EUROPEAN ORGANISATION
FOR THE SAFETY OF AIR NAVIGATION

EUROCONTROL

ESARR ADVISORY MATERIAL/GUIDANCE DOCUMENT (EAM/GUI)

EAM 1 / GUI 7

GUIDANCE ON THE CRITERIA FOR THE ASSESSMENT OF COMPLIANCE WITH THE STANDARDS OF ICAO ANNEX 11

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Abstract

This document includes tables to provide NSAs with guidance to support the development of criteria for the assessment of compliance with the Standards of Annex 11, 13th Edition, Amendment No. 43.

It is of particular interest when developing a strategy to verify the working methods and operating procedures implemented by ATS service providers in the certification and ongoing oversight against the Common Requirements established in Commission Regulation (EC) 2096/2005.

The table provides indications about possible evidences that can be expected to be found to show compliance with the standard. Guidance is also included about some possible ways to assess these evidences. Depending upon the case only a limited set of the actions proposed, or other alternative or additional actions, may be needed to assess the evidences under consideration.

Keywords

Safety Oversight	National Supervisory Authorities	ICAO Annex 11
Single European Sky	ESARRs	Verification of Compliance

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F.3 DOCUMENT APPROVAL

The following table identifies all management authorities who have approved this document.

AUTHORITY	NAME AND SIGNATURE*	DATE
Quality Control (SRU)	***signed by Daniel Hartin*** (Daniel HARTIN)	06.04.2006
Head Safety Regulation Unit (SRU)	***signed by Peter Stastny*** (Peter STASTNY)	06.04.2006
Chairman Safety Regulation Commission (SRC)	***signed by Ron Elder*** (Ron ELDER)	06.04.2006

Note: For security reasons and to reduce the size of files placed on our website, this document does not contain signatures. However, all management authorities have signed the master copy of this document which is held by the SRU. Requests for copies of this document should be e-mailed to: sru@eurocontrol.int.

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F.4 DOCUMENT CHANGE RECORD

The following table records the complete history of this document.

EDITION NUMBER	EDITION DATE	REASON FOR CHANGE	PAGES AFFECTED
0.1	02-Feb-06	Creation.	All
0.2	03-Mar-06	New version produced after SRC consultation (RFC No. 602).	All
1.0	06-Apr-06	Document formally released following SRC consultation and approval (RFC No. 0606).	-

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F.5 CONTENTS

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F.6 EXECUTIVE SUMMARY

EAM 1 / GUI 5 'ESARR 1 in the Certification and Designation of Service Providers' has been developed by the Safety Regulation Commission (SRC) to provide guidance and recommendations to National Supervisory Authorities (NSAs) when considering the implementation of safety oversight arrangements within a certification context in a manner consistent with ESARR 1.

EAM 1 / GUI 5 describes a model certification process for possible use in relation to the certification scheme established in Regulation (EC) 550/2004. It does not include any detailed criteria for assessment for use when applying the certification model process proposed in the document. However, the development of guidance material on these criteria was identified at SRC24 as an important element to support the certification process initiated in EU Member States after the entry into force of Regulation (EC) 2096/2005.

Consequently, the process-based contents of EAM 1 / GUI 5 have been complemented with tables containing guidance on possible criteria for the assessment of compliance with ESARRs. These tables are referred to in EAM 1 / GUI 5.

The SRC also identified the need to provide similar guidance with regard to ICAO Annex 11 Standards, due to their significance amongst the 'applicable safety regulatory requirements' identified in Commission Regulation (EC) 2096/2005. EAM 1 / GUI 7 has therefore been specifically produced to include this guidance.

EAM 1 / GUI 7 does not include binding provisions and only provides guidance for possible use by NSAs. Appendix A includes tables which have been produced to provide NSAs with guidance to support the development of criteria for the assessment of compliance with the Standards of Annex 11, 13th Edition, Amendment No. 43.

The tables provide indications about the evidences which can be expected to be found to show compliance with the standard. These evidences illustrate a means, but not necessarily the only possible means, by which a standard can be met.

Guidance about some possible ways to assess these evidences has also been included. Depending upon the case, only a limited set of the actions proposed, or other alternative or additional actions, may be needed to assess the evidences under consideration. NSAs are expected to define their strategy regarding the necessary actions and the level of verification in a manner consistent with the recommendations of EAM 1 / GUI 3 'Guidelines for Safety Regulatory Auditing' and EAM 1 / GUI 5. In particular, different approaches will be needed for initial and on-going safety oversight.

Customisation of the table may be necessary to take into consideration actual deviations from ICAO standards and identify those standards which, as required in the Common Requirements, are relevant for the provision of air traffic services in the airspace concerned.

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1. BACKGROUND

EAM 1 / GUI 5 'ESARR 1 in the Certification and Designation of Service Providers' has been developed by the Safety Regulation Commission (SRC) to provide guidance and recommendations to National Supervisory Authorities (NSAs) when considering the implementation of safety oversight arrangements within a certification context in a manner consistent with ESARR 1.

The release of EAM 1 / GUI 5, Edition 1.0 was accompanied by a Development Plan defining actions to refine and expand the materials which were initially published. The production of that Development Plan was decided at SRC24 in order to further elaborate the guidance in some certification-related areas within a short period of time.

The Development Plan identified a need for guidance material on possible criteria for the assessment of compliance, providing NSAs with indications about the possible evidences that could be proposed to show compliance with the safety-related Common Requirements (CRs) established in Commission Regulation (EC) 2096/2005, and possible ways to assess them.

Due to the urgent need for NSAs to initiate the certification process, the Plan also defined a scope of actions intended to allow the release of materials within the first months of 2006, whilst still providing comprehensive contents. The development of criteria for the assessment of compliance was confined to addressing:

- ESARRs for which Community legislation has been produced with an intent to transpose their provisions (e.g. ESARRs 2 to 5), and
- ICAO Annex 11 Standards, due to their significance amongst the 'applicable safety regulatory requirements' identified in Commission Regulation (EC) 2096/2005

Tables containing guidance on possible criteria for the assessment of compliance have been produced and are referenced in EAM 1 / GUI 5 to support the certification process proposed in that guidance document.

NOTE: tables with equivalent guidance on the criteria for the assessment of compliance with ESARRs 2, 3, 4 and 5 can be respectively found in EAM 2 / GUI 7, EAM 3 / GUI 3, EAM 4 / GUI 2, EAM 5 / GUI 2 (Parts A and B) and EAM 5 / GUI 4. The development of guidance for ESARR 6 was under consideration at the time of writing this document.

This document does not include binding provisions. It only provides guidance for possible use by NSAs.

2. ICAO ANNEX 11 STANDARDS AS APPLICABLE SAFETY REGULATORY REQUIREMENTS

Annex II of Regulation (EC) 2096/2005 (the Common Requirements) states that:

> *"A provider of air traffic services shall be able to demonstrate that its working methods and operating procedures are compliant with the standards in the following annexes to the Convention on International Civil Aviation as far as they are relevant for the provision of air traffic services in the airspace concerned:*
>
> - *…,*
> - *…,*
> - *Annex 11 on Air Traffic Services (13th Edition, July 2001 including all amendments up to No. 43)."*

In accordance with ESARR 1, safety oversight will be exercised by NSAs in order to verify compliance with the "applicable safety regulatory requirements". These are defined in ESARR 1 as:

> *"The requirements for the provision of ATM services, applicable to the specific situation under consideration, and established through the existing rulemaking framework, concerning, inter*
>
> *i) Technical and operational competence and suitability to provide ATM services*
>
> *ii) Systems and processes for safety management*
>
> *iii) Technical systems, their constituents and associated procedures."*

This scope has a direct correspondence with the areas for which Article 6 of Regulation (EC) 550/2004 establishes that the European Commission (EC) shall develop common requirements. Commission Regulation (EC) 2096/2005 implements these provisions.

Consequently, the standards contained in ICAO Annex 11, 13th Edition, Amendment No 43, should be considered as part of the 'applicable safety regulatory requirement' identified in the CRs with regard to the certification process and the subsequent ongoing supervision.

This implies that, wherever verification of compliance takes place in EU Member States against ICAO Annex 11 standards, this will have to be done in accordance with ESARR 1 once the EUROCONTROL Contracting Parties transpose ESARR 1 into their regulatory frameworks by November 2007.

Furthermore, before that transposition takes place, the alignment with ESARR 1 requirements and its associated EAM 1 guidance documentation can effectively support the certification process initiated in EU Member States after the entry into force of Commission Regulation (EC) 2096/2005.

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APPENDIX A – GUIDANCE ON CRITERIA TO ASSESS COMPLIANCE WITH THE STANDARDS OF ICAO ANNEX 11

This appendix does not include binding provisions. It only provides guidance for possible use by NSAs.

This table has been produced to provide NSAs with guidance to support the development of criteria for the assessment of compliance with the Standards of Annex 11, 13th Edition, Amendment No. 43.

This guidance material is of particular interest when developing a strategy to verify the working methods and operating procedures implemented by ATS service providers in the certification and on-going oversight against the Common Requirements established in Commission Regulation (EC) 2096/2005. As such, the table is referenced to in EAM 1 / GUI 5 'ESARR 1 in the Certification and Designation of Service Providers'.

This table also contains indications about the possible use of its contents by NSAs. In particular, it should be noted that this material only provides guidance on possible evidences and possible ways to evaluate them. The range of contents from this table that may support the NSA actions taken in a specific situation will normally depend upon the case. In particular, different approaches will be needed for initial and on-going safety oversight. NSAs are expected to define their strategy regarding the necessary actions and the level of verification in a manner consistent with the recommendations of EAM 1 / GUI 3 'Guidelines for Safety Regulatory Auditing' and EAM 1 / GUI 5. The evidences and ways to assess them will also depend on the implementing arrangements put in place by the ANSP to meet the requirement.

Customisation of this table may be necessary to take into consideration actual deviations from ICAO standards and identify those standards which, as required in the CRs, are relevant for the provision of air traffic services in the airspace concerned.

In addition, several ICAO Annex 11 standards are primarily applicable to States or other services/functions which are different from ATS. Possible evidences and ways to assess these are proposed in cases where the ATS service providers' working methods and procedures should reflect the implementation of these standards by the States or other relevant services/functions.

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Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes

NOTES ABOUT THE USE OF THIS TABLE

a) Only standards are considered as they constitute the certification reference identified in the Common Requirements (CRs). Recommended practices have accordingly been excluded.

b) Customisation of this table may be necessary to take into consideration actual deviations from ICAO standards and identify those standards which, as required in the CRs, are relevant for the provision of air traffic services in the airspace concerned.

c) The table provides indications about evidences that can be expected to be found to show compliance with the standard. These evidences illustrate a means, but not necessarily the only possible means, by which a standard can be met.

d) Guidance is also included about some possible ways to assess these evidences. Depending upon the case only a limited set of the actions proposed, or other alternative or additional actions, may be needed to assess the evidences under consideration. NSAs are expected to define their strategy regarding the necessary actions and level of verification in a manner consistent with the recommendations of EAM 1 / GUI 3 and EAM 1 / GUI 5. In particular, different approaches will be needed for initial and ongoing safety oversight.

e) ICAO Doc 4444 PANS-ATM and other relevant ICAO materials (e.g. Doc 7030 and Doc 9426) have been used to identify possible evidences and ways to assess them. Other relevant SES materials have also been considered.

f) Indications of possible evidences are given not only regarding the existence of written arrangements/procedures but also in relation to their effective implementation. This latter aspect is normally demonstrated by means of evidences which exist after allowing a period for the effective operation of the written arrangements/procedures.

g) Wherever written arrangements/procedures (e.g. manuals, unit instructions, letters of agreement, etc) are evaluated by the NSA, the assessment should always take into consideration that Commission Regulation (EC) 2096/2005 establishes (in Annex I, Section 3.3 Operations Manuals) that an ANSP shall provide and keep up-to-date operations manuals relating to the provision of its services for the use and guidance of operations personnel. Furthermore, these provisions require the ANSP to ensure that:

   (a) Operations manuals contain instructions and information required by the operations personnel to perform their duties;

   (b) Relevant parts of the operations manuals are accessible to the personnel concerned;

   (c) The operations personnel are expeditiously informed of the amendments to the operations manual applying to their duties as well as of their entry into force.

   The need to verify these aspects is not repeated throughout the table. However, these requirements should always be considered when assessing the ANSP operational documentation.

h) Sampling is proposed to assess the effective implementation of various arrangements. As a general rule, it is recommended that samples include at least 10% of the units relevant to the case under consideration over a specific period of time. Wherever sampling is proposed, the comments/notes normally include an indication of the sampling unit.

i) Some Annex 11 standards are primarily applicable to States or other services/functions (e.g. AIS, ATFM, ASM, etc). These situations are identified on the comments/notes. Possible evidences and ways to assess them are proposed in cases where the ATS service providers' working methods and procedures should reflect the implementation of these standards by the States or other relevant services/functions.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.1.1 Chapter 2 Std.	***CHAPTER 2. GENERAL*** ***Establishment of authority*** Contracting States shall determine, in accordance with the provisions of this Annex and for the territories over which they have jurisdiction, those portions of the airspace and those aerodromes where air traffic services will be provided. They shall thereafter arrange for such services to be established and provided in accordance with the provisions of this Annex, except that, by mutual agreement, a State may delegate to another State the responsibility for establishing and providing air traffic services in flight information regions, control areas or control zones extending over the territories of the former.	-	-	Standard applicable to the State(s), not to ANSPs
2.1.2 Chapter 2 Std.	Those portions of the airspace over the high seas or in airspace of undetermined sovereignty where air traffic services will be provided shall be determined on the basis of regional air navigation agreements. A Contracting State having accepted the responsibility to provide air traffic services in such portions of airspace shall thereafter arrange for the services to be established and provided in accordance with the provisions of this Annex.	-	-	Standard applicable to the State(s), not to ANSPs
2.1.3 Chapter 2 Std.	When it has been determined that air traffic services will be provided, the States concerned shall designate the authority responsible for providing such services.	-	-	Standard applicable to the State(s), not to ANSPs
2.1.4 Chapter 2 Std.	Where air traffic services are established, information shall be published as necessary to permit the utilization of such services.	-	-	Standard applicable to the State(s), not to ANSPs Implementation will normally take place through AIS

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.2 Chapter 2 Std.	***Objectives of the air traffic services*** The objectives of the air traffic services shall be to: a) prevent collisions between aircraft; b) prevent collisions between aircraft on the manoeuvring area and obstructions on that area; c) expedite and maintain an orderly flow of air traffic; d) provide advice and information useful for the safe and efficient conduct of flights; e) notify appropriate organizations regarding aircraft in need of search and rescue aid, and assist such organizations as required.	Identification of ATS objectives as included in the operational documentation used by the ANSP (ATS operational manuals and/or ATS units instructions).	Review the objectives identified in the ANSP documentation to check whether they conform with the objectives defined in the ICAO standard for the ATS services provided. Check that the objectives apply to all the relevant ATS units operated by the ANSP irrespective of the structure of the documentation system.	
2.3 Chapter 2 Std.	***Divisions of the air traffic services*** The air traffic services shall comprise three services identified as follows.	See 2.3.1, 2.3.2 and 2.3.3 below as applicable	See 2.3.1, 2.3.2 and 2.3.3 below as applicable	
2.3.1 Chapter 2 Std.	The air traffic control service, to accomplish objectives a), b) and c) of 2.2, this service being divided in three parts as follows: a) Area control service: the provision of air traffic control service for controlled flights, except for those parts of such flights described in 2.3.1 b) and c), in order to accomplish objectives a) and c) of 2.2; b) Approach control service: the provision of air traffic control service for those parts of controlled flights associated with arrival or departure, in order to accomplish objectives a) and c) of 2.2; c) Aerodrome control service: the provision of air traffic control service for aerodrome traffic, except for those parts of flights described in 2.3.1 b), in order to accomplish objectives a), b) and c) of 2.2.	Identification of services provided by the ANSP, as included in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review the documentation to check whether the ATC services conform with the ICAO definitions and objectives	If ATC is to be provided

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.3.2 Chapter 2 Std.	The flight information service, to accomplish objective d) of 2.2.	Identification of services to be provided by the ANSP, as included in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review the documentation to check whether the FIS conforms with the ICAO definitions and objectives	If FIS is to be provided
2.3.3 Chapter 2 Std.	The alerting service, to accomplish objective e) of 2.2.	Identification of services to be provided by the ANSP, as included in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review the documentation to check whether the AL services conform with the ICAO definitions and objectives	If AL is to be provided
2.4.1 Chapter 2 Std.	***Determination of the need for air traffic services*** The need for the provision of air traffic services shall be determined by consideration of the following: a) the types of air traffic involved; b) the density of air traffic; c) the meteorological conditions; d) such other factors as may be relevant.	-	-	Standard applicable to the State(s), not to ANSPs
2.4.2 Chapter 2 Std.	The carriage of airborne collision avoidance systems (ACAS) by aircraft in a given area shall not be a factor in determining the need for air traffic services in that area.	-	-	Standard applicable to the State(s), not to ANSPs

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.5.1 Chapter 2 Std.	***Designation of the portions of the airspace and controlled aerodromes where air traffic services will be provided*** When it has been determined that air traffic services will be provided in particular portions of the airspace or at particular aerodromes, then those portions of the airspace or those aerodromes shall be designated in relation to the air traffic services that are to be provided.	Identification of airspaces and aerodromes where ATS are provided by the ANSP, as included in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review the documentation to check whether it clearly identifies the portions of airspace and controlled aerodromes where it provides ATS. Check that the ATS services to be provided in each airspace/aerodrome are clearly identified. Check the correspondence between the identification included in the ANSP documentation and the designation made by the appropriate State(s) authority.	Standard applicable to the State(s), not to the ANSPs. However, ATS operational documentation should reflect the implementation of this standard by the State(s) When checking this standard, consider the standards 2.5.2.1 to 2.5.2.3 as applicable To note that the review related to the standards 2.5.1, 2.6.1, 2.6.3 and 2.8 could be performed simultaneously. See also 3.1 below.
2.5.2 Chapter 2 Std.	The designation of the particular portions of the airspace or the particular aerodromes shall be as follows:	see 2.5.1 above	see 2.5.1 above	see 2.5.1 above
2.5.2.1 Chapter 2 Std.	Flight information regions. Those portions of the airspace where it is determined that flight information service and alerting service will be provided shall be designated as flight information regions.	see 2.5.1 above	see 2.5.1 above	see 2.5.1 above
2.5.2.2.1 Chapter 2 Std.	*Control areas and control zones* Those portions of the airspace where it is determined that air traffic control service will be provided to IFR flights shall be designated as control areas or control zones.	see 2.5.1 above	see 2.5.1 above	see 2.5.1 above
2.5.2.2.1.1 Chapter 2 Std.	Those portions of controlled airspace wherein it is determined that air traffic control service will also be provided to VFR flights shall be designated as Classes B, C, or D airspace.	see 2.5.1 above	see 2.5.1 above	see 2.5.1 above
2.5.2.2.2 Chapter 2 Std.	Where designated within a flight information region, control areas and control zones shall form part of that flight information region.	see 2.5.1 above	see 2.5.1 above	see 2.5.1 above

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.5.2.3 Chapter 2 Std.	Controlled aerodromes. Those aerodromes where it is determined that air traffic control service will be provided to aerodrome traffic shall be designated as controlled aerodromes.	see 2.5.1 above	see 2.5.1 above	see 2.5.1 above
2.6.1 Chapter 2 Std.	***Classification of airspaces*** ATS airspaces shall be classified and designated in accordance with the following: Class A. IFR flights only are permitted, all flights are provided with air traffic control service and are separated from each other. Class B. IFR and VFR flights are permitted, all flights are provided with air traffic control service and are separated from each other. Class C. IFR and VFR flights are permitted, all flights are provided with air traffic control service and IFR flights are separated from other IFR flights and from VFR flights. VFR flights are separated from IFR flights and receive traffic information in respect of other VFR flights. Class D. IFR and VFR flights are permitted and all flights are provided with air traffic control service, IFR flights are separated from other IFR flights and receive traffic information in respect of VFR flights, VFR flights receive traffic information in respect of all other flights. Class E. IFR and VFR flights are permitted, IFR flights are provided with air traffic control service and are separated from other IFR flights. All flights receive traffic information as far as is practical. Class E shall not be used for control zones. Class F. IFR and VFR flights are permitted, all participating IFR flights receive an air traffic advisory service and all flights receive flight information service if requested.	Identification of airspaces and aerodromes where ATS are provided by the ANSP, as included in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review the documentation to check whether it clearly identifies the classification assigned to each airspace in which the ANSP provides ATS. Check the correspondence between the identification included in the ANSP documentation and the designation made by the appropriate State(s) authority. Check that the classification conforms with the ICAO standard.	Standard applicable to the State(s), not to the ANSPs. However, ATS operational documentation should reflect the implementation of this standard by the State(s) To note that the review related to the standards 2.5.1, 2.6.1, 2.6.3 and 2.8 could be performed simultaneously.
2.6.2 Chapter 2 Std.	States shall select those airspace classes appropriate to their needs.	-	-	Standard applicable to the State(s), not to ANSPs

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.6.3 Chapter 2 Std.	The requirements for flights within each class of airspace shall be as shown in the table in Appendix 4.	Identification of airspaces and aerodromes where ATS are provided by the ANSP, as included in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review the documentation to check whether it clearly identifies for each airspace class in which the ANSP provides services: • the type of flight (IFR and/or VFR) • the separation provided • the service provided • speed limitation • radio communication requirement (continuous two way or not) • subject to ATC clearance (yes or no) Check the correspondence between the identification included in the ANSP documentation and the designation made by the appropriate State(s) authority. Check conformance with the requirements of ICAO Annex 11 Appendix 4 (i.e. table specifiying the requirements for each airspace class regarding the points listed above).	Standard applicable to the State(s), not to the ANSPs. However, ATS operational documentation should reflect the implementation of this standard by the State(s) To note that the review related to the standards 2.5.1, 2.6.1, 2.6.3 and 2.8 could be performed simultaneously.
2.7.1 Chapter 2 Std.	***Required navigation performance (RNP) for en-route operations*** RNP types shall be prescribed by States. When applicable, the RNP type(s) for designated areas, tracks or ATS routes shall be prescribed on the basis of regional air navigation agreements.	-	-	Applicable to the State(s), not to ANSPs
2.7.3 Chapter 2 Std.	The prescribed RNP type shall be appropriate to the level of communications, navigation and air traffic services provided in the airspace concerned.	-	-	Applicable to the State(s), not to ANSPs

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.8 Chapter 2 Std.	***Establishment and designation of the units providing air traffic services*** The air traffic services shall be provided by units established and designated as follows:	Identification of the ATS units operated by the ANSP, as described in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review the documentation to check whether it clearly identifies the ATS units providing services in the relevant portions of airspace and controlled aerodromes under the responsibility of the ANSP. Check that the ATS services to be provided by each unit in each airspace/aerodrome are clearly identified. Depending upon the case take into consideration the standards 2.8.1 and/or 2.8.2 as applicable Check the correspondence between the identification included in the ANSP documentation and the designation made by the appropriate State(s) authority.	See 2.8.1 and 2.8.2 below as applicable To note that the review related to the standards 2.5.1, 2.6.1, 2.6.3 and 2.8 could be performed simultaneously.
2.8.1 Chapter 2 Std.	Flight information centres shall be established to provide flight information service and alerting service within flight information regions, unless the responsibility of providing such services within a flight information region is assigned to an air traffic control unit having adequate facilities for the discharge of such responsibility.	see 2.8 above	see 2.8 above	if FICs are to be operated by the ANSP
2.8.2 Chapter 2 Std.	Air traffic control units shall be established to provide air traffic control service, flight information service and alerting service within control areas, control zones and at controlled aerodromes.	see 2.8 above	see 2.8 above	if ATC units are to be operated by the ANSP
2.9	***Specifications for flight information regions, control areas and control zones***	Specification of the flight information regions, control areas and control zones where the ANSP provides services, as described in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review the documentation to check whether it clearly specifies and delineates the regions, areas zones which are under the responsibility of the ANSP. Depending upon the case take into consideration the specific standards 2.9.2.1 to 2.9.5.3 Check the correspondence between the specification included in the ANSP documentation and the designation made by the appropriate State(s) authority.	Consider 2.9.2.1 to 2.9.5.3 below as applicable Wherever a different entity is responsible of the implementation of the standards in Section 2.9, ATS operational documentation should reflect that implementation.
2.9.2.1 Chapter 2 Std.	*Flight information regions* Flight information regions shall be delineated to cover the whole of the air route structure to be served by such regions.	see 2.9 above	see 2.9 above	see 2.9 above

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.9.2.2 Chapter 2 Std.	A flight information region shall include all airspace within its lateral limits, except as limited by an upper flight information region.	see 2.9 above	see 2.9 above	see 2.9 above
2.9.2.3 Chapter 2 Std.	Where a flight information region is limited by an upper flight information region, the lower limit specified for the upper flight information region shall constitute the upper vertical limit of the flight information region and shall coincide with a VFR cruising level of the tables in Appendix 3 to Annex 2.	see 2.9 above	see 2.9 above Check that FL285 is the limit applied between upper and lower airspace and meets the provisions of the ICAO standard. If necessary verify this aspect only in relation to a sample of the FIRs under the responsibility of the ANSP	see 2.9 above Limit between upper and lower airspace is established in Regulation (EC) 551/2004 (the airspace regulation) at FL 285.
2.9.3.1 Chapter 2 Std.	*Control areas* Control areas including, inter alia, airways and terminal control areas shall be delineated so as to encompass sufficient airspace to contain the flight paths of those IFR flights or portions thereof to which it is desired to provide the applicable parts of the air traffic control service, taking into account the capabilities of the navigation aids normally used in that area.	see 2.9 above	see 2.9 above	see 2.9 above
2.9.3.2 Chapter 2 Std.	A lower limit of a control area shall be established at a height above the ground or water of not less than 200 m (700 ft).	see 2.9 above	see 2.9 above Check that the lower limit of control areas meets the ICAO standard. If necessary verify this aspect only in relation to a sample of the control areas under the responsibility of the ANSP.	see 2.9 above
2.9.3.3 Chapter 2 Std.	An upper limit of a control area shall be established when either: a) air traffic control service will not be provided above such upper limit; or b) the control area is situated below an upper control area, in which case the upper limit shall coincide with the lower limit of the upper control area. When established, such upper limit shall coincide with a VFR cruising level of the tables in Appendix 3 to Annex 2.	see 2.9 above	see 2.9 above Check that, where established, the upper limit coincides with a VFR cruising level of the tables. If necessary verify this aspect only in relation to a sample of the control areas under the responsibility of the ANSP.	see 2.9 above

