

Notification of a Proposed Change by an Air Navigation Service Provider (UK Regulation (EU) 2017/373) or ATCO Training Organisation (UK Regulation (EU) 2015/340)



Please complete this form online (preferred method) and submit as instructed. Alternatively, print, then complete in BLOCK CAPITALS using black or dark blue ink.

Please read the attached Guidance Notes before completing this form.

FALSE REPRESENTATION STATEMENT

It is an offence under the Air Navigation Order to make, with intent to deceive, any false representation for the purpose of procuring the grant, issue, renewal or variation of any certificate, licence, approval, permission or other document. This offence is punishable on summary conviction by a fine and on conviction on indictment with an unlimited fine or imprisonment or both.

1. APPROVAL/CERTIFICATE HOLDER DETAILS (Complete a) or b) as applicable)

a) Registered Company Name in Full and Companies House Registration Number

b) Name of Unincorporated Association or Other Body..

Current Approval/Certificate Number(s)

Location

Submission Date

Contact Person (Responsible for this Change)

Title

Name

Position

Phone

Email

2. REFERENCE VERSION NUMBER OF THIS NOTIFICATION

Please provide your internal and unique reference for this change and version number

Reference	Version
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3. PROVIDE A TITLE FOR THIS CHANGE

4. PROPOSED DATE FOR THE INTRODUCTION OF THE CHANGE

5. WHY IS THE CHANGE REQUIRED?

6. WHICH ORGANISATION(S) IS/ARE DEVELOPING THE SAFETY ASSURANCE CASE?

List all organisations involved in developing the safety assurance documentation below	N/A
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7. NAME OF OTHER SERVICE PROVIDERS OR ORGANISATIONS AFFECTED BY THE CHANGE**8. DESCRIBE THE CHANGE** [Brief description]**9. a) DESCRIBE THE IMPACT OF THE CHANGE**

7.7/ DECIDE THE IMPACT OF THE CHANGE		
Will the change result in a new or changed safety case or safety assurance documentation	Yes	No
Will the change impact the ANSP/TO/ITO certificate (See Guidance Section 9)	Yes	No
Will the change introduce a technology that is new to the notifying organization	Yes	No
Will the change result in a change to operational or engineering manuals	Yes	No
Will the change result in user training for operators and/or engineers	Yes	No
Will the change require a 'deviation' from your change management procedures	Yes	No
Will the change impact on interoperability (IOP) documentation	TBD	Yes

9. b) DESCRIBE OTHER IMPACTS BELOW**10. SERVICE / FUNCTIONS IMPACTED BY THE CHANGE**

Air Traffic Control (ATC)
Aerodrome Flight Information Service (AFIS) Communication systems
Navigation systems
Surveillance systems
Aeronautical Information Services (AIS) (Refer to Guidance Notes Section 10)
Meteorological Services
Air Space Management (ASM)
Air Traffic Flow Management (ATFM)
Unit Training
Initial Training

Other
(Provide details)

11. CYBER SECURITY

Will this change impact your cyber security controls?	Yes	No	
Will you or have you completed a cyber risk assessment?	Yes	No	NA
Will you be providing a cyber change notification IAW CAP1753?	Yes	No	NA

12. SUBMISSION INSTRUCTIONS

Please email this document to asddocs@caa.co.uk

Guidance Notes for completing Change Notification form SRG 1430

1 GENERAL INFORMATION ON CHANGES.

UK Regulation (EU) 2017/373 the Common Requirements for ATM/ANS and U K Regulation (EU) 2015/340 Air Traffic Controllers Licensing require ANSPs and Training Organisations to notify the CAA of a range of changes to their service provision.

Changes fall into the following categories:

- Changes that may require review and approval before implementation.
- Changes that will require prior approval before implementation.
- Changes that do not require approval before implementation.
- Changes that do not need notifying to the CAA.

More detail on these types of changes is provided in Part 3, '**Definitions**' below.

Once a change is selected for review there is no time limit as to how long it will take to complete the review, therefore; complex changes need to be notified as early as possible to prevent any delay in their implementation. Service Providers should not make plans for any implementation actions that cannot easily be postponed until the proposed change receives approval.

It is not necessary to complete an SRG1430 change notification form when notifying the CAA of the issue of Supplementary Instructions (SI) to MATS Pt2 or a MAFIS or a Temporary Operating Instruction (TOI). Where SIs are used to amend other documents an SRG 1430 will be required. Refer to section 3.4 below for further information on SIs.

