

Part 173 Compliance Matrix

The rule references in this compliance matrix have been extracted from the Civil Aviation Rules system as the minimum compliance requirements for an applicant for the issue or renewal of a Part 173 Instrument Flight Procedure Services Certificate.

A completed compliance matrix must be submitted by the applicant both for initial certification and for renewal. Additionally, the certificate holder should maintain an up-to-date compliance matrix to assist with on-going compliance and to support certificate amendment requests.

The purpose of the matrix is to speed up the certification process, ensure every applicable rule requirement has been addressed in the exposition, and reduce the cost of certification by allowing the quick location of required policies or procedures in the applicant's exposition manual suite.

All Civil Aviation rules have to be complied with, but not every rule has to be addressed in the exposition. At least the following rules must be included unless they are not applicable to the operation, in which case they should be annotated as such. The intention of this matrix is to assist rather than instruct the applicant in an initial application or request for renewal. If, for your operation, compliance is required with a rule not listed in the matrix, please add it to the list and identify the exposition reference.

This matrix must be completed by every applicant for a Part 173 Instrument Flight Procedure Services Certificate and show the exposition pages and paragraph numbers that satisfy the rules in the *Manual References / Applicant's Comments* column. Where the applicant does not meet the rule requirement or deems it not applicable, an explanation should be given in this column. **Please note ticks (ü) are not acceptable.**

The completed matrix should accompany the exposition documents and preferably be included as a component of the exposition. The applicant may submit a completed matrix in a different format as long as it includes all the rule references identified in that shown below; however, there may be additional processing time required by the CAA in cross-referencing requirements.

Transition Provisions

Some of the rule references shown are affected by the Transitional Provisions shown in Part 173.301. These are annotated with the letters '**TP**'. Reference should be made to the rule part to determine if these are to be included.

General Manual Layout and Distribution

Manual binders: Can the manual be amended easily? (Three- or four-ring binders are preferred: two ring binders are not recommended as the pages are too easily torn.) If permanently bound, do you intend to re-issue at every amendment? This may inhibit frequency of needed amendments.

Electronic exposition: Is the matrix included as part of the file(s) /disc? If so, is it up to date? Have you considered the methods for distributing to the CAA and how you will manage amendments?

Applicant:

Participant ID:

Manuals Submitted:

Rev.:

Dated:

	Applicant's Comments	CAA Comments (for CAA use only)
Rule Compliance Matrix		
Company Statement page, signed by the Chief Executive		
List of Effective Pages		
Record of Amendments		
Distribution List & copies to be numbered		
Contents Page		
Definitions & Abbreviations (not mandatory)		
On every page, headers and/or footers to include: (a) Company name (b) Name of the manual (c) Effective revision and date of the page (d) Page number		
Index (not mandatory but desirable)		

Rule Reference	Manual References / Applicant's Comments	CAA Review & Comments (for CAA use only)
173.71 Exposition		
173.71(a)(1)(i) CE statement		
173.71(a)(1)(ii) CE statement		
173.71(a)(1A)(i) TP [100.3(b)] SMS documentation		
173.71(a)(1A)(ii) TP <i>SMS implementation plan</i>		
173.71(a)(1A)(ii) TP CE statement		
173.71(a)(2) [173.51(a)(2)] TP List of senior persons		
173.71(a)(3)(i) TP [173.51(a)(2)] Duties and responsibilities		
173.71(a)(3)(ii) TP Responsibilities for safety management		
173.71(a)(4) Organisation chart		
173.71(a)(4A) TP Lines of safety responsibility		
173.71(a)(5) Authorised persons		
173.71(a)(6) Scope of authorisation		

173.71(a)(7) Types of instrument flight procedures		
173.71(a)(8)&(9) Resource requirements	For all exposition-based resource requirements use 173.53 section below	
Procedures 173.71(a)(10)(i)-(xiv)	For all exposition-based procedures use 173.51, 173.53, 173.55, 173.57, 173.59, 173.61, 173.63, 173.65, 173.67 and 173.69 sections below	
173.71(a)(11) Control of exposition		
173.103 Changes to organisation		
173.51 Personnel Requirements		
173.51(a)(3) Sufficient personnel		
173.51(b)(1) Competence of designers		
173.51(b)(2) Competence of authorisers		
173.51(c) Authorised senior person		
173.53 Resource Requirements		
173.53(a)(1) Available equipment		
173.53(a)(2) Access to data		
173.53(a)(3) Access to documentation		
173.53(b)(1) Availability of data to personnel		

173.53(b)(2) Data currency and traceability		
173.53(c)(1) Reviewed and authorised		
173.53(c)(2) Availability at locations		
173.53(c)(3) Removal of obsolete documentation		
173.53(c)(4) Changes reviewed and authorised		
173.53(c)(5) Identification of revision status		
173.55 Design of Instrument Flight Procedure		
173.55(a)(1) Design and amendment		
173.201(a)(1)(i)-(v) Design i.a.w ICAO documents		
173.201(a)(2)(i)-(v) Design i.a.w ICAO annexes		
173.201(a)(3) Other guidelines or standards		
173.201(b) Acceptable to the Director		
173.201(c)(1) Design co-ordination		
173.201(c)(2) Design compatibility		

173.201(c)(3)(i)-(iv) Elements to take into account		
173.201(d) Written agreement with operator		
173.201(e)(1)&(2) Ground based aeronautical facility		
173.55(a)(2) Independent verification		
173.55(a)(3) Flight validation (i) Manoeuvring, workload		
(ii) Azimuth, distance, vertical info		
(iii) Radio interference		
(iv) Visual effects		
Flight validation not required 173.55(b)(1)(i)or(ii) En-route or instrument arrival		
173.55(b)(2) Instrument departure		
173.55(b)(3)(i)&(ii) Amendment after flight validation		
173.55(c) Conducting flight validation		

