



ANSP CERTIFICATION MANUAL

First Edition, Feb 2021

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Bhutan Civil Aviation Authority

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RECORD OF AMENDMENTS AND CORRIGENDA

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FOREWORD


This Air Navigation Service Provider (ANSP) certification manual has been developed in line with Bhutan Civil Aviation Requirement for Air Traffic Management/Air Navigation Services (BCAR-ATM/ANS). The purpose of this manual is to guide the BCAA inspectors in carrying out the certification. This manual contains the detailed process for the certification of the Air Navigation Service Providers (ATS, MET, AIS, CNS).

While this manual is published for use by the ANS Inspectorate personnel, the personnel of relevant divisions within the BCAA, the ANS Providers and any organizations and their employees contracted to ANS Providers, will be notified for its publication.



Kinley Wangchuk
 Director
 Bhutan Civil Aviation Authority
 Date: 1st February, 2021

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Chapter 1: Introduction

1.1 Purpose

This document provides instructions to the Bhutan Civil Aviation Authority for certification of Air Navigation Services Providers (supplying ATS, MET, AIS, CNS) against the requirements under section 7 of BANRs and BCAR – ATM/ANS. This document is also intended to demonstrate fulfillment of states CE-6 obligations under the ICAO USOAP CMA in the area of ANS.

1.2 Intended audience

This document is intended for BCAA staff. It identifies steps to be followed to certify Air Navigation Service Providers in accordance with applicable regulatory requirements.

The document may also be useful and informative to other entities, including:

1. ANSPs subject to certification,
2. System manufacturers, airspace users etc.


To avoid detailed explanations, it is assumed that users of this document have sufficient knowledge and understanding of the relevant civil aviation legislations in Bhutan.

1.3 The regulatory baseline

The certification processes and tasks identified in this document are mainly based on the Bhutan Air Navigation Regulations, Bhutan Civil Aviation Requirements and other related international standards (e.g. ICAO SARPs).

The scope and applicability of these guidelines is primarily determined by the relevant provision in BANRs and BCARs. This document mentions but does not detail tasks and work-flows which are mainly subject BCAA's internal implementing arrangements.

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Chapter 2: Scope

2.1 The subject-matter of certification

This process shall be applied by BCAA to certify a service provider according to the relevant regulations. BCAA decides which arrangements, elements, services, products, physical locations and activities of an ANSP will be made subject to certification. The common requirements (CRs) for certification are established with regard to:

1. Technical and operational competence and suitability;
2. Systems and processes for safety and quality management;
3. Quality of services;
4. Ownership and organizational structure, including the prevention of conflicts of interest;
5. Human resources, including adequate staffing plans;
6. Security.


Verification of compliance with regard to these six categories of the CRs by the BCAA is needed before a certificate can be issued.

2.2 Compliance criteria

In line with best practice, the verification of compliance against any certification criteria should be carried out in accordance with all or part of the requirements for regulatory auditing.

These guidelines facilitate the certification exercise. The BCAA may adapt the generic process to local circumstances and allocate resources and effort commensurate with the specific objectives and needs of local certification. The generic process may also be adapted for those cases when the scope and subject matter of certification are extended beyond an ATM/ANS provider organization (for example, service providers to an ANSP (the ANSP's external suppliers, outsourcing assistance), provided this is applicable according to existing rules of the country.

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Chapter 3: Context

3.1 The objective of the ANSP's certification process

The objective of this process is to identify the basic principles, actions, inputs and outputs intended to harmonize and standardize the steps required in the context of a certification scheme established under the Civil Aviation Act of Bhutan 2016 (CAAB).

3.2 Overall views

Section 57 of Civil Aviation Act of Bhutan, 2016, empowers the head of Authority to designate and certify an airport, airstrip or heliport or air operator or air navigation facilities.

The certification of ANSP shall be subject to fulfillment of the requirements prescribed in the rules and regulations. It has however to be noted that the rules and regulations contain, in many respects, only minimal requirements. Other international norms, binding on the State, address similar areas sometimes with greater detail or constraints, and BCAA is equally under the obligation to ensure their full implementation.

BCAA issues certificates of compliance with the established requirements, ensure compliance monitoring, and continued supervision of ANSPs. The certification defines the right and obligations of the respective service provider regarding the provision of services for a specific volume of airspace (or 'airspace block').

3.3 Relation to other processes


The certification process is linked to the ANSP's oversight process in general. Certification can be considered as part of the ANSP's initial oversight mechanism. The on-going safety oversight process is detailed in ANS safety oversight manual.

3.4 Roles

The roles of individuals or functions involved in the certification process are summarized in the following table. The team roles are specified in chapter 4, which explains the process steps in more detail.

1. Application management function (APMF)
2. Certification team leader (CTL)

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3. Certification team member (CTM)

In this way the BCAA is responsible for:

1. Setting up the designation process in compliance with the Civil Aviation Act of Bhutan 2016;
2. Securing resources and scheduling the necessary tasks;
3. Determining the appropriate rights, obligation and conditions governing the designation;
4. Advising, informing and reporting throughout the process of designation;
5. Proposing means of supervision and ensuring ongoing compliance of the designated service provider.

3.4 ANSPs

ANSPs are responsible for:


1. Completing unambiguously the application for designation and all necessary documents as per the appropriate designation procedure;
2. Informing the designating authority of an official point of contact for the process;
3. Providing all necessary documents and evidences as required to the BCAA for the designation process;
4. Studying carefully and ensuring internally that the proposed rights, obligations and conditions imposed by the designation can be fulfilled for the period of validity of the designation;
5. Accepting and implementing the designation and associated rights, obligations and conditions as required.

