintenance areas. (b) When established, such routes should be direct, simple and, where practicable, designed to avoid traffic conflicts.(c) Standard routes for taxiing aircraft should be identified by designators distinctively different from those of the runways and ATS routesIncluded as required by ORS9 Decision 13 | [Return AMC1 OR 110](#RETURN_AMC1_OR_110) |
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| **CM GUIDANCE NOTES providing guidance on compliance with AMC1 ATS.OR.110 Coordination between aerodrome operators and air traffic services providers.**Standard Taxi Routes are generally well established at most aerodromes. Temporary, or permanent changes to standard routings should be supported by an appropriate change management process, involving the participation of the aerodrome, ANSP and any other identified stakeholders. | [Return AMC1 OR 110](#RETURN_AMC1_OR_110) |
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| **AMC2 ATS.OR.110 Coordination between aerodrome operators and air traffic services providers****INFORMATION EXCHANGE ON THE AERODROME CONDITIONS AND OPERATIONAL STATUS OF AERODROME FACILITIES**The air traffic services provider should establish arrangements with the aerodrome operator for the exchange of information regarding the aerodrome conditions, in particular the operational conditions of the movement area, including the existence of temporary hazards, and the operational status of any associated facilities at the aerodrome(s) with which they are concerned.Included as required by ORS9 Decision 13 | [Return AMC2 OR 110](#RETURN_AMC2_OR_110) |
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| **CM GUIDANCE NOTES providing guidance on compliance with AMC2 ATS.OR.110 Coordination between aerodrome operators and air traffic services providers.**Ensure there are documented procedures in aerodrome manual and MATS pt 2 for the notification procedures between aerodrome operator and ANSP.Maintain minutes of interface meetings relating to such events and relevant TOI’s and risk assessments. | [Return AMC2 OR 110](#RETURN_AMC2_OR_110) |

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| **AMC3 ATS.OR.110 Coordination between aerodrome operators and air traffic services providers****APRON MANAGEMENT SERVICES** The air traffic services provider should establish arrangements, including a coordination procedure, with the aerodrome operator and, when applicable, with the other organisation(s) providing apron management services. The coordination procedure between the provider(s) of apron management services and the air traffic services provider should contain at least the following: (a) the boundaries of the respective areas of responsibilities on the movement area. (b) the handover points between apron and manoeuvring area. (c) the holding areas. (d) the means of guidance for the aircraft taxiing. (e) the operational information to be exchanged between both parties. and (f) the push back operations, when interfering with the manoeuvring area.Included as required by ORS9 Decision 13 | [Return AMC3 OR 110](#RETURN_AMC3_OR_110) |
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| **CM GUIDANCE NOTES providing guidance on compliance with AMC3 ATS.OR.110 Coordination between aerodrome operators and air traffic services** **providers.**The ‘Arrangements’ mentioned in AMC3 are to be considered ‘formal documented arrangements. Ensure that such formal arrangements and the coordination procedure are documented.Ensure that the ‘formal arrangements’ include and clearly define the aeronautical information management activities and the applicable requirements and responsibilities of the parties in providing and receiving data and information.Ensure that all related procedures and responsibilities applicable to the items listed in AMC3 are documented by the ANSP and readily available to ATS Operational staff, as detailed knowledge of such procedures and responsibilities are essential for the safe operation of traffic on the apron and manoeuvring area ensure that they are included within the scope of the unit’s initial and ongoing training requirement. | [Return AMC3 OR 110](#RETURN_AMC3_OR_110) |

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| **AMC4 ATS.OR.110 Coordination between aerodrome operators and air traffic services providers****COORDINATION FOR LOW-VISIBILITY OPERATIONS**The air traffic services provider should establish arrangements with the aerodrome operator and, where established, with the apron management services provider(s) for the relevant aspects and the definition of the respective responsibilities in conducting low-visibility operations (LVOs). Included as required by ORS9 Decision 13 | [Return AMC4 OR 110](#RETURN_AMC4_OR_110) |
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| **CM GUIDANCE NOTES providing guidance on compliance with AMC4 ATS.OR.110 Coordination between aerodrome operators and air traffic services providers.**Ensure that those procedures and responsibilities applicable to the safe implementation, conduct and disestablishment of LVOs are documented by the ANSP and readily available to ATS Operational staff, as detailed knowledge of such procedures and responsibilities are essential for the safe operation of traffic on the apron and manoeuvring area, ensure that they are included within the scope of the unit’s initial and ongoing training requirements.Ensure that there is evidence of a regular review process for LVOs, in conjunction with the aerodrome operator and other relevant agencies, including tabletop exercises, post LVO reviews etc. should be available.As with all procedures that rely on an interface between the ANSP and aerodrome agencies, ensure that both agencies are operating to the same documented criteria. | [Return AMC4 OR 110](#RETURN_AMC4_OR_110) |

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| **AMC5 ATS.OR.110 Coordination between aerodrome operators and air traffic services providers****COORDINATION FOR RUNWAYS INSPECTIONS**The air traffic services provider should coordinate with the aerodrome operator the conduct of routine and non-routine runway inspections.Included as required by ORS9 Decision 13 | [Return AMC5 OR 110](#RETURN_AMC5_OR_110) |
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| **CM GUIDANCE NOTES providing guidance on compliance with AMC5 ATS.OR.110 Coordination between aerodrome operators and air traffic services providers.**Ensure that those procedures and responsibilities applicable to the safe conduct of routine and non-routine runway inspections are documented by the ANSP and readily available to ATS Operational staff, qs detailed knowledge of such procedures and responsibilities are essential for the safe runway operations check that they are included in the scope of the unit’s initial and ongoing training requirements. Ensure that there is evidence of a regular review of procedures and responsibilities in conjunction with the aerodrome operator, this may feature in forums such as the LRST.As with all procedures that rely on an interface between the ANSP, and aerodrome agencies check that both agencies are operating to the same documented criteria. | [Return AMC5 OR 110](#RETURN_AMC5_OR_110) |
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| **AMC6 ATS.OR.110 Coordination between aerodrome operators and air traffic services providers****INFORMATION ON THE SAFE USE OF THE MANOEUVRING AREA**When a not previously notified condition pertaining to the safe use by aircraft of the manoeuvring area is reported to or observed by the aerodrome air traffic controllers or by aerodrome flight information services (AFIS) officers, the air traffic services provider should inform the aerodrome operator, and should ensure that operations on that part of the manoeuvring area are terminated until otherwise advised by the aerodrome operator.Included as required by ORS9 Decision 13 | [Return AMC6 OR 110](#RETURN_AMC6_OR_110) |