More information on 'changes' 'SIs and TOIs is available on the CAA web site. Notifiers should review the information on the CAA web site before completing this form.

[Change-management-and-change-notification-process.](#)

2 COMPLETING THE FORM.

Section 1 Certificate Holder/Notifier: Enter the name of your organisation.

If your organisation is a registered company complete part 1(a). Be sure to enter your full company name as registered on Companies House and the registration number.

If your organisation is not a registered company such as a charity, local council or government body complete part 1(b).

Current Approval/Certificate Number(s): Enter your ANSP/Training Organisation Certificate numbers as applicable.

Location: Enter the place or places where the change is being implemented and all ATS units using services that are impacted upon by the change.

Submission Date: Enter the date that the form is to be submitted to the CAA.

Contact Person: Enter personal and contact details. The Contact Person should be the person with overall responsibility for the implementation of the change.

Section 2 - Reference/Version number of this notification: Enter a local reference number that is unique to this change notification. Also add a version number i.e. Version 01, as it may be necessary to amend the change later.

Should the change be 'materially modified' either before an approval is received or during the change implementation process, a new change notification form must be submitted with the same reference number and the version number increased by one.

Examples of what may constitute a material modification' are those which:

- Alters the nature of the changed service, including its complexity and novelty, from that originally notified
- Alters the safety risks associated with the change and/or the implementation of the change from that originally notified
- Significantly alter the timescales for implementing the change (in excess of 30 days)

Note: Changes made to interoperability (IOP) documentation after the initial submission of the SRG 1430 are not considered as 'material modifications' to the change, therefore there is no requirement to submit another version of the SRG 1430.

Section 3 - Provide a title for this change: Give the change a descriptive name e.g. Change to Assessor Training Course, Implementation of Electronic Flight Strips, Change to Organisation Structure, Change to Risk Assessment process etc.

Section 4 - Proposed date for the introduction of the change: Self-explanatory.

Section 5 - Why is this change required?: What is the purpose of the change, what has brought about the need for the change, what is the expected outcome of the change.

Section 6 – Which organisation(s) is/are developing the safety assurance case?: On occasion, and especially for more complex changes, the development of safety cases/safety assessments is contracted out to specialist organisations or produced with the assistance of specialist organisations. If this is the case provide details of all the organisations involved. For minor changes, the safety assurance may simply be the results of a risk assessment and mitigation process and a safety case may not be necessary, if so tick the N/A box.

Section 7 - Other service providers or organisations affected by this change: Where the change impacts on another service provider or other aviation undertaking, detail which organisations are affected and the scope of the impact.

Section 8 - Describe the change. (See DEFINITIONS below)

Provide a brief description of the change, considering the following points:

- The services and/or sectors impacted by the change
- The service users impacted by the change
- The location of the components of the functional system impacted upon by the change
- The suppliers and contractors involved in the change
- Does the change modify the approved change management system?
- Is this solely a change to the management system or safety management system that does not affect the functional system?
- Is this a change to training courses or training plans?
- Does the proposed change affect or modify any of the current measures used to prevent, detect and mitigate cyber threats and attacks?

Section 9a - Description of the impact of the change: Tick the appropriate box.

Where the change impacts on the certificate solely as a result of a company name change there is an associated charge. See CAA Scheme of Charges . The method of payment will be advised on receipt of the change notification.

Where a 'Deviation' from your change management process is required tick the appropriate box. (See **Definitions** below).

NOTE: Where the impact on Interoperability documentation is not known at the time of notification select the TBD (To Be Decided) box.

Section 9b - Describe other potential impacts not listed.

Ensure that the transition phase of this change has been considered and that any potential or required system/equipment outages that may be necessary during this period are included within this notification.

Section 10 - Services/Functions impacted by the change: Tick the box to indicate which services are affected by the change. If not listed tick 'Other' and provide details.

The **AIS box** should only be ticked if your change directly impacts on the functional system or service of the NATS Aeronautical Information Service (AIS). **Do not** tick this box if your change only alters/amends on your AIP entry.

Section 11 - Cyber Security.

This section must be answered to indicate if the change impacts on your existing cyber security controls or not.