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.9.5.1 Chapter 2 Std.	*Control zones* The lateral limits of control zones shall encompass at least those portions of the airspace, which are not within control areas, containing the paths of IFR flights arriving at and departing from aerodromes to be used under instrument meteorological conditions.	see 2.9 above	see 2.9 above Check the existence of control zones at aerodromes with paths of IFR flights arriving at and departing from them. If necessary verify this aspect only in relation to a sample of the controlled aerodromes under the responsibility of the ANSP.	see 2.9 above
2.9.5.2 Chapter 2 Std.	The lateral limits of a control zone shall extend to at least 9.3 km (5 NM) from the centre of the aerodrome or aerodromes concerned in the directions from which approaches may be made.	see 2.9 above	see 2.9 above Check that the documentation defines laterals limits extending to at least 5 NM. If necessary verify this aspect only in relation to a sample of the control zones under the responsibility of the ANSP.	see 2.9 above
2.9.5.3 Chapter 2 Std.	If a control zone is located within the lateral limits of a control area, it shall extend upwards from the surface of the earth to at least the lower limit of the control area.	see 2.9 above	see 2.9 above Check that the limits extend from the surface to at least the lower limit of the control area. If necessary verify this aspect only in relation to a sample of the control zones under the responsibility of the ANSP.	see 2.9 above
2.11.1 Chapter 2 Std.	***Establishment and identification of ATS routes*** When ATS routes are established, a protected airspace along each ATS route and a safe spacing between adjacent ATS routes shall be provided.	Specification of the ATS routes where the ANSP provides services, as described in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review the documentation to check that a protected airspace exists along the ATS routes which are under the responsibility of the ANSP. Check the correspondence between the specification included in the ANSP documentation and the designation made by the appropriate State(s) authority.	Wherever a different entity is responsible of the implementation of the standards in Section 2.11, ATS operational documentation should reflect that implementation.
		Methodology for the determination of a protected area along each ATS route	Check the existence of a established approach for the establishment of protected areas along routes. More specifically, check whether the ATS routes defined by VOR have a protected airspace determined by following the methods described in Attachment A to ICAO Annex 11 or an alternative method ensuring equivalent protected airspace. In addition, check whether the ATS routes for use by RNAV-equipped aircraft have a protected airspace determined by following the methods described in Attachment B to ICAO Annex 11 or an alternative method ensuring equivalent protected airspace.	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.11.3 Chapter 2 Std.	ATS routes shall be identified by designators.	Specification of the ATS routes where the ANSP provides services, as described in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review the documentation to check that no route exists without designator. If necessary verify this aspect only in relation to a sample of ATS routes. Consider the standards of 2.11.4 and/or 2.11.5 as applicable Check the correspondence between the specification included in the ANSP documentation and the designation made by the appropriate State(s) authority.	Consider 2.11.4 and/or 2.11.5 below as applicable
2.11.4 Chapter 2 Std.	Designators for ATS routes other than standard departure and arrival routes shall be selected in accordance with the principles set forth in Appendix 1.	Specification of the ATS routes where the ANSP provides services, as described in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review a sample of ATS routes, other than standard departure and arrival routes, selected by the NSA auditor to check whether the ATS route designators conform with Appendix 1 to ICAO Annex 11.	see 2.11.3 above (sampling unit = a route, other than standard departure or arrival route, along which the ANSP provides ATS services) see 2.13.3 regarding significant points along the ATS routes (the use of the same sample is proposed)
		Records documenting the use of designators for standard departure and arrival routes (including communications recorded)	In relation to the same sample, check: • whether in voice communication letters are voiced as specified in Section 4 of Appendix 1 to ICAO Annex 11 • whether in printed communications a designator is always expressed by not less than two and not more than six characters	see 2.11.3 above
2.11.5 Chapter 2 Std.	Standard departure and arrival routes and associated procedures shall be identified in accordance with the principles set forth in Appendix 3.	Specification of the ATS routes where the ANSP provides services, as described in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review a sample of standard departure and arrival routes selected by the NSA auditor to check whether the designators conform with Appendix 3 to ICAO Annex 11.	see 2.11.3 above (sampling unit = a standard departure or arrival route along which the ANSP provides ATS services) see 2.13.3 regarding significant points along the ATS routes (the use of the same sample is proposed)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the use of designators for standard departure and arrival routes (including communications recorded)	In relation to the same sample check: • Whether only the plain language designator is used in voice communication • Whether only the coded designator is used in printed or coded communications,	see 2.11.3 above
		Information on standard and arrival routes at the relevant ATC working positions	Review a sample of working positions selected by the NSA auditor to check whether: • A detailed description of each currently effective standard procedure and/or arrival route/approach procedure is clearly displayed at the working position • The display includes the plain language designator and the coded designator • Wherever possible, a graphic portrayal of the routes/procedures is also displayed	(sampling unit = working position at which the routes/procedures are assigned to aircraft as part of an ATC clearance, or are otherwise of relevance in the provision of ATC services)
2.13.1 Chapter 2 Std.	***Establishment and identification of significant points*** Significant points shall be established for the purpose of defining an ATS route and/or in relation to the requirements of air traffic services for information regarding the progress of aircraft in flight.	Specification of the ATS routes where the ANSP provides services, as described in its operational documentation (ATS operational manuals and/or ATS units instructions)	Check that ATS routes and/or reporting points are defined by means of significant points. Check standard 2.13.3 below Check the correspondence between the specification included in the ANSP documentation and the designation made by the appropriate State(s) authority.	see 2.13.3 below To note that the review of this standard could be performed in combination with the checks for 2.11.3 Wherever a different entity is responsible of the implementation of the standards in Section 2.13, ATS operational documentation should reflect that implementation.
2.13.2 Chapter 2 Std.	Significant points shall be identified by designators.	see 2.13.1 above	Check standard 2.13.3 below	see 2.13.3 below

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.13.3 Chapter 2 Std.	Significant points shall be established and identified in accordance with the principles set forth in Appendix 2.	see 2.13.1 above	In relation to the samples of ATS routes, selected by the NSA auditor with regard to 2.11.4 and 2.11.5 above, check also whether the significant points conform with Appendix 2 to ICAO Annex 11. This will normally include checking that: • The designators of significant points cannot create difficulties in pronunciation for pilots or ATS personnel when speaking in the language used in ATS communications; • The designators are easily recognisable in voice communications.	To note that the review of this standard could be performed in combination with the checks for 2.11.4 and 2.11.5 To note that Appendix 2 contains mandatory elements beyond the ones underlined here.
2.15.1 Chapter 2 Std.	***Coordination between the operator and air traffic services*** Air traffic services units, in carrying out their objectives, shall have due regard for the requirements of the operators consequent on their obligations as specified in Annex 6, and, if so required by the operators, shall make available to them or their designated representatives such information as may be available to enable them or their designated representatives to carry out their responsibilities.	Written arrangements between an ATS unit and air operators.	Check the existence of formal interfaces (e.g. contact points or designated representatives identified in the written arrangements, clear terms of reference, etc)	
		Records documenting the implementation of these arrangements	Review the application of these coordination arrangements in a specific sample selected by the NSA auditor. More specifically, in relation to the sample selected check that coordination takes place through the designated representatives.	(sampling unit = written arrangements established between an ATS unit and air operators)
2.15.2 Chapter 2 Std.	When so requested by an operator, messages (including position reports) received by air traffic services units and relating to the operation of the aircraft for which operational control service is provided by that operator shall, so far as practicable, be made available immediately to the operator or a designated representative in accordance with locally agreed procedures.	Written arrangements between an ATS unit and operators.	In the sample selected in 2.15.1 above: • Check whether the written arrangements include agreed procedures for making available these messages to the operator.	See 2.15.1 above
		Records documenting the implementation of these arrangements	In the sample selected in 2.15.1 above: • Check whether the messages were made available immediately to the operator when requested • Cross-check the records provided by the ATS unit with the records provided by the air operator	See 2.15.1 above
2.16.1 Chapter 2 Std.	***Coordination between military authorities and air traffic services*** Air traffic services authorities shall establish and maintain close cooperation with military authorities responsible for activities that may affect flights of civil aircraft.	Written arrangements between ANSP and military authorities	Check the existence of formal interfaces (e.g. contact points, designated representatives, working groups or committees identified in the written arrangements)	To note that these arrangements may be established at organisation or unit level.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.16.2 Chapter 2 Std.	Coordination of activities potentially hazardous to civil aircraft shall be effected in accordance with 2.17.	Records documenting the implementation of these arrangements	Review the records resulting from these arrangements and check whether coordination takes place regularly (in order to "*maintain close cooperation*" as required in the standard)	To note that these arrangements may be established at organisation or unit level.
		Written arrangements between ANSP and military authorities	Check that these written arrangements establish that activities potentially hazardous to civil aircraft are coordinated in accordance with 2.17.	To note that these arrangements may be established at organisation or unit level.
2.16.3 Chapter 2 Std.	Arrangements shall be made to permit information relevant to the safe and expeditious conduct of flights of civil aircraft to be promptly exchanged between air traffic services units and appropriate military units.	Written arrangements between an ATS unit and appropriate military units	Check the existence of formal interfaces (e.g. contact points identified in the written arrangements, clear terms of reference, etc)	To note that these arrangements have to exist at local level
		Records documenting the implementation of these arrangements	Review the application of these coordination arrangements in a specific sample selected by the NSA auditor. More specifically, in relation to the sample selected: • Check that coordination takes place through the designated contact points • Check whether the information is promptly exchanged without any impediment, notably in relation to the information referred to in 2.16.3.1 below • Cross-check the records provided by the ATS unit with the records provided by the military unit	(sampling unit = situation in which information was exchanged between an ATS unit and a military unit)
2.16.3.1 Chapter 2 Std.	Air traffic services units shall, either routinely or on request, in accordance with locally agreed procedures, provide appropriate military units with pertinent flight plan and other data concerning flights of civil aircraft. In order to eliminate or reduce the need for interceptions, air traffic services authorities shall designate any areas or routes where the requirements of Annex 2 concerning flight plans, two-way communications and position reporting apply to all flights to ensure that all pertinent data is available in appropriate air traffic services units specifically for the purpose of facilitating identification of civil aircraft.	Written arrangements between an ATS unit and appropriate military units, and records from the operation of these arrangements.	Check whether the written arrangements include agreed procedures for providing the military units with the information referred to.	Point to be addressed normally in conjunction with 2.16.3 above
		Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Relevant information to reduce the need for interception	Review the operational documentation to check whether all the pertinent data is available at an appropriate ATS unit to eliminate or reduce the need for interceptions. The information included in the ATS unit operational documentation should particularly identify the areas or routes where the requirements of ICAO Annex 2 concerning to flight plans, two-way communications and position reporting apply to all flights	To note that the designation of areas or routes where ICAO Annex 2 applies is a function not related to the actual provision of ATS services.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.16.3.2 Chapter 2 Std.	Special procedures shall be established in order to ensure that: a) air traffic services units are notified if a military unit observes that an aircraft which is, or might be, a civil aircraft is approaching, or has entered, any area in which interception might become necessary; b) all possible efforts are made to confirm the identity of the aircraft and to provide it with the navigational guidance necessary to avoid the need for interception.	Written arrangements between an ATS unit and appropriate military units	Check whether the written arrangements include agreed procedures for providing the ATS units with the information referred to.	Point to be addressed normally in conjunction with 2.16.3 above
		Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Interface with military units	Check whether the ATS unit has procedures to deal with the situation arising from a notification by an appropriate military unit Check whether the procedures require the personnel on duty at the ATS unit to use all the technical means available to confirm the identifty of the aircraft.	
		Records documenting the implementation of operational procedures	Review the application of the procedures in a specific sample selected by the NSA auditor. More specifically, in relation to the sample selected: • Check that the actions taken by the ATS unit personnel conformed to the procedure • Cross-check the records provided by the ATS unit with records provided by the military unit	(sampling unit = situation in which the ATS unit was notified by a military unit about an aircraft for which interception might become necessary)
2.17.1 Chapter 2 Std.	***Coordination of activities potentially hazardous to civil aircraft*** The arrangements for activities potentially hazardous to civil aircraft, whether over the territory of a State or over the high seas, shall be coordinated with the appropriate air traffic services authorities. The coordination shall be effected early enough to permit timely promulgation of information regarding the activities in accordance with the provisions of Annex 15.	Written arrangements between ANSP and other appropriate authorities	Check the existence of formal interfaces (e.g. contact points, designated representatives, working groups or committees identified in the written arrangements, clear terms of reference, etc) Check that these arrangements: • Include mechanisms allowing early coordination and • Involve AIS, to allow timely promulgation in accordance with the provisions of Annex 15.	To note that these arrangements may be established at organisation or unit level.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of these arrangements	Review the application of the arrangements in a sample of situations, selected by the NSA, in which there was a need for coordination. More specifically in relation to the sample selected: • Check that coordination takes place within appropriate timescales to allow a timely promulgation • Check that the output is the promulgation of information in accordance with Annex 15. • Cross-check the records provided by the ANSP with the publication promulgated on activities potentially hazardous to civil aviation	To note that these arrangements may be established at organisation or unit level. (sampling unit = situation involving the ANSP in which coordination was needed regarding activities potentially hazardous to civil aircraft. To note that this might go beyond the cases which eventually finalized with a promulgation of information)
2.17.2 Chapter 2 Std.	The objective of the coordination shall be to achieve the best arrangements which will avoid hazards to civil aircraft and minimize interference with the normal operations of such aircraft.	Written arrangements between ANSP and other appropriate authorities	Check that the arrangements define minimum principles to be met when coordination takes place. These principles should normally include the following considerations: • The locations or areas, times and durations for the activities should be selected to avoid closure or realignment of established ATS routes, blocking of the most economic flight levels, or delays of scheduled aircraft operations, unless no other options exist; • The size of the airspace designated for the conduct of the activities should be kept as small as possible; • Direct communication between the appropriate ATS authority or air traffic services unit and the organization or unit conducting the activities should be provided for use in the event that civil aircraft emergencies or other unforeseen circumstances require discontinuation of the activities. Check that the arrangements include mechanisms for a periodical review of the arrangements and their results with a particular focus on the achievement of the principles defined (in order to continuosly improve them and achieve “the best arrangements”)	To note that these arrangements may be established at organisation or unit level.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of these arrangements	In the sample selected in 2.17.1 above: review the records resulting from the arrangements and check whether: • Periodical review effectively takes place • Situations where the principles defined in the arrangements were not met, are addressed and acted upon • The actions coming up from that periodical review are implemented and followed up	To note that these arrangements may be established at organisation or unit level. (sampling unit = situation involving the ANSP in which coordination was needed regarding activities potentially hazardous to civil aircraft. To note that this might go beyond the cases which eventually finalized with a promulgation of information)
2.17.3 Chapter 2 Std.	The appropriate ATS authorities shall be responsible for initiating the promulgation of information regarding the activities.	Written arrangements between ANSP and other appropriate authorities	Check that the arrangements include a clear allocation of responsibilities for initiating the promulgation of information.	
		Records documenting the implementation of the coordination arrangements	In the sample selected in 2.17.1 above: review the records resulting from the arrangements and check whether: • Initiation of promulgation took place in accordance with the responsibilities defined in the arrangements	
2.17.5 Chapter 2 Std.	Adequate steps shall be taken to prevent emission of laser beams from adversely affecting flight operations.	Procedures included in the operational documentation used by the ANSP (ATS operational manuals and/or ATS units instructions)	Check the existence of procedures to perform actions allocated to the ANSPS consistently with the regulatory approach determined by the State(s).	Depending upon the situation the establishment of the “adequate steps” may concern not only the ANSP but also other State(s) authorities. The regulatory context under which the ANSP procedures are conducted may therefore vary. ICAO Doc 9815 contains guidance regarding the hazardous effects of laser emitters on flight operations.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of these procedures	Review the application of the procedures in a specific sample selected by the NSA auditor. More specifically, in relation to the sample selected check that the actions taken by the ATS unit personnel conformed to the procedure	(sampling unit = situation in which an ATS unit had to apply the procedures established to prevent emission of laser beams)
2.18.1 Chapter 2 Std.	***Aeronautical data*** Determination and reporting of air traffic services-related aeronautical data shall be in accordance with the accuracy and integrity requirements set forth in Tables 1 to 5 contained in Appendix 5 while taking into account the established quality system procedures. Accuracy requirements for aeronautical data are based upon a 95 per cent confidence level, and in that respect three types of positional data shall be identified: surveyed points (e.g. navigation aids positions), calculated points (mathematical calculations from the known surveyed points of points in space, fixes) and declared points (e.g. flight information region boundary points).	-	-	Standard applicable to the State(s) and AIS services, not to ATS service providers.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.18.2 Chapter 2 Std.	Contracting States shall ensure that integrity of aeronautical data is maintained throughout the data process from survey/origin to the next intended user. Aeronautical data integrity requirements shall be based upon the potential risk resulting from the corruption of data and upon the use to which the data item is put. Consequently, the following classification and data integrity level shall apply: a) critical data, integrity level 1 ´ 10-8: there is a high probability when using corrupted critical data that the continued safe flight and landing of an aircraft would be severely at risk with the potential for catastrophe; b) essential data, integrity level 1 ´ 10-5: there is a low probability when using corrupted essential data that the continued safe flight and landing of an aircraft would be severely at risk with the potential for catastrophe; and c) routine data, integrity level 1 ´ 10-3: there is a very low probability when using corrupted routine data that the continued safe flight and landing of an aircraft would be severely at risk with the potential for catastrophe.	-	-	Standard applicable to the State(s) and AIS services, not to ATS service providers. See 2.20.4
2.18.3 Chapter 2 Std.	Protection of electronic aeronautical data while stored or in transit shall be totally monitored by the cyclic redundancy check (CRC). To achieve protection of the integrity level of critical and essential aeronautical data as classified in 2.18.2, a 32- or 24-bit CRC algorithm shall apply respectively.	-	-	Standard applicable to the State(s) and AIS services, not to ATS service providers.
2.18.5 Chapter 2 Std.	Geographical coordinates indicating latitude and longitude shall be determined and reported to the aeronautical information services authority in terms of the World Geodetic System - 1984 (WGS-84) geodetic reference datum, identifying those geographical coordinates which have been transformed into WGS-84 coordinates by mathematical means and whose accuracy of original field work does not meet the requirements in Appendix 5, Table 1.	-	-	Standard applicable to the State(s) and AIS services, not to ATS service providers.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.18.6 Chapter 2 Std.	The order of accuracy of the field work and determinations and calculations derived there from shall be such that the resulting operational navigation data for the phases of flight will be within the maximum deviations, with respect to an appropriate reference frame, as indicated in the tables contained in Appendix 5.	-	-	Standard applicable to the State(s) and AIS services, not to ATS service providers.
2.19.1 Chapter 2 Std.	***Coordination between meteorological and air traffic services authorities*** To ensure that aircraft receive the most up-to-date meteorological information for aircraft operations, arrangements shall be made, where necessary, between meteorological and air traffic services authorities for air traffic services personnel: a) in addition to using indicating instruments, to report, if observed by air traffic services personnel or communicated by aircraft, such other meteorological elements as may be agreed upon; b) to report as soon as possible to the associated meteorological office meteorological phenomena of operational significance, if observed by air traffic services personnel or communicated by aircraft, which have not been included in the aerodrome meteorological report; c) to report as soon as possible to the associated meteorological office pertinent information concerning pre-eruption volcanic activity, volcanic eruptions and information concerning volcanic ash cloud. In addition, area control centres and flight information centres shall report the information to the associated meteorological watch office and volcanic ash advisory centres (VAACs).	Written arrangements between the ATS provider and MET	Check the existence of formal interfaces (e.g. contact points, designated representatives, working groups or committees identified in the written arrangements, clear terms of reference, etc) Check that these arrangements: • Identify appropriate working interfaces with MET in all ATS units with a clear allocation of responsibilities • Define, if appropriate, meteorological elements to be reported to MET if observed by ATS personnel • Establish that reporting to MET by ATS personnel will take place as soon as possible: o Regarding associated meteorological phenomena of operational significance observed by ATS personnel, or communicated by aircraft, which have not been included in the aerodrome meteorological report; o Pertinent information concerning pre-eruption volcanic activity, volcanic eruptions and information concerning volcanic ash cloud. • Establish that the latter information is also communicated to the associated meteorological watch office and VAACs, in the case of the ACCs and FICs operated by the ANSP • Wherever relevant, include arrangements in relation to 2.19.2 (to ensure that information on volcanic ash included in NOTAM and SIGMET messages is consistent) • Cover the need for the supply of meteorological information identified in Chapter 7 below, as applicable	To note that these arrangements may be established at organisation or unit level See Chapter 7 in relation to the type of meteorological information necessary for the operation of ATS services

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Information to be communicated to MET by ATS personnel	Review the operational documentation to check that procedures at ATS units establish that ATS personnel must report to MET, through the interfaces established, the types of information defined in the standard. Check also that procedures are established to deal with situations related to 2.19.2 wherever that is relevant (actions taken when it was needed to ensure that information on volcanic ash included in NOTAM and SIGMET messages is consistent)	
		Records documenting the implementation of the coordination arrangements	Review the application of the arrangements in a sample of situations, selected by the NSA, in which there was a need for coordination. More specifically in relation to the sample selected: • Check that all the relevant meteorological phenomena are effectively reported by ATS personnel (if possible cross-check with meteorological information obtained from a different source such as loogbooks, various reports, etc) • Check the actions taken in relation to situations related to 2.19.2, wherevever relevant. • Cross-check the records provided by the ANSP with those kept by MET	To note that these arrangements may be established at organisation or unit level. (sampling unit = situation involving the ANSP in which coordination was between ATS units and relevant MET units in the cases listed in this ICAO standard)
2.19.2 Chapter 2 Std.	Close coordination shall be maintained between area control centres, flight information centres and associated meteorological watch offices to ensure that information on volcanic ash included in NOTAM and SIGMET messages is consistent.	Evidences related to the standard 2.19.1	Check this aspect, wherever relevant, when reviewing the evidences related to 2.19.1.	See 2.19.1

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.20.1 Chapter 2 Std.	***Coordination between aeronautical information services and air traffic services authorities*** To ensure that aeronautical information services units obtain information to enable them to provide up-to-date pre-flight information and to meet the need for in-flight information, arrangements shall be made between aeronautical information services and air traffic services authorities responsible for air traffic services to report to the responsible aeronautical information services unit, with a minimum of delay: a) information on aerodrome conditions; b) the operational status of associated facilities, services and navigation aids within their area of responsibility; c) the occurrence of volcanic activity observed by air traffic services personnel or reported by aircraft; and d) any other information considered to be of operational significance.	Written arrangements between ANSP and AIS	Check the existence of formal interfaces (e.g. contact points, designated representatives, working groups or committees identified in the written arrangements, clear terms of reference, etc) Check that these coordination arrangements: • Identify appropriate working interfaces with AIS in all ATS units. • Include interfaces and a clear allocation of responsibilities to allow a timely communication of information with regard to: o Aerodrome conditions o Operation status of associated facilities, services and navigation aids o Occurrence of volcanic actiivty o Any other information considered relevant • Cover the points required in 2.20.2 and aspects 2.20.3 (i.e regarding time given to AIS before introducing changes)	To note that these arrangements may be established at organisation or unit level.
		Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Information to be communicated to AIS by ATS personnel	Review the operational documentation to check that procedures at ATS units establish that ATS personnel must report to AIS, through the interfaces established, the types of information defined in the standard.	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of coordination arrangements	Review the application of the arrangements in a sample of situations, selected by the NSA, in which coordination was necessary at ATS units. More specifically in relation to the sample selected: • Check that coordination takes place within appropriate timescales to allow a timely communication of information • Check that all relevant information is effectively communicated (if possible cross-check with information obtained from other sources such as lookbooks, various reports, etc) • Cross-check the records provided by the ANSP with those kept by AIS Check also 2.20.2 and 2.20.3 (i.e. regarding time given to AIS before introducing changes) by using the samples proposed in relation to them	(sampling unit = situation in which coordination with AIS was necessary at an ATS unit)
2.20.2 Chapter 2 Std.	Before introducing changes to the air navigation system, due account shall be taken by the services responsible for such changes of the time needed by the aeronautical information service for the preparation, production and issuance of relevant material for promulgation. To ensure timely provision of the information to the aeronautical information service, close coordination between those services concerned is therefore required.	Written arrangements between ANSP and AIS	When reviewing the coordination arrangements in relation to 2.20.1, check that this aspect is explicitly addressed.	See 2.20.1 above
		Records documenting the implementation of the coordination arrangements	In a sample selected by the NSA amongst changes to the air navigation system which required publication of AIS material (including changes that affect charts and computer-based navigation systems) check that: For each change in the sample. • Coordination between ANSP and AIS took place following the agreed arrangements • Actions were coordinated to allow the preparation, production and issue of relevant material by AIS • The provisions of 2.20.3 were observed (i. about AIRAC cycle; see 2.20.3 below) • No change was introduced before relevant AIS information was published Cross-check the records provided by the ANSP with those kept by AIS	See 2.20.1 above (sampling unit = change to air navigation system requiring publication of relevant AIS material)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.20.3 Chapter 2 Std.	Of particular importance are changes to aeronautical information that affect charts and/or computer-based navigation systems which qualify to be notified by the Aeronautical Information Regulation and Control (AIRAC) system, as specified in Annex 15, Chapter 6 and Appendix 4. The predetermined, internationally agreed AIRAC effective dates in addition to 14 days postage time shall be observed by the responsible air traffic services when submitting the raw information/data to aeronautical information services.	Written arrangements between ANSP and AIS	When reviewing the coordination arrangements in relation to 2.20.1, check that this aspect is explicitly addressed.	See 2.20.1 above
		Records documenting the implementation of the coordination arrangements	When reviewing the sample of changes selected in 2.20.2, specifically check that for changes affecting charts and/or computer-based navigation systems: • The interval between the communication to AIS and the introduction of the change observed the agreed effective dates in addition to 14 days.	See 2.20.1 above
2.20.4 Chapter 2 Std.	The air traffic services responsible for the provision of raw aeronautical information/data to the aeronautical information services shall do so while taking into account accuracy and integrity requirements for aeronautical data as specified in Appendix 5 to this Annex.	Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Information to be communicated to AIS by ATS personnel • Means to ensure requirements of Appendix 5	Check that: • Operational documentation establishes that raw aeronautical information/data communicated to AIS must meet the accuracy and integrity requirements in Appendix 5 to Annex 11. • Specific measures exist to ensure that information/data meets the requirements of Appendix 5 (in the collection of data, its processing and communication)	
		Records documenting the the implementation of means to ensure the requirements of Appendix 5	In a sample selected by the NSA amongst the situations where aeronautical info/data was provided by an ATS unit to AIS, check that: For each situation in the sample: • The measures established to ensure the fulfilment of relevant requirements were effectively implemented • The accuracy and integrity of the info/data provided met the specification of Appendix 5	(sampling unit = situation in which raw aeronautical info/data had to be forwarded to AIS by an ATS unit)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.21 Chapter 2 Std.	***Minimum flight altitudes*** Minimum flight altitudes shall be determined and promulgated by each Contracting State for each ATS route and control area over its territory. The minimum flight altitudes determined shall provide a minimum clearance above the controlling obstacle located within the areas concerned.	Specification of minimum flight altitudes in airspaces where the ANSP provides services, as described in its operational documentation (ATS operational manuals and/or ATS units instructions)	Review the documentation to check whether it clearly identifies the minimum flight altitudes for each ATS route and control area in which the ANSP provides ATS services. Check the correspondence between the specification included in the ANSP documentation and the designation made by the appropriate State(s) authority. If appropriate review a sample of minimum flight altitudes along ATS routes to check whether the detailed obstacle criteria are fulfiled.	Standard applicable to the State(s), not to the ANSPs. However, ATS operational documentation should reflect the implementation of this standard by the State(s) Detailed obstacle clearance criteria are contained in PANS-OPS (ICAO Doc 8168)
		Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Assignment of cruising levels • Information provided to radar controllers	Review the operational documentation to check whether it establishes that: • Cruising levels below the minimum flight altitudes established by the State shall not be assigned except when specifically authorised by the appropriate authority. • A radar controller shall at all times be in possession of full and up-to-date information regarding established minimum flight altitudes within the area under his/her responsibility.	
		Records documenting the implemention of operational procedures (e.g. logbooks, data recorded, etc): • Regarding cruising levels assigned	In a sample selected by the NSA amongst assignments of cruising levels at an ATC unit (ideally, the sample should cover different ATS routes), check that: For all assignments of cruising levels in the sample • Cruising levels were not assigned above the minimum flight altitudes established unless it was authorised by the appropriate authority and there was a justified reason	(sampling unit = assignment of a cruising level during the operation of an ATC unit)
		Records documenting the implemention of operational procedures (e.g. logbooks, data recorded, etc): • Information available at radar control positions	In a sample selected by the NSA amongst the radar control working positions operated by the ANSP (ideally, the sample should cover different ATS units), check that: For all working positions included in the sample: • Sufficient means exist in the working position to ensure the radar controller has up-to-date information regarding minimum flight altitudes in his area of responsibility,	(sampling unit = radar control working position in an ATC unit)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.22.1 Chapter 2 Std.	***Service to aircraft in the event of an emergency*** An aircraft known or believed to be in a state of emergency, including being subjected to unlawful interference, shall be given maximum consideration, assistance and priority over other aircraft as may be necessitated by the circumstances.	Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Procedures applicable in the event of emergencies	Review the operational documentation to: • Check it is established that any aircraft know or believed to be in a state of emergency, including unlawful interference, shall be given maximun consideration, assistance and priority over other aircraft • Check that relevant operational procedures related to emergency situations are in place. Amongst the relevant aspects, check that procedures: o Allow the ATS unit to take appropriate action in relation to: ▪ Identification of aircraft as type of emergency, as applicable ▪ Deciding the type of assistance to be provided ▪ Coordination and/or notification to other ATS units, other services and authorities ▪ Provision of information to flight crew ▪ Obtention of information from flight crew and/or operator o Include the alerting of the relevant rescue and fire fighting services, o Specify the type of information to be provided to the rescue and fire fighting services, including type of aircraft, type of emergency and, when available, number of persons on board, and any dangerous goods carried on the aircraft. o Establish that the progress of an aircraft in emergency shall be monitored and (whenever possible) plotted on the radar display until the aircraft passes out of radar coverage, and position information shall be provided to all air traffic services units which may be able to give assistance to the aircraft. Radar transfer to adjacent radar sectors shall also be effected when appropriate.	PANS-ATM (ICAO Doc 4444) Chapter 15 includes detailed procedures related to emergencies.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of operational procedures (e.g. logbooks, data recorded, occurrence reports, etc) • Regarding emergencies handled	In a sample selected by the NSA amongst the declared emergencies faced by the ANSP, if any, check that: For all emergencies included in the sample: • Applicable procedures were followed • Priority was given over other aircraft, in addition to appropriate assistance; • Actions were conducted at the ATS to address, as appropriate: o The identification of the aircraft and the type of emergency about the o The type of assistance to be provided o The coordination and/or notification to other ATS units, other services and authorities o The provision of information to flight crew o The obtention of information from flight crew and/or operator o The alerting of the relevant rescue and fire fighting services, in accordance with the relevant specification on the information to be provided to them o The monitoring of the progress of the aircraft in emergency shall be monitored in accordance with the procedures relevant to the case Check also 2.22.2 in the case of emergencies related to unlawful interference situation.	(sampling unit = emergency situation faced by an ATS unit operated by the ANSP) To note that the effective implementation of 2.22.1 and 2.22.2 could be verified together by using the same sample.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.22.2 Chapter 2 Std.	When an occurrence of unlawful interference with an aircraft takes place or is suspected, ATS units shall attend promptly to requests by the aircraft. Information pertinent to the safe conduct of the flight shall continue to be transmitted and necessary action shall be taken to expedite the conduct of all phases of the flight, especially the safe landing of the aircraft.	Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Procedures applicable in the event unlawful interference	Review the operational documentation to check that: • The case of unlawful interference is specifically covered by the arrangements established to meet 2.22.1 above. • In addition, further arrangements are in place to deal unlawful interference situations. Amongst the relevant aspects, check that procedures establish that ATS units: o Transmit information pertinent to the safe conduct of the flight without necessarily expecting a reply from the aircraft o Monitor and plot the progress of the flight with the means available and coordinate transfer with adjacent ATS untis without necessarily requiring transmissions or other responses from the aircraft	
		Records documenting the implementation of operational procedures (e.g. logbooks, data recorded, occurrence reports, etc) • Regarding unlawful interference situations handled	In a sample selected by the NSA amongst the cases of unlawful interference faced by the ANSP, if any, check that: For all cases of unlawful interference included in the sample: • All the points proposed for checking in the sample proposed for 2.22.1 were met • Actions were conducted at the ATS to address, as appropriate: o The transmission of information pertinent to the safe conduct of the flight without necessarily expecting a reply from the aircraft o The coordination of transfer with adjacent ATS units without necessarily requiring transmissions or other responses from the aircraft	To note that the effective implementation of 2.22.1 and 2.22.2 could be verified together by using the same sample.
2.23.1.1 Chapter 2 Std.	***In-flight contingencies*** *Strayed or unidentified aircraft* As soon as an air traffic services unit becomes aware of a strayed aircraft it shall take all necessary steps as outlined in 2.23.1.1.1 and 2.23.1.1.2 to assist the aircraft and to safeguard its flight.	Relevant evidences related to 2.23.1.1.1 and 2.23.1.1.2	Check the points proposed in 2.23.1.1.1 and 2.23.1.1.2 below as applicable	See 2.23.1.1.1 and 2.23.1.1.2 below