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| **CM GUIDANCE NOTES providing guidance on compliance with AMC6 ATS.OR.110 Coordination between aerodrome operators and air traffic services providers.**Ensure that the ANSP’s unit documentation details the procedures agreed with the aerodrome operator to be followed by ATS staff, when any condition is observed, or reported which indicates that the safe use of the manoeuvring area by aircraft may be affected. | [Return AMC6 OR 110](#RETURN_AMC6_OR_110) |
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| **ATS.OR.125 Coordination between aeronautical information services and air traffic services providers**(a) An air traffic services provider shall provide to the relevant aeronautical information services provider the aeronautical information to be published as necessary to permit the utilisation of such air traffic services.(b) To ensure that the aeronautical information services providers obtain information to enable them to provide up-to-date preflight information and to meet the need for in-flight information, an air traffic services provider and aeronautical information services provider shall make arrangements to report to the responsible aeronautical information services provider, with a minimum of delay:(1) information on aerodrome conditions.(2) the operational status of associated facilities, services and navigation aids within their area of responsibility.(3) the occurrence of volcanic activity observed by air traffic services personnel or reported by aircraft.(4) any other information considered to be of operational significance.(c) Before introducing changes to systems for air navigation under its responsibility, an air traffic services provider shall:(1) ensure close coordination with the aeronautical information services provider(s) concerned.(2) take due account of the time needed by the aeronautical information services provider for the preparation, production and issuance of relevant material for promulgation.(3) provide the information in a timely manner to the aeronautical information services provider concerned.(d) An air traffic services provider shall observe the predetermined, internationally agreed aeronautical information regulation and control (AIRAC) effective dates in addition to 14 days postage time when submitting to aeronautical information services providers the raw information or data, or both, subject to the AIRAC cycle.Included by statutory Instrument 2021 1203 | [Return OR 125 Part (a)](#RETURN_OR_125_a) |
| [Return OR 125 Part (b)](#RETURN_OR_125_b) |
| [Return OR 125 Part (c)](#RETURN_OR_125_c) |
| [Return OR 125 Part (d)](#RETURN_OR_125_d) |

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| **CM GUIDANCE NOTES providing guidance on compliance with ATS.OR.125 (a)** **Coordination between aeronautical information services and air traffic services providers.****ATM/ANS.OR.080 and 85** lays down the requirements for provision of aeronautical data and data quality management, this requirement, **ATS.OR.125,** is detailing the content of the data to be provided to the AIS Provider for publication in the applicable aeronautical information product. [CAP 1054 Annex A](https://www.caa.co.uk/our-work/publications/documents/content/cap1054/) provides a list of the data to be provided where the ANSP is shown as the Authorised Source. It should be noted that much of the data to be provided relating to ATS units, rather than ACC En-Route providers, shows the Authorised Source as the Aerodrome and not the ANSP.The aeronautical information to be published is that necessary to permit the utilisation of air traffic services including matters of operational significance or affecting airspace, aircraft and aerodrome operations. Management System processes and procedures should ensure that authorised air traffic services provider personnel request the applicable aeronautical information product(s) for publication by the aeronautical information services provider (for example, depending on the circumstances this may be one or more of the following: AIP amendment, NOTAM, AIP Supplement, AIC).**GM1 ATS.OR.125(a)** provides a list of data the be provided by an AFIS service provider. | [Return OR 125 Part (a)](#RETURN_OR_125_a) |
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| **CM GUIDANCE NOTES providing guidance on compliance with ATS.OR.125 (b)** **Coordination between aeronautical information services and air traffic services providers.**The AIS Provider requires the current status of the information listed in (b).Ensure that the Management System processes and procedures document that as the authorised air traffic services provider you will request that the applicable aeronautical information product(s) are sent for publication by the AIS Provider**, AIC).**  | [Return OR 125 Part (b)](#RETURN_OR_125_b) |

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| **CM GUIDANCE NOTES providing guidance on compliance with ATS.OR.125 (c) (d)** **Coordination between aeronautical information services and air traffic services providers.**Management System procedures should ensure adherence to the [AIRAC (Aeronautical Information Regulation and Control) cycle publication](https://nats-uk.ead-it.com/cms-nats/opencms/en/Publications/publication-schedule/) schedule which is published on the [AIS website](https://nats-uk.ead-it.com/cms-nats/opencms/en/home/). The AIRAC cycle publication schedule provides Cut Off Dates by which change requests must be submitted. The management system should indicate that Change Requests are to be submitted ahead of the Cut Off dates.Where relevant, the management system should also indicate that large or complex change requests should be discussed at the earliest opportunity with the AIS Supervisor prior to submission. | [Return OR 125 Part (c)](#RETURN_OR_125_c)[Return OR 125 Part (d)](#RETURN_OR_125_d) |
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| **ATS.OR.200 Safety management system (1)**An air traffic services provider shall have in place a safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, that includes the following components: (1) *Safety policy and objectives* (i) Management commitment and responsibility regarding safety which shall be included in the safety policy. (ii) Safety accountabilities regarding the implementation and maintenance of the SMS and the authority to make decisions regarding safety. (iii) Appointment of a safety manager who is responsible for the implementation and maintenance of an effective SMS.(iv) Coordination of an emergency response planning with other service providers and aviation undertakings that interface with the ATS provider during the provision of its services. (v) SMS documentation that describes all the elements of the SMS, the associated SMS processes and the SMS outputs. | [Return OR 200 (1)](#RETURN_OR_200_1) |

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| **AMC1 ATS.OR.200(1)(i) Safety management system****SAFETY POLICY — COMPLEX ATS PROVIDERS** (a) The safety policy should: (1) be signed by the accountable manager. (2) reflect organisational commitments regarding safety and its proactive and systematic management. (3) be communicated, with visible endorsement, throughout the air traffic services provider. (4) include safety reporting principles. (5) include a commitment to: (i) improve towards the highest safety standards. (ii) comply with all the applicable legal requirements, meet all the applicable standards and consider the best practices. (iii) provide appropriate resources. and (iv) enforce safety as one primary responsibility of all managers and staff.(6) include the safety reporting procedures. (7) clearly indicate which types of operational behaviours are unacceptable, and include the conditions under which disciplinary action would not apply. and (8) be periodically reviewed to ensure it remains relevant and appropriate. (b) Senior management should: (1) continually promote the safety policy to all personnel and demonstrate their commitment to it. (2) provide necessary human and financial resources for its implementation. and (3) establish safety objectives and performance standards. | [Return AMC1 OR 200 (1) (i)](#RETURN_AMC1_OR_200_1_i) |
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| **AMC1 ATS.OR.200(1)(ii) Safety management system** **ACCOUNTABILITIES — COMPLEX ATS PROVIDERS** The SMS of the air traffic services provider should ensure that: (a) everyone involved in the safety aspects of the provision of air traffic services has an individual safety responsibility for their own actions. (b) managers should be responsible for the safety performance of their respective departments or divisions. and(c) the top management of the provider carries an overall safety responsibility. | [Return AMC1 OR 200 (1) (ii)](#RETURN_AMC1_OR_200_1_ii) |