A summary of the roles and responsibilities of the parties involved in the designation process is set out below in Table 3.3.1.

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Table 3.3.1: The roles and responsibilities of parties involved in the designation process

Competencies	Obligations/ Responsibilities	Rights	Relevant Legislation
BCAA			
1. All competencies related to the designation; 2. BCAA assigned to act as advisor /designator and handling the case; 3. Promulgate specific procedure(s) regarding designation; 4. Can derive a list of rights, obligations and conditions that may apply as a whole or partly.	1. Designate at least one ANSP. 2. Communicate any relevant decision regarding awarding, refusing or revoking designations to ensure national legislation is compatible with BARNs requirements.	1. Discretionary right to award or refuse designation; 2. May impose further rights, obligations and conditions; 3. May define the period of designation.	Section 13(1)(e) of civil aviation act of Bhutan, 2016.
BCAA			
1. When delegated the tasks allocated to ANSP are applicable to the- BCAA.	As above	1. No specific rights unless delegated by- BCAA.	
DoAT/NCHM			
1. Hold a valid certificate issued by BCAA.	1. Apply for designation.	1. As per list of rights, obligations and conditions (ROC) 2. Has the monopoly right to provide ANS for defined volumes of airspace in accordance with the designation.	

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Chapter 4: Certification Process

4.1 Triggers

The main triggers or inputs which start the whole process are:

1. The initial application for an ANSP's certification;
2. The application for the renewal of the ANSP's certification. In the case of the renewal the same process as the initial certification can be applied.

4.2 Activities - the steps

Three main parts constitute the whole process:

1. Application and preparation;
2. Assessment of compliance;
3. Certification.

Further breakdown into steps provides details at the level of actions.

The flow chart gives details of the process in a pictorial way and specific tasks are then more fully explained in the table which follows. Note that where the text of any step includes the words 'shall', 'should', 'may', 'can', 'is recommended to' or 'could', they are highlighted in **bold** letters. In the case of informative material text, the associated step is not numbered, but marked in orange.

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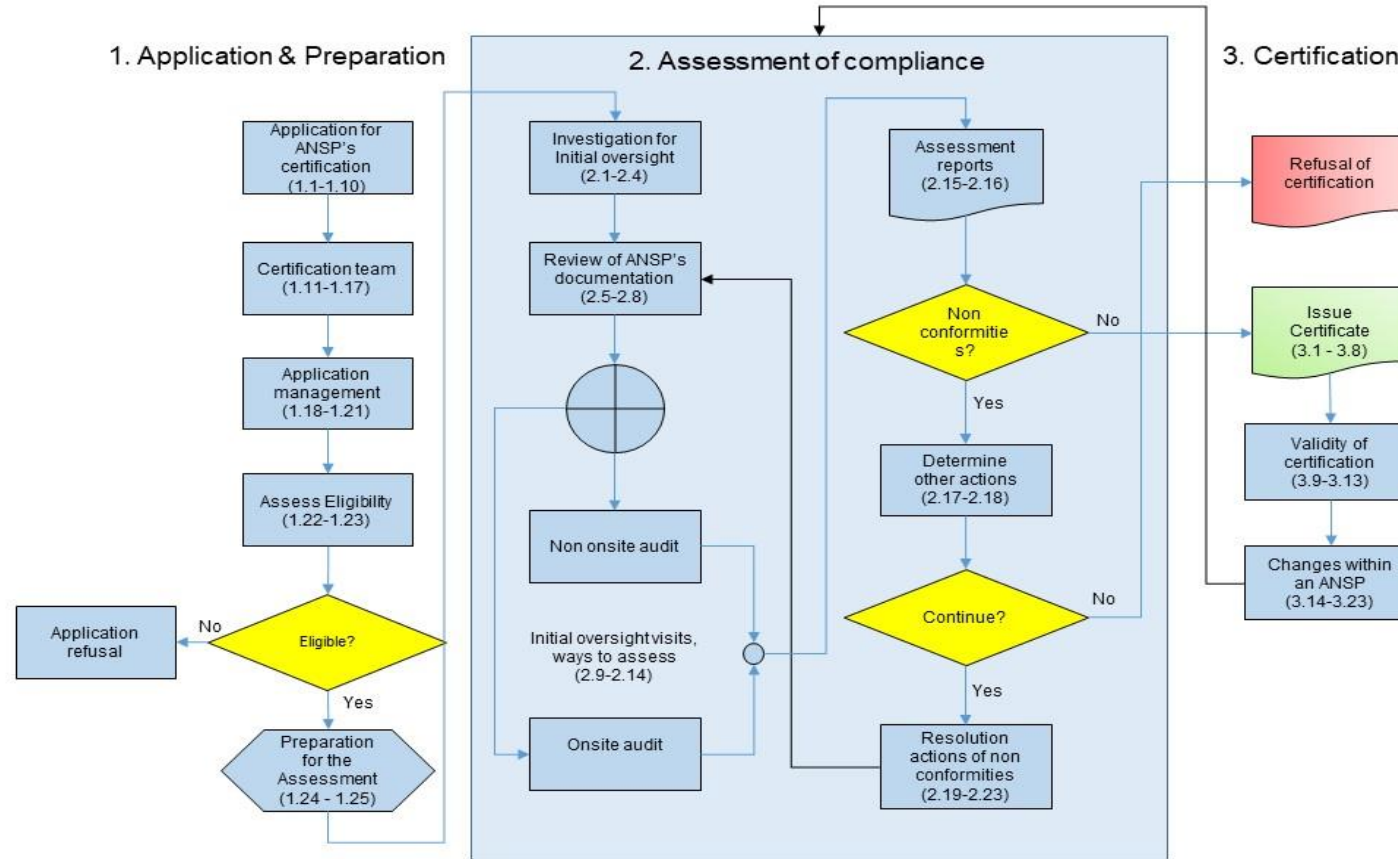


Figure 4.2.1: The ANSP certification process.