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.23.1.1.1 Chapter 2 Std.	If the aircraft's position is not known, the air traffic services unit shall: a) attempt to establish two-way communication with the aircraft, unless such communication already exists; b) use all available means to determine its position; c) inform other ATS units into whose area the aircraft may have strayed or may stray, taking into account all the factors which may have affected the navigation of the aircraft in the circumstances; d) inform, in accordance with locally agreed procedures, appropriate military units and provide them with pertinent flight plan and other data concerning strayed aircraft; e) request from the units referred to in c) and d) and from other aircraft in flight every assistance in establishing communication with the aircraft and determining its position.	Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Procedures in case of strayed aircraft • Coordination arrangements with relevant military units	Review the operational documentation to check that procedures are in place to address situations in which the aircraft position is not known: Check whether those procedures involving coordination with the military have been agreed locally with the appropriate military units. Check that the procedures establish that the ATS unit will: • Try to establish and maintain a two-way communication • Use all available means to determine its position • Coordinate with other ATS units • Inform appropriate military units and provide them with pertinent information • Request asssistance from other units and other aircraft to establish communication and determine the aircraft position Check also that the procedures also include provsiions to meet 2.23.1.1.2	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of operational procedures (eg. logbooks, data recorded, occurrence reports, etc): • In case of strayed aircraft	In a sample selected by the NSA amongst the cases of strayed aircraft faced by the ANSP, check that: For all cases of strayed aircraft included in the sample: • Applicable procedures were followed • Actions were conducted at the ATS unit to address, as appropriate: o The attempts to establish and maintain a two-way communication o The use of all available means to determine its position o The coordination with other ATS units o The information to appropriate military units and provision of pertinent information to them o The request of asssistance from other units and other aircraft to establish communication and determine the aircraft position Check also the effective implementation of 2.23.1.1.2 within the same sample of cases	(sampling unit = cases of strayed aircraft faced by the ANSP)
2.23.1.1.2 Chapter 2 Std.	When the aircraft's position is established, the air traffic services unit shall: a) advise the aircraft of its position and corrective action to be taken; and b) provide, as necessary, other ATS units and appropriate military units with relevant information concerning the strayed aircraft and any advice given to that aircraft.	Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Procedures in case of strayed aircraft	When reviewing the operational documentation in relation to 2.23.1.1.1, check also that the procedures include provisions about the actions to be taken when the aircraft's position is established. These provisions should include: • Advising the aircraft of its position and taking appropriate corrective action • Providing other ATS units and military units with relevant information, as necessary.	see 2.2.3.1.1.1 above

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of operational procedures (eg. logbooks, data recorded, occurrence reports, etc): • In case of strayed aircraft	When reviewing the sample used to verify the effective implementation of 2.23.1.1.1, check also that: For all cases of staryed aircraft incldued in the sample: • Actions were conducted at the ATS unit when the aircraft's position is established to address, as appropriate: • The advise given to aircraft and other corrective action applicable to the case • The provision of information to other ATS units and miltary units, as necessary	
2.23.1.2 Chapter 2 Std.	As soon as an air traffic services unit becomes aware of an unidentified aircraft in its area, it shall endeavour to establish the identity of the aircraft whenever this is necessary for the provision of air traffic services or required by the appropriate military authorities in accordance with locally agreed procedures. To this end, the air traffic services unit shall take such of the following steps as are appropriate in the circumstances: a) attempt to establish two-way communication with the aircraft; b) inquire of other air traffic services units within the flight information region about the flight and request their assistance in establishing two-way communication with the aircraft; c) inquire of air traffic services units serving the adjacent flight information regions about the flight and request their assistance in establishing two-way communication with the aircraft; d) attempt to obtain information from other aircraft in the area.	Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Procedures in case of unidentified aircraft • Coordination arrangements with relevant military units	Review the operational documentation to check that procedures are in place to address cases of unidentified aircraftt. Check whether the procedures involving coordination with the military have been agreed locally with the appropriate military units. Check that the procedures establish that the ATS unit will, as appropriate: • Attempt to establish two-way communication with the aircraft; • Inquire of other air traffic services units and request their assistance in establishing two-way communication with the aircraft; • Attempt to obtain information from other aircraft in the area. • Inform the appropriate military unit as soon as the identify of the aircraft has been established, as required in 2.23.1.2.1 below	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of operational procedures (eg. logbooks, data recorded, occurrence reports, etc): • In case of unidentified aircraft	In a sample selected by the NSA amongst the cases of unidentified aircraft faced by the ANSP, check that: For all cases of unidentified aircraft included in the sample. • Applicable procedures were followed • Actions were conducted at the ATS unit to address, as appropriate: o The attempts to establish of two-way communication with the aircraft; o The inquires of other air traffic services units and request their assistance in establishing two-way communication with the aircraft; o The attempts to obtain information from other aircraft in the area. o The information provided to the appropriate military unit as soon as the identify of the aircraft was established, as required in 2.23.1.2.1 below	
2.23.1.2.1 Chapter 2 Std.	The air traffic services unit shall, as necessary, inform the appropriate military unit as soon as the identity of the aircraft has been established.	Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Procedures in case of unidentified aircraft • Coordination arrangements with relevant military units	Check whether this point is explictly covered in the operational documentation when reviewing 2.23.1.2	To be verified in conjunction with 2.23.1.2
		Records documenting the implementation of operational procedures (eg. logbooks, data recorded, occurrence reports, etc): • In case of unidentified aircraft	When reviewing the sample used to verify the effective implementation of 2.23.1.2, check whether immediate action to inform the appropriate military unit took place when the identity of the aircraft was established.	To be verified in conjunction with 2.23.1.2

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.23.2.1 Chapter 2 Std.	*Interception of civil aircraft* As soon as an air traffic services unit learns that an aircraft is being intercepted in its area of responsibility, it shall take such of the following steps as are appropriate in the circumstances: a) attempt to establish two-way communication with the intercepted aircraft via any means available, including the emergency radio frequency 121.5 MHz, unless such communication already exists; b) inform the pilot of the intercepted aircraft of the interception; c) establish contact with the intercept control unit maintaining two-way communication with the intercepting aircraft and provide it with available information concerning the aircraft; d) relay messages between the intercepting aircraft or the intercept control unit and the intercepted aircraft, as necessary; e) in close coordination with the intercept control unit take all necessary steps to ensure the safety of the intercepted aircraft; f) inform ATS units serving adjacent flight information regions if it appears that the aircraft has strayed from such adjacent flight information regions.	Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Procedures in case of unidentified aircraft • Coordination arrangements with relevant military units	Review the operational documentation to check that procedures are in place to address cases of interception of civil aircraft in the area of responsibility of the ATS unit. Check whether the procedures involving coordination with the military have been agreed locally with the appropriate military units. Check that the procedures establish that the ATS unit will, as appropriate: • Attempt to establish two-way communication with the intercepted aircraft via any means available, including the emergency radio frequency 121.5 MHz; • Inform the pilot of the intercepted aircraft • Establish contact with the intercept control unit maintaining two-way communication with the intercepting aircraft and provide it with available information concerning the aircraft; • Relay messages to the intercepted aircraft, as necessary; • In close coordination with the intercept control unit take all necessary steps to ensure the safety of the intercepted aircraft; • Informing other relevant ATS units	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of operational procedures (eg. logbooks, data recorded, occurrence reports, etc): • In case of interception	In a sample selected by the NSA amongst the cases of interceptions faced by the ANSP in its area of responsibility, check that: For all interceptions include in the sample: • Applicable procedures were followed • Actions were conducted at the ATS unit to address, as appropriate: o The attempts to establish two-way communication with the intercepted o The information provided to the pilot of the intercepted aircraft o The coordination and communication with the intercept control unit; o The relay of messages to the intercepted aircraft, as necessary; o The steps taken, as necessary, to ensure the safety of the intercepted aircraft, in close coordination with the intercept control unit; o The information to other ATS units as necessary	
2.23.2.2 Chapter 2 Std.	As soon as an air traffic services unit learns that an aircraft is being intercepted outside its area of responsibility, it shall take such of the following steps as are appropriate in the circumstances: a) inform the ATS unit serving the airspace in which the interception is taking place, providing this unit with available information that will assist in identifying the aircraft and requesting it to take action in accordance with 2.23.2.1; b) relay messages between the intercepted aircraft and the appropriate ATS unit, the intercept control unit or the intercepting aircraft.	Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Procedures in case of unidentified aircraft • Coordination arrangements with relevant military units	Review the operational documentation to check that procedures are in place to address cases of interception of civil aircraft outside the area of responsibility of the ATS unit. Check whether the procedures involving coordination with the military have been agreed locally with the appropriate military units. Check that the procedures specify that the ATS unit will, as appropriate: • Inform the ATS unit serving the airspace in which the interception is taking place, • Provide this unit with relevant information • Relay messages as necessary	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of operational procedures (eg. logbooks, data recorded, occurrence reports, etc): • In case of interception	In a sample selected by the NSA amongst the cases of interceptions outside the ANSP in which the ANSP was concerned, check that: For all interceptions include in the sample: • Applicable procedures were followed • Actions were conducted at the ATS unit to address, as appropriate: o The information provided to the ATS unit serving the airspace in which the interception is taking place, o The relay of messages as necessary	
2.24.1 Chapter 2 Std.	***Time in air traffic services*** Air traffic services units shall use Coordinated Universal Time (UTC) and shall express the time in hours and minutes and, when required, seconds of the 24-hour day beginning at midnight.	Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Time measument in ATS	Check that UTC is defined in relevant operational documetnation as the means to express the time in all ATS units.	
2.24.2 Chapter 2 Std.	Air traffic services units shall be equipped with clocks indicating the time in hours, minutes and seconds, clearly visible from each operating position in the unit concerned.	Clocks used in ATS units	In a sample of operating positions selected by the NSA auditor check the existence of clocks clearly visible. Check that each clock in the sample shows the time in UTC and expresses the time in hours and minutes and, when required, seconds of the 24-hour day beginning at midnight. If appropriate, proceed to measure the accuracy of a specific clock or another time recording device within the sample.	(sampling unit = operating position in an ATS unit)
2.24.3 Chapter 2 Std.	Air traffic services unit clocks and other time-recording devices shall be checked as necessary to ensure correct time to within plus or minus 30 seconds of UTC. Wherever data link communications are utilized by an air traffic services unit, clocks and other time-recording devices shall be checked as necessary to ensure correct time to within 1 second of UTC.	Procedure for checking clocks and other time-recording devices	Check the existence of a procedure and: • If no data link communications are used by the ATS unit, check that the procedure is intended to ensure correct time within plus or minus 30 seconds of UTC • If data link communications are used by the ATS unit, check that the procedure is intended to ensure corect time to within 1 second of UTC.	The procedure could be part of the operational or/and technical documentation of the ATS unit.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records from checking clocks and other time-recording devices	Regarding the sample referred to in 2.24.2 above, check that the procedure is regularly conducted as appropriate to ensure the accuracy required for the type of communications used at the ATS unit.	See 2.24.2 above
2.24.4 Chapter 2 Std.	The correct time shall be obtained from a standard time station or, if not possible, from another unit which has obtained the correct time from such station.	Procedure for checking clocks and other time-recording devices	Check that the procedure includes the obtention of correct time from a proper source as required by the ICAO standard.	To be addressed normally in conjunction with 2.24.3.
		Records from checking clocks and other time-recording devices	Regarding the sample referred to in 2.24.2 above, check that the correct time was obtained from a proper source as required by the ICAO standard	See 2.24.2 above
2.24.5 Chapter 2 Std.	Aerodrome control towers shall, prior to an aircraft taxiing for take-off, provide the pilot with the correct time, unless arrangements have been made for the pilot to obtain it from other sources. Air traffic services units shall, in addition, provide aircraft with the correct time on request. Time checks shall be given to the nearest half minute.	Operational documentation (operational manuals and/or unit instructions) used by an ATC unit providing aerodrome control service	Check that the procedures used at the ATC unit to advise aircraft of information prior to taxiing for take-off include the provision of correct time.	
		Records documenting the implementation of operational procedures (including air-ground communications recorded)	Within a specific sample selected by the NSA auditor, review the application of the provision of correct time to aircraft taxiing for take-off	(sampling unit = situation requiring the provision of correct time to an aircraft taxiing for take-off as part of the aerodrome control service provided at an ATS unit)
2.25 Chapter 2 Std.	***Establishment of requirements for carriage and operation of pressure-altitude reporting transponders*** States shall establish requirements for carriage and operation of pressure-altitude reporting transponders within defined portions of airspace.	-	-	Applicable to the State(s), not to ANSPs

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.26.1 Chapter 2 Std.	***ATS safety management*** States shall implement systematic and appropriate ATS safety management programmes to ensure that safety is maintained in the provision of ATS within airspaces and at aerodromes.	Implementation of ESARR 3 and ESARR 4 requirements by service providers	Check the implementation of ESARR 3 and ESARR 4 by the ANSP. Specific checklists are provided in EAM 3 and EAM 4 deliverables.	ESARR 3 and 4 provide a regional approach to implement ATS safety management programmes in the ECAC region. EAM 3/ICAO & EAM 4/ICAO document the consistency between ICAO Annex 11 and the ESARR-related provisions To note that Section 2.26 requires the implementation of ATS safety management in the provision of ATS within airspaces and at aerodromes, irrespective of the size of the service provider. Therefore small AFIS operators cannot be excluded from the scope of this requirement unless differences are notified to ICAO.
2.26.2 Chapter 2 Std.	The acceptable level of safety and safety objectives applicable to the provision of ATS within airspaces and at aerodromes shall be established by the State or States concerned. When applicable, safety levels and safety objectives shall be established on the basis of regional air navigation agreements.	-	-	In the ESARR approach this aspect is only applicable to the State(s), not to ANSPs See also comments/notes in 2.26.1 above
2.26.3 Chapter 2 Std.	An ATS safety management programme shall, inter alia: a) identify actual and potential hazards and determine the need for remedial action; b) ensure that remedial action necessary to maintain an acceptable level of safety is implemented; and c) provide for continuous monitoring and regular assessment of the safety level achieved.	Implementation of ESARR 3 and ESARR 4 requirements by service providers	Check the mplementation of ESARR 3 and ESARR 4 by the ANSP. Specific checklists are provided in EAM 3 and EAM 4 deliverables.	See comments/notes in 2.26.1 above

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.26.4 Chapter 2 Std.	Any significant safety-related change to the ATC system, including the implementation of a reduced separation minimum or a new procedure, shall only be effected after a safety assessment has demonstrated that an acceptable level of safety will be met and users have been consulted. When appropriate, the responsible authority shall ensure that adequate provision is made for post-implementation monitoring to verify that the defined level of safety continues to be met.	Implementation of ESARR 3 and ESARR 4 requirements by service providers	Check the implementation of ESARR 3 and ESARR 4 by the ANSP. Specific checklists are provided in EAM 3 and EAM 4 deliverables.	See comments/notes in 2.26.1 above
2.27.1 Chapter 2 Std.	***Common reference system*** *Horizontal reference system* World Geodetic System – 1984 (WGS-84) shall be used as the horizontal (geodetic) reference system for air navigation. Reported aeronautical geographical coordinates (indicating latitude and longitude) shall be expressed in terms of the WGS-84 geodetic reference datum.	-	-	Basically applicable in relation to AIS functions
2.27.2 Chapter 2 Std.	*Vertical reference system* Mean sea level (MSL) datum, which gives the relationship of gravity-related height (elevation) to a surface known as the geoid, shall be used as the vertical reference system for air navigation.	-	-	Basically applicable in relation to AIS functions
2.27.3.1 Chapter 2 Std.	*Temporal reference system* The Gregorian calendar and Coordinated Universal Time (UTC) shall be used as the temporal reference system for air navigation.	-	-	Basically applicable in relation to AIS functions
2.27.3.2 Chapter 2 Std.	When a different temporal reference system is used, this shall be indicated in GEN 2.1.2 of the Aeronautical Information Publication (AIP)	-	-	Basically applicable in relation to AIS functions

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.28.1 Chapter 2 Std.	***Language proficiency*** An air traffic services provider shall ensure that air traffic controllers speak and understand the language(s) used for radiotelephony communications as specified in Annex 1.	Procedures/arrangements to assess the level of language(s) for ATCOs	Check that procedures/arangements are in place to assess the level of language(s) used for radiotelephony communications as per Annex 1 Check that the scope of these procedures/arrangements cover all the ATCOs providing ATC services in the ANSP. Check that the procedures/arrangements include: • The levels described in Annex 1(Level 1 to level 6) • Periodicity for assessment in accordance with Annex 1 • Responsibility for the assessment • A set of tests to assess the ATCOs (for both national language and English language) • A clear description of the objectives of the tests • A clear description of the objectives an ATCO has to meet during a test in order to be evaluated from Level 1 to Level 6 • A process in case ATCOs are evaluated below Level 4 (e.g. re-training, re-assessment)	
		Records documenting the implementation of procedures/arrangements to assess language proficiency	In a sample of ATC units operated by the ANSP, check assessment are regularly conducted in accordance with the procedures/arrangements established.	(sampling unit = ATC unit operated by the ANSP)
2.28.2 Chapter 2 Std.	Except when communications between air traffic control units are conducted in a mutually agreed language, the English language shall be used for such communications.	Operational documentation (operational manuals and/or unit instructions) regarding: • Language(s) used in operations	Review the operational documentation to check whether the language(s) to be used in ATC are explicitly identified. Check whether it is established that English is the language used for ATC communications, except for communications between ATC units if that has been mutually agreed.	
		Records documenting the implementation of operational procedures (eg. logbooks, data recorded, occurrence reports, etc)	Whenever records are reviewed in relation to other standards (e.g. communications recorded), check that ATC communications took place in English, except between ATC units wherever the use of a different language has been agreed.	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
2.29 Chapter 2 Std.	***Contingency arrangements*** Air traffic services authorities shall develop and promulgate contingency plans for implementation in the event of disruption, or potential disruption, of air traffic services and related supporting services in the airspace for which they are responsible for the provision of such services. Such contingency plans shall be developed with the assistance of ICAO as necessary, in close coordination with the air traffic services authorities responsible for the provision of services in adjacent portions of airspace and with airspace users concerned.	Contingency plans in place for all ATS services provided by an ANSP	Check the existence of contingency plans for all ATS services provided by the ANSP. They should normally follow the guidance included on the Attachment D of Annex 11	To note that there is a provision in the CRs requiring contingency plans for all ANSPs (ATS, CNS, MET and AIS) within a period of two years. The ICAO standard does not specify any period of time (it is in force)but it only refers to ATS.
3.1 Chapter 3 Std.	***CHAPTER 3. AIR TRAFFIC CONTROL SERVICE*** ***Application*** Air traffic control service shall be provided: a) to all IFR flights in airspace Classes A, B, C, D and E; b) to all VFR flights in airspace Classes B, C and D; c) to all special VFR flights; d) to all aerodrome traffic at controlled aerodromes.	Operational documentation (ATS manual/s and/or ATS units instructions): • Identification of airspace classes where ATC is provided • Identification of flights (IFR/VFR) to which ATC is provided • Airspaces where the ANSP is designated to provide ATC	Review the documentation to check whether the documentation shows a correspondence between the airspace class, the type of flight and the provision of ATC as specified in the ICAO standard. Check the correspondence between the identification included in the ANSP documentation and the designation made by the appropriate State(s) authority (see 2.5.1 above).	See 2.5.1 above

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.2 Chapter 3 Std.	***Provision of air traffic control service*** The parts of air traffic control service described in 2.3.1 shall be provided by the various units as follows: a) Area control service: 1) by an area control centre; or 2) by the unit providing approach control service in a control zone or in a control area of limited extent which is designated primarily for the provision of approach control service and where no area control centre is established. b) Approach control service: 1) by an aerodrome control tower or area control centre when it is necessary or desirable to combine under the responsibility of one unit the functions of the approach control service with those of the aerodrome control service or the area control service; 2) by an approach control unit when it is necessary or desirable to establish a separate unit. c) Aerodrome control service: by an aerodrome control tower.	Allocation to relevant units of the responsibilities for providing ATC, as included in the ANSP operational documentation (ATS operational manuals and/or ATS units instructions): • Identification of ATC services provided by the ANSP • List of ATC units operated by the ANSP	Review the documentation to check whether the responsibilities for the provision of ATC services are allocated as applicable to: • Area control centres • Units providing approach control service • Aerodrome control towers as specified in the ICAO standard.	To note that approach control service may be provided by a unit co-located with an ACC, or by an aerodrome control tower. To note that the tasks of providing specified services on the apron, e.g. apron management service, may be assigned to an aerodrome control tower or to a separate unit.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.3.1 Chapter 3 Std.	***Operation of air traffic control service*** In order to provide air traffic control service, an air traffic control unit shall: a) be provided with information on the intended movement of each aircraft, or variations therefrom, and with current information on the actual progress of each aircraft; b) determine from the information received, the relative positions of known aircraft to each other; c) issue clearances and information for the purpose of preventing collision between aircraft under its control and of expediting and maintaining an orderly flow of traffic; d) coordinate clearances as necessary with other units: 1) whenever an aircraft might otherwise conflict with traffic operated under the control of such other units; 2) before transferring control of an aircraft to such other units.	Operational documentation used by an ATC unit (operational manuals and/or unit instructions) regarding: • Information on movement of aircraft (presentation and updating of flight plan and control data; acceptance of flight plan; position reporting; etc) • Clearences and information issued by the unit • Separation applicable • Coordination of clearances with other units	Review the documentation to check that the unit: • Is provided with information on movement of aircraft, and determines from the information received the relative positions of known aircraft to each other. Tto that end specifically check the points included in 3.3.2. below. • Issue clearances and information as applicable. To that end specifically check the points included from 3.3.3 to 3.3.4.2 below. • Coordinate clearances as necessary with other units. To that end specifically check the points included in 3.7.4 below.	To note the need to verify the details related to various standards below to gain confidence about the accomplisment of these generic provisions.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.3.2 Chapter 3 Std.	Information on aircraft movements, together with a record of air traffic control clearances issued to such aircraft, shall be so displayed as to permit ready analysis in order to maintain an efficient flow of air traffic with adequate separation between aircraft.	Description of facilities for presentation and update of flight plan and control data	Check the technical and/or operational documentation describing the facilities for presentation and update of flight plan and control data used by an ATC unit. Check that, in accordance with that description, the facilities meet any applicable requirement established by an appropriate authority with regard to the presentation to controllers and subsequent updating of flight plan and control data for all flights and, in any case: • Present sufficient information and data to enable the ATCO to have a complete representation of the current air traffic situation within the controller's area of responsibility and, when relevant, movements on the manoeuvring area of aerodromes • Update the presentation in accordance with the progress of aircraft to facilitate timely detection and resolution of conflicts and provide a record of coordination with adjacent ATS units and control sectors • Provide an appropriate representation of the airspace configuration including significant points and information related to such points • Include relevant information from flight plans and position reports as well as clearance and coordination data. • Flight data and control data are presented through paper flight progress strips or by other electronic presentations forms or by a combination of presentation methods	The description could be contained in various technical and/or operational documentation used by the ANSP
		Means for presentation and update of flight plan and control data	Review a sample of working positions involved in the provision of ATC services in order to check the correspondence with the description of facilities for the presentation and update of flight plan and control data. More specifically check on-site that correspondence as regards the five bullets presented in the previous row.	At ATC units (sampling unit = working position involved in the provision of ATC within an unit operated by the ANSP)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Operational use of the presentation and update of flight plan and control data • Acceptance of flight plans • Position reporting • Other relevant aspects	Review the procedures and other arrangements established to check whether they establish that: • When flight progress strips (FPS) are used: o There should be at least one individual FPS for each flight, o The actions to annotate data and the types of data to be entered on FPS, including the use of symbols, are specified o Paper FPS are retained for a period of at least 30 days • Electronic flight progress and coordination data shall be recorded and retained for at least 30 days • An ATS unit being the first unit to receive a flight plan, or change thereto: o Checks it for compliance with the format and data conventions, for completeness and, to the extent possible, for accuracy o Takes action, if necessary, to make it acceptable to the ATS; and o Indicates acceptance of the flight plan or change thereto, to the originator • Wherever position reporting applies, if a position report is not received at the expected time subsequent control is not based on the assumption that the estimated time is accurate. In this situation immediate action is taken to obtain the report if it is likely to have any bearing on the control of other aircraft.	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of operational procedures including: • Flight progress strips • Electronic flight progress and coordination data • Other relevant records (including logbooks and communications recorded, etc)	In a sample of ATC operations selected by the NSA amongst the operations conducted at an ATC unit (the flights to which ATC was provided), check whether: • Where flight progress strips (FPS) are used: o There was should be at least one individual FPS for each flight, o The actions to annotate data and the types of data to be entered on FPS, including the use of symbols, conformed with the applicable proedures in place o Paper FPS are retained for a period of at least 30 days • Electronic flight progress and coordination data are recorded and retained for at least 30 days In a sample of situations selected by the NSA amonst the cases where the first unit to receive a flight plan, or change thereto, check whether: • The unit checked it for compliance with the format and data conventions, for completeness and, to the extent possible, for accuracy • The unit took action, if necessary, to make it acceptable to the ATS; and • The unit indicated acceptance of the flight plan or change thereto, to the originator Wherever applicable, review the ATC operations involving position reporting (check logbooks, air-ground communications, etc, as applicable) in order to identify cases in which position reports were not received at the expected time. If these situations are identified check whether: • Subsequent control was not based on the assumption that the estimated time was accurate • Immediate action was taken to obtain the report if it was likely to have any bearing on the control of other aircraft	(1st sample unit = flight to which ATC was provided by the unit) (2nd sample unit = situation where the unit was the first one to receive a flight plan or change thereto)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.3.3 Chapter 3 Std.	Clearances issued by air traffic control units shall provide separation: a) between all flights in airspace Classes A and B; b) between IFR flights in airspace Classes C, D and E; c) between IFR flights and VFR flights in airspace Class C; d) between IFR flights and special VFR flights; e) between special VFR flights when so prescribed by the appropriate ATS authority, except that, when requested by an aircraft and if so prescribed by the appropriate ATS authority for the cases listed under b) above in airspace Classes D and E, a flight may be cleared without separation being so provided in respect of a specific portion of the flight conducted in visual meteorological conditions.	Operational documentation used by an ATC unit (operational manuals and/or unit instructions) regarding: • Clearences issued by the unit in the airspaces where ATC is to be provided	Review the operational documentation to check whether it establishes that: • Clearances are issued in accordance with the specifications of this standard as applicable within the airspaces where ATC is provided by the unit • No clearances are given to execute any manouvre that would reduce the spacing between two aircraft to less than the separation minimum applicable in the circumstances • When requested by an aircraft and agreed by the pilot of the other aircraft and authorized by the appropriate ATS authority, the unit may clear a controlled flight operating in airspace Classes D and E in visual meteorological conditions during the daylight hours to fly subject to maintaining own separation to one other aircraft and remaining in visual meteorological conditions, if the following conditions apply: o The clearance is for a specified portion of the flight at or below 3 050 m (10 000 ft), during climb or descent and subject to further restrictions as and when prescribed on the basis of regional air navigation agreements; o If there is a possibility that flight under visual meteorological conditions may become impracticable, an IFR flight is provided with alternative instructions to be complied with in the event that flight in visual meteorological conditions (VMC) cannot be maintained for the term of the clearance; o The pilot of an IFR flight, on observing that conditions are deteriorating and considering that operation in VMC will become impossible, shall inform ATC before In addition, check the evidences related to air traffic control clearances (sections 3.7 to 3.7.4.4 below) with regard to the provisions established in the operational documentation and its effective implementation.	To note that the conditions referred to in relation to airspace classes D and E have been taken from ICAO Document 4444, Section 5.9. See also 3.7 to 3.7.4.4 below