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| **AMC1 ATS.OR.200(1)(ii).(iii) Safety management system** **ORGANISATION AND ACCOUNTABILITIES** An air traffic service provider should: (a) identify the safety manager who, irrespective of other functions, has ultimate responsibility and accountability, on behalf of the organisation, for the implementation and maintenance of the SMS. (b) clearly define lines of safety accountability throughout the organisation, including a direct accountability for safety on the part of senior management. (c) identify the accountabilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS. (d) document and communicate safety responsibilities, accountabilities and authorities throughout the organisation. and (e) define the levels of management with authority to make decisions regarding safety risk tolerability. | [Return AMC1 OR 200 (1) (ii) (iii) (a)](#RETURN_AMC1_OR_200_1_ii_iii_a)  |
| [Return AMC1 OR 200 (1) (ii) (iii) (b)](#RETURN_AMC1_OR_200_1_ii_iii_b)  |
| [Return AMC1 OR 200 (1) (ii) (iii) (c)](#RETURN_AMC1_OR_200_1_ii_iii_c)  |
| [Return AMC1 OR 200 (1) (ii) (iii) (d)](#RETURN_AMC1_OR_200_1_ii_iii_d)  |
| [Return AMC1 OR 200 (1) (ii) (iii) (e)](#RETURN_AMC1_OR_200_1_ii_iii_e)  |
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| **AMC2 ATS.OR.200(1)(ii).(iii) Safety management system** **ORGANISATION AND ACCOUNTABILITIES — COMPLEX ATS PROVIDERS** The SMS of the air traffic services provider should encompass safety by including a safety manager and a safety review board in the organisational structure. **(a) Safety manager** (1) The safety manager should act as the focal point and be responsible for the development, administration and maintenance of an effective SMS. He or she should be independent of line management, and accountable directly to the highest organisational level. (2) The role of the safety manager should, as a minimum, be to: (i) ensure that hazard identification, risk analysis and management are undertaken in accordance with the SMS processes. (ii) monitor the implementation of actions taken to mitigate risks. (iii) provide periodic reports on safety performance. (iv) ensure maintenance of safety management documentation. (v) ensure that there is safety management training available and that it meets acceptable standards. (vi) provide advice on safety matters. and (vii) monitor initiation and follow-up of internal occurrence/accident investigations. (3) The safety manager should have: (i) adequate practical experience and expertise in air traffic services or a similar area. (ii) adequate knowledge of safety and quality management. (iii) adequate knowledge of the working methods and operating procedures. and (iv) comprehensive knowledge of the applicable requirements in the area of air traffic services. **(b) Safety review board** (1) The safety review board should be a high-level committee that considers matters of strategic safety in support of the accountable manager’s safety accountability. (2) The board should be chaired by the accountable manager and composed of heads of functional areas. (3) The safety review board should, as a minimum: (i) monitor safety performance against safety policy and objectives. (ii) ensure that any safety action is taken in a timely manner. and (iii) monitor the effectiveness of the air traffic services provider’s SMS processes. (4) The safety review board should ensure that appropriate resources are allocated to achieve the planned safety performance.(5) The safety manager or any other relevant person may attend, as appropriate, safety review board meetings. He or she may communicate to the accountable manager all information, as necessary, to allow decision-making based on safety data. | [Return AMC2 OR 200 (1) (ii) (iii) (a)](#RETURN_AMC2_OR_200_1_ii_iii_a)  |
| [Return AMC1 OR 200 (1) (ii) (iii) (b)](#RETURN_AMC2_OR_200_1_ii_iii_b)  |
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| **AMC1 ATS.OR.200(1)(iv) Safety management system** **COORDINATION OF EMERGENCY RESPONSE PLANNING FOR ATS PROVIDERS — COMPLEX ATS PROVIDERS** (a) An air traffic services provider should develop, coordinate and maintain a plan for its response to an emergency. It should: (1) reflect the nature and complexity of the activities performed by the air traffic services provider.(2) ensure an orderly and safe transition from normal to emergency operations.(3) ensure safe continuation of operations or return to normal operations as soon as practicable. and (4) ensure coordination with the ERPs of other organisations, where appropriate. (b) For emergencies occurring at the aerodrome or in its surroundings, the plan should be aligned with the aerodrome ERP and be coordinated with the aerodrome operator. | [Return AMC1 OR 200 (1) (iv)](#RETURN_AMC1_OR_200_1_iv) |

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| **AMC1 ATS.OR.200(1)(v) Safety management system** **SAFETY MANAGEMENT MANUAL (SMM) — COMPLEX ATS PROVIDERS** The safety management manual should be the key instrument for communicating the approach to safety for the air traffic services provider. The SMM should document all aspects of safety management, including but not limited to the: (a) scope of the SMS. (b) safety policy and objectives. (c) safety accountability of the accountable manager. (d) safety responsibilities, accountabilities and authorities of key safety personnel throughout the air traffic services provider. (e) documentation control procedures. (f) hazard identification and safety risk management schemes. (g) safety performance monitoring. (h) incident investigation and reporting. (i) emergency response planning. (j) management of change (including organisational changes with regard to safety responsibilities and changes to functional systems). and (k) safety promotion. | [Return AMC1 OR 200 (1) (v) (a)](#RETURN_AMC1_OR_200_1_V_a) |
| [Return AMC1 OR 200 (1) (v) (b)](#RETURN_AMC1_OR_200_1_V_b) |
| [Return AMC1 OR 200 (1) (v) (c)](#RETURN_AMC1_OR_200_1_V_c) |
| [Return AMC1 OR 200 (1) (v) (d)](#RETURN_AMC1_OR_200_1_V_d) |
| [Return AMC1 OR 200 (1) (v) (e)](#RETURN_AMC1_OR_200_1_V_e) |
| [Return AMC1 OR 200 (1) (v) (f)](#RETURN_AMC1_OR_200_1_V_f) |
| [Return AMC1 OR 200 (1) (v) (g)](#RETURN_AMC1_OR_200_1_V_g) |
| [Return AMC1 OR 200 (1) (v) (h)](#RETURN_AMC1_OR_200_1_V_h) |
| [Return AMC1 OR 200 (1) (v) (i)](#RETURN_AMC1_OR_200_1_V_i) |
| [Return AMC1 OR 200 (1) (v) (j)](#RETURN_AMC1_OR_200_1_V_j) |
| [Return AMC1 OR 200 (1) (v) (k)](#RETURN_AMC1_OR_200_1_V_k) |

