



ANSP Compliance Matrix

Annex I

GENERAL REQUIREMENTS FOR THE PROVISION OF AIR NAVIGATION SERVICES

1. TECHNICAL AND OPERATIONAL COMPETENCE AND CAPABILITY			
Common Requirement Question.	<p><u>Annex 1, CR 1, Question 1:</u></p> <p>Please identify documented measures in place to maintain adequate technical and operational capacity and expertise within your normal operational environment.</p>		
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2. ORGANISATIONAL STRUCTURE AND MANAGEMENT – 2.1 Organisational Structure			
Common Requirement Question.	<p><u>Annex 1, CR 2.1, Question 1:</u></p> <p>Please identify how the organisational structure is defined, documented, and approved, to ensure that it supports the safe efficient and continuous provision of services.</p>		
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2. ORGANISATIONAL STRUCTURE AND MANAGEMENT – 2.1 Organisational Structure			
Common Requirement Question.	<p><u>Annex 1, CR 2.1, Question 2:</u></p> <p>Please identify how the authorities, duties, responsibilities, inter-departmental relationships, and reporting lines are defined, in particular, the management personnel in charge of safety, quality, security, finance and human resources related functions.</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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2. ORGANISATIONAL STRUCTURE AND MANAGEMENT – 2.2 Organisational Management			
Common Requirement Question.	<p><u>Annex 1, CR 2.2, Question 1:</u> <i>(Not applicable to ANSPs requesting a derogated certificate):</i></p> <p>How do you propose to meet the requirements to produce a five-year business plan and an annual plan covering the elements set out in the requirement above?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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	2. ORGANISATIONAL STRUCTURE AND MANAGEMENT – 2.2 Organisational Management	
Common Requirement Question.	Annex 1, CR 2.2, Question 2: <i>(Not applicable to ANSPs requesting a derogated certificate):</i> What mechanisms do you have in place to ensure that an effective consultation with users occurs?	
Control measures in place.		
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3. SAFETY AND QUALITY MANAGEMENT – 3.1 Safety Management			
Common Requirement Question.	<u>Annex 1, CR 3.1, Question 1:</u> What arrangements have been established to manage safety?		
Control measures in place.			
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3. SAFETY AND QUALITY MANAGEMENT – 3.1 Safety Management			
Common Requirement Question.	<p><u>Annex 1, CR 3.1, Question 2:</u></p> <p>How have stakeholders been identified, and what is their influence to the safety of services?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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3. SAFETY AND QUALITY MANAGEMENT – 3.1 Safety Management			
Common Requirement Question.	<u>Annex 1, CR 3.1, Question 3:</u> What formal interfaces do you have with stakeholders?		
Control measures in place.			
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3. SAFETY AND QUALITY MANAGEMENT – 3.2 Quality Management System			
Common Requirement Question.	<p><u>Annex 1, CR 3.2, Question 1:</u></p> <p>Please provide details of any certificated QMS, issued by an accredited organisation and covering the air navigation services to be provided.</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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3. SAFETY AND QUALITY MANAGEMENT – 3.2 Quality Management System			
Common Requirement Question.	<p><u>Annex 1, CR 3.2, Question 2:</u></p> <p>If you do not hold a certificated QMS what arrangements are in place to manage quality?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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3. SAFETY AND QUALITY MANAGEMENT – 3.2 Quality Management System			
Common Requirement Question.	<u>Annex 1, CR 3.2, Question 3:</u> What arrangements are in place for document control?		
Control measures in place.			
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3. SAFETY AND QUALITY MANAGEMENT – 3.2 Quality Management System			
Common Requirement Question.	<p><u>Annex 1, CR 3.2, Question 4:</u></p> <p>If no quality management system currently exists what plans do you have to develop one within 2 years after entry into force of the Common Requirements regulation?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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3. SAFETY AND QUALITY MANAGEMENT – 3.3 Operations Manuals			
Common Requirement Question.	<p><u>Annex 1, CR 3.3, Question 1:</u></p> <p>Please identify the operations manuals relating to your service provision.</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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3. SAFETY AND QUALITY MANAGEMENT – 3.3 Operations Manuals					
Common Requirement Question.	<p><u>Annex 1, CR 3.3, Question 2:</u></p> <p>How do you ensure that personnel concerned have access to operations manuals.</p>				
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3. SAFETY AND QUALITY MANAGEMENT – 3.3 Operations Manuals			
Common Requirement Question.	<p><u>Annex 1, CR 3.3, Question 3:</u></p> <p>How do you ensure that operations personnel are expeditiously informed of amendments and when they come into force?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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3. SAFETY AND QUALITY MANAGEMENT – 3.3 Operations Manuals			
Common Requirement Question.	<u>Annex 1, CR 3.3, Question 4:</u> How do you maintain currency of the operations manuals?		
Control measures in place.			
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 1:</u></p> <p>Please identify particular individuals or post-holders within your organisation to whom security responsibilities and accountabilities are assigned.</p>		
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 2:</u></p> <p>Have you established a formal Security Management System (SyMS), and does it comply with a recognised standard (e.g. ISO17799)?</p>		
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 3:</u></p> <p>How do you ensure security of your facilities and personnel against unlawful interference? (e.g. environmental, physical and information security measures; employee vetting via approved agencies, Counter Terrorism and Criminal Records checks and previous employee references).</p>		
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 4:</u></p> <p>How do you ensure security of your operational data, and restrict access only to those authorised?</p>		
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 5:</u></p> <p>Please identify the media used to obtain, produce and maintain operational data, (i.e. paper/electronic based) and relevant standards applied.</p>		
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 6:</u></p> <p>How do you carry out security risk assessments and, when was the last assessment carried out?</p>		
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 7:</u></p> <p>What security monitoring and improvement processes do you have in place?</p>		
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 8:</u></p> <p>What provisions have you made for security reviews?</p>		
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 9:</u></p> <p>How do you act upon and disseminate lessons learned from security reviews?</p>		
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 10:</u></p> <p>What specific processes have you established for the mitigation of <i>safety-related</i> issues identified through the security review process?</p>		
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 11:</u></p> <p>What process and means do you have in place to detect security breaches and alert personnel with appropriate security warnings?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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4. SECURITY			
Common Requirement Question.	<p><u>Annex 1, CR 4, Question 12:</u></p> <p>What processes do you have in place to identify recovery action and mitigate against future occurrences?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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5. HUMAN RESOURCES			
Common Requirement Question.	<p><u>Annex 1, CR 5, Question 1:</u></p> <p>What documented policies are in place for the recruitment and training of personnel to ensure they are appropriately skilled?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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6. FINANCIAL STRENGTH. – 6.1 Economic and Financial Capacity & 6.2 Financial Audit			
Common Requirement Question.	Annex 1, CR 6.1 & 6.2, Question 1: <i>(Not applicable to ANSPs requesting a derogated certificate):</i> Do regular independent financial audits take place?		
Control measures in place.			
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Additional Comments.			