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.3.4 Chapter 3 Std.	Separation by an air traffic control unit shall be obtained by at least one of the following: a) vertical separation, obtained by assigning different levels selected from: 1) the appropriate table of cruising levels in Appendix 3 of Annex 2, or 2) a modified table of cruising levels, when so prescribed in accordance with Appendix 3 of Annex 2 for flight above FL 410, except that the correlation of levels to track as prescribed therein shall not apply whenever otherwise indicated in appropriate aeronautical information publications or air traffic control clearances; b) horizontal separation, obtained by providing: 1) longitudinal separation, by maintaining an interval between aircraft operating along the same, converging or reciprocal tracks, expressed in time or distance; or 2) lateral separation, by maintaining aircraft on different routes or in different geographical areas; c) composite separation, consisting of a combination of vertical separation and one of the other forms of separation contained in b) above, using minima for each which may be lower than, but not less than half of, those used for each of the combined elements when applied individually. Composite separation shall only be applied on the basis of regional air navigation agreements.	Operational documentation used by an ATC unit (operational manuals and/or unit instructions) regarding: • Methods to obtain the separation applicable in the airspaces where ATC is to be provided	Review the operational documentation to check that the it has been established that the unit: • Obtains separation (vertical, horizontal and composite) obtained through the methods described in the the points a), b) and c) of the standard. In addition, check the evidences related to separation minima (section 3.4.1 below) in relation to what the operational documentation establishes and its effective implementation	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.3.4.1 Chapter 3 Std.	For all airspace where a reduced vertical separation minimum of 300 m (1000 ft) is applied between FL 290 and FL 410 inclusive, a programme shall be instituted, on a regional basis, for monitoring the height-keeping performance of aircraft operating at these levels, in order to ensure that the implementation and continued application of this vertical separation minimum meets the safety objectives. The coverage of the height-monitoring facilities provided under this programme shall be adequate to permit monitoring of the relevant aircraft types of all operators that operate in RVSM airspace.	Existence of a monitoring programme if RVSM is applicable in the airspace where ATC is to be provided by the ANSP: • General information about the programme • Specific information about monitoring operations in the relevant airspace • ANSP arrangements in relation to the RVSM monitoring activity (including ESARR 3 safety monitoring implementation aspects)	Obtain information from the ANSP or other appropriate entity to show the existence of a regional monitoring programme covering the RVSM airspace where the ANSP is to provide ATC Check the existence of sufficient arrangements between the ANSP and the regional programme to ensure an appropriate consideration of the monitoring activity in the provision of ATC services. More specifically: • Appropriate responsibilities are defined in the ANSP to receive and assess the information produced by the monitoring programme • Appropriate corrective actions are defined and implemented wherever needed • These responsibilities and actions are clerarly linked with the safety management system of the ANSP and, accordingly, operate in the framework of the implementation of the “safety monitoring” requirement of ESARR 3 (transposed in the CRs)	To note that the monitoring programme may not be operated by the ANSP. However, the programme should exist to allow the ANSP operations in airspace where RVSM applies. Although the programme may not be managed by the ANSP, the results of this activity should be reflected in the ANSP operations ESARR 3 Section 5.3.2 (safety monitoring) states that, within the opeation of its SMS the ANSP shall ensure that methods are in place to detect changes in systems or operations which may suggest any element is approaching a point at which acceptable standards of safety can no longer be met, and that corrective action is taken.
		Records showing the implementation of the ANSP arrangements established in relation to the RVSM monitoring activity	Review the application of the ANSP arrangements in relation to information obtained from the monitoring programme. More specifically, in a sample selected by the NSA amongst the reports forwarded to the ANSP by the programme, check that: • Appropriate consideration was given to all the cases for which vertical separation was below minima, including the definition and implementation of relevant corrective actions	(sampling unit = report of monitoring activity covering a period of time and potentially including cases where separation below minima was detected)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.3.4.2 Chapter 3 Std.	Arrangements shall be put in place, through international agreement, for the sharing between regions of data from monitoring programmes.	Existence of a monitoring programme if RVSM is applicable in the airspace where ATC is to be provided by the ANSP: • Information about arrangements to share information with other regions • ANSP arrangements in relation to the monitoring activity	Obtain information from the ANSP or other appropriate entity to show the existence of appropriate arrangements fo the sharing of information between regions Check that the ANSP arrangements established in relation to the regional programme facilitate the sharing of information between regions wherever the ANSP has a role to play in that aspect	To note that the monitoring programme may not be operated by the ANSP. However, the programme should exist to allow the ANSP operations in airspace where RVSM applies Although the programme may not be managed by the ANSP, the results of this activity should be reflected in the ANSP operations

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.4.1 Chapter 3 Std.	***Separation minima*** The selection of separation minima for application within a given portion of airspace shall be as follows: a) the separation minima shall be selected from those prescribed by the provisions of the PANS-ATM and the Regional Supplementary Procedures as applicable under the prevailing circumstances except that, where types of aids are used or circumstances prevail which are not covered by current ICAO provisions, other separation minima shall be established as necessary by: 1) the appropriate ATS authority, following consultation with operators, for routes or portions of routes contained within the sovereign airspace of a State; 2) regional air navigation agreements for routes or portions of routes contained within airspace over the high seas or over areas of undetermined sovereignty. b) the selection of separation minima shall be made in consultation between the appropriate ATS authorities responsible for the provision of air traffic services in neighbouring airspace when: 1) traffic will pass from one into the other of the neighbouring airspaces; 2) routes are closer to the common boundary of the neighbouring airspaces than the separation minima applicable in the circumstances.	Operational documentation (operational manuals and/or unit instructions) regarding: • Specification of separation methods and minima • References to the provisions on which the minima are based (Doc 4444 and/or 7030; decision of the appropriate ATS authority; regional air navigation agreement; etc)	Check that the operational documentation defines the separation minima to be applied in the airspace where the ANSP is to provide ATC Check that the documentation establishes separation minima which are in accordance with PANS-ATM (Doc 4444) and the Regional Supplementary Procedures (Doc 7030) with regard to those separations relevant to the ATC services provided by the ANSP. This may need to include: • Vertical separation • Horizontal separation • Separation of aircraft holding in flight • Minimum separation between aircraft • Separation of departing aircraft from arriving aircraft • Separation for approaches to parallel runways • Separation for aerodrome control service • Separation applicable to the use of radar Wherever the separation minima defined is not selected from those prescribed by ICAO, check that they correspond minima defined by: • The appropriate ATS authority after appropriate consultation (check the records of consultation as proposed in the next row, if applicable) • Regional air navigation agreements (for airspace over high seas or area of undetermined soverignty)	To note that in PANS-ATM (Doc 4444): • Chapter 5 contains non-radar separation minima for use in the en-route phase as well as the arrival and departure phases of flight. • Chapter 6 contains separation minima applicable to approaches to parallel runways • Chapter 7 contains separation minima applicable in the provision of aerodrome control service • Chapter 8 contains separation minima applicable to the use of radar In practical terms, “appropriate ATS authority” means the ANSP designated to provide ATS. In that regard see Annex 11, Section 2.1.3 as well as the definition included in Annex 11 Chapter 1 (the relevant authority designated by the State responsible for providing ATS in the airspace concerned)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Operational documentation used by ATC units (operational manuals and/or unit instructions) regarding: • Procedures related to clearances and separation minima	Check that the procedures used by an ATC unit meet the following principles: • No clearance is to be given to execute any manouvre that would reduce the spacing between two aircraft to less than the separation minima applicable in the circumstances. • Larger separations than the specified minima should apply whenever exceptional circunstances such as unlawful interfence or navigational difficulties call for extra precaution, with due regard to all relevant factors • Where the type of separation or minimum used to separate two aircraft cannot be maintained, another type of separation or another minimum is established prior to the time when the separation minimum would be infringed	
		Records from consultation with operators with regard to separation minima for routes within the sovereign airspace of a State: • Communications held with operators and minutes of meetings held if any • Collation of comments received, and decisions as regards comments received	Check that wherever separation minima are defined wthout conforming with ICAO materials, records exist to demonstrate that consultation with operators took place If necessary take a sample of situations where such type of separation minima was established, and check that the operators feedback was suffciently addressed for all units in the sample If necessary cross-check the information with records obtained from the operators concerned	In practical terms “appropriate ATS authority” means the ANSP designated to provide ATS. (sampling unit = separation minima defined by the ANSP which do not conform with ICAO materials)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records of consultation with other ANSPs with regard to separation minima for routes affecting neighbouring airspaces: • Communications held with ANSPs concerned and minutes of meetings held (if any) • Collation of comments received and decisions as regards comments received	Check that wherever separation minima relate to routes affecting neighbouring airspaces, records exist to demonstrate that consultation with ATS providers concerned took place. If necessary take a sample of such situations and check that the feedback provided by other ATS providers concerned was sufficiently addressed for all the situations in the sample If necessary cross-check the information with records obtained from the other ANSPs concerned	In practical terms "appropriate ATS authority" means the ANSP designated to provide ATS. (sampling unit = separation minima defined for a route affecting a neighbouring airspace) To note that "affecting neighbouring airspaces" should be interpreted in line with bullets b) 1 and 2 in the standard.
		Records documenting the implementation of separation minima by the ANSP (including logbooks, radar data recorded, ground-ground communications recorded, etc)	Review the application of procedures in a specific sample of cases selected by the NSA. More specifically, in relation to the sample selected: • Check that the actions taken by the ATC unit in relation to the provision of separation conformed with the arrangements established with regard to separation minima for all the situations included in the sample	(sampling unit = situation in which the ANSP provided separation between aircraft through its ATC services)
3.4.2 Chapter 3 Std.	Details of the selected separation minima and of their areas of application shall be notified: a) to the ATS units concerned; and b) to pilots and operators through aeronautical information publications, where separation is based on the use by aircraft of specified navigation aids or specified navigation techniques.	Operational documentation (operational manuals and/or unit instructions) or other relevant documents regarding: • Working methods to notification of selected separation minima to interested parties (ATS units, pilots/operators, AIS) • Coordination arrangements with AIS	Check that the working methods documented by the ANSP establish that selected separation minima: • Are notified to the ATS units concerned: o Within the area of responsibility of the ATC unit which provides these separations o In the adjacent sectors • To pilots/operators through AIP if the separation is based on the use by aircraft of specified navigation aids or specified techniques More specifically, check that the responsibility for those notifications is clearly allocated within the ANSP (at unit or central level)	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records of the implementation fo working methods as regards separation minima: • Notifications of the separation minima selected by the ANSP to interested parties	Within a sample selected by the NSA amongst the separation minima used by the ANSP in the airspaces where it provides ATC services, check that: For all the separation minima included in the sample selected: • The minimum used by the ANSP has been formally communicated to all ATS units concerned within the geographical area in which the ANSP uses that minima • It has also been communicated to the ATS units operating in the adjacent sectors • It was communicated to AIS for publication if the separation is based on the use by aircraft of specified navigation aids or specified techniques Cross-check the information with records obtained from other interested parties	(sampling unit = separation minima used by the ANSP where it provides ATC)
3.5.1 Chapter 3 Std.	***Responsibility for control*** *Responsibility for control of individual flights* A controlled flight shall be under the control of only one air traffic control unit at any given time.	Operational documentation (operational manuals and/or unit instructions) or other relevant documents regarding: • Responsibilities for control of flights in the units	Check that the documentation makes clear this principle to everybody (at organisation and unit level) Check all the points included in the standards 3.5.2 to 3.6.2.5 to evaluate whether this basic principle is really implemented	See 3.5.2 to 3.6.2.5 below
3.5.2 Chapter 3 Std.	Responsibility for control within a given block of airspace Responsibility for the control of all aircraft operating within a given block of airspace shall be vested in a single air traffic control unit. However, control of an aircraft or groups of aircraft may be delegated to other air traffic control units provided that coordination between all air traffic control units concerned is assured.	Operational documentation in an ATC unit (manual/s or unit instructions) regarding: • Responsibilities for control of flights in the unit • Duties and responsibilities of working positions • Delegation of control to other units • Coordination between units (letters of agreement, etc)	In a sample of ATC units selected by the NSA amongst the ATC units operated by the ANSP check that: For all the ATC units included in the sample: • The unit's area of responsibility for ATC is clearly identified and documented • The duties and responsibilities of the ATC working positions are clearly identified and documented • These responsibilties and duties are known by the air traffic controllers of the unit (check that the documentation is available to them)	(sampling unit = ATC unit operated by the ANSP)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Letters of agreement at a unit wherever delegation of ATC to other units is arranged	In a sample of ATC units selected by the NSA amongst the ATC units operated by the ANSP check that: • For each situation in which delegation of control to other ATC units takes place, coordination by means of a letter of agreement in force • The contents of these letters of agreement (verify only a sample of the existing letters if that provides enough level of confidence) specify: o The situations and conditions under which the delegation is effective (e.g. time, position, communication required between units, etc) o With enough arrangements to prevent situations in which a controlled flight is not under the control of only one ATC unit at a given time • If appropriate cross-check these contents with information obtained from the other units concerned.	(sampling unit = ATC unit operated by the ANSP) To note that it would make sense to use the sample sample considered in the previous row (2nd sampling unit = letter of agreement establishing arrangements for delegation of ATC to another unit)
		Records showing the implementation of delegation arrangements including: • Ground-ground communications recorded • Flight progress strips and/or electronic flight progress and coordination data • Other relevant records (including logbooks and air-ground communications recorded, etc)	In a sample selected by the NSA amongst cases where delegation of ATC to other units took place in an ATC unit, check that: For all cases of delegation included in the sample: • The actions taken in the unit conformed to all the arrangements specified in the relevant letter of agreement established between both units • No controlled flight was under the control of more than one unit at a given time If appropriate cross-check the information with records obtained from the other units concerned.	(sampling unit = situation in which an unit delegated the provision of ATC to another unit following the arrangements established in a letter of agreement)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.6.1.1 Chapter 3 Std.	Transfer of responsibility for control Place or time of transfer The responsibility for the control of an aircraft shall be transferred from one air traffic control unit to another as follows: Between two units providing area control service. The responsibility for the control of an aircraft shall be transferred from a unit providing area control service in a control area to the unit providing area control service in an adjacent control area at the time of crossing the common control area boundary as estimated by the area control centre having control of the aircraft or at such other point or time as has been agreed between the two units.	Operational documentation specifically applicable in an ATC unit (letters of agreement or unit instructions) • For transfer between two units providing area control service wherever applicable	In a unit where this type of transfer applies, the relevant documentation (letter of agreement of unit instruction) specifies that the transfer of responsibility for control: • Takes place at the time of crossing the common control area boundary as estimated by the unit having control of the aircraft • Or as specifically agreed between the two units (in terms of a point, time or level)	
		Records showing the implementation of transfer procedures including: • Ground-ground communications recorded • Flight progress strips and/or electronic flight progress and coordination data (including radar or ADS data recorded if applicable) • Other relevant records (including logbooks and air-ground communications recorded, etc)	In a sample selected by the NSA amongst the situations where a transfer of responsibility took place between area control and area control, check that: For all cases included in the sample: • The actions taken in the unit conformed to all the arrangements specified in the relevant letter of agreement or instructions • In particular: o Transfer took time at the common control area boundary as estimated by the unit having control, or at a point, time or level agreed in accordance with the letter of agreement or relevant instructions o No controlled flight was under the control of more than one unit at a given time • The coordination of transfer was done in accordance with 3.6.2.2, 3.6.2.2.1, 3.6.2.2.2 and 3.6.2.3 (check that the actions required by these standards were implemented as applicable): o The transferring unit communicated appropriate parts of the flight plan and any control information pertinent o If radar data was used, the control information included information as requried in 3.6.2.2.1 o If ADS data was used, the control information included information as required in 3.6.2.2.2 o The accepting unit indicated its ability to accept control of the aircraft on the terms specified by the transferring control unit unless otherwise agreed (see 3.6.2.3); o The accepting unit specified and/or notifies the information required in 3.6.2.3 and 3.6.2.4 as applicable If appropriate cross-check the information with records obtained from the other units concerned.	(sampling unit = situation in which transfer takes place from area control to area control in an ATC unit operated by the ANSP) To note that this sample is proposed to check the effective implementation of the procedures for coordination of transfer required from 3.6.2 on, in the case of transfer between area control and area control

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.6.1.2 Chapter 3 Std.	Between a unit providing area control service and a unit providing approach control service. The responsibility for the control of an aircraft shall be transferred from a unit providing area control service to a unit providing approach control service, and vice versa, at a point or time agreed between the two units.	Operational documentation specifically applicable in an ATC unit (letters of agreement or unit instructions) • For transfer between area control and approach control wherever applicable	In a unit where this type of transfer applies, the relevant documentation (letter of agreement or unit instruction) specifies that the transfer of responsibility for control takes place: • As specifically agreed between the two units (in terms of a point, time or level) • Keeping the responsibility for controlled flights in the unit providing area control service(ACC) except for the control of: o Arriving aircraft that have been released to the approach control unit by the the ACC o Departing aircraft until such aircraft are released to the ACC	Wherever area control and approach control are not provided by the same ATC unit

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the implementation of transfer procedures including: • Ground-ground communications recorded • Flight progress strips and/or electronic flight progress and coordination data (including radar or ADS data recorded if applicable) • Other relevant records (including logbooks and air-ground communications recorded, etc)	In a sample of situations selected by the NSA amongst the situations where a transfer of responsibility took place between area control and approach control, check that: For all cases included in the sample: • The actions taken in the unit conformed to all the arrangements specified in the relevant letter of agreement or instructions • In particular: o Transfer took time at a point, time or level agreed in accordance with the letter of agreement or relevant instructions o No controlled flight was under the control of more than one unit at a given time o Responsibility for control in the approach unit was confined to arriving and departing aircraft • The coordination of transfer was done in accordance with 3.6.2.2, 3.6.2.2.1, 3.6.2.2.2 and 3.6.2.3 (check that the actions required by these standards were implemented as applicable): o The transferring unit communicated appropriate parts of the flight plan and any control information pertinent o If radar data was used, the control information included information as requried in 3.6.2.2.1 o If ADS data was used, the control information included information as required in 3.6.2.2.2 o The accepting unit indicated its ability to accept control of the aircraft on the terms specified by the transferring control unit unless otherwise agreed (see 3.6.2.3); o The accepting unit specified and/or notifies the information required in 3.6.2.3 and 3.6.2.4 as applicable If appropriate cross-check the information with records obtained from the other units concerned.	Wherever area control and approach control are not provided by the same ATC unit (sampling unit = situation in which transfer takes place between area control and approach control in an ATC unit operated by the ANSP) To note that this sample is also proposed to check the effective implementation of the procedures for coordination of transfer required from 3.6.2 on in the case of transfer between area control and approach control

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.6.1.3.1 Chapter 3 Std.	Between a unit providing approach control service and an aerodrome control tower Arriving aircraft. The responsibility for the control of an arriving aircraft shall be transferred from the unit providing approach control service to the aerodrome control tower, when the aircraft: a) is in the vicinity of the aerodrome, and: 1) it is considered that approach and landing will be completed in visual reference to the ground, or 2) it has reached uninterrupted visual meteorological conditions, or b) is at a prescribed point or level, as specified in letters of agreement or ATS unit instructions; or c) has landed.	Operational documentation specifically applicable in an ATC unit (letters of agreement or unit instructions) • For transfer between aerodrome control and approach control wherever applicable	In a unit where this type of transfer applies, the relevant documentation (letter of agreement or unit instruction) specifies that the transfer of responsibility for control takes place: • From the approach control unit to the aerodrome control unit • When the aircraft: o Is in the vicinity of the aerodrome and: ▪ it is considered that approach and landing will be completed in visual reference to the ground, or ▪ it has reached uninterrupted visual meteorological conditions, or o Is at a prescribed point or level, as specified in letters of agreement or ATS unit instructions; or o Has landed. • Involving a transfer of communications to the aerodrome controller at such point, level or time that clearance to land or alternative instructions, as well as information on essential local traffic, can be issued in a timely manner	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the implementation of transfer procedures including: • Ground-ground communications recorded • Flight progress strips and/or electronic flight progress and coordination data (including radar or ADS data recorded if applicable) • Other relevant records (including logbooks and air-ground communications recorded, etc)	In a sample selected by the NSA amongst the situations where a transfer of responsibility took place between approach control and aerodrome control, check that: For all cases included in the sample: • The actions taken in the unit conformed to the arrangements of the relevant letter of agreement or instructions. In particular: o The transfer took place in one of the situations described in the standard o No controlled flight was under the control of more than one unit at a given time o Transfer of communications to the aerodrome controller was effected at such point, level or time that clearance to land or alternative instructions, as well as information on essential local traffic, could be issued in a timely manner • The coordination of transfer was done in accordance with 3.6.2.2, 3.6.2.2.1, 3.6.2.2.2 and 3.6.2.3 (check that the actions required by these standards were implemented as applicable) o The transferring unit communicated appropriate parts of the flight plan and any control information pertinent o If radar data was used, the control information included information as requried in 3.6.2.2.1 o If ADS data was used, the control information included information as required in 3.6.2.2.2 o The accepting unit indicated its ability to accept control of the aircraft on the terms specified by the transferring control unit unless otherwise agreed (see 3.6.2.3); o The accepting unit specified and/or notifies the information required in 3.6.2.3 and 3.6.2.4 as applicable If appropriate cross-check the information with records obtained from the other units concerned.	(sampling unit = situation in which transfer takes place from approach control and aerodrome control in an ATC unit operated by the ANSP) To note that this sample is also proposed to check the effective implementation of the procedures for coordination of transfer required from 3.6.2 on in the case of transfer between approach control and aerodrome control

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.6.1.3.2 Chapter 3 Std.	Departing aircraft. The responsibility for control of a departing aircraft shall be transferred from the aerodrome control tower to the unit providing approach control service: a) When visual meteorological conditions prevail in the vicinity of the aerodrome: 1) prior to the time the aircraft leaves the vicinity of the aerodrome, or 2) prior to the aircraft entering instrument meteorological conditions, or 3) at a prescribed point or level, as specified in letters of agreement or ATS unit instructions; b) When instrument meteorological conditions prevail at the aerodrome: 1) immediately after the aircraft is airborne, or 2) at a prescribed point or level, as specified in letters of agreement or ATS unit instructions.	Operational documentation specifically applicable in an ATC unit (letters of agreement or unit instructions): • For transfer between aerodrome control and approach control wherever applicable	In a unit where this type of transfer applies, the relevant documentation (letter of agreement or unit instruction) specifies that the transfer of responsibility for control takes place: • When visual meteorological conditions prevail in the vicinity of the aerodrome: o Prior to the time the aircraft leaves the vicinity of the aerodrome, or o Prior to the aircraft entering instrument meteorological conditions, or o At a prescribed point or level, as specified in letters of agreement or ATS unit instructions; • When instrument meteorological conditions prevail at the aerodrome: o Immediately after the aircraft is airborne, or o At a prescribed point or level, as specified in letters of agreement or ATS unit instructions.	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the implementation of transfer procedures including: • Ground-ground communications recorded • Flight progress strips and/or electronic flight progress and coordination data (including radar or ADS data recorded if applicable) • Other relevant records (including logbooks and air-ground communications recorded, etc)	In a sample selected by the NSA amongst the situations where a transfer of responsibility took place between aerodrome control and approach control, check that: For all cases included in the sample • The actions taken in the unit conformed to all the arrangements specified in the relevant letter of agreement or instructions. In particular: o The transfer took place in one of the situations described in the standard: o No controlled flight was under the control of more than one unit at a given time o Transfer was conducted as required for the meteorological conditions applicable to the situation • The coordination of transfer was done in accordance with 3.6.2.2, 3.6.2.2.1, 3.6.2.2.2 and 3.6.2.3 (check that the actions required by these standards were implemented as applicable) o The transferring unit communicated appropriate parts of the flight plan and any control information pertinent o If radar data was used, the control information included information as requried in 3.6.2.2.1 o If ADS data was used, the control information included information as required in 3.6.2.2.2 o The accepting unit indicated its ability to accept control of the aircraft on the terms specified by the transferring control unit unless otherwise agreed (see 3.6.2.3); o The accepting unit specified and/or notifies the information required in 3.6.2.3 and 3.6.2.4 as applicable If appropriate cross-check the information with records obtained from the other units concerned.	(sampling unit = situation in which transfer takes place from aerodrome control and approach control in an ATC unit operated by the ANSP) To note that this sample is also proposed to check the effective implementation of the procedures for coordination of transfer required from 3.6.2 on in the case of transfer between aerodrome control and approach control

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.6.1.4 Chapter 3 Std.	Between control sectors/positions within the same air traffic control unit The responsibility for control of an aircraft shall be transferred from one control sector/position to another control sector/ position within the same air traffic control unit at a point, level or time, as specified in ATS unit instructions.	Operational documentation specifically applicable in an ATC unit (unit instructions): • For transfer between sectors/positions within the same unit)	Check that the procedures for transfer of responsibility for control is documented in unit instructions. Check that the unit instruction specifies the conditions under which the transfer takes place (at a point, level or time)	
		Records showing the implementation of transfer procedures including: • Ground-ground communications recorded • Flight progress strips and/or electronic flight progress and coordination data • Other relevant records (including logbooks and air-ground communications recorded, etc)	In a sample selected by the NSA amongst the situations where transfer of responsibilities took place between two control sectors/positions within the same unit check that: For all the cases included in the sample: • The actions taken conformed with the specifications of the relevant unit instruction • No controlled flight was under the control of more than one unit at a given time	
3.6.2.1 Chapter 3 Std.	Coordination of transfer Responsibility for control of an aircraft shall not be transferred from one air traffic control unit to another without the consent of the accepting control unit, which shall be obtained in accordance with 3.6.2.2, 3.6.2.2.1, 3.6.2.2.2 and 3.6.2.3.	Operational documentation specifically applicable in an ATC unit (unit instructions and/or letters of agreement) regarding: • Procedures for coordination of transfer in an ATC unit (need for acceptance)	Check that the operational documentation (unit instructions and local instructions) of an ATC unit establishes the need for consent from the accepting control unit in these procedures Check also 3.6.2.5 below (in relation to the need to document the procedures for coordination of transfer in instructions or letters of agreement)	To note that 3.6.2.5 below requires that procedures for coordination of transfer are formalised in instructions or letters of agreement PANS-ATM Chapter 10 includes detailed provisions about the procedures that should normally be applied for the coordination of transfer between ATC units

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the implementation of procedures for coordination of transfer (see evidences related to effective implementation of 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2)	Check the effective implementation of the procedures for coordination of transfer when reviewing the samples proposed above in relation to 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2 (as applicable depending on the type of ATC service provided)	Specific points regarding the coordination of transfer were already included in relation to the evidences regarding the transfer of responsibility
3.6.2.2 Chapter 3 Std.	The transferring control unit shall communicate to the accepting control unit the appropriate parts of the current flight plan and any control information pertinent to the transfer requested.	Operational documentation specifically applicable in an ATC unit (unit instructions and/or letters of agreement) regarding: • Procedures for coordination of transfer in an ATC unit (actions by the transferring unit)	Check that the procedures for coordination of transfer (specified in instructions and/or letter of agreement) establish that: • The transferring unit communicates the appropriate parts of the current flight plan and any control information pertinent	PANS-ATM Chapter 10 includes detailed provisions about the procedures that should normally be applied for the coordination of transfer between ATC units
		Records showing the implementation of procedures for coordination of transfer (see evidences related to effective implementation of 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2)	Check the effective implementation of the procedures for coordination of transfer when reviewing the samples proposed above in relation to 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2 (as applicable depending on the type of ATC service provided by the ANSP)	Specific points regarding the coordination of transfer were already included in relation to the evidences regarding the transfer of responsibility
3.6.2.2.1 Chapter 3 Std.	Where transfer of control is to be effected using radar data, the control information pertinent to the transfer shall include information regarding the position and, if required, the track and speed of the aircraft, as observed by radar immediately prior to the transfer.	Operational documentation specifically applicable in an ATC unit (unit instructions and/or letters of agreement) regarding: • Procedures for coordination of transfer in an ATC unit (if radar data is used)	Where transfer of control is effected using radar data: Check that the procedures for coordination of transfer (specified in instructions and/or letter of agreement) establish that: • The control information pertinent to the transfer includes: o Information regarding the position and, o If required, the track and speed of the aircraft, as observed by radar immediately prior to the transfer	PANS-ATM Chapter 10 includes detailed provisions about the procedures that should normally be applied for the coordination of transfer between ATC units