4.3 Procedural guidance in steps

Note: **Blue** marks generic tasks; **Yellow** indicates explanatory material and additional guidelines.

Process Step	Description and Comments
1. Application and preparation	
Application for ANSP's certification	
1.1	ANSPs shall submit applications for certification to the head of authority, BCAA.
1.2	Applicants shall use the application form specifically defined in the BCAA's documented procedures established for the certification of service providers. The application form is based on "Model Form 1" included in Annex 3 of these guidelines. It should always include the scope of services for which the certificate is requested.
1.3	The application form shall be forwarded together with an organization description demonstrating how the applicant intends to comply with the CRs applicable to the services for which certification is asked for.
1.4	<p>The organization description shall contain the following information; existing data may be used to the maximum extent possible:</p> <ol style="list-style-type: none"> 1. A statement signed by the Chief Executive Officer (or equivalent position) confirming that the organization description and any associated referenced documentation define the organization's compliance with the common requirements and that they will be complied with at all times; and agreeing to supply any information needed for its evaluation, 2. The title(s) and name(s) of the organization's senior managers, 3. The duties and responsibilities of the senior managers as regards the implementation of the common requirements, 4. An organization chart showing the chain of responsibility in the areas covered by the CRs, 5. A general description of human resources, 6. A general description of the organization's facilities and existing infrastructure referring to ANS provision; 7. A complete description of the means and arrangements established by the organization to meet the common requirements, including detailed references to the main documents and manuals which document them and appropriate cross references to the common requirements.
1.5	The applicant as necessary shall amend the organization description in order that it remains up-to-date. To that end BCAA and the applicant should agree on an update procedure.
1.6	In addition to the organization description, BCAA may decide that a complementary questionnaire needs to be forwarded by the applicant together with the application form and its description of the organization. Therefore, depending on the service to be provided, the Service Provider is recommended to attach compliance checklists to the application for initial certification (see Annex 2) as follows:

	<p>1. Providers of air traffic services (ATS):</p> <p>1.1 Compliance checklist, Chapter III and IV of the BCAR ATM/ANS.</p> <p>1.2 Relevant part of Compliance of checklist, BCAR-2, Rules of the Air.</p> <p>1.3 Relevant part of Compliance checklist of BCAR-10, Aeronautical Telecommunications, Volume II, Communication Procedures.</p> <p>1.4 Compliance checklist, BCAR 11, Air Traffic Services.</p> <p>2. Providers of meteorological services (MET):</p> <p>2.1 Compliance checklist, Chapter III and V of the BCAR ATM/ANS.</p> <p>2.2 Compliance checklist, BCAR 3, Meteorological services for International air navigation.</p> <p>2.3 Relevant part of Compliance checklist, BCAR 11, air traffic services;</p> <p>3. Providers of Aeronautical Information Services (AIS):</p> <p>3.1 Compliance checklist, Chapter III and VI of the BCAR ATM/ANS;</p> <p>3.2 Relevant part of compliance checklist, BCAR 3, Meteorological services for International air navigation.</p> <p>3.3 Relevant part of compliance checklist, BCAR 4, Aeronautical Charts.</p> <p>2.1 Compliance checklist, BCAR 15, aeronautical information services.</p> <p>3. Providers of Communication, Navigation and Surveillance (CNS):</p> <p>3.1 Compliance checklist, Chapter III and VII of the BCAT ATM/ANS;</p> <p>3.2 Compliance checklist, BCAR10, Aeronautical Telecommunications.</p> <p>3.2.1 Volume I,</p> <p>3.2.2 Volume II,</p> <p>3.2.3 Volume III</p> <p>3.2.4 Volume IV,</p> <p>3.2.5 Volume V,</p>
1.7	If compliance checklists (see Annex 2) are in place, they should be filled in as specified in the pre-able to the checklist. There shall be a statement of compliance and there shall be a reference to the applicable documentation where evidence of compliance can be found.

1.8	In addition, the service provider shall accompany the application for initial certification (or changes) with compliance checklists covering specific conditions for certification (to be developed by the applicant as applicable for the service to be certified).
1.9	For those special conditions, such as technical equipment to be used for the provision of services, the information included in the application will be used for the certificate. BCAA shall verify the correctness of the information.
GUI	The organization exposition and any complementary questionnaire forwarded by the applicant are primarily intended to support: <ol style="list-style-type: none"> 1. A first assessment of the eligibility of the organization according to the CRs, 2. The technical investigations for initial and ongoing oversight intended to verify compliance with applicable requirements, including any associated safety regulatory requirements.
1.10	The organization exposition and any complementary questionnaire shall not be considered as sole and exclusive proof of compliance with applicable common requirements. Any statement made by an applicant in its description or the completed questionnaires will potentially be subject to further investigation by means of auditing in order to confirm the accuracy of the statement and its effective implementation.
Certification team	
1.11	BCAA shall establish a certification team to act as the focal point with overall responsibility of certification.
1.12	The certification team shall consist of a certification team leader (CTL) and certification team members (CTMs). Where the extent of the investigation does not justify the need for the full team, one team member may perform the full investigation tasks.
1.13	The certification team should be set up in accordance with BCAA structures and working methods, and may be combined with other responsibilities within the BCAA.
1.14	After reviewing the service provider's documentation, a final determination of the certification team's resources needed in the certification team for the initial audits, measured in man-days, is normally made by the CTL.
GUI	In order to determine the composition and size of the certification team, the following considerations are taken into account: <ol style="list-style-type: none"> 1. The size of the applicant's organization; 2. The number of sites covered by the certificate; 3. The nature of the services to be provided by the organization and their direct impact upon aviation safety; 4. The various criteria as regards the review of service provider's documentation and the implementation of initial oversight audit visits.
1.15	Within the team, specific responsibilities are allocated as regards the activities intended to verify compliance with all the common requirements applicable to the services for which the certification is requested .