6. FINANCIAL STRENGTH. – 6.1 Economic and Financial Capacity & 6.2 Financial Audit			
Common Requirement Question.	Annex 1, CR 6.1, Question 2: <i>(Not applicable to ANSPs requesting a derogated certificate):</i> If so by whom and at what frequency?		
Control measures in place.			
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Additional Comments.			

7. LIABILITY AND INSURANCE COVER			
Common Requirement Question.	<p>Annex 1, CR 7, Question 1: <i>(Not applicable to ANSPs requesting a derogated certificate):</i></p> <p>Can you confirm the level and type of liability insurance that you have in place (to cover ANSP related risks only) and the provider of that cover?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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7. LIABILITY AND INSURANCE COVER			
Common Requirement Question.	<p>Annex 1, CR 7, Question 2: <i>(Not applicable to ANSPs requesting a derogated certificate):</i></p> <p>Do you currently provide statistical data on aircraft type and movements to the CAA?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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7. LIABILITY AND INSURANCE COVER			
Common Requirement Question.	<p>Annex 1, CR 7, Question 3: <i>(Not applicable to ANSPs requesting a derogated certificate):</i></p> <p>Do you obtain services or information from other ANSPs and if so please specify details?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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7. LIABILITY AND INSURANCE COVER			
Common Requirement Question.	<p>Annex 1, CR 7, Question 4: <i>(Not applicable to ANSPs requesting a derogated certificate):</i></p> <p>In such cases as (3) are you included as additionally insured on the liability insurance of another ANSP? Is it your intention to cover liability in this way?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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8. QUALITY OF SERVICES – 8.1 Open and transparent provision of services			
Common Requirement Question.	<u>Annex 1, CR 8.1, Question 1:</u> Where are your conditions for access to services published?		
Control measures in place.			
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Additional Comments.			

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

8. QUALITY OF SERVICES – 8.1 Open and transparent provision of services			
Common Requirement Question.	<u>Annex 1, CR 8.1, Question 3:</u> What information is made available to users as part of the consultation process?		
Control measures in place.			
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8. QUALITY OF SERVICES – 8.2 Contingency plans			
Common Requirement Question.	<u>Annex 1, CR 8.2, Question 1:</u> What contingency plans exist?		
Control measures in place.			
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8. QUALITY OF SERVICES – 8.2 Contingency plans			
Common Requirement Question.	<p><u>Annex 1, CR 8.2, Question 2:</u></p> <p>If not currently in place what arrangements will be put into place to develop contingency plans within 12 months following certification?</p>		
Control measures in place.	<div style="border: 1px solid black; height: 200px; width: 100%;"></div>		
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8. QUALITY OF SERVICES – 8.2 Contingency plans			
Common Requirement Question.	<u>Annex 1, CR 8.2, Question 3:</u> What is the scope of the contingency plans?		
Control measures in place.			
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9. REPORTING REQUIREMENTS			
Common Requirement Question.	<p>Annex 1, CR 9, Question 1: <i>(Not applicable to ANSPs requesting a derogated certificate):</i></p> <p>How do you plan to meet the requirement to produce an annual report?</p>		
Control measures in place.			
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9. REPORTING REQUIREMENTS			
Common Requirement Question.	<p>Annex 1, CR 9, Question 2: <i>(Not applicable to ANSPs requesting a derogated certificate):</i></p> <p>What information will be made available to users as part of the user consultation process?</p>		
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