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the implementation of procedures for coordination of transfer (see evidences related to effective implementation of 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2)	Check the effective implementation of the procedures for coordination of transfer when reviewing the samples proposed above in relation to 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2 (as applicable depending on the type of ATC service provided by the ANSP)	Specific points regarding the coordination of transfer were already included in relation to the evidences regarding the transfer of responsibility
3.6.2.2.2 Chapter 3 Std.	Where transfer of control is to be effected using ADS data, the control information pertinent to the transfer shall include the four-dimensional position and other information as necessary.	Operational documentation specifically applicable in an ATC unit (unit instructions and/or letters of agreement) regarding: • Procedures for coordination of transfer in an ATC unit (if ADS data is used)	Where transfer of control is effected using ADS data: Check that the procedures for coordination of transfer (specified in instructions and/or letter of agreement) establish that: • The control information pertinent to the transfer includes The four dimensional position and other information as necessary	PANS-ATM Chapter 10 includes detailed provisions about the procedures that should normally be applied for the coordination of transfer between ATC units
		Records showing the implementation of procedures for coordination of transfer (see evidences related to effective implementation of 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2)	Check the effective implementation of the procedures for coordination of transfer when reviewing the samples proposed above in relation to 3.6.1.1, 3.6.1..2, 3.6.1.3.1 and 3.6.1.3.2 (as applicable depending on the type of ATC service provided by the ANSP)	Specific points regarding the coordination of transfer were already included in relation to the evidences regarding the transfer of responsibility
3.6.2.3 Chapter 3 Std.	The accepting control unit shall: a) indicate its ability to accept control of the aircraft on the terms specified by the transferring control unit, unless by prior agreement between the two units concerned, the absence of any such indication is understood to signify acceptance of the terms specified, or indicate any necessary changes thereto; and b) specify any other information or clearance for a subsequent portion of the flight, which it requires the aircraft to have at the time of transfer.	Operational documentation specifically applicable in an ATC unit (unit instructions and/or letters of agreement) regarding: • Procedures for coordination of transfer in an ATC unit (acctions by the accepting unit)	Check that the procedures for coordination of transfer (specified in instructions and/or letter of agreement) establish that: • The accepting control unit indicates its ability to accept control of the aircraft on the terms specified by the transferring control unit, unless by prior agreement between the two units concerned, the absence of any such indication is understood to signify acceptance of the terms specified, or indicate any necessary changes thereto; and • The accepting control unit specifies any other information or clearance for a subsequent portion of the flight, which it requires the aircraft to have at the time of transfer.	PANS-ATM Chapter 10 includes detailed provisions about the procedures that should normally be applied for the coordination of transfer between ATC units

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the implementation of procedures for coordination of transfer (see evidences related to effective implementation of 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2)	Check the effective implementation of the procedures for coordination of transfer when reviewing the samples proposed above in relation to 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2 (as applicable depending on the type of ATC service provided by the ANSP)	Specific points regarding the coordination of transfer were already included in relation to the evidences regarding the transfer of responsibility
3.6.2.4 Chapter 3 Std.	The accepting control unit shall notify the transferring control unit when it has established two-way voice and/ or data link communications with and assumed control of the aircraft concerned, unless otherwise specified by agreement between the two control units concerned.	Operational documentation specifically applicable in an ATC unit (unit instructions and/or letters of agreement) regarding: • Procedures for coordination of transfer in an ATC unit	Check that the procedures for coordination of transfer (specified in instructions and/or letter of agreement) establish that: • The accepting unit notifies the transferring unit when it has established two-way voice and/ or data link communications with and assumed control of the aircraft concerned, unless otherwise specified by agreement between the two control units concerned.	PANS-ATM Chapter 10 includes detailed provisions about the procedures that should normally be applied for the coordination of transfer between ATC units
		Records showing the implementation of procedures for coordination of transfer (see evidences related to effective implementation of 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2)	Check the effective implementation of the procedures for coordination of transfer when reviewing the samples proposed above in relation to 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2 (as applicable depending on the type of ATC service provided by the ANSP)	Specific points regarding the coordination of transfer were already included in relation to the evidences regarding the transfer of responsibility

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.6.2.5 Chapter 3 Std.	Applicable coordination procedures, including transfer of control points, shall be specified in letters of agreement and ATS unit instructions as appropriate.	Operational documentation specifically applicable in an ATC unit (unit instructions and/or letters of agreement) regarding: • Procedures for coordination of transfer in an ATC unit (existence of formalised documentation)	Check that the operational documentation in the form of unit instructions and/or letters of agreement exist at an ATC unit to specify the procedures for coordination of transfer. Check that these procedures: • Cover all the transfers to other units that take place at the ATC unit • Include the following as relevant: o Procedures for the exchange of flight plan and control data, including the use of automated and/or verbal coordination messages o Means of communication o Requirements and procedures for approval requests o Conditions applicable to the transfer and acceptance of control (specified altitudes, levels, separation minima, etc) o Applicable contingency procedures o Any other provision or information relevant to the coordination and transfer of control of flight • Cover all the actions required by the standards 3.6.2.1, 3.6.2.2, 3.6.2.2.1, 3.6.2.2.2, 3.6.2.3 and 3.6.2.4 as applicable	PANS-ATM Chapter 10 includes detailed provisions about the procedures that should normally be applied for the coordination of transfer between ATC units
		Records showing the implementation of procedures for coordination of transfer (see evidences related to effective implementation of 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2)	Check the effective implementation of the procedures for coordination of transfer when reviewing the samples proposed above in relation to 3.6.1.1, 3.6.1.2, 3.6.1.3.1 and 3.6.1.3.2 (as applicable depending on the type of ATC service provided by the ANSP)	Specific points regarding the coordination of transfer were already included in relation to the evidences regarding the transfer of responsibility

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.7 Chapter 3 Std.	**Air traffic control clearances** Air traffic control clearances shall be based solely on the requirements for providing air traffic control service.	Operational documentation (manual/s and/or unit instructions) used by an ATC provider • Scope and purpose of clearences	Check that the operational documentation establishes that clearances are: • Issued solely for expeditiong and separating air traffic • Based on known traffic conditions wich affect safety in aircraft (including not only aircraft in the air and on the manoeuvring area over which control is being exercised, but also any vehicular traffic or other obstructions) • Issued early enough to ensure that they are transmitted to the aircraft in sufficient time for it to comply with them	
		Records documenting the issue of clearances including: • Air-ground communications recorded • Other relevant records such as ground-ground communications, radar data, logbooks, etc	In order to check the provisions of the standards 3.7 to 3.7.3.2, select a sample of clearances issued by the ATC units operated by the ANSP The sample should be selected covering different types of operations in different ATC units, including: • Operations using voice messages for the read-back and CPDCL messages wherever the ANSP uses them • Operations involving transonic flights if they exist Check the points proposed in relation to the effective implementation of 3.7.1 to 3.7.3.2 as applicable	(sampling unit = clearance issued by an ATC unit operated by the ANSP)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.7.1.1 Chapter 3 Std.	Contents of clearances An air traffic control clearance shall indicate: a) aircraft identification as shown in the flight plan; b) clearance limit; c) route of flight; d) level(s) of flight for the entire route or part thereof and changes of levels if required; e) any necessary instructions or information on other matters such as approach or departure manoeuvres, communications and the time of expiry of the clearance.	Operational documentation (manual/s and/or unit instructions) used by the ANSP • Contents of clearances	Check that the operational documentation establishes that: • Clearances indicate: o Aircraft identification as shown in the flight plan; o Clearance limit (described by speciifying the name of the appropriate significant point, or aerodrome or controlled airsapce boundary) o Route of flight (detailed in each clearance when deemed necessary. The related phraseology should normally consider the provisions of PANS-ATM 4.5.7.2) o Level(s) of flight for the entire route or part thereof and changes of levels if required (normally, the provisions of PANS-ATM Chapter 6 and 11 should apply in order to identify the items included) o Any necessary instructions or information on other matters such as approach or departure manoeuvres, communications and the time of expiry of the clearance • Clearances are phrased in an standard manner • Clearances contain positive and concise data • If the clearence for the levels covers only part of the route, the ATC unit specifies a point to which the part of the clearance regarding levels applies whenever necessary to ensure compliance with 3.6.5.2.2 in ICAO Annex 2	PANS-ATM Chapters 4, 6 and 11 include detailed provisions about ATC clearances that should normally be applied by any ATC service provider

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the contents of the clearances issued in the sample proposed in 3.7 above	In the sample proposed in relation to 3.7 above, check that for each clearance included in the sample: • Issuance took place ina ccordance with the procedures established in the relevant operational documentation • The clearance indicated all the information required in the standard 3.7.1.1 as applicable • The clearance was phrased in an standard manner and contained positive and concise data • If the clearence for the levels covered only part of the route, the ATC unit specified a point to which the part of the clearance regarding levels applied wherever necessary	
3.7.2.1 Chapter 3 Std.	Clearances for transonic flight The air traffic control clearance relating to the transonic acceleration phase of a supersonic flight shall extend at least to the end of that phase.	Operational documentation (manual/s and/or unit instructions) used by the ANSP • Clearances for transonic fligths (if applicable)	Check that the operational documentation establishes that an air traffic control clearance relating to the transonic acceleration phase of a supersonic flight extends at least to the end of that phase.	
		Records showing the clearances issued to transonic flights (if applicable) in the sample proposed in 3.7 above	In the sample proposed in relation to 3.7 above, check that, wherever clearances for transonic flights were issued, clearances relating to the transonic acceleration phase of a supersonic flight extended at least to the end of that phase.	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.7.3.1 Chapter 3 Std.	Read-back of clearances and safety-related information The flight crew shall read back to the air traffic controller safety-related parts of ATC clearances and instructions which are transmitted by voice. The following items shall always be read back: a) ATC route clearances; b) clearances and instructions to enter, land on, take off on, hold short of, cross and backtrack on any runway; and c) runway-in-use, altimeter settings, SSR codes, level instructions, heading and speed instructions and, whether issued by the controller or contained in ATIS broadcasts, transition levels.	Operational documentation (manual/s and/or unit instructions) used by the ANSP • Procedures related to read-back of ATC clearances	Check that the operational documentation establishes that: • When performing his/her tasks, the ATCO expects the flight crew to read back to him/her the safety-related parts of the ATC clearances and instructions transmitted by voice. • Accordingly the ATCO listens as required in 3.7.3.1.2 below • In particular, the items identified in the standard 3.7.3.1 are always expected to be read back by the flight crew. • Wherever the expected read-back does not take place, the ATCO takes appropriate action to address the lack of read-back until it is confirmed that the clearance or instruction has been correctly acknowledged as specified in 3.7.3.1.2 below	PANS-ATM Chapters 4, 6 and 11 include detailed provisions about ATC clearances that should normally be applied by any ATC service provider
		Records showing the implementation of read-back procedures in the sample proposed in 3.7 above	In the sample proposed in relation to 3.7 above, check that: For all the clearances included in the sample: • The items identified in the standard 3.7.3.1 were always read-back • If the read-back expected did not take place, the ATCO took appropriate action to confirm that the clearance or instruction was correctly acknowledged and the final outcome specified in 3.7.3.1.2 was obtained by the ATCO	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.7.3.1.1 Chapter 3 Std.	Other clearances or instructions, including conditional clearances, shall be read back or acknowledged in a manner to clearly indicate that they have been understood and will be complied with.	Operational documentation (manual/s and/or unit instructions) used by the ANSP • Procedures related to read-back of ATC clearances	Check that the operational documentation establishes that: • Clearances or instructions others than those identified in 3.7.3.1. above shall be read back or acknowledged in a manner to clearly indicate that they have been understood and will be complied with • Accordingly the ATCO listens as required in 3.7.3.1.2 below • Wherever no read-back or acknowledgement does not take place, the ATCO takes appropriate action to address the lack until it is confirmed that the clearance or instruction has been correctly acknowledged as specified in 3.7.3.1.2 below	PANS-ATM Chapters 4, 6 and 11 include detailed provisions about ATC clearances that should normally be applied by any ATC service provider
		Records showing the implementation of read-back procedures in the sample proposed in 3.7 above	In the sample proposed in relation to 3.7 above, check that: For all the clearances included in the sample check: • The items different from those identified in the standard 3.7.3.1 were read-back or acknowledged • If the read-back expected did not take place, the ATCO took appropriate action to confirm that the clearance or instruction was correctly acknowledged and the final outcome specified in 3.7.3.1.2 was obtained by the ATCO	
3.7.3.1.2 Chapter 3 Std.	The controller shall listen to the read-back to ascertain that the clearance or instruction has been correctly acknowledged by the flight crew and shall take immediate action to correct any discrepancies revealed by the read-back.	Operational documentation (manual/s and/or unit instructions) used by the ANSP • Procedures related to read-back of ATC clearances	Check that the operational documentation establishes that when applying the procedures for read-back of clearances: • The ATCO listens to the read-back in order to to be sure that the clearance or instruction has been correctly acknowledged by the flight crew • The ATCO takes immediate action to correct any discrepancies revealed by the read-back	Listening in the context defined by 3.7.3.1 and 3.7.3.1.1 above PANS-ATM Chapters 4, 6 and 11 include detailed provisions about ATC clearances that should normally be applied by any ATC service provider

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the implementation of read-back procedures in the sample proposed in 3.7 above	In the sample proposed in relation to 3.7 above, check that: For all the clearances included in the sample: • The ATCO took immediate action to correct any discrepancies revealed by the read-back • The whole set of actions taken by the ATCO led to the confirmation that the clearance or instruction had been correctly acknkowledge	
3.7.3.2 Chapter 3 Std.	Unless specified by the appropriate ATS authority, voice read-back of CPDLC messages shall not be required.	Operational documentation (manual/s and/or unit instructions) used by the ANSP • Procedures related to read-back of ATC clearances	Check that the operational documentation establishes that in situations where CPDLC messages are used, no voice read-back is required, unless specifically specified by the appropriate ATS authority Check whether that has been specifically required by the appropriate ATS authority	PANS-ATM Chapters 4, 6 and 11 include detailed provisions about ATC clearances that should normally be applied by any ATC service provider
		Records showing the implementation of read-back procedures in the sample proposed in 3.7 above	In the sample proposed in relation to 3.7 above, check that: For all the clearances included in the sample in situations where CPDCL messages were used: • In principle, no voice read-back took place • If voice read-back took place, all the actions conformed with the decisions specifically made by the ATS authority for that situation	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.7.4.1 Chapter 3 Std.	*Coordination of clearances* An air traffic control clearance shall be coordinated between air traffic control units to cover the entire route of an aircraft or a specified portion thereof as follows: An aircraft shall be cleared for the entire route to the aerodrome of first intended landing: a) when it has been possible, prior to departure, to coordinate the clearance between all the units under whose control the aircraft will come; or b) when there is reasonable assurance that prior coordination will be effected between those units under whose control the aircraft will subsequently come.	Operational documentation (manual/s, unit instructions, letters of agreement) used at an ATC unit: • Coordination of clearances • Coordination of flight plans received • Specification of required time periods to permit the transmission of flight plan and control information	Check that the operational documentation used at an ATC unit covers all the needs for coordination of clearances with all ATC units concerned (instructions or letters of agreement exist to formalise these aspects with all the ATC units concerned). Check that the operational documentation applicable at the ATC unit establishes: • That clearances are coordinated between units to cover the entire route or a specified portion • The situations in which an aircraft is cleared for the entire route to the aerodrome of first intended landing in the two cases defined in the ICAO standard • That the flight plan and control information is to be transmitted in sufficient time to permit reception and analysis of the data by the receiving unit and necessary coordination between the two units concerned. Accordingly: o Time periods have been determined and are specified in the relevant local instructions and/or letters of agreement	To note that PANS-ATM Chapter 11 and Appendix 3 includes provisions regarding messages, their content and time of transmission in the context of clearance coordination

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the issue of clearances including: • Flight plan and control information recorded • Other relevant records such as air-ground and ground-ground communications recorded, logbooks, flight progress strips, etc	In order to check the provisions of the standards 3.7.4.1 to 3.7.4.4, select a sample of the flights to which clearances were issued by an ATC unit operated by the ANSP after coordination with other ATC units The sample should be selected covering different types of operations which involve coordination with different ATC units Use the sample to: • Review the flights included in the sample where the aircraft was cleared for the entire route to the aerodrome of first intended landing. With the information available check that nothing prevented the ATC unit from doing it (i.e. check that the situation fit into the two bullets included in the standard). In these cases check that: o The actions taken conformed with the procedures established in the relevant instructions an/or letters of agreement o The ATC units forwarded from unit to unit, as flight progressed, the necessary flight plan and control information o More specifically, the flight plan and control information was transmitted within the required time period determined in the relevant local instructions or letters of agrement • Check the points proposed in relation to the effective implementation of 3.7.4.1 to 3.7.4.4 as applicable	(sampling unit = flight to which clearances were issued and coordinated with other units, by an ATC unit operated by the ANSP involving)
3.7.4.2 Chapter 3 Std.	When coordination as in 3.7.4.1 has not been achieved or is not anticipated, the aircraft shall be cleared only to that point where coordination is reasonably assured; prior to reaching such point, or at such point, the aircraft shall receive further clearance, holding instructions being issued as appropriate.	Operational documentation (manual/s, unit instructions, letters of agreement) used at an ATC unit: • Coordination of clearances • Coordination of flight plans received	Check that the operational documentation applicable at the ATC unit establishes that when full coordination (as in 3.7.4.1) has not been achieved or is not anticipated: • The aircraft shall be cleared only to that point where coordination is reasonably assured; • Prior to reaching such point, or at such point, the aircraft shall receive further clearance or appropriate holding instructions	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the implementation of coordination of clearances in the sample proposed in 3.7.4.1 above	In the sample proposed in relation to 3.7.4.1 above, check that: For all flights included in the sample where no full coordination could be initiallly achieved: Check that prior to reaching the point up to which the aircraft had been initially cleared: • The actions taken conformed with the procedures established in the relevant instructions an/or letters of agreement • Further coordination actions took place between the relevant ATC units • After that coordination, the aircraft received further clearance or holding instructions	
3.7.4.2.1 Chapter 3 Std.	When prescribed by the appropriate ATS authority, aircraft shall contact a downstream air traffic control unit, for the purpose of receiving a downstream clearance prior to the transfer of control point.	Operational documentation (manual/s, unit instructions, letters of agreement) used at an ATC unit: • Downstream clearance delivery service • Coordination of clearances	If applicable following a decision from the appropriate ATS authority, check that: • The operational documentation applicable at the ATC unit specifies the conditions under which an aircraft contacts a downstream air traffic control unit, for the purpose of receiving a downstream clearance prior to the transfer of control point • The documentation establishes procedures meeting the principles established from 3.7.4.2.1 to 3.7.4.2.1.3. More specifically: o ATC unit keeps two- way communication with the aircraft irrespective of the use of downstream clearances o The ATC unit clearly identifies a downstream clearance as such to the pilot o Unless coordinated, downstream clearances do not affect the aircraft's original flight profile outside the airspace under the responsibility of the unit delivering the clearance	To note that provisions related to the application of downstream clearance delivery service are specified in Annex 10, Volume II and Document 9694

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the implementation of coordination of clearances in the sample proposed in 3.7.4.1 above	In the sample proposed in relation to 3.7.4.1 above, check that: For all flights included in the sample where downstream clearances were used: Check that: • The actions taken conformed with the procedures established in the relevant instructions an/or letters of agreement • Downstream clearances were delivered prior to the transfer of control point • Two way communication between aircraft and the current ATC unit was kept irrespective of the delivery of downstream clearances • The downstream clearance was clearly identified as such by the ATC unit • The downstream clearance issued did not affect flight profile outside the airspace under the responsibility of the unit delivering the clearance	
3.7.4.2.1.1 Chapter 3 Std.	Aircraft shall maintain the necessary two-way communication with the current air traffic control unit whilst obtaining a downstream clearance.	Operational documentation (manual/s, unit instructions, letters of agreement) used at an ATC unit: • Downstream clearance delivery service • Coordination of clearances	To be addressed when checking 3.7.4.2.1 above	This point is included amongst the aspects to be verified when considering 3.7.4.2.1
		Records showing the implementation of coordination of clearances in the sample proposed in 3.7.4.1 above	To be addressed when checking 3.7.4.2.1 above	This point is included amongst the aspects to be verified when considering 3.7.4.2.1

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.7.4.2.1.2 Chapter 3 Std.	A clearance issued as a downstream clearance shall be clearly identifiable as such to the pilot.	Operational documentation (manual/s, unit instructions, letters of agreement) used at an ATC unit: • Downstream clearance delivery service • Coordination of clearances	To be addressed when checking 3.7.4.2.1 above	This point is included amongst the aspects to be verified when considering 3.7.4.2.1
		Records showing the implementation of coordination of clearances in the sample proposed in 3.7.4.1 above	To be addressed when checking 3.7.4.2.1 above	This point is included amongst the aspects to be verified when considering 3.7.4.2.1
3.7.4.2.1.3 Chapter 3 Std.	Unless coordinated, downstream clearances shall not affect the aircraft's original flight profile in any airspace, other than that of the air traffic control unit responsible for the delivery of the downstream clearance.	Operational documentation (manual/s, unit instructions, letters of agreement) used at an ATC unit: • Downstream clearance delivery service • Coordination of clearances	To be addressed when checking 3.7.4.2.1 above	This point is included amongst the aspects to be verified when considering 3.7.4.2.1
		Records showing the implementation of coordination of clearances in the sample proposed in 3.7.4.1 above	To be addressed when checking 3.7.4.2.1 above	This point is included amongst the aspects to be verified when considering 3.7.4.2.1
3.7.4.3 Chapter 3 Std.	When an aircraft intends to depart from an aerodrome within a control area to enter another control area within a period of thirty minutes, or such other specific period of time as has been agreed between the area control centres concerned, coordination with the subsequent area control centre shall be effected prior to issuance of the departure clearance.	Operational documentation (manual/s, unit instructions, letters of agreement) used at an ATC unit: • Coordination of clearances	Check that the operational documentation applicable at the ATC unit establishes procedures that do not allow delivering a departure clearance without completing the coordination needed in the case described in the standard (entering another control area within 30 minutes, or another agreed period)	Wherever a period different from 30 minutes is agreed, generally it does not appear advisable from a safety perspective to establish a period greater than 30 minutes

