

## 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 (✓) 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.

**PDF is the preferred format for the receipt of expositions.**

**Applicant:**

**CAA participant number:**

**Manuals submitted:**

**Revision:**

**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: <ul style="list-style-type: none"> <li>(a) Company name</li> <li>(b) Name of the manual</li> <li>(c) Effective revision and date of the page</li> <li>(d) Page number</li> </ul>		
Index (not mandatory but desirable)		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
<b>171.77 Exposition</b>		
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)] <i>List of senior persons</i>		
171.77(a)(1A)(i) [100.3(b)] <i>Safety management documentation</i>		
171.77(a)(1A)(ii) <i>SMS implementation plan</i>		
171.77(a)(3)(i) <i>Duties and responsibilities</i>		
171.77(a)(3)(ii) <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) <i>Lines of safety responsibility</i>		
171.77(a)(6) <i>Types of facility</i>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
171.77(a)(7) <i>Scope of activities</i>		
171.77(a)(8) <i>Summary of operational details</i>		
171.77(a)(9) <i>Security programme</i>	<i>For all exposition-based security requirements use 171.55 section below</i>	
<b>Procedures</b> 171.77(a)(11)(i)-(xii)	<i>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</i>	
171.77(a)(12) <i>Control of exposition</i> [including 171.115 items]		
<b>171.51 Competence</b>		
171.51(b)(1) <i>Assessing competence</i>		
171.51(b)(2) <i>Maintaining competence</i>		
171.51(b)(3) <i>Written authorisation</i>		
<b>171.53 Facility requirements</b>		
171.53(a)(1)(i) <i>Facility designed, installed and commissioned</i>		
171.53(a)(1)(ii) <i>Conforms with ICAO Annex 10</i>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
171.53(a)(1)(iii) <i>Conforms with Subpart D</i>		
171.201(1)(i)-(iii) <i>NDB conformity</i>		
171.201(2)(i)-(ii) <i>UHF DME conformity</i>		
171.201(3)(i)-(iii) <i>Radio navigation aid monitoring system</i>		
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>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
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>		
<b>171.55 Security programme</b>		
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>	

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
<b>171.57 Documentation</b>		
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>		
<b>171.59 Periodic inspection and testing</b>		
171.59(b)(1) <i>Ground inspections and tests, and flight tests</i>		
171.59(b)(2)(i)-(iii) <i>Establishing or changing test intervals</i>		
171.59(b)(3) <i>Grounds documented</i>		
171.59(c)(1) <i>Ground inspections programme</i>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
171.59(c)(2) <i>Ground tests programme</i>		
171.59(c)(3) <i>Flight tests</i>		
171.59(d) <i>Maximum intervals</i>		
171.59(e) <i>Notification of Director</i>		
<b>171.61 Facility performance [171.107]</b>		
171.61(1) <i>Person competent and authorise</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>		



Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
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>		
<b>171.63 Inspection, measuring, and test equipment</b>		
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>		
<b>171.65 Notification of aeronautical facility information [171.19]</b>		
171.65(a) <i>Meet 171.19 requirements</i>		
171.65(b)(1) <i>Accurate publication in the AIP</i>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
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>	
<b>171.67 Facility check after accident or incident</b>		
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>		
<b>171.69 Facility malfunction incidents [Part 12 occurrence reporting]</b>		
171.69(1) <i>Notification</i>	<i>Refer Part 12 section below</i>	
171.69(2) <i>Implementation of corrective actions</i>		
<b>171.71 Records</b>		
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>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
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>		
<b>171.73 Safety management</b>		
<b>100.3</b>		
171.73 <i>System for safety management</i>		
100.3(a)(1) <i>Safety policy</i>		
100.3(a)(2) <i>Risk management process</i>		

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
100.3(a)(3)(i) <i>Hazard etc. reporting, analysis and action</i>		
100.3(a)(3)(ii) <i>Goals</i>		
100.3(a)(3)(iii) <i>Quality assurance</i>		
100.3(a)(4) <i>Training</i>		
100.3(b) <i>Documentation</i>		
100.3(c) <i>Adequacy of SMS</i>		
<b>171.75 Communication procedures</b>		
171.75 <i>IAW ICAO Annex 10, Volume II</i>		
<b>List any other rules complied with:</b>		

**Part 12 Accidents, Incidents, and Statistics**

**Subpart B - Notification, Investigation, and Reporting of Occurrences**

Rule reference	Manual references / applicant's comments	CAA comments (for CAA use only)
<p>12.51 &amp; 12.53 <i>Notification of accident</i> <i>The exposition must clearly outline the process on how you notify the CAA of any accident involving an aircraft, if the pilot-in-command is fatally or seriously injured, or if the aircraft is missing.</i> 12.51 <i>Notify as soon as practicable.</i> 12.53 <i>Submitting CA005 form; or by a means acceptable to the CAA within 10 days of the accident.</i></p>		
<p>12.55 &amp; 12.57 <i>Notification of incident</i> <i>The exposition must describe the process you will undertake to notify the CAA of serious incident or an immediate hazard that would impact safety of an aircraft operation.</i> 12.55 <i>Notify as soon as practicable.</i> 12.57 <i>Submitting CA005 or CA005D form; or by a means acceptable to the CAA within 14 days of the incident.</i></p>		
<p>12.59 <i>Investigation and reporting</i> <i>The exposition must have a clear description of your internal investigation process and submit a report to the CAA within 90 days.</i></p>		

CAA use only

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 11	1 December 2020
91	General Operating and Flight Rules	Amendment 34	1 December 2021
100	Safety Management	Amendment 1	1 February 2016
171	Aeronautical Telecommunication Services – Operation and Certification	Amendment 5	10 March 2017

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

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**Development status control:**

Version	Date	Status	Reason for amendment
4	08/04/2021	Final	Development status control table inserted TP's removed
5 5.1	23/02/2022 11/04/2022	Final	91.411A inserted 91.411A removed
6	01/12/2023	Final	Part 12 Subpart B updated General formatting updates
7	8/1/2024	Final	171.59 numbering updates