

Part 171 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 171 Aeronautical Telecommunication 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 171 Aeronautical Telecommunication 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 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 171.251. 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)
171.77 Exposition		
171.77(a)(1)(i) <i>CE statement</i>		
171.77(a)(1)(ii) <i>CE statement</i>		
171.77(a)(2) [171.51(a)(1)&(2)] TP <i>List of senior persons</i>		
171.77(a)(1A)(i) TP [100.3(b)] <i>Safety management documentation</i>		
171.77(a)(1A)(ii) TP <i>SMS implementation plan</i>		
171.77(a)(3)(i) <i>Duties and responsibilities</i>		
171.77(a)(3)(ii) TP <i>Responsibilities for safety management</i>		
171.77(a)(4) <i>Organisation chart</i>		
171.77(a)(5) <i>Staffing structure</i>		
171.77(a)(5A) TP <i>Lines of safety responsibility</i>		
171.77(a)(6) <i>Types of facility</i>		
171.77(a)(7) <i>Scope of activities</i>		
171.77(a)(8)		

Summary of operational details		
171.77(a)(9) Security programme	For all exposition-based security requirements use 171.55 section below	
Procedures 171.77(a)(11)(i)-(xii)	For all exposition-based procedures use 171.51, 171.53, 171.57, 171.59, 171.61, 171.63, 171.65, 171.67, 171.69, 171.71 and 171.75 sections below	
171.77(a)(12) Control of exposition [including 171.115 items]		
171.51 Competence		
171.51(b)(1) Assessing competence		
171.51(b)(2) Maintaining competence		
171.51(b)(3) Written authorisation		
171.53 Facility Requirements		
171.53(a)(1)(i) Facility designed, installed and commissioned		
171.53(a)(1)(ii) Conforms with ICAO Annex 10		
171.53(a)(1)(iii) Conforms with Subpart D		
171.201(1)(i)-(iii) NDB conformity		
171.201(2)(i)-(ii) UHF DME conformity		
171.201(3)(i)-(iii) Radio navigation aid		

monitoring system		
171.53(a)(1)(iv) <i>Allocation of ID code or call sign as per 171.17</i>		
171.53(a)(2)(i) <i>Radio navigation aid info for aerodrome control service</i>		
171.53(a)(2)(ii) <i>Radio navigation aid info for approach control service</i>		
171.53(a)(3) <i>Power supplies and continuity of ops</i>		
171.53(a)(4) <i>Facilities installed iaw 171.55</i>		
171.53(a)(5)(i) <i>Critical areas clearly identified</i>		
171.53(a)(5)(ii) <i>Critical areas physically protected</i>		
171.53(a)(5)(iii) <i>Written agreements</i>		
Temporary facilities 171.53(b) <i>Test procedures</i>		
171.53(c)(1) <i>No interference</i>		
171.53(c)(2) <i>Information to AIS</i>		
171.53(c)(3) <i>NOTAM</i>		
171.55 Security Programme		

171.55(b) <i>Physical requirements, practices and procedures</i>		
171.55(c)(1) <i>Positive access control</i>		
171.55(c)(2) <i>In the event of a threat</i>		
171.55(c)(3) <i>Monitoring unattended buildings</i>		
171.55(d) <i>Reporting of security incidents</i>	<i>Refer Part 12 section below</i>	
171.57 Documentation Control Procedures		
171.57(a) <i>Availability of documentation</i>		
171.57(c)(1) <i>Reviewed and authorised</i>		
171.57(c)(2) <i>Availability at locations</i>		
171.57(c)(3) <i>Removal of obsolete documents</i>		
171.57(c)(4) <i>Changes reviewed and authorised</i>		
171.57(c)(5) <i>Identification of revision status</i>		
171.59 Periodic Inspection and Testing		
171.57(b)(1) <i>Ground inspections and tests, and flight tests</i>		

171.57(b)(2)(i)-(iii) <i>Establishing or changing test intervals</i>		
171.57(b)(3) <i>Grounds documented</i>		
Programmes		
171.57(c)(1) <i>Ground inspections</i>		
171.57(c)(2) <i>Ground tests</i>		
171.57(c)(3) <i>Flight tests</i>		
171.57(d) <i>Maximum intervals</i>		
171.57(e) <i>Notification of Director</i>		
171.61 Facility Performance [171.107]		
171.61(1) <i>Person competent and authorised</i>		
171.61(2) <i>Checks carried out</i>		
171.61(3) <i>Completed record</i>		
171.107(a)(1)&(2) <i>Operating and maint. instructions</i>		
171.107(b)(1) <i>Critical performance parameters</i>		
171.107(b)(2) <i>Minimum performance levels</i>		
171.107(b)(3) <i>Test equipment</i>		