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the implementation of coordination of clearances in the sample proposed in 3.7.4.1 above	In the sample proposed in relation to 3.7.4.1 above, check that: For all flights included in the sample where the aircraft intended to depart from an aerodrome and enter another control area within a period of 30 minutes (or other agreed period as specified in the relevant letters or instructions), check that: • The actions taken conformed with the procedures established in the relevant instructions an/or letters of agreement • More specifically, no departing clearance was given without completing the coordination with the area control center concerned	
3.7.4.4 Chapter 3 Std.	When an aircraft intends to leave a control area for flight outside controlled airspace, and will subsequently re-enter the same or another control area, a clearance from point of departure to the aerodrome of first intended landing may be issued. Such clearance or revisions thereto shall apply only to those portions of the flight conducted within controlled airspace.	Operational documentation (manual/s, unit instructions, letters of agreement) used at an ATC unit: • Coordination of clearances	Check that the operational documentation applicable at the ATC unit establishes procedures to delvier clearances which only apply to those portions of the flight conducted within controlled airspace in the case described in the standard	
		Records showing the implementation of coordination of clearances in the sample proposed in 3.7.4.1 above	In the sample proposed in relation to 3.7.4.1 above, check that: For all flights included in the sample where the aircraft intended to to leave a control area for flight outside controlled airspace, and subsequently re-enter the same or another control area, check that: • The actions taken conformed with the procedures established in the relevant instructions an/or letters of agreement • If a clearance from point of departure to the aerodrome of first intent was delivered, it dod not apply to non-controlled airspace portions	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.7.5.1 Chapter 3 Std.	*Air traffic flow management* Air traffic flow management (ATFM) shall be implemented for airspace where air traffic demand at times exceeds, or is expected to exceed, the declared capacity of the air traffic control services concerned.	Declared ATC capacity for • Control areas • Control sectors within a control area and • Aerodromes where ATC services are provided by the ANSP	Check that declared ATC capacities are included in the operational documentation used in an ATC unit. Check that declared ATC capacities are expressed as the maximum number of aircraft which can be accepted over a given period of time within the airspace or at the aerodrome concerned.	Declared capacity means a measure of the ability of the ATC system or any of its subsystems or operating positions to provide service to aircraft during normal activities. It is expressed as the number of aircraft entering a specified portion of airspace in a given period of time, taking due account of weather, ATC unit configuration, staff and equipment available, and any other factors that may affect the workload of the controller responsible for the airspace. *(definition included in ICAO Annex 11, Chapter 1)* The capacity of the ATC services concerned will normally be declared by the relevant authority designated by the State responsible for providing ATS in the airspace concerned (This authority could therefore be, or not, the ANSP) To note that ATFM is not subject to certification against CRs in the SES framework. However in accordance with ICAO Annex 11, ATC service providers are responsible for certain actions to allow the implementation of ATFM by the organisation(s) implementing this function.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Capacity assessments on which the declared ATC capacities are based	Review a sample of capacity assessments selected by the NSA auditor. More specifically check that an assessment takes into consideration: • the level and type of ATS provided; • structural complexity of the control area, the control sector or the aerodrome concerned; • controller workload, including control and coordination tasks to be performed; • types of communications, navigation and surveillance systems in use, their degree of technical reliability and availability as well as the availability of back-up systems and/or procedures; • availability of ATC systems providing controller • support and alert functions; and • any other factor or element deemed relevant to controller workload.	(sampling unit = capacity assessment for a control area, control sector or aerodrome in which the ANSP provides ATC services) Even if the ANSP is not the authority designated by the State(s) to declare the ATC capacity, the ANSP should normally be involved in the assessment leading to that declaration. Techniques which may be used to estimate control sector / position capacities are described in the Air Traffic Services Planning Manual (Doc 9426). See also the comments/notes above regarding the declared ATC capacity.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.7.5.3 Chapter 3 Std.	When it becomes apparent to an ATC unit that traffic additional to that already accepted cannot be accommodated within a given period of time at a particular location or in a particular area, or can only be accommodated at a given rate, that unit shall so advise the ATFM unit, when such is established, as well as, when appropriate, ATS units concerned. Flight crews of aircraft destined to the location or area in question and operators concerned shall also be advised of the delays expected or the restrictions that will be applied.	Operational documentation used by an ATS unit (operational manuals and/or unit instructions) regarding: • Accomodation of further traffic within a given time • Interface with the ATFM unit	In relation to the accommodation of further traffic within a given time, check the existence of procedures in the ATC unit to vary the number of operational sectors or working positions to meet the prevailing and anticipated demand where traffic demand varies significantly on a daily or periodic basis. In these procedures check also that in case of particular events which have a negative impact on the declared capacity of an airspace or aerodrome, the capacity of the airspace or aerodrome concerned is reduced accordingly for the required time period. In relation to the interface with the ATFM unit, check the existence of a procedure in the ATC unit to implement the actions required in the ICAO standard. More specifically check: • That appropriate consideration is given to the declared ATC capacity in the procedure • That the procedure includes the use of a formal interface between the ATC unit and the the ATFM unit and, if appropriate, other ATS units.	
		Records documenting the implementation of operational procedures	Check whether situations have existed in which the capacity accepted surpassed the declared ATC capacity (check relevant logbooks). Review the application of this procedure in a specific sample selected by the NSA auditor. More specifically, in relation to the sample selected: • Check that the actions taken by the ATC unit personnel conformed to the procedure • Cross-check the records provided by the ATC unit with records provided by the ATFM unit	(sampling unit = situation in which the ATC unit initiates the procedures applicable when it becomes apparent that further traffic cannot be accommodated within a given period of time)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.8.1 Chapter 3 Std.	***Control of persons and vehicles at aerodromes*** The movement of persons or vehicles including towed aircraft on the manoeuvring area of an aerodrome shall be controlled by the aerodrome control tower as necessary to avoid hazard to them or to aircraft landing, taxiing or taking off.	Operational documentation (operational manuals and/or unit instructions) used by an aerodrome control service unit regarding: • Entry to the manoeuvring area • Requirements applicable to vehicles in the manoeuvring area. and parallel procedures used by the aerodrome operator.	Review the procedures to check whether: • The movement of pedestrians or vehicles on the manoeuvring area are subject to authorization by the control tower • Persons, including drivers of all vehicles, are required to obtain authorisation from the control tower before entry to the area • Entry to a runway or runway strip or change in the operation authorised is subject to a further specific authorization by the control tower • It is required that all vehicles used on the manoeuvring area are capable of maintaining two-way radiocommunication with the control tower, except when the vehicle is only occasionally used on the area and is accompanied by a vehicle with the required communications capability, or employed in accordance with a pre-arranged plan established with the control tower • When an aircraft is landing or taking off, vehicles are not be permitted to hold closer to the runway in use than: a) At a taxiway/runway intersection — at a runway holding position; and b) At a location other than a taxiway/runway intersection — at a distance equal to the separation distance of the runway-holding position. • When communications by visual signals is deemed to be adequate, or in the case of radiocommunication failure or emergency conditions, the signals have the meaning specified in PANS-ATM Section 7.5.3.2.3 Check the correspondence between the ATC unit procedures and the aerodrome operator procedures and, if appropriate, review the coordination arrangements established to ensure consistency between them.	Aerodrome operators are not within the scope of SES certification. However, the NSA may need to review their procedures in order to evaluate the effectiveness of the ANSP procedures.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Equipment on the vehicles operating in the manoeuvring area	Select a sample of vehicles used in the manoeuvring area. Check that each vehicle in the sample is capable for maintaining two-way radiocommunication with the control tower as specified in the relevant procedures.	(sampling unit = vehicle used at the manoeuvring area of the aerodrome irrespective of the organisation or authority who owns and/or operates the vehicle)
		Records documenting the implementation of operational procedures (including logbooks and ground-ground communications recorded)	Review the application of procedures in a specific sample of cases selected by the NSA. More specifically, in relation to the sample selected: • Check that the actions taken by the ATC unit and the aerodrome personnel conformed to the procedure • Cross-check the records provided by the ATC unit with the records provided by the aerodrome operator	To note that the application of all the procedures related to 3.8.1 (control of persons and vehicles at aerodromes) could be reviewed simultaneously (sampling unit = situation in which the ATC unit applies the procedures related to the entry to the manoeuvring area)
3.8.2 Chapter 3 Std.	In conditions where low visibility procedures are in operation: a) persons and vehicles operating on the manoeuvring area of an aerodrome shall be restricted to the essential minimum, and particular regard shall be given to the requirements to protect the ILS/MLS sensitive area(s) when Category II or Category III precision instrument operations are in progress; b) subject to the provisions in 3.8.3, the minimum separation between vehicles and taxiing aircraft shall be as prescribed by the appropriate ATS authority taking into account the aids available; c) when mixed ILS and MLS Category II or Category III precision instrument operations are taking place to the same runway continuously, the more restrictive ILS or MLS critical and sensitive areas shall be protected.	Operational documentation (operational manuals and/or unit instructions) used by an aerodrome control service unit regarding: • Low visibility procedures • Protection of ILS/MLS sensitive area(s) and parallel procedures used by the aerodrome operator	Check that the procedures give particular regard to the requirements to protect ILS/MLS sensitive area(s). Check that the aerodrome control tower shall, prior to a period of application of low visibility procedures, establish a record of vehicles and persons currently on the manoeuvring area and maintain this record during the period of application of these procedures to assist in assuring the safety of operations on that area. Check that at the intersection of taxiways, an aircraft or vehicle on a taxiway is not permitted to hold closer to the other taxiway than the holding position limit defined by a clearance bar, stop bar or taxiway intersection marking according to the specifications in Annex 14, Volume I, Chapter 5. Check the correspondence between the ATC unit procedures and the aerodrome operator procedures and, if appropriate, review the coordination arrangements established to ensure consistency between them.	The ICAO Manual of Surface Movement Guidance and Control Systems (SMGCS) (Doc 9476) provides guidance on surface movement guidance and control components and procedures for low visibility operations.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records documenting the implementation of operational procedures (including logbooks and ground-ground communications recorded)	Review the application of procedures in a specific sample of cases selected by the NSA. More specifically, in relation to the sample selected: • Check that the actions taken by the ATC unit and the aerodrome personnel conformed to the procedure • Cross-check the records provided by the ATC unit with the records provided by the aerodrome operator	To note that the application of all the procedures related to 3.8.1 (control of persons and vehicles at aerodromes) could be reviewed simultaneously (sampling unit = situation in which low visibility procedures are applied at an aerodrome)
3.8.3 Chapter 3 Std.	Emergency vehicles proceeding to the assistance of an aircraft in distress shall be afforded priority over all other surface movement traffic.	Operational documentation (operational manuals and/or unit instructions) used by an aerodrome control service unit regarding: • Priority in the manoeuvring area and parallel procedures used by the aerodrome operator	Check that the procedures establish that emergency vehicles proceeding to the assistance of an aircraft in distress are afforded priority over all other surface movement traffic. Check that in that situation all movement of surface traffic should, to the extent practicable, be halted until it is determined that the progress of the emergency vehicles will not be impeded. Check the correspondence between the ATC unit procedures and the aerodrome operator procedures and, if appropriate, review the coordination arrangements established to ensure consistency between them.	
		Records documenting the implementation of operational procedures (including logbooks and ground-ground communications recorded)	Review the application of procedures in a specific sample of cases selected by the NSA. More specifically, in relation to the sample selected: • Check that the actions taken by the ATC unit and the aerodrome personnel conformed to the procedure. • Cross-check the records provided by the ATC unit with the records provided by the aerodrome operator	To note that the application of all the procedures related to 3.8.1 (control of persons and vehicles at aerodromes) could be reviewed simultaneously (sampling unit = situation in which low visibility procedures are applied at an aerodrome)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
3.8.4 Chapter 3 Std.	Subject to the provisions in 3.8.3, vehicles on the manoeuvring area shall be required to comply with the following rules: a) vehicles and vehicles towing aircraft shall give way to aircraft which are landing, taking off or taxiing; b) vehicles shall give way to other vehicles towing aircraft; c) vehicles shall give way to other vehicles in accordance with ATS unit instructions; d) notwithstanding the provisions of a), b) and c), vehicles and vehicles towing aircraft shall comply with instructions issued by the aerodrome control tower.	Operational documentation (operational manuals and/or unit instructions) used by an aerodrome control service unit regarding: • Priority in the manoeuvring area and parallel procedures used by the aerodrome operator	Check that the procedures define clear rules meeting the ICAO provisions regarding the priority in the manoeuvring area. Check the correspondence between the ATC unit procedures and the aerodrome operator procedures and, if appropriate, review the coordination arrangements established to ensure consistency between them.	
		Records documenting the implementation of operational procedures (including logbooks and ground-ground communications recorded)	Review the application of procedures in a specific sample of cases selected by the NSA. More specifically, in relation to the sample selected: • Check that the actions taken by the ATC unit and the aerodrome personnel conformed to the procedure • Cross-check the records provided by the ATC unit with the records provided by the aerodrome operator	To note that the application of all the procedures related to 3.8.1 (control of persons and vehicles at aerodromes) could be reviewed simultaneously (sampling unit = situation in which low visibility procedures are applied at an aerodrome)
4.1.1 Chapter 4 Std.	***CHAPTER 4. FLIGHT INFORMATION SERVICE*** ***Application*** Flight information service shall be provided to all aircraft which are likely to be affected by the information and which are: a) provided with air traffic control service; or b) otherwise known to the relevant air traffic services units.	Operational documentation (manual/s and or instructions) of an FIS provider regarding: 1. Types of traffic to which FIS is provided	Check that according with the operational documentation used by the FIS service provider, FIS is to be provided to aircraft likely to be affected by the information and which are: 2. Provided with ATC and/or 3. Known to the relevant ATS units	Chapter 4 applies to ANSPs providing FIS services To note that AFIS includes the appropriate provision of alerting service and flight information service in the context of an aerodrome
		Means of transmission (including the technical equipement and the procedures used for their operation)	Check that information is disseminated to aircraft by one or more of the following means as determined by the appropriate ATS authority: • The preferred method of directed transmission on the initiative of the appropriate ATS unit to an aircraft, ensuring that receipt is acknowledged; or • Broadcast; or • Data link	To note that in certain circumstances (e.g. last stages of final approach) it may be impracticable for aircraft to acknowledged directed transmissions

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
4.1.2 Chapter 4 Std.	Where air traffic services units provide both flight information service and air traffic control service, the provision of air traffic control service shall have precedence over the provision of flight information service whenever the provision of air traffic control service so requires.	Operational documentation (manual/s and/or instructions) regarding: • Priority of ATC over FIS	Check that according with the operational documentation used by the FIS service provider, the provision of ATC has priority over the provision of FIS wherever applicable	Only in units providing both ATC and FIS
4.2.1 Chapter 4 Std.	***Scope of flight information service*** Flight information service shall include the provision of pertinent: a) SIGMET and AIRMET information; b) information concerning pre-eruption volcanic activity, volcanic eruptions and volcanic ash clouds; c) information concerning the release into the atmosphere of radioactive materials or toxic chemicals; d) information on changes in the serviceability of navigation aids; e) information on changes in condition of aerodromes and associated facilities, including information on the state of the aerodrome movement areas when they are affected by snow, ice or significant depth of water; f) information on unmanned free balloons; and of any other information likely to affect safety.	Operation documentation (manual/s and/or instructions regarding: • Types of information provided by FIS • References to relevant regional air navigation agreements	Check that the operational documentation establishes that the ANSP shall provide by one or more means: • Appropriate SIGMET and AIRMET as well as special air-reports which have not been used for the preparation of a SIGMET shall be disseminated to aircraft as determined on the basis of regional air navigation agreements. Special air-reports shall be disseminated to aircraft for a period of 60 minutes after their issuance. • Information concerning pre-eruption volcanic activity, volcanic eruptions and volcanic ash clouds shall be disseminated to aircraft as determined on the basis of regional air navigation agreements. • Information on the release into the atmosphere of radioactive materials or toxic chemicals which could affect airspace within the area of responsibility of the ATS unit shall be transmitted to aircraft • Information on changes in the serviceability of navigation aids • Information on changes in condition of aerodromes and associated facilities, including information on the state of the aerodrome movement areas when they are affected by snow, ice or significant depth of water • Information on unmanned free balloons; • and of any other information likely to affect safety Check 4.3.1.1 regarding the integration of met and operational information concerning navaids and aerodromes	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records of information transmitted to aircraft	In a sample selected by the NSA amongst the information provided to aircraft by FIS in a period of time, and check that the actions taken conformed with the relevant procedures established in the operational documentation In addition: • Select some SIGMETs and/or AIRMETs issued by a relevanty meteorological watch office; • Obtain relevant information about the serviacibility of navigation aids; • Obtain relevant information on changes in condition of aerodromes and associated facilities, including information on the state of aerodrome movement areas when they were affected by snow, ice or significant depth of water; and verify whether the information was appropriately provided to aircraft by the FIS services.	
4.2.2 Chapter 4 Std.	Flight information service provided to flights shall include, in addition to that outlined in 4.2.1, the provision of information concerning: a) weather conditions reported or forecast at departure, destination and alternate aerodromes; b) collision hazards, to aircraft operating in airspace Classes C, D, E, F and G; c) for flight over water areas, in so far as practicable and when requested by a pilot, any available information such as radio call sign, position, true track, speed, etc., of surface vessels in the area.	Operation documentation (manual/s and/or instructions regarding: • Types of information provided by FIS	Check that the operational documentation establishes that the ANSP provides information concerning the three points speciifed in the standard	
4.2.4 Chapter 4 Std.	Flight information service provided to VFR flights shall include, in addition to that outlined in 4.2.1, the provision of available information concerning traffic & weather conditions along the route of flight that are likely to make operation under the visual flight rules impracticable.	Operation documentation (manual/s and/or instructions regarding: • Information provided to VFR flights	Check that the operational documentation establishes that the ANSP shall provide VFR flights with information concerning conditions along the route of flight that are likely to make operation under the VFR rules impracticable	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records of information transmitted to aircraft flying under VFR rules	In a sample selected by the NSA amongst the information provided to aircraft flying under VFR rules in a period of time, check that relevant information was provided in relation to the conditions along the route of flight that are likely to make operation under the VFR rules impracticable For all the cases included in the sample.	(sampling unit = set of information provided to aircraft flying under VFR in a period of time)
4.3.1.1 Chapter 4 Std.	***Operational flight information service broadcasts*** *Application* The meteorological information and operational information concerning navigation aids and aerodromes included in the flight information service shall, whenever available, be provided in an operationally integrated form.	Operational documentation (manual/s and/or instructions) regarding: • Operational FIS broadcasts	Check that the operational documentation establishes that the meteorological information and operational information concerning navigation aids and aerodromes is provided in an operationally integrated form.	Operational flight information service (OFIS) broadcasts, when provided, should consist of messages containing integrated information regarding selected operational and meteorological elements appropriate to the various phases of flight. These broadcasts should be of three major types: HF, VHF and ATIS
4.3.1.4 Chapter 4 Std.	*Use of the OFIS messages in directed request/reply transmissions* When requested by the pilot, the applicable OFIS message(s) shall be transmitted by the appropriate ATS unit.	Operational documentation (manual/s and/or instructions) regarding: • Operational FIS broadcasts	Check that the procedures established for the provision of OFIS messages specify that OFIS messages are transmitted by the relevant ATS unit when requested by the pilot	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
4.3.4.1 Chapter 4 Std.	*Voice-automatic terminal information service (Voice-ATS) broadcasts* Voice-automatic terminal information service (Voice-ATIS) broadcasts shall be provided at aerodromes where there is a requirement to reduce the communication load on the ATS VHF air-ground communication channels. When provided, they shall comprise: a) one broadcast serving arriving aircraft; or b) one broadcast serving departing aircraft; or c) one broadcast serving both arriving and departing aircraft; or d) two broadcasts serving arriving and departing aircraft respectively at those aerodromes where the length of a broadcast serving both arriving and departing aircraft would be excessively long.	Operational documentation (manual/s and/or instructions) regarding: • Identifications of aerodromes at which the ANSP provides FIS • Description of ATIS services provided • Description of means (number of broadcasts) used top provide ATIS Evidences related to 4.3.4.2 to 4.3.9 below as applicable (jn particular 4.3.6 below)	Check that Voice-ATIS is provided at aerodromes where the ANSP is designated to provide FIS if there is a requirement (in the State's designation act, specification by the ANSP or other provisions) Review the relevant evidences related to 4.3.4.2 to 4.3.9 below. In particular verify 4.3.6 below	To note that the voice-ATIS broadcast message should, whenver practicable, not exceed 30 seconds, care being taken that the readibility of the ATIS message is not impaired by the speed of the transmission or by the identification of the signal of a navaid used fir transmission of ATIS
4.3.4.2 Chapter 4 Std.	A discrete VHF frequency shall, whenever practicable, be used for Voice-ATIS broadcasts. If a discrete frequency is not available, the transmission may be made on the voice channel(s) of the most appropriate terminal navigation aid(s), preferably a VOR, provided the range and readability are adequate and the identification of the navigation aid is sequenced with the broadcast so that the latter is not obliterated.	Operational documentation (manual/s and/or instructions) regarding: • Description of means to broadcast Voice-ATIS at aerodromes where this service is provided	Check that, according with the documentation, in the aerodromes where the ANSP provides this service: • A discrete frequency is used • If no discrete frequency is used, the transmission is made on voice channel(s) of the most appropriate terminal navigation aid(s), preferably a VOR, provided the range and readability are adequate and the identification of the navigation aid is sequenced with the broadcast so that the latter is not obliterated.	
		Records/Listening of past/current Voice ATIS messages provided at aerodromes	In a sample selected by the NSA amongst the voice-ATIS messages recorded (or currently transmitted) at aerodromes, check that: For all messages in the sample broadcasted on voice channel(s): • The navaid identification was/is not obliterated. It was/is sequenced with the ATIS broadcast.	Current voice-ATIS messages can be easilylistened at aerodrome sites in order to be verified

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
4.3.4.3 Chapter 4 Std.	Voice-ATIS broadcasts shall not be transmitted on the voice channel of an ILS.	Operational documentation (manual/s and/or instructions) regarding: • Description of means to broadcast Voice-ATIS at aerodromes where this service is provided	Check that no voice channel of an ILS is used to transmit voice-ATIS broadcasts in the aerodromes where the ANSP is designated to provide this service	
		Listening of voice channels of ILSs	If necessary, check this aspect when conducting on-site investigations at an aerodrome where the ANSP provides ATIS services (just listen an ILS voice channel seleceted at random in order to check)	
4.3.4.4 Chapter 4 Std.	Whenever Voice-ATIS is provided, the broadcast shall be continuous and repetitive.	Operational documentation (manual/s and/or instructions) regarding: • Description of ATIS services provided	Check that, according with the operational documentation, the broadcast is continuous and repetive	
		Records/Listening of past/current Voice ATIS messages provided at aerodromes	In a sample selected by the NSA amongst the voice-ATIS messages recorded (or currently transmitted) at aerodromes, check that: For all messages in the sample broadcasted on voice channel(s): • The broadcast was/is continuous and repetitive	Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified
4.3.4.5 Chapter 4 Std.	The information contained in the current broadcast shall immediately be made known to the ATS unit(s) concerned with the provision to aircraft of information relating to approach, landing and take-off, whenever the message has not been prepared by that (those) unit(s).	Operational documentation (manual/s, instructions, letters of agreement) regarding: • Communication of information to relevant ATS units (procedures, description of technical means, etc) • Coordination arrangements with those units and relevant documentation operational documentation of ATS units concerned	Check that, according with the documentation used, the information contained in the current broadcast is immediately be made known to the ATS unit(s) concerned with the provision to aircraft of information relating to approach, landing and take-off, whenever the message has not been prepared by that (those) unit(s) Check the existence of appropriate coordination arrangements and sufficient technical means to ensure that the information is immediately transmitted to the units concerned Cross-check this aspect with the information contained in the relevant documentation of the ATS units concerned	If the message is not produced by the ATS unit involved in the phase of flight.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing that broadcasts are immediately transmitted to ATS units concerned	In a sample selected by the NSA amongst the situations involving the transmission of ATIS-voice messages where different ATS units are involved, check that: For all the cases included in the sample: • The information was immediately transmitted to all the units involved in the approach, landing and take-off phases of flight	If the message is not produced by the ATS unit involved in the phase of flight.
4.3.4.6 Chapter 4 Std.	Voice-ATIS broadcasts provided at designated aerodromes for use by international air services shall be available in the English language as a minimum.	Operational documentation (manual/s and/or instructions) regarding: • Description of ATIS services provided	Check that, according with the operational documentation, the broadcast is available in English as a minimum	
		Records/Listening of past/current Voice ATIS messages provided at aerodromes	In a sample selected by the NSA amongst the voice-ATIS messages recorded (or currently transmitted), check that: For all messages in the sample broadcasted on voice channel(s): • The broadcast was at least in English	Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified
4.3.5.1 Chapter 4 Std.	Data link-automatic terminal information service (D-ATIS) Where a D-ATIS supplements the existing availability of Voice-ATIS, the information shall be identical in both content and format to the applicable Voice-ATIS broadcast.	Operational documentation (manual/s and/or instructions) regarding: • Description of ATIS services provided	Check that, according to the documentation used, the messages are identical in both format and content for Voice-ATIS and D-ATIS Check also the documentation as regards 4.3.5.1.1 and 4.3.5.2 above	
		Records/Observation of past/current ATIS messages transmitted in voice and data link format	In a sample selected by the NSA amongst the ATIS messages transmitted (in the past and/or currently) in both voice and data-link in an aerodrome, check that: For all corresponding messages included in the sample: • The information was/is identical in both content and format Check also the records showing the effective implementation of 4.3.5.1.1 and 4.3.5.2 below	Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified. Data link ATIS messages can also be checked at the unit transmitting them.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
4.3.5.1.1 Chapter 4 Std.	Where real-time meteorological information is included but the data remains within the parameters of the significant change criteria, the content, for the purpose of maintaining the same designator, shall be considered identical.	Operational documentation (manual/s and/or instructions) regarding: • Description of ATIS services provided	When checking 4.3.5.1, verify that the documentation used covers this aspect as well	
		Records/observations of past/current ATIS messages transmitted in voice and data link format	When checking the sample proposed in 4.3.5.1, verify this aspect as well	Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified. Data link ATIS messages can also be checked at the unit transmitting them.
4.3.5.2 Chapter 4 Std.	Where a D-ATIS supplements the existing availability of Voice-ATIS and the ATIS requires updating, Voice-ATIS and D-ATIS shall be updated simultaneously.	Operational documentation (manual/s and/or instructions) regarding: • Description of ATIS services provided	When checking 4.3.5.1, verify that the documentation used covers this aspect as well	
		Records/observations of past/current ATIS messages transmitted in voice and data link format	When checking the sample proposed in 4.3.5.1, verify this aspect as well	Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified. Data link ATIS messages can also be checked at the unit transmitting them.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
4.3.6.1 Chapter 4 Std.	*Automatic terminal information service* *(voice and/or data link)* Whenever Voice-ATIS and/or D-ATIS is provided: a) the information communicated shall relate to a single aerodrome; b) the information communicated shall be updated immediately a significant change occurs; c) the preparation and dissemination of the ATIS message shall be the responsibility of the air traffic services; d) individual ATIS messages shall be identified by a designator in the form of a letter of the ICAO spelling alphabet. Designators assigned to consecutive ATIS messages shall be in alphabetical order; e) aircraft shall acknowledge receipt of the information upon establishing communication with the ATS unit providing approach control service or the aerodrome control tower, as appropriate; f) the appropriate ATS unit shall, when replying to the message in e) above or, in the case of arriving aircraft, at such other time as may be prescribed by the appropriate ATS authority, provide the aircraft with the current altimeter setting; and g) the meteorological information shall be extracted from the local meteorological routine or special report.	Operational documentation (manual/s, instructions) regarding: • Contents of ATIS messages • Update of ATIS messages • Responsibilities defined in relation to ATIS • Procedures in the ATS unit(s) for acknowledgement of receipt by aircraft	Check that according to the operational documentation used by the ATS provider establishes procedures and working practices to ensure that: • Information broadcasted relates to a single aerodrome • Updates take place immediately after a significant change • Responsibilities are clearly defined and allocated with regard to the preparation and dissemination of messages • Preparation and dissemination is conducted by an ATS unit (not by an external organisation) • Designators are used as required • Actions to be taken by the ATS unit are specified in relation to the acknowledgement of receipt, consistently with the standard • Meteo information is extracted from local meteorological routine or special report Check also that the operational docuemntation covers the relevant aspects included in 4.3.6.2 to 4.3.6.4 below	
		Records/observations of past/current ATIS messages transmitted in voice and data link format	In a sample of ATIS messages transmitted (in the past or currently) through voice and/or data link, check that: For all the messages included in the sample: • Information broadcast related/relates to a single aerodrome • Updates took/take place immediately after a significant change • Designators were/are used as required • Meteo information was/is extracted from local meteorological routine or special report Check also the relevant aspects included in 4.3.6.2 to 4.3.6.4 below	Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified. Data link ATIS messages can also be checked at the unit transmitting them.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
4.3.6.2 Chapter 4 Std.	When rapidly changing meteorological conditions make it inadvisable to include a weather report in the ATIS, the ATIS messages shall indicate that the relevant weather information will be given on initial contact with the appropriate ATS unit.	Operational documentation (manual/s, instructions) regarding: • Contents of ATIS messages • Update of ATIS messages • Responsibilities defined in relation to ATIS	When checking 4.3.6.1, verify that the documentation covers this aspect as well	
		Records/observations of past/current ATIS messages transmitted in voice and data link format	When checking the sample proposed in 4.3.6.1, verify this aspect as well	Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified. Data link ATIS messages can also be checked at the unit transmitting them.
4.3.6.3 Chapter 4 Std.	Information contained in a current ATIS, the receipt of which has been acknowledged by the aircraft concerned, need not be included in a directed transmission to the aircraft, with the exception of the altimeter setting, which shall be provided in accordance with 4.3.6.1 f).	Operational documentation (manual/s, instructions) regarding: • Contents of ATIS messages • Procedures in the ATS unit(s) for acknowledgement of receipt by aircraft	When checking 4.3.6.1, verify that the documentation covers this aspect as well	
		Records/observations of past/current ATIS messages transmitted in voice and data link format	When checking the sample proposed in 4.3.6.1, verify this aspect as well	Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified. Data link ATIS messages can also be checked at the unit transmitting them.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
4.3.6.4 Chapter 4 Std.	If an aircraft acknowledges receipt of an ATIS that is no longer current, any element of information that needs updating shall be transmitted to the aircraft without delay.	Operational documentation (manual/s, instructions) regarding: • Contents of ATIS messages • Procedures in the ATS unit(s) for acknowledgement of receipt by aircraft	When checking 4.3.6.1, verify that the documentation covers this aspect as well	
		Records/observations of past/current ATIS messages transmitted in voice and data link format	When checking the sample proposed in 4.3.6.1, verify this aspect as well	Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified. Data link ATIS messages can also be checked at the unit transmitting them.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes

4.3.7
Chapter 4 Std.
	ATIS for arriving and departing aircraft
	ATIS messages containing both arrival and departure information shall contain the following elements of information in the order listed:
	a) name of aerodrome;
	b) arrival and/or departure indicator;
	c) contract type, if communication is via D-ATIS;
	d) designator;
	e) time of observation, if appropriate;
	f) type of approach(es) to be expected;
	g) the runway(s) in use; status of arresting system constituting a potential hazard, if any;
	h) significant runway surface conditions and, if appropriate, braking action;
	i) holding delay, if appropriate;
	j) transition level, if applicable;
	k) other essential operational information;
	l) surface wind direction and speed, including significant variations and, if surface wind sensors related specifically to the sections of runway(s) in use are available and the information is required by operators, the indication of the runway and the section of the runway to which the information refers;
	*m) visibility and, when applicable, RVR;
	*n) present weather;
	*o) cloud below 1 500 m (5 000 ft) or below the highest minimum sector altitude, whichever is greater; cumulonimbus; if the sky is obscured, vertical visibility when available;
	p) air temperature;
	†q) dew point temperature;
	r) altimeter setting(s);
	s) any available information on significant meteorological phenomena in the approach and climb-out areas including wind shear, and information on recent weather of operational significance;
	t) trend forecast, when available; and
	u) specific ATIS instructions.
		Operational documentation (manual/s or instructions) specifying the contents of ATIS messages
		
		Records/Observations of past/current ATIS messages transmitted
			Check that the relevant operational documentation specifies the contents of ATIS messages for bith arrival and departure information.
			Check that the contents specified conform with the standard (includes information on the bullets listed)
			In addition, within a sample selected by the NSA amongst the ATIS messages (for both arriving and departing aircraft) transmitted by the ANSP at airports in a period of time, check that the relevant contents specified in the standard were transmitted for all the messages included in the sample
				Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified. Data link ATIS messages can also be checked at the unit transmitting them.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes

4.3.8
Chapter 4 Std.
	ATS for arriving aircraft
	ATIS messages containing arrival information only shall contain the following elements of information in the order listed:
	a) name of aerodrome;
	b) arrival indicator;
	c) contract type, if communication is via D-ATIS;
	d) designator;
	e) time of observation, if appropriate;
	f) type of approach(es) to be expected;
	g) main landing runway(s); status of arresting system constituting a potential hazard, if any;
	h) significant runway surface conditions and, if appropriate, braking action;
	i) holding delay, if appropriate;
	j) transition level, if applicable;
	k) other essential operational information;
	l) surface wind direction and speed, including significant variations and, if surface wind sensors related specifically to the sections of runway(s) in use are available and the information is required by operators, the indication of the runway and the section of the runway to which the information refers;
	*m) visibility and, when applicable, RVR;
	*n) present weather;
	*o) cloud below 1 500 m (5 000 ft) or below the highest minimum sector altitude, whichever is greater; cumulonimbus; if the sky is obscured, vertical visibility when available;
	p) air temperature;
	†q) dew point temperature;
	r) altimeter setting(s);
	s) any available information on significant meteorological phenomena in the approach area including wind shear, and information on recent weather of operational significance;
	t) trend forecast, when available; and
	u) specific ATIS instructions.
		Operational documentation (manual/s or instructions) specifying the contents of ATIS messages
		
		Records/Observations of past/current ATIS messages transmitted
			Check that the relevant operational documentation specifies the contents of ATIS messages for bith arrival and departure information.
			