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| **AMC2 ATS.OR.200(1)(v) Safety management system** **SAFETY RECORDS — COMPLEX ATS PROVIDERS** Safety records that should be maintained and retained include but are not limited to: (a) certificates. (b) limited certificates. (c) declarations.(d) safety policy. (e) safety accountabilities/responsibilities. (f) safety occurrences. (g) emergency response plan. (h) SMS documentation. (i) training and competence. (j) occurrence reports. (k) safety risk assessments including safety assessment of changes to the functional system. (l) determination of either complex or non-complex organisation. and (m) approved means of compliance. | [Return AMC2 OR 200 (1) (v)](#RETURN_AMC2_OR_200_1_V) |
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| **ATS.OR.200 Safety management system (2)** An air traffic services provider shall have in place a safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, that includes the following components: (2) *Safety risk management* (i) A process to identify hazards associated to its services which shall be based on a combination of reactive, proactive and predictive methods of safety data collection. (ii) A process that ensures analysis, assessment and control of the safety risks associated with identified hazards. (iii) A process to ensure that its contribution to the risk of aircraft accidents is minimised as far as is reasonably practicable. | [Return OR 200 (2)](#RETURN_OR_200_2) |

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| **ATS.OR.200 Safety management system (3)** An air traffic services provider shall have in place a safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, that includes the following components:(3) Safety assurance(i) Safety performance monitoring and measurement means to verify the safety performance of the organisation and validate the effectiveness of the safety risk controls.(ii) A process to identify changes which may affect the level of safety risk associated with its service and to identify and manage the safety risks that may arise from those changes.(iii) A process to monitor and assess the effectiveness of the SMS to enable the continuous improvement of the overall performance of the SMS. | [Return OR 200 (3) (i) and (ii)](#RETURN_OR_200_3) |
| [Return OR 200 (3) (iii)](#RETURN_OR_200_3_iii) |
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| **AMC1 ATS.OR.200(3)(iii) Safety management system** **CONTINUOUS IMPROVEMENT OF THE SMS — COMPLEX ATS PROVIDERS** An air traffic services provider should continuously improve the effectiveness of its SMS by: (a) developing and maintaining a formal process to identify the causes of substandard performance of the SMS.(b) establishing one or more mechanisms to determine the implications of substandard performance of the SMS.(c) establishing one or more mechanisms to eliminate or mitigate the causes of substandard performance of the SMS. and (d) developing and maintaining a process for the proactive evaluation of facilities, equipment, documentation, processes and procedures (through internal audits, surveys, etc.). | [Return AMC1 OR 200 (3) (iii)](#RETURN_AMC1_OR_200_3_iii) |
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| **ATS.OR.200 Safety management system (4)**An air traffic services provider shall have in place a safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, that includes the following components: **(4) *Safety promotion*** (i) Training programme that ensures that the personnel are trained and competent to perform their SMS duties. (ii) Safety communication that ensures that the personnel are aware of the SMS implementation. | [Return OR 200 (4)](#RETURN_OR_200_4) |

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| **AMC1 ATS.OR.200(4)(i) Safety management system** **TRAINING AND COMMUNICATION — COMPLEX ATS PROVIDERS** (a) Training (1) All personnel should receive safety training as appropriate for their safety responsibilities. (2) Adequate records of all safety training provided should be kept. (b) Communication (1) The ATS provider should establish communication about safety matters that: (a) ensures that all personnel are aware of the safety management activities as appropriate for their safety responsibilities.(b) conveys critical information, especially relating to assessed risks and analysed hazards.(c) explains why particular actions are taken. and (d) explains why safety procedures are introduced or changed.(2) Regular meetings with personnel where information, actions and procedures are discussed, may be used to communicate safety matters. | [Return AMC1 OR 200 (4) (i) (a)](#RETURN_AMC1_OR_200_4_i_a) |
| [Return AMC1 OR 200 (4) (i) (b)](#RETURN_AMC1_OR_200_4_i_b) |
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| **ATS.OR.215 Licensing and medical certification requirements for air traffic controllers** An air traffic services provider shall ensure that air traffic controllers are properly licensed and hold a valid medical certificate, in accordance with UK (EU) Regulation No 2015/340. | [Return OR 215](#RETURN_OR_215) |

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| **ATS.OR.200 Safety management system (1) (2) (3) *(NON-COMPLEX)***An air traffic services provider shall have in place a safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, that includes the following components: (1) *Safety policy and objectives* (i) Management commitment and responsibility regarding safety which shall be included in the safety policy. (ii) Safety accountabilities regarding the implementation and maintenance of the SMS and the authority to make decisions regarding safety. (iii) Appointment of a safety manager who is responsible for the implementation and maintenance of an effective SMS.(iv) Coordination of an emergency response planning with other service providers and aviation undertakings that interface with the ATS provider during the provision of its services. (v) SMS documentation that describes all the elements of the SMS, the associated SMS processes and the SMS outputs. (2) *Safety risk management* (i) A process to identify hazards associated to its services which shall be based on a combination of reactive, proactive and predictive methods of safety data collection. (ii) A process that ensures analysis, assessment and control of the safety risks associated with identified hazards. (iii) A process to ensure that its contribution to the risk of aircraft accidents is minimised as far as is reasonably practicable. (3) *Safety assurance* (i) Safety performance monitoring and measurement means to verify the safety performance of the organisation and validate the effectiveness of the safety risk controls. (ii) A process to identify changes which may affect the level of safety risk associated with its service and to identify and manage the safety risks that may arise from those changes. (iii) A process to monitor and assess the effectiveness of the SMS to enable the continuous improvement of the overall performance of the SMS. | [Return OR 200 (1) (2) (3) Non- Complex](#RETURN_OR_200_1_2_3_NC) |