171.107(b)(4) <i>Mandatory inspections and test proc. for operational service</i>		
171.107(b)(5) <i>Mandatory inspections and test proc. for operation and maint.</i>		
171.63 Inspection, Measuring, and Test Equipment		
171.63(a) <i>Availability</i>		
171.63(b) <i>Control and calibration</i>		
171.63(c)(1) <i>Item calibrated</i>		
171.63(c)(2) <i>Item identified</i>		
171.63(c)(3)(i)&(ii) <i>Item controlled</i>		
171.63(d)(1)&(2) <i>Checking of testing systems</i>		
171.65 Notification of Aeronautical Facility Information [171.19]		
171.65(a) <i>Meet 171.19 requirements</i>		
171.65(b)(1) <i>Accurate publication in the AIP</i>		
171.65(b)(2) <i>Status changes by NOTAM</i>		
171.19(3) <i>Notification of incident</i>	<i>Refer Part 12 section below</i>	
171.67 Facility Check after Accident or Incident		

171.67(b)(1) <i>Check of operating condition carried out</i>		
171.67(b)(2) <i>Secure records</i>		
171.67(b)(3) <i>Retention period</i>		
171.69 Facility Malfunction Incidents [Part 12 Occurrence Reporting]		
171.69(1) <i>Notification</i>	<i>Refer Part 12 section below</i>	
171.67(2) <i>Implementation of corrective actions</i>		
171.71 Records		
171.71(a)(1) <i>Control procedures for records of safe provision of services</i>		
171.71(a)(2) <i>Control procedures for records of safe operation of facilities</i>		
171.71(b)(1)(i) <i>Operating performance</i>		
171.71(b)(1)(ii) <i>History of maint., inspections and tests</i>		
171.71(b)(2) <i>Periodic tests</i>		
171.71(b)(3) <i>Test equipment</i>		
171.71(b)(4)(i)-(iv) [Part 12] <i>Incident reports</i>		

171.71(b)(6) <i>Personnel records</i>		
171.71(c)(1) <i>Legible and permanent</i>		
171.71(c)(2)(i)&(ii) <i>Retention period</i>		
171.73		
100 Safety Management		
171.73 TP <i>System for safety management</i>		
100.3(a)(1) TP <i>Safety policy</i>		
100.3(a)(2) TP <i>Risk management process</i>		
100.3(a)(3)(i) TP <i>Hazard etc. reporting, analysis and action</i>		
100.3(a)(3)(ii) TP <i>Goals</i>		
100.3(a)(3)(iii) TP <i>Quality assurance</i>		
100.3(a)(4) TP <i>Training</i>		
100.3(b) TP <i>Documentation</i>		
100.3(c) TP <i>Adequacy of SMS</i>		
171.253 Internal Quality Assurance		
171.253(b)(1) TP <i>Safety policy and procedures</i>		

171.253(b)(2) TP <i>Quality indicators</i>		
171.253(b)(3) TP <i>Corrective action</i>		
171.253(b)(4) TP <i>Preventive action</i>		
171.253(b)(5) TP <i>Audit programme</i>		
171.253(b)(6) TP <i>Management review</i>		
Corrective action 171.253(c)(1) TP <i>Existing problem correction</i>		
171.253(c)(2) TP <i>Follow up</i>		
171.253(c)(3) TP <i>Procedure amendment</i>		
171.253(c)(4) TP <i>Review of effectiveness</i>		
Preventive action 171.253(d)(1) TP <i>Potential problem correction</i>		
171.253(d)(2) TP <i>Follow up</i>		
171.253(d)(3) TP <i>Procedure amendment</i>		
171.253(d)(4) TP <i>Review of effectiveness</i>		
Audit Programme 171.253(e)(1) TP <i>Frequency and location</i>		
171.253(e)(2) TP <i>Measure effectiveness</i>		

171.253(e)(3) TP <i>Preventative and corrective actions</i>		
Management Review 171.253(f)(1) TP <i>Frequency</i>		
171.253(f)(2) TP <i>Responsibility</i>		
Senior person 171.253(g)(1) TP <i>Understood and implemented</i>		
171.253(g)(2) TP <i>Independent trained auditors</i>		
171.253(g)(3) TP <i>Audit reports</i>		
171.253(g)(4) TP <i>Preventive and corrective action follow up</i>		
171.253(g)(5) TP <i>Evaluation and recording of results of mgt. review</i>		
171.253(g)(6) TP <i>Access to CEO</i>		
171.75 Communication Procedures		
171.75 <i>IAW ICAO Annex 10, Volume II</i>		
Part 12 Occurrence Reporting		
12.55(a)(3) <i>Notification of facility malfunction incident</i>		
12.55(a)(5)		

Notification of security incident		
12.55(a)(7) Notification of information incident		
12.55(d)(3) [App A(c)] Required information		
12.55(d)(5) [App A(e)] Required information		
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) Corrective 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 September 2015
100	Safety Management	Amendment 1	1 February 2016
171	Aeronautical Telecommunication Services – Operation and Certification	Amendment 4	1 February 2016

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