**COMPLIANCE MATRIX**

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

**AIS Requirements**

**ANNEX VI — PART-AIS**

**SPECIFIC REQUIREMENTS FOR PROVIDERS OF AERONAUTICAL INFORMATION SERVICES**

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

Complete all relevant sections and send the compliance matrix and supporting documents to [ansp.certification@caa.co.uk](mailto:ansp.certification@caa.co.uk)

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

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



The Compliance matrices have been divided into the following Parts:

ANNEX III ATM/ANS ORGANISATIONAL REQUIREMENTS

ANNEX IV AIR TRAFFIC SERVICES

ANNEX V METEOROLOGICAL SERVICES

ANNEX VI AERONAUTICAL INFORMATION SERVICES

ANNEX VIII COMMUNICATION NAVIGATION OR SURVEILLANCE SERVICES

ANNEX IX AIR TRAFFIC FLOW MANAGEMENT

ANNEX X AIRSPACE MANAGEMENT

ANNEX XI PROCEDURE DESIGN

ANNEX XIII AIR TRAFFIC SAFETY PERSONNEL

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

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

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

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

**Introduction to Compliance Matrix ANNEX VI Part AIS**

UK (EU) Regulation No 2017/373 requires that all aeronautical information service providers must comply with the relevant Organisational and Technical Requirements.

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

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

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

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

**General Information on the provision of AIS in the UK**

The provision of the UK AIS is provided by NATS (Services) Limited (NSL - AIM) on behalf of NATS (En Route) Limited (NERL).

The UK AIS is contracted under an Inter-Company Agreement (ICA) between NERL and NSL.

The ICA covers the preparation and dissemination of the United Kingdom Aeronautical Information Publication (AIP), Supplements to the Aeronautical Publication (SUP), Aeronautical Information Circulars (AIC), Notices to Airmen (NOTAM), Aeronautical Charts and Data Management.

The services and service level are defined in the UK AIS Operating Specification, which is approved by NERL, NSL and the CAA; any changes are managed by the contract change process contained within the Operating Specification.

The ICA identifies that NSL shall deal directly with the CAA relating to the service delivery.

**How to complete this Compliance Matrix**

The Matrix is divided into two sections:

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

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

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

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

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

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

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

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

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

Complete all relevant sections and send the compliance matrix and supporting documentation to [ansp.certification@caa.co.uk](mailto:ansp.certification@caa.co.uk)

**Example of compliance matrix**

|  |  |  |
| --- | --- | --- |
| **The Regulation and AMC** | **Requirements for all providers (except where indicated)** | **Link** |
| **AIS.OR.100 Technical and operational competence and capability (b)** | Provide a reference/references that indicates that your organisation ensures the integrity of data and confirms the level of accuracy of the information distributed for operations, including the source of such information, before such information is distributed. | 373 |
| **Enter reference(s) where compliance is indicated** | Provided in document XXXX, Part XXXX Section XXX |  |

|  |  |
| --- | --- |
| **AIS.OR.100 Technical and operational competence and capability**  (a) An aeronautical information services provider shall ensure that information and data are available for operations in a form suitable for:  (1) flight operating personnel, including flight crew;  (2) flight planning, flight management systems and flight simulators;  (3) air traffic services providers which are responsible for flight information services, aerodrome flight information services and the provision of pre-flight information.  (b) Aeronautical information services providers shall ensure the integrity of data and confirm the level of accuracy of the information distributed for operations, including the source of such information, before such information is distributed. | Return Link OR.100 (b) |

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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 VI - SUBPART A — ADDITIONAL ORGANISATION REQUIREMENTS FOR PROVIDERS OF AERONAUTICAL INFORMATION SERVICES (AIS.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 AIS providers**

|  |  |  |
| --- | --- | --- |
| **The Regulation and AMC** | **Requirements for AIS providers** | **Link** |
| **AIS.OR.100 Technical and operational competence and capability** **(a)** | Provide a reference/references that indicates that your organisation ensures that information and data are available for operations in a form suitable for:  (1) flight operating personnel, including flight crew;  (2) flight planning, flight management systems and flight simulators;  (3) air traffic services providers which are responsible for flight information services, aerodrome flight information services and the provision of pre-flight information. | [373](#OR_100) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AIS.OR.100 Technical and operational competence and capability (b)** | Provide a reference/references that indicates that your organisation ensures the integrity of data and confirms the level of accuracy of the information distributed for operations, including the source of such information, before such information is distributed. | [373](#OR_100) |
| **Enter reference(s) where compliance is indicated** |  |  |

**Compliance Matrix SECTION 2**

**ANNEX VI - SUBPART B — TECHNICAL REQUIREMENTS FOR PROVIDERS OF AERONAUTICAL INFORMATION SERVICES (AIS.TR)**

**General Requirements**

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

|  |  |  |
| --- | --- | --- |
| **The Regulation and AMC** | **Requirements for AIS providers** | **Link** |
| **AIS.TR.100 Working methods and operating procedures for the provision of aeronautical information services** **(a)** | Provide a reference/references that indicates that your organisation is able to demonstrate that its working methods and operating procedures are compliant with the standards in the following Annexe to the Chicago Convention as far as they are relevant to the provision of aeronautical information services in the airspace concerned:  Annex 4 on aeronautical charts in its 11th edition of July 2009, including all amendments up to and including No 58. | [373](#TR_100) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **AIS.TR.100 Working methods and operating procedures for the provision of aeronautical information services (b)** | Provide a reference/references that indicates that your organisation is able to demonstrate that its working methods and operating procedures are compliant with the standards in the following Annexe to the Chicago Convention as far as they are relevant to the provision of aeronautical information services in the airspace concerned:  Without prejudice to Commission UK (EU) Regulation No 73/20101, Annex 15 on aeronautical information services in its 14th edition of July 2013, including all amendments up to and including No 38. | [373](#TR_100) |
| **Enter reference(s) where compliance is indicated** |  |  |

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

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| **AIS.OR.100 Technical and operational competence and capability**  (a) An aeronautical information services provider shall ensure that information and data are available for operations in a form suitable for:  (1) flight operating personnel, including flight crew;  (2) flight planning, flight management systems and flight simulators;  (3) air traffic services providers which are responsible for flight information services, aerodrome flight information services and the provision of pre-flight information.  (b) Aeronautical information services providers shall ensure the integrity of data and confirm the level of accuracy of the information distributed for operations, including the source of such information, before such information is distributed. | [Return Link OR.100 (a)](#RETURN_OR_100a) |
| [Return Link OR.100 (b)](#RETURN_OR_100b) |
|  | |
| **AIS.TR.100 Working methods and operating procedures for the provision of aeronautical information services**  An aeronautical information services provider shall be able to demonstrate that their working methods and operating procedures are compliant with the standards in the following Annexes to the Chicago Convention as far as they are relevant to the provision of aeronautical information services in the airspace concerned:  (a) Annex 4 on aeronautical charts in its 11th edition of July 2009, including all amendments up to and including No 58;  (b) without prejudice to Commission UK (EU) Regulation No 73/20101, Annex 15 on aeronautical information services in its 14th edition of July 2013, including all amendments up to and including No 38. | [Return Link TR 100 (a)](#RETURN_TR_100a) |
| [Return Link TR 100 (b)](#RETURN_TR_100b) |