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| **AMC1 ATS.OR.200(1). (2). (3) Safety management system *(NON\_COMPLEX)*** **GENERAL — NON-COMPLEX ATS PROVIDERS** (a) The safety policy should include a commitment to improve towards the highest safety standards, comply with all the applicable legal requirements, meet all the applicable standards, consider the best practices and provide the appropriate resources. (b) In cooperation with other stakeholders, the air traffic services provider should develop, coordinate and maintain an emergency response plan (ERP) that ensures orderly and safe transition from normal to emergency operations and return to normal operations. The ERP should determine the actions to be taken by the air traffic services provider or specified individuals in an emergency and reflect the size, nature and complexity of the activities performed by the air traffic services provider. (c) Safety risk management may be performed using hazard checklists or similar risk management tools or processes, which are integrated into the activities of the air traffic services provider. (d) An air traffic services provider should manage safety risks related to changes. Management of changes should be a documented process to identify external and internal changes that may have an adverse effect on safety. It should make use of the air traffic services provider’s existing hazard identification, risk assessment and mitigation processes. (e) An air traffic services provider should identify persons who fulfil the role of safety managers and who are responsible for coordinating the safety management system (SMS). These persons may be accountable managers or individuals with an operational role in the air traffic services provider. (f) Within the air traffic services provider, responsibilities should be identified for hazard identification, risk assessment and mitigation. | [Return AMC1 OR 200 (1) (2) (3) (a)](#RETURN_AMC1_OR_200_1_2_3_NC)  |
| [Return AMC1 OR 200 (1) (2) (3) (b) First Part](#RETURN_AMC1_OR_200_1_2_3_b) |
| [Return AMC1 OR 200 (1) (2) (3) (b) Second Part](#RETURN_AMC1_OR_200_1_2_3_b_NC_SP) |
| [Return AMC1 OR 200 (1) (2) (3) (c)](#RETURN_AMC1_OR_200_1_2_3_c) |
| [Return AMC1 OR 200 (1) (2) (3) (d)](#RETURN_AMC1_OR_200_1_2_3_d) |
| [Return AMC1 OR 200 (1) (2) (3) (e)](#RETURN_AMC1_OR_200_1_2_3_e) |
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| **ATS.OR.200 Safety management system (1) (ii).(iii)** ***(NON\_COMPLEX)***An air traffic services provider shall have in place a safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, that includes the following components: (1) *Safety policy and objectives* (ii) Safety accountabilities regarding the implementation and maintenance of the SMS and the authority to make decisions regarding safety. (iii) Appointment of a safety manager who is responsible for the implementation and maintenance of an effective SMS. | [Return OR 200 (1) (ii) (iii)](#RETURN_OR_200_1_NC) |
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| **AMC1 ATS.OR.200(1)(ii).(iii) Safety management system *(NON-COMPLEX)*****ORGANISATION AND ACCOUNTABILITIES** An air traffic service provider should: (a) identify the safety manager who, irrespective of other functions, has ultimate responsibility and accountability, on behalf of the organisation, for the implementation and maintenance of the SMS.(b) clearly define lines of safety accountability throughout the organisation, including a direct accountability for safety on the part of senior management.(c) identify the accountabilities of all members of management, irrespective of other functions, as well as of employees, with respect to the safety performance of the SMS.(d) document and communicate safety responsibilities, accountabilities and authorities throughout the organisation. and (e) define the levels of management with authority to make decisions regarding safety risk tolerability. | [Return AMC1 OR 200 (1) (ii) (iii) (a)](#RETURN_AMC1_OR_200_1_ii_iii_a_NC)  |
| [Return AMC1 OR 200 (1) (ii) (iii) (b)](#RETURN_AMC1_OR_200_1_ii_iii_b_NC)  |
| [Return AMC1 OR 200 (1) (ii) (iii) (c)](#RETURN_AMC1_OR_200_1_ii_iii_c_NC)  |
| [Return AMC1 OR 200 (1) (ii) (iii) (d)](#RETURN_AMC1_OR_200_1_ii_iii_d_NC)  |
| [Return AMC1 OR 200 (1) (ii) (iii) (e)](#RETURN_AMC1_OR_200_1_ii_iii_e_NC)  |

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| **ATS.OR.200 Safety management system (4) *(NON-COMPLEX)***An air traffic services provider shall have in place a safety management system (SMS), which may be an integral part of the management system required in point ATM/ANS.OR.B.005, that includes the following components:**(4) *Safety promotion*** (i) Training programme that ensures that the personnel are trained and competent to perform their SMS duties. (ii) Safety communication that ensures that the personnel are aware of the SMS implementation. | [Return OR 200 (4) (i)](#RETURN_OR_200_4_i_NC)  |
| [Return OR 200 (4) (ii)](#RETURN_OR_200_4_ii_NC)  |
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| **ATS.OR.215 Licensing and medical certification requirements for air traffic controllers** ***(NON-COMPLEX)***An air traffic services provider shall ensure that air traffic controllers are properly licensed and hold a valid medical certificate, in accordance with UK Regulation (EU) No 2015/340. | [Return OR 215](#RETURN_OR_215_NC) |

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| **ATS.OR.300 Scope** This section establishes the requirements to be met by the air traffic control service provider with regard to human performance in order to: (a) prevent and mitigate the risk that air traffic control service is provided by air traffic controllers with problematic use of psychoactive substances.(b) prevent and mitigate the negative effects of stress on air traffic controllers to ensure the safety of air traffic.(c) prevent and mitigate the negative effects of fatigue on air traffic controllers to ensure the safety of air traffic. | [Return OR 300](#RETURN_OR_300) |
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| **ATS.OR.305 Responsibilities of air traffic control service providers with regard to the problematic use of psychoactive substances by air traffic controllers**  (a) An air traffic control service provider shall develop and implement a policy, with related procedures, in order to ensure that the problematic use of psychoactive substances does not affect the provision of air traffic control service. (b) Without prejudice to provisions laid down in Regulation UK(EU) 2016/679 and the applicable national legislation on testing of individuals, the air traffic control service provider shall develop and implement an objective, transparent and non-discriminatory procedure for the detection of cases of problematic use of psychoactive substances by air traffic controllers. This procedure shall take into account provisions laid down in point ATCO.A.015 of UK (EU) Regulation No 2015/340. (c) The procedure in point (b) shall be approved by the competent authority.Amended by Statutory Instrument 2020 No 694 | [Return OR 305 (a)](#RETURN_OR_305_a) |
| [Return OR 305 (b)](#RETURN_OR_305_b) |
| [Return OR 305 (c)](#RETURN_OR_305_c) |

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| **AMC1 ATS.OR.305(a) Responsibilities of air traffic control service providers with regard to the problematic use of psychoactive substances by air traffic controllers** **POLICY AND PROCEDURES** Within the context of the policy, the air traffic control service provider should: (a) provide training or educational material to air traffic controllers relating to: (1) the effects of psychoactive substances on individuals and subsequently on-air traffic control service provision. (2) established procedures within its organisation regarding this issue. and (3) their individual responsibilities with regard to legislation and policies on psychoactive substances. (b) make available appropriate support for air traffic controllers who are dependent on psychoactive substances. (c) encourage air traffic controllers who think that they may have such a problem to seek and accept help made available by their air traffic control service provider. (d) ensure that air traffic controllers are treated in a consistent, just and equitable manner as regards the problematic use of psychoactive substances. and (e) establish and implement principles and procedures for occurrence investigation and analysis to consider the problematic use of psychoactive substances as a contributing factor. | [Return AMC1 OR 305 (a)](#RETURN_AMC1_OR_305_a_a) |
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| **AMC1 ATS.OR.305(b) Responsibilities of air traffic control service providers with regard to the problematic use of psychoactive substances by air traffic controllers** **PROCEDURE FOR THE DETECTION OF CASES OF PROBLEMATIC USE OF PSYCHOACTIVE SUBSTANCES** The objective, transparent and non-discriminatory procedure should specify: (a) the mechanisms and responsibilities for its initiation. (b) its applicability in terms of timing and locations. (c) the person(s)/body responsible for testing the individual. (d) the testing process. (e) thresholds for psychoactive substances. (f) the process to be followed in case of detection of problematic use of psychoactive substances by an air traffic controller. and (g) the appeal process. | [Return AMC1 OR 305 (b)](#RETURN_AMC1_OR_305_b) |