1.16	Both the CTL and CTMs should be trained in auditing techniques and have suitable knowledge of the applicable requirements and procedures. There must be no conflict of interest with the application to be investigated.
1.17	For specific investigations the basic team can call upon the assistance of appropriate experts.
GUI	CTLs and/or CTMs may be BCAA staff or personnel from a qualified entity (organization(s)) commissioned to conduct investigation tasks fully or partly on behalf of the BCAA or provide personnel to the BCAA under specific arrangements.

Application management

1.18	BCAA shall acknowledge receipt of applications within ten working days of its receipt.
1.19	The certification team checks all applications. Where incorrect or incomplete information is supplied, the team should notify the applicant in writing as soon as possible detailing the omissions and errors.
1.20	For any technical issues raised by the application, the certification team should consult appropriate BCAA experts or experts working for BCAA.
1.21	The certification team, supported by appropriate BCAA experts or experts working for the BCAA, shall make a first assessment of the documentation received. The certification team determines how to proceed with the application. This is communicated to the applicant within two months following receipt of the correct application.

Assess eligibility

1.22	When eligibility has been assessed, the certification team shall inform the applicant (copied to the head of authority, appropriate BCAA divisions and, where applicable/identified the certification team to be involved in the technical investigations), of the following: <ul style="list-style-type: none"> 1. Whether the application is provisionally accepted or not, and if accepted: 2. The details of the certification team leader who will perform the technical investigation for initial oversight to verify compliance with applicable requirements, including the relevant safety regulatory requirements. If no selection has been made yet, the certification team notifies the applicant of the projected time frames for when such resources are expected to be available.
1.23	In case of the refusal of an application, BCAA shall notify this decision in writing to the applicant together with the reasons.

Safety related aspects in the certification process

GUI	In accordance with Civil Aviation Act of Bhutan 2016, safety oversight is to be exercised by BCAA in order to verify compliance with the “applicable safety regulatory requirements”.
GUI	In the context of the certification of service providers, Civil Aviation Act of Bhutan 2016 requires BCAA to establish a process to verify compliance with applicable safety regulatory requirements prior to the issue or renewal of a certificate recognizing the capability of an organization to provide ATM services.
GUI	.

Accordingly, the certification process is intended to maximize the possibilities of integrating safety oversight with the activities intended to address non-safety related requirements, in order to support an approach capable of addressing the complete set of common requirements.

Preparation for the assessment

Panels of experts

1.24	Panels of experts may be established by BCAA in order to provide BCAA’s management and certification teams with advice on general organization, compliance with requirements, and opinions on the technical interpretation of the common requirements and the conclusions and recommendations of final certification reports. Their opinions should not be binding on BCAA.
1.25	Wherever established, these panels should : <ol style="list-style-type: none"> 1. Consist of experts with extensive technical knowledge of the technical disciplines necessary for the certification of a service provider. 2. Base their opinions on the technical interpretation of the common requirements related to Bhutan Air Navigation Regulations (BANRs) and Bhutan Civil Aviation Requirements (BCARs) wherever available.

2. Assessment of compliance


Investigations for initial oversight

2.1	Initial oversight investigations shall be conducted by the Certification Team to gain objective information to enable a BCAA decision on the recognition of the applicant organization as capable of providing specific services.
2.2	For that purpose, the certification team, under the co-ordination of the CTL, shall make direct arrangements with the applicant for the assessment of documentation, meetings and investigations at all the relevant location(s).
2.3	As a result of the initial oversight investigations, BCAA may terminate the certification process if it appears that it cannot be completed due to the lack of resources within the applicant’s structure or its lack of commitment to comply with the applicable requirements. Such a decision shall be notified to the applicant together with the reasons.
2.4	The certification team shall maintain records of all documents generated and received during the initial oversight investigations.

