**Additional guidance on the ANSP Certification and Designation process.**

The Certification or Certification and Designation process consists of a verification of compliance of the applicant’s submitted documentation with the applicable requirements.

This verification, by the CAA, will take the form of a ‘desk top’ review and an ‘on-site’ audit, if required.

Apart from one meeting to discuss the application the CAA will not commence the Certification or Certification and Designation process until the appropriate payment and application form has been received.

The applicant is required to submit applicable completed compliance matrices and supporting documentation, demonstrating how they intend to comply with the relevant legislation.

Some examples of supporting documentation as follows:

* Safety, quality and security management systems, (these may be in the form of an integrated management system if appropriate).
* The management system must include a procedure detailing the change management process
* An engineering exposition demonstrating how engineering management and maintenance process are carried out.
* Safety cases relevant to air traffic service equipment.
* A unit safety case if used.
* Engineer training and competence process.
* ATCO Unit Training Plans.
* ATCO Unit Competency Schemes.
* Manual of Air Traffic Services Part II and any other operational procedures.

On receipt of the compliance matrices and supporting documentation the CAA will review these against the legislation for compliance.

This may result in the production of document review forms where errors or non-compliances are noted against the relevant documents.

The applicant is to review the document review forms and indicate their actions and resubmit to the CAA with amended documentation.

This process of review, amendment and resubmission continues until a sufficient level of compliance is achieved.

On completion of the review process, which may involve an ‘on-site’ audit, an Audit Oversight Report is produced which will contain any outstanding non-compliances which have not been resolved in the review process.

Such outstanding non-compliances will only be those considered to be non-safety related. A certificate cannot be issued with open safety related non-compliances.

**General Guidance on document submission**

Inconsistencies and errors in the submission of documentation can result in confusion and significantly delay the certification and designation process.

**Common problems that have previously been encountered should be noted.**

* The submission of documents that have not been fully ‘proof read’ for typos and paragraph numbering errors – The CAA may reject poorly produced and error laden documents.
* The submission of ‘Draft’ documents – Certificates cannot be issued against draft documentation. The documents submitted must be the actual documents intended for use.
* The submission of documents without version, issue or amendment control – It is important that each document indicates its version or issue numbers and when amendments are made these are recorded and indicated within the document.
* Failing to maintain naming and numbering conventions – When repeatedly submitting the same updated document it is important to maintain consistent numbering and naming conventions to ensure clarity of tracking.
* When returning updated document review forms or compliance matrices, be sure to increment the issue number by ‘1’ for each iteration.

**Transition**

Transitioning from one service provider to another can be a challenging.

Although the CAA will encourage the outgoing service provider to provide all assistance to the incoming provider many parts of the transition process are purely commercial business matters over which the CAA has little control or input.

The objective is to achieve a seamless transition from outgoing provider to incoming provider with little or no interruption of the service.

The following points should be considered:

* It is necessary for an Accountable Manager to remain in place throughout the transition process.
* Sufficient funding and Insurance must be maintained.
* The transfer of staff from the outgoing provider to the incoming provider (TUPE).
* Training of new Air Traffic Control Officers (ATCOs)/Aerodrome Flight Information Service Officers (AFISOs) during the transition period.
* The acquisition of intellectual property such as operational procedures e.g. Manual of Air Traffic Services (MATS) Pt II/Manual of Flight Information Services (MAFIS), equipment maintenance schedules and records.

The transition process, if not agreed between the providers well in advance, can have significant impact of the timeline for certification.

**Greenfield Operations**

A Greenfield site is an aerodrome where a Civil Air Traffic Service has not previously provided or where an existing provider intends to provide a new type of service. E.g. an Air Ground unit transitioning to an Aerodrome Flight Information Service (AFIS) or an Air Traffic Control Service (ATCS).

To enable such services to be provided CAA must ensure that the organisation can provide the services in a safe and competent manner and in accordance with the applicable legislation.

The service provider must develop a Concept of Operations (ConOps) describing the scope of the intended services and how those services will be managed.

A safety assessment of the intended services/operation, described in the ConOps, is also necessary to identify any associated risks.

As there will be no access to an operational service to train ATCO/AFISOs the conventional way, providers are required to develop a package of work which will become the Greenfield Unit Training Plan (GUTP).

The GUTP needs to reflect the competences required to deliver the services identified in the ConOps and must develop the necessary training packages to ensure that ATCOs/AFISOs are competent to deliver against the ConOps.

Further information for organisations wishing to provide a service at a ‘Greenfield’ site will be provided on application.