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| **ATS.OR.310 Stress** In accordance with point ATS.OR.200, an air traffic control service provider shall: (a) develop and maintain a policy for the management of air traffic controllers' stress, including the implementation of a critical incident stress management programme.(b) provide air traffic controllers with education and information programmes on the prevention of stress, including critical incident stress, complementing human factors training provided in accordance with Sections 3 and 4 of Subpart D of Annex I to UK (EU) Regulation No 2015/340. | [Return OR 310 (a)](#RETURN_OR_310_a) |
| [Return OR 310 (b)](#RETURN_OR_310_b) |
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| **AMC1 ATS.OR.310(a) Stress** **STRESS MANAGEMENT POLICY** (a) The air traffic controllers’ stress management policy should: (1) declare the commitment to proactively and systematically monitor and manage stress and describe the expected benefits for the safety of operations. (2) be signed by the accountable manager. (3) reflect organisational commitments regarding the implementation of a critical incident stress management programme. (4) be communicated, with visible endorsement, throughout the air traffic control service provider. (5) include the commitment to: (i) provide appropriate resources. (ii) consider the best practices. (iii) enforce stress management programme(s) as a responsibility of managers, staff involved in stress management and air traffic controllers. (6) be periodically reviewed to ensure it remains relevant and appropriate.(b) In accordance with the policy in point (a), the air traffic control service provider should establish and implement: (1) procedures for critical incident stress management. (2) principles and procedures to enable stress reporting. (3) principles and procedures for occurrence investigation and analysis to consider stress as contributing factor. and (4) method(s) for the identification and management of the effect of air traffic controllers’ stress on the safety of operations. | [Return AMC1 OR 310 (a) part (a)](#RETURN_AMC1_OR_310_a_a) |
| [Return AMC1 OR 310 (a) part (b)](#RETURN_AMC1_OR_310_a_b_1) |

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| **ATS.OR.315 Fatigue** In accordance with point ATS.OR.200, an air traffic control service provider shall: (a) develop and maintain a policy for the management of air traffic controllers' fatigue.(b) provide air traffic controllers with information programmes on the prevention of fatigue, complementing human factors training provided in accordance with Sections 3 and 4 of Subpart D of Annex I to UK (EU) Regulation No 2015/340 | [Return OR 315 (a)](#RETURN_OR_315_a) |
| [Return OR 315 (b)](#RETURN_OR_315_b) |
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| **AMC1 ATS.OR.315(a) Fatigue** **FATIGUE MANAGEMENT POLICY** (a) The air traffic controllers’ fatigue management policy should: (1) declare the commitment to proactively and systematically monitor and manage fatigue and describe the expected benefits for the safety of operations. (2) be signed by the accountable manager. (3) address the mitigation of the operational impact of air traffic controllers’ fatigue. (4) be communicated, with visible endorsement, throughout the air traffic control service provider. (5) include a commitment to: (i) consider the best practices. (ii) provide appropriate resources. and (iii) enforce fatigue management as a responsibility of managers, staff involved in fatigue management procedures and air traffic controllers. (6) be periodically reviewed to ensure it remains relevant and appropriate. (b) In accordance with the policy in point (a), the air traffic control service provider should establish and implement: (1) principles and procedures to enable fatigue reporting. (2) principles and procedures for occurrence investigation and analysis to consider fatigue as contributing factor. (3) procedures for the identification and management of the effect of fatigue on the safety of operations. | [Return AMC1 OR 315 (a) part (a)](#RETURN_AMC1_OR_315_a_a) |
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| **ATS.OR.320 Air traffic controllers' rostering system(s)**  (a) An air traffic control service provider shall develop, implement and monitor a rostering system in order to manage the risks of occupational fatigue of air traffic controllers through a safe alternation of duty and rest periods. Within the rostering system, the air traffic control service provider shall specify the following elements: (1) maximum consecutive working days with duty. (2) maximum hours per duty period. (3) maximum time providing air traffic control service without breaks. (4) the ratio of duty periods to breaks when providing air traffic control service. (5) minimum rest periods. (6) maximum consecutive duty periods encroaching the night time, if applicable, depending upon the operating hours of the air traffic control unit concerned. (7) minimum rest period after a duty period encroaching the night time. (8) minimum number of rest periods within a roster cycle.(b) An air traffic control services provider shall consult those air traffic controllers who will be subject to the rostering system, or, as applicable, their representatives, during its development and its application, to identify and mitigate risks concerning fatigue which could be due to the rostering system itself. | [Return OR 320 (a)](#RETURN_OR_320_a) |
| [Return OR 320 (a) (1)](#RETURN_OR_320_a_1) |
| [Return OR 320 (a) (2)](#RETURN_OR_320_a_2) |
| [Return OR 320 (a) (3)](#RETURN_OR_320_a_3) |
| [Return OR 320 (a) (4)](#RETURN_OR_320_a_4) |
| [Return OR 320 (a) (5)](#RETURN_OR_320_a_5) |
| [Return OR 320 (a) (6)](#RETURN_OR_320_a_6) |
| [Return OR 320 (a) (7)](#RETURN_OR_320_a_7) |
| [Return OR 320 (a) (8)](#RETURN_OR_320_a_8) |
| [Return OR 320 (b)](#RETURN_OR_320_b) |
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| **AMC1 ATS.OR.320(a) Air traffic controllers’ rostering system(s)****STUDENT AND TRAINEE AIR TRAFFIC CONTROLLERS** The rostering principle below is a means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers: The rostering system should apply equally to student and trainee air traffic controllers undertaking live traffic on-the-job trainingAmended by ORS9 Decision 6 | [Return AMC1 OR 320 (a)](#RETURN_OR_320_a) |
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| **AMC2 ATS.OR.320(a) Air traffic controllers’ rostering system(s)****ANCILLARY TASKS** An ancillary task is any task in an operational control room which is not directly associated with the provision of an ATC service and is considered to be duty. Where the conduct of such ancillary tasks during a duty period is unavoidable, the ATC service provider should be able to demonstrate that the air traffic controller will not be distracted from their primary function or placed under undue pressure. These ancillary tasks and the person/role responsible for discharging them should be clearly identified in the unit’s MATS Part 2.Amended by ORS9 Decision 6 | [Return AMC2 OR 320 (a)](#RETURN_AMC2_OR_320_a) |
| **AMC1 ATS.OR.320(a)(1) Air traffic controllers’ rostering system(s)****MAXIMUM CONSECUTIVE WORKING DAYS WITH DUTY**Together, the following rostering principles are means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:(a) The maximum number of consecutive working days with duty should not exceed either 6 days or consecutive periods of duty totalling 50 hours within 6 days, whichever is achieved earlier.(b) The maximum number of consecutive ‘morning’ duty periods should not exceed 5 days.(c) Not more than 2 ‘early starts’ should be worked in a period of 144 hours (6 days).(d) Consecutive ‘early start’ duties should not be permitted where both duties commence before 0600.(e) In determining the maximum number of consecutive ‘morning’ duty periods, ‘early start’ duty periods should be counted, and those commencing before 0600 should count double.function or placed under undue pressure. These ancillary tasks and the person/role responsible for discharging them should be clearly identified in the unit’s MATS Part 2.Amended by ORS9 Decision 6 | [Return AMC2 OR 320 (a) (1)](#RETURN_AMC1_OR_320_a_1) |
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| **AMC1 ATS.OR.320(a)(2) Air traffic controllers’ rostering system(s)****MAXIMUM HOURS PER DUTY PERIOD** Together, the following rostering principles are means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers: (a) Except as indicated in b) and (c) below the maximum hours per duty period should not exceed 10 hours.**(**b) The maximum hours for an ‘early start’ duty period should not exceed 8 hours.(c) The maximum hours for a ‘morning’ duty period should not exceed 8 ½ hours.(d) Within 720 consecutive hours (30 days) the aggregate of periods of duty should not exceed 300 hours, provided that periods of duty (excluding on call duty) do not exceed 200 hours.Amended by ORS9 Decision 6 | [Return AMC2 OR 320 (a) (2)](#RETURN_AMC1_OR_320_a_2) |