Review of ANSP’s documentation

2.5	The certification team shall undertake a review of the documentation that the service provider has put in place to describe, communicate and operate its arrangements for providing the services for which it has applied in accordance with the applicable requirements.
2.6	As regards the review of documentation: <ol style="list-style-type: none"> 1. The certification team shall look for evidence that the applicable common requirements have been understood and there are clear indications that processes have been developed to meet them. 2. The review should not necessarily be confined to the documents referenced by the applicant in its organizational exposition. It could also cover:


	<p>2.1 Operational documentation (e.g. OPS, technical manuals, etc.);</p> <p>2.2 Technical systems documentation (e.g. arrangements related to the installation and maintenance of equipment, etc.);</p> <p>2.3 Various documentation in the areas of quality, human resources, staffing plans, security and quality of services, etc. depending upon the case.</p> <p>3. If the document review indicates possible areas of weakness or concern regarding the service provider's arrangements to meet common requirements, this is to be subjected to further investigation, such as an on-site audit.</p>
2.7	For certain areas a review of the documentation shall be sufficient.
2.8	In the event that the documentation review reveals serious concerns about the applicant's level of understanding of the applicable CRs or the processes that may have been put in place to meet them, the CTL shall not proceed with the initial oversight audit visits. The matter is then referred to the BCAA's management for decision on further action to be taken.
Initial oversight audit visits	
2.9	Once the documentation review has been performed, the certification team shall verify that the arrangements described in the documentation are indeed being used and are effectively implemented within the organization.
2.10	This verification should involve a series of on-site audit visits to the relevant site(s) of the organization. At least one on-site audit visit should be conducted even in the case of a small organization applying to provide services.
GUI	Note: Depending upon the case, on-site audit visits may focus on a specific aspect or address various applicable requirements.
2.11	The team leader should identify human resources required for the initial auditing process (number of auditors, experts in particular disciplines) and, specifically, over how many days the audit is to be conducted.
2.12	The team leader should also develop an oversight visit schedule and determine where in the organization the various requirements are to be verified, recognizing that it is feasible to verify only a sample of the total requirements in each area of the organization. But he/she should ensure that all requirements are ultimately verified somewhere within the organization.
2.13	Based upon the information obtained at the documentation review, the CTL should identify areas of the service provider's organization and specific processes to be audited in order to test the applicant's compliance with a selected set of common requirements. In addition the implementation of the applicant's arrangements in line with the identified intentions set out in the documentation reviewed should be audited.
2.14	The sampling of requirements in each area of the organization should depend upon the processes being verified and the level of confidence obtained by the certification team from the documentation review. It should not exclusively cover the areas highlighted by the documentation review.
Assessment reports	
GUI	Depending on the area of the CRs, its criticality in terms of safety, the type of evidence that the applicant can provide and the result of the review of the documentation, different ways to assess compliance can be considered:

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	<ol style="list-style-type: none"> 1. Review of documentation: Minimum approach to address areas where reviews of the documentation provide sufficient evidence of compliance with the common requirements. 2. Review of documentation & on- site audit: the recommended approach is to address areas where a review of documentation does not provide sufficient evidence of compliance with the common requirements or where the review of documentation indicates possible areas of weakness or concern regarding the service provider's arrangements to meet common requirements.
2.15	Compliance shall be assessed against the common requirements established with regard to the services for which the applicant requested certification.
2.16	BCAA shall finally develop appropriate assessment reports.
Non-conformities resolution and follow-up	
2.17	Non-conformities can only be raised in relation to the common requirements applicable to the services for which certification was requested. The related Common Requirement(s) should always be made explicit wherever non-conformity is determined.
2.18	<p>Once the assessment is completed, the CTL shall forward a report to the applicant organization within 15 working days, including, as a minimum, the following information:</p> <ol style="list-style-type: none"> 1. General information about the audit including date, auditor(s), observer/specialists accompanying the auditors, objectives and scope of the audit and audit schedule. 2. Details of non-conformity identified, including its perceived significance. 3. Response of the service provider to identified non-conformity during the audit. 4. A request for the determination of corrective actions, and their subsequent implementation, including a timeframe identified on the basis of the significance and impact on safety of the audit findings. 5. Considerations for further investigations wherever applicable (relating to general observations of the auditor(s)). 6. Intended audit follow-up actions. 7. Conclusions of the assessment as regards the overall certification process.
2.19	The applicant organization shall be responsible for determining and initiating the actions needed to correct the non-conformity or to correct the cause(s) of non-conformity.
2.20	The certification team shall assess the proposed corrective actions and accept them if assessment demonstrates that they are sufficient to address the non-conformity identified by the audit.
2.21	Corrective actions and any subsequent follow-up audits shall be completed by the applicant organization within a time period agreed by the CTL.
2.22	The CTL shall record details of all non-conformities, agreed corrective actions, the closure of non-conformities and recommendations.

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2.23	The applicant organization should modify the relevant documentation including the organization exposition to incorporate the resolution of non-conformities found in the initial oversight investigations.
3. Certification	
Issue a certification	
3.1	For initial oversight investigations all non-conformities should be corrected prior to a certificate being issued.
3.2	When the full investigation for the initial oversight of the compliance of the applicant with the common requirements has been satisfactorily determined, the CTL shall produce a certification report and forwards it to the appropriate points of responsibility within the BCAA.
3.3	<p>The certification report shall include, as a minimum, the following information:</p> <ol style="list-style-type: none"> 1. General information about the investigations for initial oversight conducted, including: <ol style="list-style-type: none"> 1.1 The date(s) of the initial oversight audit(s) 1.2 The name(s) of the members of the audit team and the initial oversight audits in which they participated 1.3 The names and addresses of all sites audited 2. The assessed scope of certification, including reference to the applicable requirements considered; 3. Reference to the main service provider documents reviewed; 4. Details on identified non-conformity, corrective actions determined by the applicant organization and accepted by the CTL as sufficient and their implementation and closure; 5. Conclusions and recommendations based on the findings of the initial oversight process, including, if applicable, proposals for any condition to be attached to the certificate, and the initial plan of audits for on-going compliance; 6. Copy of the applicant's updated organization exposition following the initial oversight investigations.
3.4	The BCAA ensures that the final decisions on certification and the conditions attached to it shall be made by a person or persons different from those who formed the certification team.
3.5	The BCAA may use a panel of experts to obtain an opinion on the conclusions and recommendations of the final certification report.
3.6	Certificates shall be signed by the head of authority (e.g. Head of the BCAA). Negative decisions are also endorsed by the same authority.