			Check that the contents specified conform with the standard (includes information on the bullets listed)
			
			Additionally, within a sample selected by the NSA amongst the ATIS messages (for arriving aircraft) transmitted by the ANSP at airports in a period of time, check that the relevant contents specified in the standard were transmitted for all the messages included in the sample
				Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified. Data link ATIS messages can also be checked at the unit transmitting them.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
4.3.9 Chapter 4 Std.	*ATIS for departing aircraft* ATIS messages containing departure information only shall contain the following elements of information in the order listed: a) name of aerodrome; b) departure indicator; c) contract type, if communication is via D-ATIS; d) designator; e) time of observation, if appropriate; f) runway(s) to be used for take-off; status of arresting system constituting a potential hazard, if any; g) significant surface conditions of runway(s) to be used for take-off and, if appropriate, braking action; h) departure delay, if appropriate; i) transition level, if applicable; j) other essential operational information; k) surface wind direction and speed, including significant variations and, if surface wind sensors related specifically to the sections of runway(s) in use are available and the information is required by operators, the indication of the runway and the section of the runway to which the information refers; *l) visibility and, when applicable, RVR; *m) present weather; *n) cloud below 1 500 m (5 000 ft) or below the highest minimum sector altitude, whichever is greater; cumulonimbus; if the sky is obscured, vertical visibility when available; o) air temperature; †p) dew point temperature; q) altimeter setting(s); r) any available information on significant meteorological phenomena in the climb-out area including wind shear; s) trend forecast, when available; and t) specific ATIS instructions.	Operational documentation (manual/s or instructions) specifying the contents of ATIS messages Records/Observations of past/current ATIS messages transmitted	Check that the relevant operational documentation specifies the contents of ATIS messages for bith arrival and departure information. Check that the contents specified conform with the standard (includes information on the bullets listed) Additionally, within a sample selected by the NSA amongst the ATIS messages (for departing aircraft) transmitted by the ANSP at airports in a period of time, check that the relevant contents specified in the standard were transmitted for all the messages included in the sample	Current voice-ATIS messages can be easily listened at aerodrome sites in order to be verified. Data link ATIS messages can also be checked at the unit transmitting them.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
5.1.1 Chapter 5 Std.	***CHAPTER 5. ALERTING SERVICE*** ***Application*** Alerting service shall be provided: a) for all aircraft provided with air traffic control service; b) in so far as practicable, to all other aircraft having filed a flight plan or otherwise known to the air traffic services; and c) to any aircraft known or believed to be the subject of unlawful interference.	Operational documentation (manual/s and or instructions) regarding: • Types of traffic to which AL is provided	Check that according with the operational documentation used by the service provider, AL is to be provided to: • All aircraft provided with air traffic control service; • In so far as practicable, to all other aircraft having filed a flight plan or otherwise known to the air traffic services; and • To any aircraft known or believed to be the subject of unlawful interference.	Chapter 5 applies to ANSPs providing altering services To note that AFIS includes the appropriate provision of alerting service and flight information service in the context of an aerodrome
5.1.2 Chapter 5 Std.	Flight information centres or area control centres shall serve as the central point for collecting all information relevant to a state of emergency of an aircraft operating within the flight information region or control area concerned and for forwarding such information to the appropriate rescue coordination centre.	Operation documentation (manual/s, instructions and/or letters of agreement) regarding: • Definition and allocation of responsibilities for the collection of information relevant to a state of emergency • Location of units with responsibilities allocated to them • Description of means necessary to play the role of central point in collecting information	Check that according with the operational documentation used by the service provider, check that: • The procedures and working practices established specify that the central point for collecting all the information relevant to the service is at the FIC or ACC with responsibility for the FIR/control area • The documentation describes means (technical, human, etc) appropriate at the FIC/ACC to conduct the role of central point for the collection of	
5.1.3 Chapter 5 Std.	In the event of a state of emergency arising to an aircraft while it is under the control of an aerodrome control tower or approach control unit, such unit shall notify immediately the flight information centre or area control centre responsible which shall in turn notify the rescue coordination centre, except that notification of the area control centre, flight information centre, or rescue coordination centre shall not be required when the nature of the emergency is such that the notification would be superfluous.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Procedures for notification of state of emergencies • Coordination arrangements with ATS units concerned	Check that relevant coordination arrangements or other appropriate provisions exist to ensure notification as required in the standard Appropriate procedures and working practices must be implemented by all the ATS providers concerned even if AL is coordinated by a different unit/organisation. The units concerned should therefore be checked to verify the notification process on their side: • Notification procedures and responsibilities should be established in all the ATS units Check also that the documentation covers 5.1.4 below	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Notifications received by the FIC/ACC and the RCC in cases of state of emergency	In a sample seleceted by the NSA amonsgts the notifications forwarded by TWR or APP units to FIC/ACC subsequently forwarded from FIC/ACC to RCC Check that, for all the notifications included in the sample: • The relevant procedures were followed by all the units/persons concerned • Notification from TWR or APP units was immediate • Notification from FIC/ACC was immediate • The information in both notifications was consistent • Irrespective of the notifications, the TWR/APP unit took action in accordance with 5.1.4 below, if that was appropriate If when reviewing the sample cases are found in which notification did not take place, review the reasons for not forwarding it to verify that was due to the nature of the emergency in accordance with the standard	
5.1.3.1 Chapter 5 Std.	Nevertheless, whenever the urgency of the situation so requires, the aerodrome control tower or approach control unit responsible shall first alert and take other necessary steps to set in motion all appropriate local rescue and emergency organizations which can give the immediate assistance required.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Procedures for notification of state of emergencies • Coordination arrangements with ATS units concerned • Coordination with appropriate local rescue and emergency organisations	Check that relevant coordination arrangements or other appropriate provisions exist as regards this standard Arocedures and working practices must be implemented by all the ATS providers concerned even if AL is coordinated by a different unit/organisation. The units concerned should therefore be checked to verify the process established on their side: • In all TWR/APP units, coordination arrangements (focal points, clear protocols, communication channels, etc) should exist between the TWR/APP unit and the appropriate local rescue and emergency organisations	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Notifications received by the FIC/ACC and the RCC in cases of state of emergency	When reviewing the sample proposed in 5.1.3 above, check that, For all the cases in the sample where 5.1.3.1 is applicable: • The TWR/APP unit alerted and take other necessary steps to set in motion all appropriate local rescue and emergency organizations which can give the immediate assistance required	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
5.2.1 Chapter 5 Std.	***Notification of rescue coordination centres*** Without prejudice to any other circumstances that may render such notification advisable, air traffic services units shall, except as prescribed in 5.5.1, notify rescue coordi-nation centres immediately an aircraft is considered to be in a state of emergency in accordance with the following: a) Uncertainty phase when: 1) no communication has been received from an aircraft within a period of thirty minutes after the time a communication should have been received, or from the time an unsuccessful attempt to establish communication with such aircraft was first made, whichever is the earlier, or when 2) an aircraft fails to arrive within thirty minutes of the estimated time of arrival last notified to or estimated by air traffic services units, whichever is the later, except when no doubt exists as to the safety of the aircraft and its occupants. b) Alert phase when: 1) following the uncertainty phase, subsequent attempts to establish communication with the aircraft or inquiries to other relevant sources have failed to reveal any news of the aircraft, or when 2) an aircraft has been cleared to land and fails to land within five minutes of the estimated time of landing and communication has not been re-established with the aircraft, or when 3) information has been received which indicates that the operating efficiency of the aircraft has been impaired, but not to the extent that a forced landing is likely, except when evidence exists that would allay apprehension as to the safety of the aircraft and its occupants, or when 4) an aircraft is known or believed to be the subject of unlawful interference.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Procedures for notification of state of emergencies • Coordination arrangements with ATS units concerned • Coordination with appropriate local rescue and emergency organisations Records related to notifications forwarded by ATS units to the RCC	Check that the operational documentation of ATS units include procedures and working methods to notify RCCs of the information specified in the standard. Check that these procedures conform with the standard Within a sample selected by the NSA amongst the states of emergency notified or reported by the ATS units operated by the ANSP, check that: For all the cases included in the sample: • The relevant procedures were followed and were consistent with the requirements of the standard	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
5.2.1 Chapter 5 Std. *(continuation)*	c) Distress phase when: 1) following the alert phase, further unsuccessful attempts to establish communication with the aircraft and more widespread unsuccessful inquiries point to the probability that the aircraft is in distress, or when 2) the fuel on board is considered to be exhausted, or to be insufficient to enable the aircraft to reach safety, or when 3) information is received which indicates that the operating efficiency of the aircraft has been impaired to the extent that a forced landing is likely, or when 4) information is received or it is reasonably certain that the aircraft is about to make or has made a forced landing, except when there is reasonable certainty that the aircraft and its occupants are not threatened by grave and imminent danger and do not require immediate assistance.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Procedures for notification of state of emergencies • Coordination arrangements with ATS units concerned • Coordination with appropriate local rescue and emergency organisations Records related to notifications forwarded by ATS units to the RCC	Check that the operational documentation of ATS units include procedures and working methods to notify RCCs of the information specified in the standard. Check that these procedures conform with the standard Within a sample selected by the NSA amongst the states of emergency notified or reported by the ATS units operated by the ANSP, check that: For all the cases included in the sample: • The relevant procedures were followed and were consistent with the requirements of the standard	*(continuation)*
5.2.2 Chapter 5 Std.	The notification shall contain such of the following information as is available in the order listed: a) INCERFA, ALERFA or DETRESFA, as appropriate to the phase of the emergency; b) agency and person calling; c) nature of the emergency; d) significant information from the flight plan; e) unit which made last contact, time and means used; f) last position report and how determined; g) colour and distinctive marks of aircraft; h) dangerous goods carried as cargo; i) any action taken by reporting office; and j) other pertinent remarks.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Procedures for notification of state of emergencies • Coordination arrangements with ATS units concerned • Coordination with appropriate local rescue and emergency organisations Records related to notifications forwarded by ATS units to the RCC	Check that the operational documentation of ATS units include procedures and working methods to notify RCCs of the information specified in the standard. Check that these procedures conform with the standard Within a sample selected by the NSA amongst the states of emergency notified or reported by the ATS units operated by the ANSP, check that: For all the cases included in the sample: • The relevant procedures were followed and were consistent with the requirements of the standard • More specifically the contents of the notififcations correspond with the specifications of the standard	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
5.2.3 Chapter 5 Std.	Further to the notification in 5.2.1, the rescue coordination centre shall, without delay, be furnished with: a) any useful additional information, especially on the development of the state of emergency through subsequent phases; or b) information that the emergency situation no longer exists.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Procedures for notification of state of emergencies • Coordination arrangements with ATS units concerned • Coordination with appropriate local rescue and emergency organisations Records related to notifications forwarded by ATS units to the RCC	Check that the operational documentation of ATS units include procedures and working methods to notify RCCs of the information specified in the standard. Check that these procedures conform with the standard Within a sample selected by the NSA amongst the states of emergency notified or reported by the ATS units operated by the ANSP, check that: For all the cases included in the sample: • The relevant procedures were followed and were consistent with the requirements of the standard • More specifically, any useful information as specified in the standard was forwarded to the RCC	
5.3 Chapter 5 Std.	***Use of communication facilities*** Air traffic services units shall, as necessary, use all available communication facilities to endeavour to establish and maintain communication with an aircraft in a state of emergency, and to request news of the aircraft.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Use of communication facilities	Check that the operational documentation of ATS units include procedures and working methods to allow the use of all available communciation facilities as appropriate	
5.4 Chapter 5 Std.	***Plotting aircraft in a state of emergency*** When a state of emergency is considered to exist, the flight of the aircraft involved shall be plotted on a chart in order to determine the probable future position of the aircraft and its maximum range of action from its last known position. The flights of other aircraft known to be operating in the vicinity of the aircraft involved shall also be plotted in order to determine their probable future positions and maximum endurance.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Plotting of aircraft	Check that the operational documentation of ATS units include procedures and working methods to ensure: • Tthat when a state of emergency is considered to exist, the flight of the aircraft involved is plotted on a chart in order to determine the probable future position of the aircraft and its maximum range of action from its last known position. • That flights of other aircraft known to be operating in the vicinity of the aircraft involved are also be plotted in order to determine their probable future positions and maximum endurance	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
5.5.1 Chapter 5 Std.	***Information to the operator*** When an area control or a flight information centre decides that an aircraft is in the uncertainty or the alert phase, it shall, when practicable, advise the operator prior to notifying the rescue coordination centre.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Information to the operator	Check that the operational documentation of ATS units include procedures and working methods to inform the aircraft operator as required in the standard	
5.5.2 Chapter 5 Std.	All information notified to the rescue coordination centre by an area control or flight information centre shall, whenever practicable, also be communicated, without delay, to the operator.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Information to the operator	Check that the operational documentation of ATS units and/or RCCs include procedures and working methods to inform the aircraft operator as required in the standard	
5.6.1 Chapter 5 Std.	***Information to aircraft operating in the vicinity of an aircraft in a state of emergency*** When it has been established by an air traffic services unit that an aircraft is in a state of emergency, other aircraft known to be in the vicinity of the aircraft involved shall, except as provided in 5.6.2, be informed of the nature of the emergency as soon as practicable.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Information to other aircraft	Check that the operational documentation of ATS units include procedures and working methods to inform other aircraft known to be in the vicinity of the aircraft involved, except as provided in 5.6.2	
5.6.2 Chapter 5 Std.	When an air traffic services unit knows or believes that an aircraft is being subjected to unlawful interference, no reference shall be made in ATS air-ground communications to the nature of the emergency unless it has first been referred to in communications from the aircraft involved and it is certain that such reference will not aggravate the situation.	Operational documentation (manual/s, instructions and/or letters of agreement) regarding: • Information to other aircraft	Check that the operational documentation of ATS units include procedures and working methods to ensure that no reference is made in ATS air-ground communications to the nature of the emergency unless it has first been referred to in communications from the aircraft involved and it is certain that such reference will not aggravate the situation	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
6.1.1.1 Chapter 6 Std.	***CHAPTER 6. AIR TRAFFIC SERVICES REQUIREMENTS FOR COMMUNICATIONS*** ***Aeronautical mobile service (air-ground communications)*** *General* Radiotelephony and/or data link shall be used in air-ground communications for air traffic services purposes.	See comments/notes on the right Evidences to show compliance with 6.1.1.1 should include the relevant evidences related to 6.1.1.2 to 6.1.5.1 below	See comments/notes on the right Assessment of compliance with 6.1.1.1 should include the relevant assessment actions related to 6.1.1.2 to 6.1.5.1 below	The implementation of some standards in Chapter 6 may require further actions by CNS service providers. However, ATS operational documentation should reflect the implementation of the technical aspects included in Annex 11 standards. Some evidences related to Chapter 6 could therefore be based on documentation made available by a CNS organisation to provide the ATS provider with specifications and assurances regarding the technical capabilities on which ATS operations will be based.
6.1.1.2 Chapter 6 Std.	When direct pilot-controller two-way radiotelephony or data link communications are used for the provision of air traffic control service, recording facilities shall be provided on all such air-ground communication channels.	Recording facilities for all air-ground communication channels	Check the existence of appropriate of recording facilities in an ATC unit. Select a sample of air-ground communication channels in an ATC unit. This sample should cover both radiotelephony and data link communications. Check that each channel in the sample is recorded.	(sampling unit = air-ground communication channel using radiotelephony or data link in an ATC unit operated by the ANSP)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
6.1.1.3 Chapter 6 Std.	Recordings of communications channels as required in paragraph 6.1.1.2 shall be retained for a period of at least thirty days.	Procedures for recording of air-ground communications and and retention of records	Check that procedures are in place to ensure that: • Communication channels (for radiotelephony and/or data like as applicable) are recorded • The resulting records are kept for at least 30 days	These procedures could be contained in the operational and/or technical documentation used by the ANSP. See comments in 6.1.1.1 regarding the link between ATS and CNS when using this table. To note that ICAO Annex 10, Volume II, Section 3.5.1 includes additional requirements regarding the record of communications.
		Records of communications	For each of the channels within the sample selected in 6.1.1.2 above: • Check the existence of records covering the whole period defined in the procedures for the retention of records • If appropriate check that the information contained in one record, selected within the sample, can be successfully retrieved.	To note that ICAO Annex 10, Volume II, Section 3.5.1 includes additional requirements regarding the record of communications.
6.1.2.1 Chapter 6 Std.	*For flight information service* Air-ground communication facilities shall enable two-way communications to take place between a unit providing flight information service and appropriately equipped aircraft flying anywhere within the flight information region.	Description of air-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation to describe the air-ground communications operated for the provision of FIS by the ANSP. Check that, in accordance with that description, the facilities allow two-way communications (from/to ATCO to/from pilot).	At ATS units providing FIS See comments in 6.1.1.1 regarding the link between ATS and CNS when using this table.
		Means for air-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other features	Review a sample of working positions involved in the provision of FIS at the ATS unit in order to check: • The existence of means for two-way communication in each working position included in the sample. • The correspondence with the description of air-ground communication facilities operated by the ANSP.	At ATS units providing FIS (sampling unit = working position involved in the provision of FIS within an ATS unit operated by the ANSP)

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
6.1.3.1 Chapter 6 Std.	*For area control service* Air-ground communication facilities shall enable two-way communications to take place between a unit providing area control service and appropriately equipped aircraft flying anywhere within the control area(s).	Description of air-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation describing the air-ground communications operated for the provision of area control service by the ANSP. Check that, in accordance with that description, the facilities allow two-way communications (from/to ATCO to/from pilot).	At ATS units providing area control service See comments in 6.1.1.1 regarding the link between ATS and CNS when using this table.
		Means for air-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Review a sample of working positions involved in the provision of area control service at the ATS unit in order to check: • The existence of means for two-way communication in each working position included in the sample • The correspondence with the description of air-ground communication facilities operated by the ANSP.	At ATS units providing area control service (sampling unit = working position involved in the provision of area control service within an ATS unit operated by the ANSP)
6.1.4.1 Chapter 6 Std.	*For approach control service* Air-ground communication facilities shall enable direct, rapid, continuous and static-free two-way communications to take place between the unit providing approach control service and appropriately equipped aircraft under its control.	Description of air-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation to describe the air-ground communications operated for the provision of approach control service by the ANSP. Check that, in accordance with that description, the facilities allow two-way communications (from/to ATCO to/from pilot) which are: • Direct (between ATCO-pilot with no intermediaries) • Rapid (in real time or almost real time) • Continuous (once established there is no need to reinitiate it during the exchange of information) • Static-free (the exchange of information is not affected by noise caused by electricity in the air) When reviewing the documentation check 6.1.4.2 wherever applicable (units providing approach control service functions as separate units).	At ATS units providing area control service See comments in 6.1.1.1 regarding the link between ATS and CNS when using this table.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Means for air-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Review a sample of working positions involved in the provision of approach control service at the ATS unit in order to check: • The existence of means for two-way communication in each working position included in the sample • The correspondence with the description of air-ground communication facilities operated by the ANSP, notably as regards any feature intended to allow direct, rapid, continuous and free-static communications.	At ATS units providing approach control service (sampling unit = working position involved in the provision of approach control service within an ATS unit operated by the ANSP)
6.1.4.2 Chapter 6 Std.	Where the unit providing approach control service functions as a separate unit, air-ground communications shall be conducted over communication channels provided for its exclusive use.	Means for air-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Review a sample of working positions in ATS units providing approach control service as a separate unit to check: • That the channels assigned are for exclusive use of the approach control service. See also 6.1.4.1 above.	At ATS units providing approach control service as a separate unit. (sampling unit = working position in an ATS unit providing approach control service as a separate unit)
6.1.5.1 Chapter 6 Std.	*For aerodrome control service* Air-ground communication facilities shall enable direct, rapid, continuous and static-free two-way communications to take place between an aerodrome control tower and appropriately equipped aircraft operating at any distance within 45 km (25 NM) of the aerodrome concerned.	Description of air-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation to describe the air-ground communications operated for the provision of aerodrome control service by the ANSP. Check that, in accordance with that description, the facilities allow two-way communications (from/to ATCO to/from pilot) which are: • Direct (between ATCO-pilot with no intermediaries) • Rapid (in real time or almost real time) • Continuous (once established there is no need to reinitiate it during the exchange of information) • Static-free (the exchange of information is not affected by noise caused by electricity in the air), and • Can take place at least within 45 km of the aerodrome concerned	At ATS units providing aerodrome control service See comments in 6.1.1.1 regarding the link between ATS and CNS when using this table.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Means for air-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Review a sample of working positions involved in the provision of aerodrome control service at the ATS unit in order to check: • The existence of means for two-way communication in each working position included in the sample. • The correspondence with the description of air-ground communication facilities operated by the ANSP, notably as regards any feature intended to allow direct, rapid, continuous and free-static communications.	(sampling unit = working position involved in the provision of aerodrome control service within an ATS unit operated by the ANSP)
		Measurement of the air-ground communications coverage around the aerodrome concerned	Review a sample of air-ground communication channels for aerodrome control at an ATS unit to check: • that the coverage was established systematically (desk-top calculations, ground-checks, flight-checks) • that the results meet the 45 km minimum If appropriate and necessary, flight checks could take place to verify the coverage	See comments in 6.1.1.1 regarding the link between ATS and CNS when using this table.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
6.2.1.1 Chapter 6 Std.	***Aeronautical fixed service (ground-ground communications)*** *General* Direct-speech and/or data link communications shall be used in ground-ground communications for air traffic services purposes.	See comments/notes on the right Evidences to show compliance with 6.2.1.1 should include the relevant evidences related to 6.2.2.1.1 to 6.2.3.6 below	See comments/notes on the right Assessment of compliance with 6.1.1.1 should include the relevant assessment actions related to 6.2.2.1.1 to 6.2.3.6 below	The implementation of some standards in Chapter 6 may require further actions by CNS service providers. However, ATS operational documentation should reflect the implementation of the technical aspects included in Annex 11 standards. Some evidences related to Chapter 6 could therefore be based on documentation made available by a CNS organisation to provide the ATS provider with specifications and assurances regarding the technical capabilities on which ATS operations will be based.
6.2.2.1.1 Chapter 6 Std.	*Communications within a flight information region* *Communications between air traffic services units* A flight information centre shall have facilities for communications with the following units providing a service within its area of responsibility: a) the area control centre, unless collocated; b) approach control units; c) aerodrome control towers.	Description of ground-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation to describe the ground-ground communications at FICs operated by the ANSP. Check that, in accordance with that description, the facilities allow communications with all the relevant units within its area of responsibility as described in the standard. In relation to 6.2.2.3.1, check that, in accordance with that description, the facilities allow: • Instantaneous communication by direct speech alone or in combination with data link, for the purpose of transfer of radar control; • For other purposes, communications by direct speech alone or in combination with data link within at least 15 seconds • Message transit time no longer than five minutes for those comunications involving the transmission of a written record.	At FICs See comments in 6.2.1.1 regarding the link between ATS and CNS when using this table.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Means for ground-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Review a sample of working positions in the FIC in order to check: • The existence of means in each working position to communicate with all the relevant units within its area of responsibility as described in the standard.. • The correspondence with the description of ground-ground communication facilities operated by the ANSP.	At FICs (sampling unit = working position in a FIC operated by the ANSP)
6.2.2.1.2 Chapter 6 Std.	An area control centre, in addition to being connected to the flight information centre as prescribed in 6.2.2.1.1, shall have facilities for communications with the following units providing a service within its area of responsibility: a) approach control units; b) aerodrome control towers; c) air traffic services reporting offices, when separately established.	Description of ground-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation describing the ground-ground communications operated at area control centres operated by the ANSP. Check that, in accordance with that description, the facilities allow communications with • the flight information centre • relevant units within its area of responsibility as described in the standard In relation to 6.2.2.3.1, check that, in accordance with that description, the facilities allow: • Instantaneous communication by direct speech alone or in combination with data link, for the purpose of transfer of radar control; • For other purposes, communications by direct speech alone or in combination with data link within at least 15 seconds • Message transit time no longer than five minutes for those comunications involving the transmission of a written record.	At area control centres See comments in 6.2.1.1 regarding the link between ATS and CNS when using this table.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Means for groind-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Review a sample of working positions in the area control centre in order to check: • The existence of means in each working position to communicate with the flight information centre and all the relevant units within its area of responsibility • The correspondence with the description of ground-ground communication facilities operated by the ANSP.	At area control centres (sampling unit = working position in an area control centre operated by the ANSP)
6.2.2.1.3 Chapter 6 Std.	An approach control unit, in addition to being connected to the flight information centre and the area control centre as prescribed in 6.2.2.1.1 and 6.2.2.1.2, shall have facilities for communications with the associated aerodrome control tower(s) and, when separately established, the associated air traffic services reporting office(s).	Description of ground-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation to describe the ground-ground communications at approach control units perated by the ANSP. Check that, in accordance with that description, the facilities allow communications with: • The flight information centre • The area control centre • All the relevant units within its area of responsibility as described in the standard. In relation to 6.2.2.3.1, check that, in accordance with that description, the facilities allow: • Instantaneous communication by direct speech alone or in combination with data link, for the purpose of transfer of radar control; • For other purposes, communications by direct speech alone or in combination with data link within at least 15 seconds • Message transit time no longer than five minutes for those comunications involving the transmission of a written record.	At approach control units See comments in 6.2.1.1 regarding the link between ATS and CNS when using this table.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Means for ground-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Review a sample of ATC working positions in the approach control unit to check: • The existence of means in each working position to communicate with the flight information centre, the area control centre and all the relevant units within its area of responsibility • The correspondence with the description of ground-ground communication facilities operated by the ANSP.	At approach control units (sampling unit = working position in an approach control unit operated by the ANSP)
6.2.2.1.4 Chapter 6 Std.	An aerodrome control tower, in addition to being connected to the flight information centre, the area control centre and the approach control unit as prescribed in 6.2.2.1.1, 6.2.2.1.2 and 6.2.2.1.3, shall have facilities for communications with the associated air traffic services reporting office, when separately established.	Description of ground-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation to describe the ground-ground communications at the aerodrome control tower operated by the ANSP. Check that, in accordance with that description, the facilities allow communications with: • the flight information centre • the area control centre • the approach control unit • the air trafffic services reporting office when established separately In relation to 6.2.2.3.1, check that, in accordance with that description, the facilities allow: • Instantaneous communication by direct speech alone or in combination with data link, for the purpose of transfer of radar control; • For other purposes, communications by direct speech alone or in combination with data link within at least 15 seconds • Message transit time no longer than five minutes for those comunications involving the transmission of a written record.	At aerodrome control towers See comments in 6.2.1.1 regarding the link between ATS and CNS when using this table.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Means for ground-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Review a sample of working positions in the aerodrome control tower to check: • The existence of means in each working position to communicate with the flight information centre, the area control centre, the approach control unit and the air trafffic services reporting office when established separately • The correspondence with the description of ground-ground communication facilities operated by the ANSP.	At aerodrome control towers (sampling unit = working position in an aerodrome control tower operated by the ANSP)
6.2.2.2.1 Chapter 6 Std.	*Communications between air traffic services units and other units* A flight information centre and an area control centre shall have facilities for communications with the following units providing a service within their respective area of responsibility: a) appropriate military units; b) the meteorological office serving the centre; c) the aeronautical telecommunications station serving the centre; d) appropriate operator's offices; e) the rescue coordination centre or, in the absence of such centre, any other appropriate emergency service; f) the international NOTAM office serving the centre.	Description of ground-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation describing the ground-ground communications operated at flight information centres and area control centres operated by the ANSP. Check that, in accordance with that description, the facilities allow communications with all the relevant parties listed in the standard. In relation to 6.2.2.3, check that, in accordance with that description, communications with the military unit(s) responsible for control of interception operations: • Exist and are reliable (e.g. a specification showing high reliability is documented, backup exists, etc) and, as required in 6.2.2.3.1, allow: • Instantaneous communication by direct speech alone or in combination with data link, for the purpose of transfer of radar control; • For other purposes, communications by direct speech alone or in combination with data link within at least 15 seconds • Message transit time no longer than five minutes for those comunications involving the transmission of a written record.	At flight information centres and area control centres See comments in 6.2.1.1 regarding the link between ATS and CNS when using this table.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Means for ground-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Select a sample of relevant parties from the ones listed in the standard, and check the existence of means in the working position to communicate with each relevant party included in the sample.	At flight information centres and area control centres (sampling unit = unit, centre, office or station that must be connected to FICs and ACCs operated by the ANSP)
6.2.2.2.2 Chapter 6 Std.	An approach control unit and an aerodrome control tower shall have facilities for communications with the following units providing a service within their respective area of responsibility: a) appropriate military units; b) rescue and emergency services (including ambulance, fire, etc.); c) the meteorological office serving the unit concerned; d) the aeronautical telecommunications station serving the unit concerned; e) the unit providing apron management service, when separately established.	Description of ground-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation describing the ground-ground communications operated at approach control units and aerodrome control towers operated by the ANSP. Check that, in accordance with that description, the facilities allow communications with all the relevant parties listed in the standard. In relation to 6.2.2.3, check that, in accordance with that description, communications with the military unit(s) responsible for control of interception operations: • Exist and are reliable (e.g. a specification showing high reliability is documented, backup exists, etc); and, as required in 6.2.2.3.1, allow: • Instantaneous communication by direct speech alone or in combination with data link, for the purpose of transfer of radar control; • For other purposes, communications by direct speech alone or in combination with data link within at least 15 seconds • Message transit time no longer than five minutes for those comunications involving the transmission of a written record.	At approach control units and aerodrome control towers See comments in 6.2.1.1 regarding the link between ATS and CNS when using this table.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Means for ground-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Select a sample of relevant parties from the ones listed in the standard, and check the existence of means in the working positions to communicate with each relevant party included in the sample.	At approach control units and aerodrome control towers (sampling unit = unit, centre, office or station that must be connected to approach control units or aerodrome control towers operated by the ANSP)
6.2.2.2.3 Chapter 6 Std.	The communication facilities required under 6.2.2.2.1 a) and 6.2.2.2.2 a) shall include provisions for rapid and reliable communications between the air traffic services unit concerned and the military unit(s) responsible for control of interception operations within the area of responsibility of the air traffic services unit.	Means for ground-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Check this aspect: • Within the review of the description of facilities related to 6.2.2.2.1 and 6.2.2.2.2. • Within the review of samples proposed in relation to 6.2.2.2.1 and 6.2.2.2.2. Make sure that these samples include the military unit(s) responsible for control of interception operations.	This standard is already considered in the specific actions proposed to check the standards referred to.
6.2.2.3.1 Chapter 6 Std.	*Description of communication facilities* The communication facilities required under 6.2.2.1, 6.2.2.2.1 a) and 6.2.2.2.2 a), b) and c) shall include provisions for: a) communications by direct speech alone, or in combination with data link communications, whereby for the purpose of transfer of radar control the communications can be established instantaneously and for other purposes the communications can normally be established within fifteen seconds; and b) printed communications, when a written record is required; the message transit time for such communications being no longer than five minutes.	Means for ground-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Check this aspect: • Within the review of the description of facilities related to 6.2.2.1.1, 6.2.2.1.2, 6.2.2.1.3, 6.2.2.1.4, 6.2.2.2.1 and 6.2.2.2.2. • Within the review of samples proposed in relation to 6.2.2.1.1, 6.2.2.1.2, 6.2.2.1.3, 6.2.2.1.4, 6.2.2.2.1 and 6.2.2.2.2. Make sure that these samples include the military unit(s) responsible for control of interception operations in the case of 6.2.2.2.1 and 6.2.2.2.2.	To note that this standard is already considered in the specific actions proposed to check the standards referred to.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
6.2.2.3.3 Chapter 6 Std.	In all cases where automatic transfer of data to and/or from air traffic services computers is required, suitable facilities for automatic recording shall be provided.	Recording facilities for ground-ground communication channels	Check the existence of appropriate of recording facilities in an ATS unit. Select a sample of ground-ground communications where automatic transfer of data to and/or from ATS computers is required. Check that automatic recording facilities exist for each one of the transfers included in the sample.	(sampling unit = automatic transfer of data to and/or from ATS computers in an ATS unit operated by the ANSP)
6.2.2.3.7 Chapter 6 Std.	All facilities for direct-speech or data link communications between air traffic services units and between air traffic services units and other units described in 6.2.2.2.1 and 6.2.2.2.2 shall be provided with automatic recording.	Recording facilities for ground-ground communication channels	Check the existence of appropriate of recording facilities in an ATS unit. Select a sample of ground-ground communications involving direct-speech or data link between ATS units and between ATS units and other units mentioned in 6.2.2.2.1. Include both cases in the sample. Check that automatic recording facilities exist for each one of the communications included in the sample.	(sampling unit = direct speech or data link communication between an ATS units and between ATS units and other relevant units, which involve an ATS unit operated by the ANSP)
6.2.2.3.8 Chapter 6 Std.	Recordings of data and communications as required in 6.2.2.3.3 and 6.2.2.3.7 shall be retained for a period of at least thirty days.	Procedures for recording of ground-ground communications and and retention of records	Check that procedures are in place to ensure that: • automatic transfers of data to and/or from ATS computers in an ATS unit; and • direct speech or data link communications between ATS units; and • direct speech or data link communications between ATS units and other relevant units are recorded. Check that procedures are in place to ensure that the resulting records are kept for at least 30 days.	These procedures could be contained in the operational and/or technical documentation used by the ANSP. See comments in 6.2.1.1 regarding the link between ATS and CNS when using this table. To note that ICAO Annex 10, Volume II, Section 3.5.1 includes additional requirements regarding the record of communications.
		Records of communications	For each of the communications included in the sample of 6.2.2.3.7 above: • Check the existence of records covering the whole period defined in the procedures for the retention of records • If appropriate check that the information contained in one record, selected within the sample, can be successfully retrieved.	To note that ICAO Annex 10, Volume II, Section 3.5.1 includes additional requirements regarding the record of communications.