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| **AMC2 ATS.OR.320(a)(2) Air traffic controllers’ rostering system(s)****LIMITS FOR ‘ON CALL’ DUTIES**Together, the following rostering principles are means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:(a) The maximum ‘on call’ duty period, where the controller does not attend the place of work, should be 20 hours and all ‘on call’ duty time spent in attendance at the place of work should count double. For example, if an air traffic controller attends the place of work ten hours after commencing an ‘on call’ duty, the 20-hour maximum ‘on call’ period of duty will be reached when the air traffic controller completes five hours at the place of work [10 hours + (5 hours x 2 = 10 hours) = 20 hours].(b) Not more than two ‘on call’ duty periods should be worked in a period of 144 hours (6 days).(c) Prior to commencing an ‘on call’ duty period, air traffic controllers should be rested in accordance with the limitations defined by the ATC service provider and, if called in, should then be subject to the minimum interval between duty periods as specified by the service provider. An ‘on call’ air traffic controller who is not called in during an overnight ‘on call’ duty should not be utilised before midday on the day the overnight ‘on call’ duty finished.(d) Normally only one attendance at the place of work per ‘on call’ duty period should be permitted.(e) ATC service providers should ensure that their rostering system addresses how they intend to operate in exceptional circumstances outside the normal operating limitations.(f) Where an air traffic controller is rostered for a shift of duty as part of the operational shift pattern but is instructed to remain “on call” rather than “on site”, the limitations for their originally rostered standard duty period should apply.Amended by ORS9 Decision 6 | [Return AMC2 OR 320 (a) (2)](#RETURN_AMC2_OR_320_a_2) |
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| **AMC1 ATS.OR.320(a)(3) Air traffic controllers’ rostering system(s)****MAXIMUM TIME PROVIDING AIR TRAFFIC CONTROL SERVICE WITHOUT BREAKS**Together, the following rostering principles are means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:(a) The maximum time providing ATC service without a break should not exceed 2 hours.(b) Notwithstanding point (a), at units where workload for any part of the day is judged to be low and the activity is spasmodic rather than continuous, the maximum time providing ATC service without a break, at these times, should not exceed 4 hours.(c) Notwithstanding points (a) and (b), for a controller on an ‘early start duty’ (see AMC1 .45 Duty period) commencing before 0600, all operational duty periods shall be limited to 1.5 hours. For a controller on an ‘early start duty’ commencing at or after 0600, the first operational duty period shall be limited to 1.5 hoursAmended by ORS9 Decision 6 | [Return AMC2 OR 320 (a) (3)](#RETURN_AMC1_OR_320_a_3) |

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| **AMC1 ATS.OR.320(a)(4) Air traffic controllers’ rostering system(s)****RATIO OF DUTY PERIODS TO BREAKS WHEN PROVIDING ATC SERVICE**The rostering principle below is a means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:The ratio of operational duty periods to breaks should be 1:4. for example, 15 minutes break for 1 hour operational duty period.Amended by ORS9 Decision 6 | [Return AMC2 OR 320 (a) (4)](#RETURN_AMC1_OR_320_a_4) |
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| **AMC1 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s)****MINIMUM REST PERIODS**Together, the following rostering principles are means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:(a) Notwithstanding AMC1.ATS.OR.320(a)(4), where the maximum time providing ATC service without a break is 2 hours in accordance with point (a) of AMC1 ATS.OR.320(a)(3), such periods should not exceed a period of 2 hours without there being taken during, or at the end of, that period a break or breaks totalling not less than 30 minutes during which period a controller does not exercise the privileges of their licence.(b) Notwithstanding AMC1.ATS.OR.320(a)(4), where the maximum time providing ATC service without a break is greater than 2 hours in accordance with point (b) of AMC1 ATS.OR.320(a)(3), a break, or breaks should be taken pro-rata, during, or at the end of, that period of operational duty (for example, 45 minutes after 3 hours or 60 minutes after 4 hours) during which period a controller does not exercise the privileges of their licence.(c) There should be an interval of not less than 12 hours between the conclusion of one duty period and the commencement of the next period of duty. This interval should only be reduced (and only by a maximum of 1 hour) with the approval of the controller concerned and in any individual case such a reduction should be permitted no more than once in a period of 720 consecutive hours (30 days).(d) Upon the conclusion of six consecutive duty periods within 144 consecutive hours (6 days), or upon consecutive duty periods within 144 consecutive hours (6 days) reaching a total of 50 hours, whichever is the earlier, there should be an interval of a minimum of 60 hours before the commencement of the next duty period. This interval may be reduced in accordance with paragraph (e).(e) Within 720 consecutive hours (30 days) there should be not fewer than three intervals between the conclusion of one duty period and the commencement of the next period of duty. These intervals should total not less than 180 hours with the minimum interval being not less than 54 hours.Amended by ORS9 Decision 6 | [Return AMC1 OR 320 (a) (5)](#RETURN_AMC1_OR_320_a_5) |
| [Return AMC1 OR 320 (a) (5) (a)](#RETURN_AMC1_OR_320_a_5_a) |
| [Return AMC1 OR 320 (a) (5) (b)](#RETURN_AMC1_OR_320_a_5_b) |
| [Return AMC1 OR 320 (a) (5) (c)](#RETURN_AMC1_OR_320_a_5_c) |
| [Return AMC1 OR 320 (a) (5) (d)](#RETURN_AMC1_OR_320_a_5_d) |
| [Return AMC1 OR 320 (a) (5) (e)](#RETURN_AMC1_OR_320_a_5_e) |
| **AMC2 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s)****SHIFT HANDOVER**The rostering principle below is a means by which an air traffic control service provider can design a rostering system(s) which manages the risks of occupational fatigue of air traffic controllers:Where an interval of a minimum of 60 hours or 54 hours between duty period has been stipulated, that interval may be reduced by up to 30 minutes solely for the purpose of orderly shift handover.Amended by ORS9 Decision 6 | [Return AMC2 OR 320 (a) (5)](#RETURN_AMC2_OR_320_a_5) |
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| **AMC3 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s)****TRIAL AND EVALUATION SIMULATIONS**(a) Trial and evaluation simulations which take place within duty periods, or in place of operational duties, should be conducted within the overall limitations of duty periods.(b) Where trial and evaluation simulations take place within a stipulated rest period, then an interval of 48 hours should exist between the end of the simulation and the commencement of the next duty period. Alternatively, an interval of 24 hours should immediately precede and immediately follow such periods of simulator duty.Amended by ORS9 Decision 6 | [Return AMC3 OR 320 (a) (5)](#RETURN_AMC3_OR_320_a_5) |
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| **AMC4 ATS.OR.320(a)(5) Air traffic controllers’ rostering system(s)****SECONDARY EMPLOYMENT**(a) Any secondary employment that involves exercising the privileges of an ATCO licence is subject to the rest period limitations prescribed by the most restrictive ATC service provider.(b) ATCO.A.015(b) (Reg UK (EU) No 2015/340 Annex I Sub-Part A) states that “licence holders shall not exercise the privileges of their licence when having doubts of being able to safely exercise the privileges of the licence” and cites fatigue (GM1 ATCO.A.015(b)) as grounds for that doubt.(c) It is the CAA’s view that air traffic controllers who engage in secondary employment within stipulated rest periods are at risk of failing to meet their responsibilities under ATCO.A.015(b) and should be required by their contract of employment to declare this to their employer.Amended by ORS9 Decision 6 | [Return AMC4 OR 320 (a) (5)](#RETURN_AMC4_OR_320_a_5) |