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3.7	The certificate shall be based on the application “Model Form 1” included in Annex 3 of these guidelines.
3.8	The certificate(s) should be issued either in Dzongkha or English, or both Languages.

Validity of the certificate

3.9	The Certificate should be valid for a limited period after its issue in association with the yearly ongoing compliance assessment.
3.10	In case of a newly established ANSP, BCAA may decide to grant a certificate with specific conditions establishing a transitional period to allow the complete implementation of the ANSP arrangements and its verification by BCAA. That transitional period should be no longer than one year.
3.11	In case of already established ANSPs, a 4 to 6 years’ duration could be considered as reasonable in usual cases; this duration could be reduced in cases where there is, for objective reasons established by the oversight process, a lower confidence in the ability of the provider to ensure ongoing compliance.
3.12	Upon request by the certificate holder six months in advance to the expiry of the validity of the certificate, BCAA should issue a new certificate equivalent to the one held by the organization if the on-going compliance assessment activity does not reveal an unsafe situation, a major lack of compliance or a lack of commitment to comply with the applicable common requirements.
3.13	As a general principle, the introduction of changes to the organization does not modify the validity period whenever a certificate has been issued unless the change requires a full initial oversight investigation leading to the issue of a new certificate.

Changes within the ANSP


3.14	The BCAA and the applicant shall agree on a procedure to notify the BCAA: <ul style="list-style-type: none"> 1. of planned changes to its provision of services, which may affect its compliance with the applicable common requirements or with the conditions attached to the certificate. 2. of planned safety related changes to the provision of air traffic services.
3.15	To this end section 9 “Application for change” of the application form conforming to “Model form 1” in Annex 3 of these guidelines should be used by the applicant.
3.16	If the certificate has been issued, the provisions of the sections above should apply and the first assessment referred to should conclude upon the acceptance of the proposed change(s) without further verification or upon additional investigation by a certification team.
3.17	If the change is proposed before the certificate is issued, the certification team should refer to the application and any associated documentation to the CTL for appropriate action.
3.18	In any case the CTL shall determine the extent of any subsequent review including, if required, a full investigation for initial oversight, according to the impact of the proposed changes to the organization and/or its exposition.
3.19	When the investigation for the initial oversight of the change has been satisfactorily completed, the BCAA shall carry out a review of any applicable documents pertaining to the change, including the certificate itself.
3.20	When a change to the certificate is required, the above provisions shall apply.

Possible derogations

3.21	Prior to the implementation of the certification procedure, the BCAA shall establish a policy with respect to the granting of derogations in accordance with the ACT. That policy shall :
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	<ol style="list-style-type: none"> 1. guide in identifying the requirements for which derogations may be granted to applicants falling under the categories of service providers described in the CRs. 2. Ensure additional safety regulatory actions wherever that is necessary to implement international obligations in relation to the services for which derogations have been granted.
3.22	<p>In order to deal with the applications requesting certification under the provisions of the applicable articles of CRs, with respect to the granting of derogations, wherever the BCAA policy allows that option, the certification procedure should be implemented with the following modifications:</p> <ol style="list-style-type: none"> 1. The application form and the certificate contains the information relevant to this situation included in “Model form 1” provided in the Annex of these guidelines (while the “Model Form2” is a specimen of the certification. 2. When informing the applicant about the acceptability of its application, the certification team also informs the applicant of the set of CRs applicable to its services in accordance with the BCAA policy established as regards to possible derogations. 3. The request for a new certificate six months before the end of the validity of the certificate will include relevant information to document that the organization continues to qualify for the derogations. 4. When an organization certified under the applicable articles of CRs with respect to the granting of derogations, applies to introduce changes to provide services for which no derogations are possible, the BCAA is to assess whether a complete initial oversight process will need to be performed to certify the organization under the general procedures established by the BCAA. 5. The BCAA establishes mechanisms to monitor whether service providers certified, under the applicable articles of CRs with respect to the granting of derogations, continue to qualify for the derogations.
<i>Document confidentiality</i>	
3.23	<p>All documents and information received by BCAA relating to the certification process shall be subject to protection from disclosure according to applicable national legislation.</p>

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Annex 1 – Abbreviations and Acronyms

ANS	: Air Navigation Service
ANSP	: Air Navigation Service Provider
ATS	: Air Traffic Service
BCAA	: Bhutan Civil Aviation Authority
CNS	: Communication Navigation Surveillance
CR	: Common requirements for the provision of ANS
CTA	: Controlled Terminal Area
ICAO	: International Civil Aviation Organization
MET	: Meteorological Service, an air navigation service (defined in BCAR-3)
METP	: Meteorological Service provider
METS	: MET Service
NAV	: Navigation
QE	: Qualified Entity
REG	: Abbreviation used to refer in general to other regulatory authorities
ROC	: Rights, obligation and/or Conditions


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ANNEX 2: Compliance Checklist

BCAA will develop compliance checklist against each applicable regulation for all the different areas under ANS.