173.55(d) Flight validation equipment		
(1) Precision and accuracy		
(2) Measurement uncertainties		
(3) Record of flight path		
(4) Checks		
(5) Operated by competent and current persons		
173.55(e) Justification of lack of flight validation		
173.55(f)(1) Compliance of data and information		
173.55(f)(2) Compliance of data manipulation or processing		
173.55(f)(3) Compliance of information transfer		
173.55(g) Alternative standards		
173.57 Authorisation of Persons to Certify Instrument flight Procedures		
173.57(a) Authorising senior person(s)		
173.57(b) Training and experience		

App. A.1(a) Training course		
App. A.1(b) 10 years in application		
App. A.1(c)(1)or(2) 2 years in design		
173.57(c) Written authorisation		
173.57(d) Consistency		
173.59 Certification of Instrument Flight Procedures		
173.59(b)(1) Details of checks		
173.59(b)(2) Means for providing information		
173.59(c) Independent authorisation		
173.61 Promulgation of Instrument Flight Procedures [ref Rule 95.51 and 95.55]		
173.61(a)(1) Information to the Director		
173.61(a)(2) NZANR and Gazette		
173.61(b)(1) Co-ordination with AIS provider		
173.61(b)(2) Accurate publication in AIPNZ		

173.61(c) Required info for entry into NZANR		
(1) Name or identifier		
(2) Acceptable data		
(3) Effective date		
(4) SP statement for meeting standards		
(5) SP statement for maintenance		
173.63 Maintenance of Instrument Flight Procedures		
173.63(b)(1) Periodic review		
173.63(b)(2) Review after change affecting integrity		
173.63(c) Grounds and criteria for periodic review intervals		
173.65 Errors in Published Instrument Flight Procedures [Part 12 Occurrence Reporting]		
173.65(b)(1) Withdrawal of flight procedure		
173.65(b)(2) Error or non-conformance corrected and certified		
173.65(b)(3) Correction identified and promulgated		
173.65(b)(4)(i) Source of error identified and eliminated		

173.65(b)(4)(ii) Preventive action		
173.65(b)(5) Part 12 notification	Refer Part 12 section below	
173.67 Management of Records		
173.67(a)&(b) Management of records		
173.67(c)(1) Details required by 173.61(c)		
173.67(c)(2) Instrument design procedure		
173.67(c)(3) Promulgation and checking activities		
173.67(c)(4) [Part 12] Errors and non- conformances		
173.67(c)(5) Maintenance reviews and flight validations		
173.67(d)(1)(i)&(ii) Personnel records		
173.67(d)(3) Legible, accurate, permanent, retrievable		
173.67(d)(4) Retention period		
173.69		
100 Safety Management		
173.69 <i>TP</i> Safety management		

100.3(a)(1) TP Safety policy		
100.3(a)(2) TP Risk management process		
100.3(a)(3)(i) TP Hazard etc. reporting, analysis and action		
100.3(a)(3)(ii) TP Goals		
100.3(a)(3)(iii) TP Quality assurance		
100.3(a)(4) TP Training		
100.3(b) TP Documentation		
100.3(c) TP Adequacy of SMS		
173.303 Transitional Safety Management System		
173.303(b)(1) TP Safety policy, culture and procedures, incl. Part 12 reporting		
173.303(b)(2) TP Safety indicators		
173.303(b)(3) TP Identifying problems		
173.303(b)(4) TP Controlling and mitigating risks		
173.303(b)(5) TP Corrective action		

173.303(b)(6) TP Preventive action		
173.303(b)(7) TP Audit programme		
173.303(b)(8) TP Management review		
173.303(b)(9) TP Safety management manual		
173.303(b)(9) TP Register of hazards		
173.303(c) TP Understood and implemented		
Corrective action 173.303(d)(1) TP Correct existing problems		
173.303(d)(2) TP Affect of problem		
173.303(d)(3) TP Follow up		
173.303(d)(4) TP Procedure amendment		
173.303(d)(5) TP Measure effectiveness		
Preventive action 173.303(e)(1) TP Correct potential problems		
173.303(e)(2) TP Effect of problem		
173.303(e)(3) TP Follow up		

173.303(e)(4) TP Procedure amendment		
173.303(e)(5) TP Measure effectiveness		
Audit Programme 173.303(f)(1) TP Frequency and location		
173.303(f)(2) TP Independent trained auditors		
173.303(f)(3) TP Audit report		
173.303(g)(4) TP Measure effectiveness		
173.303(f)(5) TP Preventive and corrective actions		
173.303(f)(6) TP Follow up		
Management Review 173.303(g)(1) TP Frequency		
173.303(g)(2) TP Responsible Senior Person		
173.303(g)(3) TP Evaluation and recording of results		
173.303(h) TP Access to CEO		
Part 12 Occurrence Reporting		
12.55(a)(7) Notification of information incident		

12.55(d)(6) [App A(f)] Required information		
12.57(a)(1) Provide details		
12.57(b)(1)-(3) Means of providing details		
12.59(1) Conduct investigation		
12.59(2)(i)-(iii) Submit report to CAA		
12.59(3) Preventative action		
List any other rules complied with:		

CAA Use

Assessed By:

Work Request:

Date received: DD / MM / YYYY Date accepted: DD / MM / YYYY

This matrix was established using the following Rule Part amendment statuses

12	Accidents, Incidents, and Statistics	Amendment 9	24 February 2015
100	Safety Management	Amendment 1	1 February 2016
173	Instrument Flight Procedure Service Organisation – Certification and Operation	Amendment 2	1 February 2016

Other rules or advisory circulars referred to during the assessment by Inspector