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| **AMC1 ATS.OR.320(a)(6) Air traffic controllers’ rostering system(s)****MAXIMUM CONSECUTIVE DUTY PERIODS ENCROACHING THE NIGHT TIME**Not more than two night duties should be worked in immediate succession. In all cases the maximum night duty period should not exceed 9.5 hours and the night duty should conclude no later than 0730 hours.Amended by ORS9 Decision 6 | [Return AMC1 OR 320 (a) (6)](#RETURN_AMC1_OR_320_a_6) |
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| **AMC1 ATS.OR.320(a)(7) Air traffic controllers’ rostering system(s)****MINIMUM REST PERIOD AFTER A DUTY PERIOD ENCROACHING THE NIGHT TIME****(**a) Upon the conclusion of a single night duty, or two consecutive night duties, there should be an interval of a minimum of 54 hours before the commencement of the next period of duty.(b) ATC service providers may, in exceptional circumstances and with the approval of the air traffic controller concerned, offer a 48-hour minimum interval between the end of a single night duty and the commencement of the next period of daytime duty. This allowance should only be utilised to cover short notice staffing difficulties and not when planning for, or as part of, the published unit roster.Amended by ORS9 Decision 6 | [Return AMC1 OR 320 (a) (7)](#RETURN_AMC1_OR_320_a_7) |
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| **AMC1 ATS.OR.320(a)(8) Air traffic controllers’ rostering system(s)****MINIMUM NUMBER OF REST PERIODS WITHIN A ROSTER CYCLE**During any calendar or leave year a minimum of 10 days of total holiday entitlement should be taken in whole periods of not less than five consecutive days of booked leave (excluding rostered days off).Amended by ORS9 Decision 6 | [Return AMC1 OR 320 (a) (8)](#RETURN_AMC1_OR_320_a_8) |

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| **ATS.TR.100 Working methods and operating procedures for providers of air traffic services**(a) An air traffic services provider shall be able to demonstrate that its working methods and operating procedures are compliant with: (1) Implementing [UK (EU) Regulation No 923/2012](https://regulatorylibrary.caa.co.uk/923-2012/Content/SERA%20923-2012_1.htm). and (2) the standards laid down in the following Annexes to the Chicago Convention, as far as they are relevant to the provision of air traffic services in the airspace concerned: (i) Annex 10 on aeronautical telecommunications, 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. (ii) without prejudice to UK (EU) Regulation No 923/2012, Annex 11 on air traffic services in its 13th edition of July 2001, including all amendments up to and including No 49. (b) Notwithstanding point (a), for air traffic services units providing services for flight testing, the competent authority may specify additional or alternative conditions and procedures to those contained in point (a) when so required for the provision of services for flight testing. | [Return TR 100](#RETURN_TR_100)  |

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| **CM GUIDANCE NOTES providing guidance on declaration of compliance with ATS.TR.100**Notwithstanding the requirement for air traffic services providers to be cognisant of and compliant with UK (EU) Reg No 923/2012 Standardised European Rules of the Air (SERA), the CAA highlights specific elements of SERA relating to the operational procedures to be followed by air traffic services providers into its Civil Aviation Publications (CAPs).  Specifically, the Manual of Air Traffic Services Part 1 CAP 493 for ATC service providers, the Flight Information Service Officer Manual CAP 797 for FIS providers and the UK Flight Information Services CAP 774.Through the publication of the Manual of Air Traffic Services Part 1 CAP 493 for ATC service providers, the Flight Information Service Officer Manual CAP 797 for FIS providers and the Radiotelephony Manual CAP 413, the CAA meets its international obligations with regards to:* Annex 10 on aeronautical telecommunications, 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. and
* without prejudice to UK (EU) Reg No 923/2012, Annex 11 on air traffic services in its 13th edition of July 2001, including all amendments up to and including No 49

The CAA will consider an air traffic services provider to be compliant with ATS.TR.100(a) where they can demonstrate that their working methods and operating procedures are:* for ATC service providers, compliant with ‘Air Traffic Services Safety Requirements CAP 670 Part B Section 2 ATC 02: ATC Documentation and the Manual of Air Traffic Services Part 1 CAP 493.
* For aerodrome FIS providers, compliant with ‘Air Traffic Services Safety Requirements CAP 670 Part B Section 5 AFIS 01: Minimum Level of Equipment, Facilities and Documentation, the Flight Information Service Officer Manual CAP 797 and the UK Flight Information Service CAP 774.
* For ‘Area’ FIS providers, compliant with the Flight Information Service Officer Manual CAP 797 and the UK Flight Information Service CAP 774.

As such, air traffic services providers should provide a reference(s) to their MATS Part 2 or local instructions (as appropriate) which clearly highlights the derivation of the working methods and operating procedures contained therein.” | [Return Link](#RETURN_TR_100) |