If the change does impact your existing cyber security controls then please provide a brief description of the cyber impact(s) and the control(s) affected in Section 8.

If you have completed a cyber risk assessment, please forward the assessment to cyber@caa.co.uk referring to the change number in the email subject line.

3 DEFINITIONS

3.1 ANSP Changes that may require review and approval before implementation.

Changes that may require review must be notified to the CAA a minimum of 30 days in advance of the intended implementation date. The 30 day period is to allow the CAA to decide if a review is required or not.

A change to a functional system or a change that affects the functional system. A functional system means a combination of procedures, human resources and equipment, including hardware and software, organised to perform a function within the context of ATM/ANS and other ATM network functions.

Consider the following extract from UK regulation (EU) 2017/373.

- Changes to the way the components of the functional system are used.
- Changes to equipment, either hardware or software.
- Changes to roles and responsibilities of operational personnel.
- Changes to operating procedures; Supplementary Instructions, (see more information on SIs below).
- Changes to system configuration, excluding changes during maintenance, repair and alternative operations that are already part of the accepted operational envelope.
- Changes which are necessary as a result of changing circumstances to the operational context under the managerial control of the provider that can impact the service, e.g. provision of service under new conditions.
- Changes that are necessary as a result of changing circumstances to the local physical (operational) environment of the functional system.
- Changes to the working hours and/or shift patterns of key personnel which could impact on the safe delivery of services.

3.2 ANSP Changes that will require review and prior approval before implementation

- Modifications to the approved change management procedure.

3.3 ANSP Changes that do not require approval before implementation

- A change to the service provider's management system and/or safety management system that does not impact on the functional system or the change management process.
- Change of accountable manager and the management personnel in charge of safety, quality, security, finance and human resources-related functions as applicable.

NOTE: Although the above changes do not require approval they are to be notified to the CAA to ensure that the CAA maintains a current record of the ANSP documentation and management organisation.

3.4 Supplementary Instructions (SIs)

SIs to MATS Pt2 and MAFIS documents do not require an accompanying SRG 1430.

Before submitting an SIs to a MATS Pt2 and MAFIS be sure that the SI contains the requirements detailed on the CAA web site [Change-management-and-change-notification-process](#).

SIs to all other documents will require an accompanying SRG 1430.

The CAA will assess the SI and decide if the change proposed by the SI is significant enough to require further review and approval.

SIs may be implemented 30 days after submission unless informed otherwise by the CAA.

3.5 Training Organisations (TO) and Initial Training Organisations (ITO) changes that will require prior approval before implementation.

- Changes to the types of training provided.
- Changes to training courses.
- Changes to the training facilities.
- Changes to the Unit Training Plan and Unit Endorsement Courses.
- Changes to the Unit Competency Scheme and refresher training.
- Modifications to the approved change management procedure.

Greater detail and clarification on the above changes is available on the CAA web site [Change-management-and- change-notification-process](#)

3.6 Training Organisations (TO) and Initial Training Organisations (ITO) changes that will not require prior approval before implementation

- Change of the accountable manager and/or the head of the training organisation.

3.7 Changes that impact on the ANSP/TO/ITOs certificates

The following changes must also be notified to the CAA as this type of change will require either the issue of a new certificate or the amendment of an existing certificate.

- A change in the name of the service provider or training organisation.
- A change of legal entity i.e.. a change of service provider or training organisation.
- A change in the service provider or training organisation's principle place of operation.
- Providing air navigational services or training organisation services at a new or additional location.

3.8 What types of change DOES NOT need notifying to the CAA?

The list below indicates the type of minor changes that do not require notification to the CAA. Such minor changes are to be implemented in accordance with local safety assurance procedures.

- Equipment faults that result in the changing of components that do not affect the operating parameters.
- Changes to maintenance routines, except those that impact on service provision.
- Equipment modifications/manufactuer's upgrades that do not affect the operating parameters.
- Document changes, typos, formats etc that do not impact on the content of management systems, change management systems, training courses or service provision

3.9 Deviation

UK Regulation (EU) 2017/373 refers to a 'Deviation' in relation to change management. This is referring to a situation where a proposed change cannot be implemented, for whatever reason, in accordance with the service providers approved change management procedures.

In such a situation, it will be necessary to request an exemption to deviate from the approved procedures.

Such a request should accompany the SRG1430 form providing details of the deviation and justification for its use.