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Annex 3: Certification Template Models

3.1 Model Application Form for the Certification of an ANSP (Model Form 1)

APPLICATION FOR THE CERTIFICATION OF AN AIR NAVIGATION SERVICE PROVIDER ORGANISATION

Model Form 1 (Page 1/3)

Application for Initial Certification

Application for Change
(tick as appropriate)

1. Registered Name of Applicant

2. Contact Details

Name

Tel.

e-mail

3. Address

4. Scope of Services for which Certification is Requested in Accordance with the Provisions of BCAR-ATM/ANS (2020)

ATS CNS AIS MET

(for a detailed description, please refer to Page 3 of this application form)

5. Organisation Exposition (tick as appropriate)


Application for Initial Certification
Three copies of the organisation exposition are forwarded together with this application form.

Application for Changes
Three copies of the pages modified in the previous organisation exposition are forwarded together with this application form.

6. Questionnaires (tick if appropriate)

Questionnaires defined in the BCAA certification procedures are forwarded together with this application form.
(only applicable wherever required by BCAA in the case of initial certification)

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APPLICATION FOR THE CERTIFICATION OF AN AIR NAVIGATION SERVICE PROVIDER ORGANISATION

Model Form 1 (Page 2/3)

9. Derogations (If applicable)

To be completed only if the organisation applies for specific derogations in accordance with section 149 & 150 of Civil Aviation Act of Bhutan, 2016, and such derogations have been determined as appropriate by the Bhutan Civil Aviation Authority.

Specify as Appropriate

7. Detailed Description of the Scope of Services for which Certification/Changes is/are Requested

- a) Use as many attached pages as necessary to complete the table.
- b) Use the types of services, their parts and sub-parts as they appear in the table provided by the BCAA to describe the scope of services for which certification can be requested/granted.
- c) Complete only the boxes relevant to the application.
- d) The '*conditions proposed by the applicant*' should include all those conditions and limitations identified by the organisation in relation to the services for which certification is requested. The conditions proposed should be clearly formulated and fall under, or related to, the following categories:
 - i. the operational specification for the particular services;
 - ii. the time by which the services are to be provided;
 - iii. the various equipment to be used within the particular services;
 - iv. ring-fencing or restriction of operations of services other than those related to the provision of air navigation services;
 - v. contracts, agreements or other arrangements between the service provider and a third party and which concern the service(s);
 - vi. any other conditions not covered under the regulations but concerns the services(s).
- e) Wherever necessary, the conditions can be described by means of references to documents attached to this application form or other relevant documentation.

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APPLICATION FOR THE CERTIFICATION OF AN AIR NAVIGATION SERVICE PROVIDER ORGANISATION

Model Form 1 (Page 3/3)

Services	Type of services to be provided	Part of the service to be provided	Subpart of the service to be provided	Conditions proposed by the Applicant

8. Declaration

I hereby declare that to the best of my knowledge the particulars entered on this application are accurate. I enclose any charges payable on application in accordance with the Fees and Charges section of BANRs. I agree to pay any additional charges which may become payable in respect of this application under the section.


Name of Chief Executive Officer
(or equivalent position within the organisation)

Signature

Date

Place

Please submit the completed form to the Director, BCAA, Paro International Airport.

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3.2 Model form for Certification for the provision of ANS (Model Form 2)

Model Form 2 – Page 1/2
BHUTAN CIVIL AVIATION AUTHORITY
CERTIFICATE
Reference No: [Number of the certificate assigned by BCAA]
Pursuant to section 61 of Civil Aviation Act of Bhutan 2016 and subject to the conditions specified in this certificate, Bhutan Civil Aviation Authority hereby certifies:
[Applicant Organization name]
As service provider compliant with the Bhutan Civil Aviation Requirements applicable to the services listed in the attached schedule and therefore, capable of providing them:
<u>General Conditions:</u>
<ol style="list-style-type: none"> 1. This certificate requires compliance with the procedure and other arrangement specified in the exposition. 2. This certificate is valid whilst the organization remains compliant with the applicable requirements and the specified conditions identified for the services included in the certificate schedule. 3. Subject to continuous compliance with the foregoing conditions, which may be verified by BCAA at any time, this certificate shall remain valid for a xx years period and be renewed if requested by the organization six months before the end of that period.
Place & Date:
Signed: _____ [Signature of Director General or equivalent position]

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CERTIFICATE SCHEDULE

Organization Name: [applicant organization name]

Reference No: [Number assigned by BCAA]

Services	Types of services to be provided	Parts of services to be provided	Sub-Parts of services to be provided	Conditions Identified
ATS				
CNS				
AIS				
MET				


Date of Issue: -----

Signed: -----

For BCAA

Note- When completing the certificate schedule, BCAA should:

- a) Use the table defining the scope of services included in Annex 3 of this document.
- b) Use as many attached pages as necessary to complete all the boxes related to the services for which the applicant organization obtains its certificate.
- c) Complete only the boxes relevant to certificate.
- d) Include as conditions identified all those conditions and limitations identified in the investigation of the certification process in relation to the services for which certificate is granted.
- e) Wherever necessary, describe the conditions by means of reference to documents attached to the certificate or other relevant documentation.

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	Model forms for Certification	Annex 3 Page: 25

3.2.1 Use of model form 2 (Certificate) whenever derogations are granted

Wherever the BCAA chooses to grant derogations in accordance with section 149&150 of the Civil Aviation Act of Bhutan, 2016, the BCAA should specify the nature and scope of the derogation in the conditions attached to the certificate indicating its legal basis. Accordingly, the Model Form should be modified as follows:

On Page 1, the “General Conditions” should state the following:

1. This certificate has been issued under the provisions of section 61 of the Civil Aviation Act of Bhutan , 2016.
2. This certificate requires compliance with the procedures and other arrangements specified in the organization exposition.
3. This certificate is valid whilst the organisation remains compliant with:
 - 3.1 The requirements applicable to the organisation within the scope defined by the derogations identified in its certification schedule,
 - 3.2 The specific conditions identified in the certificate schedule.