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
6.2.3.1 Chapter 6 Std.	*Communications between flight information regions* Flight information centres and area control centres shall have facilities for communications with all adjacent flight information centres and area control centres.	Description of ground-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation describing the ground-ground communications operated at flight information centres and area control centres operated by the ANSP. Check that, in accordance with that description, the facilities allow communications with all the adjacent flight information centres and area control centres Check that, in acordance with description, the facilities meet the standards 6.2.3.1.1 to 6.2.3.6 as applicable	At flight information centres and area control centres See comments in 6.2.1.1 regarding the link between ATS and CNS when using this table.
		Means for air-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Review a sample of working positions selected by the NSA, and check: For all the working positions included in the sample: • That appropriate means exist in all the working positions of the FICs/ACCs operated by the ANSP to ensure an appropriate communication In relation to adjacent FICs/ACCs, • The correspondence with the description of ground-ground communication facilities operated by the ANSP • Compliance with the relevant provisions of 6.2.3.1.1 to 6.2.3.6	At flight information centres and area control centres
6.2.3.1.1 Chapter 6 Std.	These communication facilities shall in all cases include provisions for messages in a form suitable for retention as a permanent record, and delivery in accordance with transit times specified by regional air navigation agreements.	Description of ground-ground communication facilities operated by the ANSP	When checking the documentation proposed in 6.2.3.1 verify that communication facilities include provisions for messages in a form suitable for retention as a permanent record, and delivery in accordance with transit times specified by the relevant regional air navigation agreements	
		Means for air-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	When reviewing the sample of working positions propsoed in relation to 6.2.3.1, check that: For all the working positions included in the sample: • Appropriate means exist for the delivery of messages in accordance with transit times specified by trhe relevant regional air navigation agreements	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
6.2.3.1.2 Chapter 6 Std.	Unless otherwise prescribed on the basis of regional air navigation agreements, facilities for communications between area control centres serving contiguous control areas shall, in addition, include provisions for direct-speech and, where applicable, data link communications, with automatic recording, whereby for the purpose of transfer of control using radar or ADS data, the communications can be established instantaneously and for other purposes the communications can normally be established within fifteen seconds.	Description of ground-ground communication facilities operated by the ANSP	When checking the documentation proposed in 6.2.3.1 verify that communication facilities include provisions • For direct-speech and, where applicable, data link communications, with automatic recording, • Whereby for the purpose of transfer of control using radar or ADS data, the communications can be established instantaneously and • For other purposes the communications can normally be established within fifteen seconds.	Unless otherwise prescribed on the basis of regional air navigation agreements
		Means for air-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	When reviewing the sample of working positions propsoed in relation to 6.2.3.1, check: For all the working positions included in the sample: • Correspondence with the description of facilities • More specifically, that communications can be established instantaneously or within 15 seconds depending upon the case	Unless otherwise prescribed on the basis of regional air navigation agreements
6.2.3.1.3 Chapter 6 Std.	When so required by agreement between the States concerned in order to eliminate or reduce the need for interceptions in the event of deviations from assigned track, facilities for communications between adjacent flight information centres or area control centres other than those mentioned in 6.2.3.1.2 shall include provisions for direct speech alone, or in combination with data link communications. The communication facilities shall be provided with automatic recording.	Description of ground-ground communication facilities operated by the ANSP	When checking the documentation proposed in 6.2.3.1 verify that communication facilities include provisions: • For direct speech alone, or in combination with data link communications. • These communication facilities are provided with automatic recording.	When so required by agreement between the States concerned
		Means for air-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	When reviewing the sample of working positions propsoed in relation to 6.2.3.1, check that: For all the working positions included in the sample: • Correspondence with the description of facilities • Provision of direct speech alone or in combination with data link exists • Communications can be recorded	When so required by agreement between the States concerned

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
6.2.3.5 Chapter 6 Std.	*Communications between flight information regions* In all cases where automatic exchange between air traffic services computers is required, suitable facilities for automatic recording shall be provided.	Description of ground-ground communication facilities operated by the ANSP	When checking the documentation proposed in 6.2.3.1 verify that communication facilities include provisions in all cases where automatic exchange between air traffic services computers is required, for suitable facilities for automatic recording	
		Means for air-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	When reviewing the sample of working positions proposed in relation to 6.2.3.1, check that: For all the working positions included in the sample: • Suitable facilities for automatic recording exis where automatic exchange between ATS computers is required	
6.2.3.6 Chapter 6 Std.	Recordings of data and communications as required in 6.2.3.5 shall be reatined for a period of at least thirty days.	Description of ground-ground communication facilities operated by the ANSP	When checking the documentation proposed in 6.2.3.1 verify that recording facilities are foreseen	
		Means for air-ground communication at working positions including as appropriate: • Recording facilities • other related features	When reviewing the sample of working positions propsoed in relation to 6.2.3.1, check that: For all the working positions included in the sample: • Appropriate means exist for the recording of data and communications	
		Procedures for recording of communications and data and their retention	Check that procedures exist to record all the data and communications. Check that the retention period is at least 30 days	Procedures may be part of the operational and/or technical documentation used at the ATS unit
		Records of data and communications which must be retained	Check that the records exist, are properly maiantained, kept for at least 30 days and are retrievable. Select a sample of working positions to check whether the data and communications related to them are actually recorded and kept for at last 30 days. Ask to retrieve the data and communication recorded for some of the working positions in the sample.	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
6.3.1.1 Chapter 6 Std.	***Surface movement control service*** *Communications for the control of vehicles other than aircraft on manoeuvring areas at controlled aerodromes* Two-way radiotelephony communication facilities shall be provided for aerodrome control service for the control of vehicles on the manoeuvring area, except where communication by a system of visual signals is deemed to be adequate.	Description of ground-ground communication facilities operated by the ANSP	Check the existence of enough technical and/or operational documentation in relatio to the radiotelephony communication facilities for the control of vehicles on the manoeuvring area, except where communication by a system of visual signals is deemed to be adequate (in that case verify that the visual signals system is properly described) Check that, in acordance with description, the facilities meet the standards 6.3.1.2 and 6.3.1.3 as applicable	At aerodrome units See comments in 6.2.1.1 regarding the link between ATS and CNS when using this table.
		Means for air-ground communication at working positions including as appropriate: • equipment such as radio, intercom and telephone control panels, etc • channels assigned • other related features	Review a sample of working positions selected by the NSA, and check: For all the working positions included in the sample: • The correspondence with the description of ground-ground communication facilities operated by the ANSP • More specifically, a two way radiotelephony communication facility exist except where communication by a system of visual signals is deemed to be adequate (in that case check the existence of that system) • Compliance with the relevant provisions of 6.2.3.1.1 to 6.2.3.6	At flight information centres and area control centres
6.3.1.2 Chapter 6 Std.	Where conditions warrant, separate communication channels shall be provided for the control of vehicles on the manoeuvring area. Automatic recording facilities shall be provided on all such channels.	Evidences related to 6.3.1.1 above	To be checked when reviewing the evidences related to 6.3.1.1 above	
6.3.1.3 Chapter 6 Std.	Recordings of communications as required in 6.3.1.2 shall be retained for a period of at least thirty days.	Description of ground-ground communication facilities operated by the ANSP	When checking the documentation proposed in 6.3.3.1 verify that recording facilities are foreseen	
		Means for air-ground communication at working positions including as appropriate: • Recording facilities • other related features	When reviewing the sample of working positions propsoed in relation to 6.2.3.1, check that: For all the working positions included in the sample: Appropriate means exist for the recording of these communications	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Procedures for recording of communications and data and their retention	Check that procedures exist to record these communications. Check that the retention period is at least 30 days	Procedures may be part of the operational and/or technical documentation used at the ATS unit
		Records of data and communications which must be retained	Check that the records exist, are properly maintained, kept for at least 30 days and are retrievable. Select a sample of working positions to check whether the communications related to them are actually recorded and kept for at last 30 days. Ask to retrieve the communication recorded for some of the working positions in the sample	
6.4.1.1 Chapter 6 Std.	***Aeronautical radio navigation service*** *Automatic recording of surveillance data* Surveillance data from primary and secondary radar equipment or obtained through ADS or other surveillance systems, used as an aid to air traffic services, shall be automatically recorded for use in accident and incident investigations, search and rescue, air traffic control and surveillance systems evaluation and training.	Description of surveillance related facilities operated a the ATS unit	Check the existence of enough technical and/or operational documentation in relation to the automatic recording of surveillance data Check that, in acordance with description, the facilities meet the standard 6.4.1.2	See comments in 6.2.1.1 regarding the link between ATS and CNS when using this table.
		Means for surveillance: • Automatic recording facilities • Other related features	Review a sample of working positions selected by the NSA, and check: For all the working positions included in the sample: • The data from primary and secondary radar used in the position is automatically recorded in accordance with the description of ground-ground communication facilities operated by the ANSP • Compliance with 6.4.1.2	
6.4.1.2 Chapter 6 Std.	Automatic recordings shall be retained for a period of at least thirty days. When the recordings are pertinent to accident and incident investigations, they shall be retained for longer periods until it is evident that they will no longer be required.	Procedures for automatic recording of surveillance data and their retention	Check that procedures exist to automatically record the data Check that the retention period is at least 30 days	Procedures may be part of the operational and/or technical documentation used at the ATS unit
		Records of data to be retained	Check that the records exist, are properly maintained, kept for at least 30 days and are retrievable. Select a sample of working positions to check whether the data related to them are actually recorded and kept for at last 30 days. Ask to retrieve the data recorded for some of the working positions in the sample	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
7.1.1.1 Chapter 7 Std.	***CHAPTER 7. AIR TRAFFIC SERVICES REQUIREMENTS FOR INFORMATION*** ***Meteorological information*** *General* Air traffic services units shall be supplied with up-to-date information on existing and forecast meteorological conditions as necessary for the performance of their respective functions. The information shall be supplied in such a form as to require a minimum of interpretation on the part of air traffic services personnel and with a frequency which satisfies the requirements of the air traffic services units concerned.	Written arrangements with the relevant MET services regarding: • Supply of metorological information • Format of the information supplied Relevant evidences for 7.1.2.1 to 7.6 as applicable depending on the type of ATS units operated Relevant evidences for 2.19.1 and 2.19.2	Check the existence of written arrangements between the ATS provider and the relevant MET services in order to ensure the supply of all the meteorological information necessary for the operation of ATS services as required in these standards. More specifically, check that the arrangements establish: • The information to be provided • The locations/units to which information is provided • The frequency of the supply of information • The format of the information, which should require a minimum of interpreation on the part of ATS personnel If appropriate, consider the verification of the aspects mentioned in relation to 2.19.1 and 2.19.2 as regards coordination between ATS and MET.	See also 2.19.1 and 2.19.2 above in relation to the coordination arrangements needed between ATS and MET
7.1.2.1 Chapter 7 Std.	*Flight information centres and area control centres* Flight information centres and area control centres shall be supplied with SIGMET and AIRMET information, special air-reports, current meteorological reports and forecasts, particular emphasis being given to the occurrence or expected occurrence of weather deterioration as soon as this can be determined. These reports and forecasts shall cover the flight information region or control area and such other areas as may be determined on the basis of regional air navigation agreements.	Written arrangements with the relevant MET services regarding the supply of metorological information	Check that the evidences (written arrangements) related to 7.1.1.1 and 2.19.1/2.19.2 specify: • That the ATS provider will be supplied with SIGMET and AIRMET information, special air-reports, current meteorological reports and forecasts, • That particular emphasis will be given to the occurrence or expected occurrence of weather deterioration as soon as this can be determined • These reports/forecasts cover the relevant area(s) consistently with the provisions of the standard • Pressure data will be provided (related to 7.1.2.2) for all the locations specified by the ATS provider. Verify the existence of the specification of locations	In the case of FICs and ACCs
		Means arranged at the unit(s) to obtain and/or display meteorological data	In a sample selected by the NSA, amongst the FICs/ACCs operated by the ATS provider, check that: • Appropriate means exist for the reception and display of meteorological information (check a sample of working positions in the unit)	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Operational documentation (manual/s, instructions, etc) used by the ATS provider	Check that the operational documentation establish procedures and working methods for the reception and use of the meteorological information	
		Records showing the relevant meteorological information used by the ATS provider	Check the existence of records showing that the ATS unit receives all the information required to provide its services. More specifically records exist with regard to: • SIGMET and AIRMET information, • Special air-reports, current meteorological reports and forecasts, with particular emphasis being given to the occurrence or expected occurrence of weather deterioration as soon as this can be determined. • Pressure data for setting altimeters for all the locations specified by the ACC/FIC	
7.1.2.2 Chapter 7 Std.	Flight information centres and area control centres shall be provided, at suitable intervals, with current pressure data for setting altimeters, for locations specified by the flight information centre or area control centre concerned.	See evidences related to 7.1.2.1	Specific points related to this standard have been included in the aspects to be verified in relation to 7.1.2.1	
7.1.3.1 Chapter 7 Std.	*Units providing approach control service* Units providing approach control service shall be supplied with current meteorological reports and forecasts for the airspace and the aerodromes with which they are concerned. Special reports and amendments to forecasts shall be communicated to the units providing approach control service as soon as they are necessary in accordance with established criteria, without waiting for the next routine report or forecast. Where multiple anemometers are used, the indicators to which they are related shall be clearly marked to identify the runway and section of the runway monitored by each anemometer.	Written arrangements with the relevant MET services regarding the supply of metorological information	Check that the evidences (written arrangements) related to 7.1.1.1 and 2.19.1/2.19.2 specify that: • The ATS provider shall be supplied with with current meteorological reports and forecasts for the airspace and the aerodromes with which they are concerned. • Special reports and amendments to forecasts are communicated as soon as they are necessary in accordance with established criteria, without waiting for the next routine report or forecast. • Pressure data will be provided (related to 7.1.3.2) for all the locations specified by the ATS provider. Verify the existence of the specification of locations	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Means arranged at the unit(s) to obtain and/or display meteorological data	In a sample selected by the NSA, amongst the approach control units operated by the ATS provider, check that: • Appropriate means exist for the reception and display of meteorological information (check a sample of working positions in each unit checked). More specifically verify: o The existence of wind surface wind display(s) (related to 7.1.3.3). o These display(s) are related to the same location(s) of observation and be fed from the same sensor(s) as the corresponding display(s) in the aerodrome control tower and in the meteorological station where such a station exists o In the case of units providing service for final approach, landing and take-off at aerodromes where runway visual range values are assessed by instrumental means, there must be display(s) permitting read-out of the current run- way visual range value(s). Check that these display(s) are related to the same location(s) of observation and be fed from the same sensor(s) as the corresponding displays in the aerodrome control tower and in the meteorological station where such a station exists (related to 7.1.3.4) o That,where multiple anemometers are used, the indicators to which they are related are clearly marked to identify the runway and section of the runway monitored by each anemometer (see last sentence of 7.1.3.1 above)	
		Operational documentation (manual/s, instructions, etc) used by the ATS provider	Check that the operational documentation establish appropriate procedures and working methods for the reception and use of the meteorological information supplied	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the relevant meteorological information used by the ATS provider	Check the existence of records showing that the ATS unit receives all the information required to provide its services. More specifically records should exist with regard to: • Current meteorological reports and forecasts for the airspace and the aerodromes with which they are concerned. In that regard check that: o Special reports and amendments to forecasts were communicated as soon as they were necessary without waiting for the next routine report or forecast. o Where multiple anemometers were used, the indicators to which they are related shall be clearly marked to identify the runway and section of the runway monitored by each anemometer. • Pressure data for setting altimeters for all the locations specified by the unit (related to 7.1.3.2)	
7.1.3.2 Chapter 7 Std.	Units providing approach control service shall be provided with current pressure data for setting altimeters, for locations specified by the unit providing approach control service.	See evidences related to 7.1.3.1	Specific points related to this standard have been included in the aspects to be verified in relation to 7.1.3.1	
7.1.3.3 Chapter 7 Std.	Units providing approach control service for final approach, landing and take-off shall be equipped with surface wind display(s). The display(s) shall be related to the same location(s) of observation and be fed from the same sensor(s) as the corresponding display(s) in the aerodrome control tower and in the meteorological station, where such a station exists.	See evidences related to 7.1.3.1	Specific points related to this standard have been included in the aspects to be verified in relation to 7.1.3.1	
7.1.3.4 Chapter 7 Std.	Units providing approach control service for final approach, landing and take-off at aerodromes where runway visual range values are assessed by instrumental means shall be equipped with display(s) permitting read-out of the current run- way visual range value(s). The display(s) shall be related to the same location(s) of observation and be fed from the same sensor(s) as the corresponding displays in the aerodrome control tower and in the meteorological station, where such a station exists.	See evidences related to 7.1.3.1	Specific points related to this standard have been included in the aspects to be verified in relation to 7.1.3.1	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
7.1.4.1 Chapter 7 Std.	Aerodrome control towers Aerodrome control towers shall be supplied with current meteorological reports and forecasts for the aerodrome with which they are concerned. Special reports and amendments to forecasts shall be communicated to the aerodrome control towers as soon as they are necessary in accordance with established criteria, without waiting for the next routine report or forecast.	Written arrangements with the relevant MET services regarding the supply of metorological information	Check that the evidences (written arrangements) related to 7.1.1.1 and 2.19.1 / 2.19.2 specify that: • The ATS provider shall be supplied with with current meteorological reports and forecasts for the airspace and the aerodromes with which they are concerned. • Special reports and amendments to forecasts are communicated as soon as they are necessary in accordance with established criteria, without waiting for the next routine report or forecast • Pressure data will be provided (see 7.1.4.2) • Information will be provided on wind shear which could adversely affect aircraft on the approach or take-off paths or during circling approach and aircraft on the runway during the landing roll or take-off run (see 7.1.4.6)	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Means arranged at the unit(s) to obtain and/or display meteorological data	In a sample selected by the NSA, amongst the aerodrome control units operated by the ATS provider, check that: • Appropriate means exist for the reception and display of meteorological information (check a sample of working positions in each unit checked). More specifically verify: o The existence of surface wind display(s). o That these display(s) are related to the same location(s) of observation and are fed from the same sensor(s) as the corresponding display(s) in the meteorological station where such a station exists o Where multiple sensor(s) are used, the displays to which they are related are clearly marked to identify the runway and section of the runway monitored by each sensor o Where runway visual range values are measured by instrumental means, there must be display(s) permitting read-out of the current runway visual range value(s). These display(s) must be related to the same location(s) of observation and be fed from the same sensor(s) as the corresponding display(s) in the meteorological station where such a station exists.	
		Operational documentation (manual/s, instructions, etc) used by the ATS provider	Check that the operational documentation establish appropriate procedures and working methods for the reception and use of the meteorological information supplied	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
		Records showing the relevant meteorological information used by the ATS provider	Check the existence of records showing that the ATS unit receives all the information required to provide its services. More specifically records should exist with regard to: • Current meteorological reports and forecasts for the airspace and the aerodromes with which they are concerned. In that regard check that: o Special reports and amendments to forecasts were communicated as soon as they were necessary without waiting for the next routine report or forecast. • Pressure data for setting altimeters for all the locations specified by the unit • Wind shear which could adversely affect aircraft on the approach or take-off paths or during circling approach and aircraft on the runway during the landing roll or take-off run	
7.1.4.2 Chapter 7 Std.	Aerodrome control towers shall be provided with current pressure data for setting altimeters for the aerodrome concerned.	See evidences related to 7.1.4.1	Specific points related to this standard have been included in the aspects to be verified in relation to 7.1.4.1	
7.1.4.3 Chapter 7 Std.	Aerodrome control towers shall be equipped with surface wind display(s). The display(s) shall be related to the same location(s) of observation and be fed from the same sensor(s) as the corresponding display(s) in the meteorological station, where such a station exists. Wheremultiple sensor(s) are used, the displays to which they are related shall be clearly marked to identify the runway and section of the runway monitored by each sensor.	See evidences related to 7.1.4.1	Specific points related to this standard have been included in the aspects to be verified in relation to 7.1.4.1	
7.1.4.4 Chapter 7 Std.	Aerodrome control towers at aerodromes where runway visual range values are measured by instrumental means shall be equipped with display(s) permitting read-out of the current runway visual range value(s). The display(s) shall be related to the same location(s) of observation and be fed from the same sensor(s) as the corresponding display(s) in the meteorological station, where such a station exists.	See evidences related to 7.1.4.1	Specific points related to this standard have been included in the aspects to be verified in relation to 7.1.4.1	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
7.1.4.6 Chapter 7 Std.	Aerodrome control towers shall be supplied with information on wind shear which could adversely affect aircraft on the approach or take-off paths or during circling approach and aircraft on the runway during the landing roll or take-off run.	See evidences related to 7.1.4.1	Specific points related to this standard have been included in the aspects to be verified in relation to 7.1.4.1	
7.1.5 Chapter 7 Std.	*Communication stations* Where necessary for flight information purposes, current meteorological reports and forecasts shall be supplied to communication stations. A copy of such information shall be forwarded to the flight information centre or the area control centre.	Written arrangements with the relevant MET services regarding the supply of metorological information	Wherever applicable, written arrangements should exist specifying: • The information to be provided • The locations to which information is provided • The frequency of the supply of information • That a copy of such information is sent to the relevant FIC/ACC	
		Records showing the relevant meteorological information supplied	Check the existence of records showing that the station receives all the information necessary for its operation	
7.2 Chapter 7 Std.	***Information on aerodrome conditions and the operational status of associated facilities*** Aerodrome control towers and units providing approach control service shall be kept currently informed of the operationally significant conditions of the movement area, including the existence of temporary hazards, and the operational status of any associated facilities at the aerodrome(s) with which they are concerned.	Operational documentation (manual/s and/or instructions) used by the aerodrome control unit(s)	Check that procedures and other arrangements are established at the unit(s) to be kept currently informed of the operationally significant conditions of the movement area, including the existence of temporary hazards, and the operational status of any associated facilities at the aerodrome(s) with which they are concerned More specifically check: • That an allocation of responsibilities exists in the unit with regard to the reception and dissemination of information • That appropriate means exist to obtain the information	
		Records showing the implementation of relevant procedures	Check the existence of records showing that the unit receives the information, disseminates it appropriately and uses it	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
7.3.1 Chapter 7 Std.	***Information on the operational status of navigation aids*** ATS units shall be kept currently informed of the operational status of non-visual navigation aids, and those visual aids essential for take-off, departure, approach and landing procedures within their area of responsibility and those visual and non-visual aids essential for surface movement.	Operational documentation (manual/s and/or instructions) used by the ATS unit(s)	Check that procedures and other arrangements are established at the unit(s) to be kept currently informed of the operational status of non-visual navigation aids, and those visual aids essential for take-off, departure, approach and landing procedures within their area of responsibility and those visual and non-visual aids essential for surface movement. More specifically check: • That an allocation of responsibilities exists in the unit with regard to the reception and dissemination of information • That appropriate means exist to obtain the information	
		Records showing the implementation of relevant procedures	Check the existence of records showing that the unit receives the information, disseminates it appropriately and uses it	
7.4 Chapter 7 Std.	***Information on unmanned free balloons*** Operators of unmanned free balloons shall keep the appropriate air traffic services units informed of details of flights of unmanned free balloons in accordance with the provisions contained in Annex 2.	Operational documentation (manual/s and/or instructions) used by the ATS unit(s)	Check that procedures and other arrangements are established at the unit(s) to be kept currently informed of details of flights of unmanned free balloons in accordance with the provisions contained in Annex 2 More specifically check: • That an allocation of responsibilities exists in the unit with regard to the reception and dissemination of information • That appropriate means exist to obtain the information (e.g. procedures have been established to facilitate the reporting/notification from ballon operators)	
		Records showing the implementation of relevant procedures	Check the existence of records showing that the unit receives the information, disseminates it appropriately and uses it	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
7.5.1 Chapter 7 Std.	***Information concerning volvanic activity*** ATS units shall be informed, in accordance with local agreement, of pre-eruption volcanic activity, volcanic eruptions and volcanic ash cloud which could affect airspace used by flights within their area of responsibility.	Operational documentation (manual/s and/or instructions) used by the ATS unit(s)	Check that procedures and other arrangements are established at the unit(s) to be kept currently informed in accordance with local agreement, of pre-eruption volcanic activity, volcanic eruptions and volcanic ash cloud which could affect airspace used by flights within their area of responsibility. More specifically check: • That an allocation of responsibilities exists in the unit with regard to the reception and dissemination of information • That appropriate means exist to obtain the information (e.g. arrangements with MET services, etc)	
		Records showing the implementation of relevant procedures	Check the existence of records showing that the unit receives the information, disseminates it appropriately and uses it	
7.5.2 Chapter 7 Std.	Area control centres and flight information centres shall be provided with volcanic ash advisory information issued by the associated VAAC.	Written arrangements with the relevant MET services regarding the supply of metorological information	Check that the arrangemetns specify the provision of volcanic ash advisory information issued by the associated VAAC Check that, if applicable, records exist showing the implementation of such arrangement	
		Records showing the implementation of these arrangements, where they were implemented	Check the existence of records showing that the unit receives the information, disseminates it appropriately and uses it	

Annex Reference	ICAO Annex 11 Standard (13th Edition – Amendment 43)	Evidence(s)	How could the evidence be assessed	Comments/Notes
7.6 Chapter 7 Std.	***Information concerning radioactive materials and toxic chemical "clouds"*** ATS units shall be informed, in accordance with local agreement, of the release into the atmosphere of radioactive materials or toxic chemicals which could affect airspace used by flights within their area of responsibility.	Operational documentation (manual/s and/or instructions) used by the ATS unit(s)	Check that procedures and other arrangements are established at the unit(s) to be kept currently informed in accordance with local agreement, of the release into the atmosphere of radioactive materials or toxic chemicals which could affect airspace used by flights within their area of responsibility. More specifically check: • That an allocation of responsibilities exists in the unit with regard to the reception and dissemination of information • That appropriate means exist to obtain the information (e.g. arrangements with appropirate authorities/entities, etc)	
		Records showing the implementation of relevant procedures	Check the existence of records showing that the unit receives the information, disseminates it appropriately and uses it	