Subject to continuous compliance with the foregoing conditions, which may be verified by the BCAA at any time, this Certificate shall remain valid for xx year period and be renewed if requested by the holder six months before the end of that period and the request includes relevant information to show that the organisation continues to qualify for the derogations.

On Page 2, the “Conditions Identified” should also refer to the common requirements for which derogations have been granted.

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Annex 4– Terminology Table

S I. No	Terminology	Definition
1	Aeronautical	Service established within the defined area of coverage.
2	Information service	Responsible for the provision of aeronautical information necessary for the safety, regularity, and efficiency of air navigation
3	Airspace users	All aircraft operated as general air traffic.
4	Air traffic Control	A service provided for the purpose of (a) Preventing collisions: - between aircraft, and in the maneuvering area between aircraft and obstructions; and (b) expediting and maintaining an orderly flow of air traffic.
5	Air traffic flow management	A function established with the objective of contributing to a safe, orderly and expeditious flow of air traffic by ensuring that ATC capacity is utilized to the maximum extent possible, and that the traffic volume is compatible with the capacities declared by the appropriate air traffic service providers.
6	Air traffic management	The aggregation of the airborne and ground-based functions (air traffic services, airspace management and air traffic flow management) required to ensure the safe and efficient movement of aircraft during all phases of operations.
7	Area control service	An ATC service for controlled flights in block of airspace.
8	Air traffic services	The various flight information services, alerting services, air traffic advisory services and ATC services (area, approach and aerodrome control services).
9	Air navigation	Air traffic services; communication, navigation and surveillance services.
10	Services	Meteorological services or air navigation; and aeronautical information services.
11	Air navigation Service provider(ANSP)	Any public or private entity providing air navigation services for general air traffic.
12	Airspace block	An airspace of defined dimensions, in space and time, within which air navigation services are provided.
13	Air traffic Control (ATC)	A service provided for the purpose of: (a) preventing collisions; -between aircraft, and in the maneuvering area between aircraft and obstructions; and (b) expediting and maintaining an orderly flow of air traffic.
14	Audit	Systematic examination to determine whether activities and related results conform to planned arrangements and whether these arrangements are

		implemented effectively and are suitable for achieving the organization's policy and objectives
14	Certification	A document issued by a Bhutan civil aviation authority in any form complying with national law, which confirms that an Air Navigation Service provider meets the requirements for providing a specific service.
15	Community	A type of stakeholder. A group of interacting people living in a common location that can take benefit of the projects settled by an Organization.
16	Development	The systematic use of the knowledge or understanding gained from research, directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes. It excludes quality control, routine product testing, and production.
17	Functional airspace block	An airspace block based on operational requirements, reflecting the need to ensure more integrated management of the airspace regardless of existing boundaries
18	Governance	Establishment of policies and continuous monitoring of their proper implementation, by the members of the governing body of an organization.
19	Governmental	Of or pertaining to the government. For example, courts are governmental entities that are an extension of the Department of Justice (Business Dictionary)
20	ICAO	The International Civil Aviation Organization, as established by the 1944 Chicago Convention on International Civil Aviation
21	Meteorological services	Those facilities and services that provide aircraft with meteorological forecasts, briefs and observations as well as any other meteorological information and data provided for aeronautical use.
22	Bhutan Civil Aviation Authority	The body or bodies established by RGOB as their National Authority pursuant to Section 12 of Civil Aviation Act of Bhutan 2016.
23	Operation	Series of functions and tasks that are involved in a single process. For example, a manufacturing operation.
24	Organization	Group of people and facilities with an arrangement of responsibilities, authorities and relationships EXAMPLE Company, Corporation, Firm, Enterprise, Institution, Charity, Sole trader or association, or parts or combinations thereof.
25	Procedure	Specific way to carry out an activity or Fixed, step-by-step sequence of activities (Or) course of action (with definite start and end points) that must be followed in the same order to correctly perform a task and repetitive procedures are called routines.
26	Process	Set of interrelated or interacting activities which transforms inputs into outputs or Sequence of interdependent and linked procedures which, at every stage, consumes one or more resources (employee time, energy, machines, money) to convert inputs (data, material, parts, etc) into outputs. These outputs then serve as inputs for the next stage until a known goal or end result is reached.

27	Regulator	Government body formed or mandated under the Provisions of a legislative act (Civil Aviation Act of Bhutan 2016) to ensure compliance with the provisions of the act, and in carrying out its purpose. Also called regulatory authority or regulatory body.
28	Regulatory authority	Regulatory authority is a public authority or government agency responsible for exercising autonomous authority over the State's FIR
29	Role	The part played by people in meeting their objectives by working competently and flexibly within the context of the organization's objectives, structure and processes.
30	Services	Either an air navigation service or a bundle of air navigation services
31	Stakeholders	<p>Persons or groups having interest in the performance or success of an organization Or Those with a vested interest in an organization's achievements.</p> <p><i>Note: This is a wide-ranging term that includes, but is not limited to, internal and "outsourced" employees, customers, suppliers, partners, employees, distributors, investors, insurers, shareholders, owners, government and regulator.</i></p> <p>Or An individual or organization with a legitimate interest in a given situation, action or enterprise.</p>

— END —