



Part 172 Compliance Matrix

The rule references in this compliance matrix have been extracted from the Civil Aviation Rules system as the minimum compliance requirements for an applicant for the issue or renewal of a Part 172 Air Traffic Services Certificate.

A completed compliance matrix must be submitted by the applicant both for initial certification and for renewal. Additionally, the certificate holder should maintain an up-to-date compliance matrix to assist with on-going compliance and to support certificate amendment requests.

The purpose of the matrix is to speed up the certification process, ensure every applicable rule requirement has been addressed in the exposition and reduce the cost of certification by the quick location of required policies or procedures in the applicant's exposition manual suite.

All Civil Aviation rules have to be complied with, but not every rule has to be addressed in the exposition. At least the following rules must be included unless they are not applicable to the operation, in which case they should be annotated as such. The intention of this matrix is to assist rather than instruct the applicant in an initial application or request for renewal. If, for your operation, compliance is required with a rule not listed in the matrix, please add it to the list and identify the exposition reference.

This matrix must be completed by every applicant for a Part 172 Air Traffic Services Certificate and show the exposition pages and paragraph numbers that satisfy the rules in the *Manual References / Applicant's Comments* column. Where the applicant does not meet the rule requirement or deems it not applicable, an explanation should be given in this column. **Please note ticks (✓) are not acceptable.**

The completed matrix should accompany the exposition documents and preferably be included as a component of the exposition. The applicant may submit a completed matrix in a different format as long as it includes all the rule references identified in that shown below; however, there may be additional processing time required by the CAA in cross-referencing requirements.

Transition Provisions

Some of the rule references shown are affected by the Transitional Provisions shown in Part 172.451. These are annotated with the letters '**TP**'. Reference should be made to the rule part to determine if these are to be included.

General Manual Layout and Distribution

Manual binders: Can the manual be amended easily? (Three- or four-ring binders are preferred: two ring binders are not recommended as the pages are too easily torn.) If permanently bound, do you intend to re-issue at every amendment? This may inhibit frequency of needed amendments.

Electronic exposition: Is the matrix included as part of the file(s) /disc? If so, is it up to date? Have you considered the methods for distributing to the CAA and how you will manage amendments?



Applicant:

Manuals Submitted:

Participant ID:

Revision:

Dated:

	Applicant's Comments	CAA Comments (for CAA use only)
Rule Compliance Matrix		
Company Statement page, signed by the Chief Executive		
List of Effective Pages		
Record of Amendments		
Distribution List & copies to be numbered		
Contents Page		
Definitions & Abbreviations (not mandatory)		
On every page, headers and/or footers to include: (a) Company name (b) Name of the manual (c) Effective revision and date of the page (d) Page number		
Index (not mandatory but desirable)		



Rule Reference	Manual References / Applicant's Comments	CAA Review & Comments (for CAA use only)
172.125 Exposition		
172.125(a)(1)(i) CE statement		
172.125(a)(1)(ii) CE statement		
172.125(a)(2) [172.51(a)(1)&(2)] List of senior persons		
172.125(a)(1A)(i) [100.3(b)] Safety management documentation		
172.125(a)(1A)(ii) SMS implementation plan		
172.125(a)(3) Duties and responsibilities		
172.125(a)(3)(i) Responsibility for dealing with CAA		
172.125(a)(3)(ii) Responsibilities for safety management		
172.125(a)(4) Organisation chart		
172.125(a)(5)(i), (ii) & (iii) Table of locations, aerodrome or airspace and services		
172.125(a)(6) Staffing structure for each ATS unit		



Systems, Procedures and Plans 172.125(a)(7)-(8) & (10)-(42)	For all exposition-based systems, procedures and plans use 172.51, 172.53, 172.57, 172.59, 172.61, 172.63, 172.65, 172.67, 172.69, 172.71, 172.73, 172.75, 172.77, 172.79, 172.81, 172.83, 172.85, 172.87, 172.89, 172.91, 172.93, 172.95, 172.97, 172.99, 172.101, 172.103, 172.105, 172.107, 172.109, 172.111, 172.113, 172.115, 172.117, 172.119, 172.121 and 172.123 sections below
172.125(a)(9) Lines of safety responsibility	
172.125(a)(44) Control of exposition	
172.161(a) Current description	
172.161(b) Amendments meet Rule	
172.161(c) Expositoin amendment to Director	
172.161(c)(1) Operations Manuals to Director 15 working days in advance	
172.161(c)(2) Urgent/immediate, without delay and by effective date	
172.151(1) At each ATS unit	
172.151(2) Compy with exposition	
172.151(3) Given to personnel	
172.151(4) Comply with SubPart B	



172.153(a) Operations manuals		
172.153(b) Operations manual supplements		
172.51 Personnel requirements		
172.51(a)(3) Sufficient personnel		
172.51(b)(1) Training and assessing competence		
172.51(b)(2) Written authorisation		
172.51(b)(3) Part 65 licences and ratings		
172.51(b)(4) Familiarity with information		
172.51(b)(5) Part 65 recent exp. requirements		
172.51(b)(6)(i) Endorsement on medical certificate		
172.51(b)(6)(ii) Decrease in medical fitness		
172.53 ATS Training		
172.53(a)(1) Air traffic controllers		
172.53(a)(2) Flight service operators		
172.53(a)(3) HF operators		



172.53(a)(4)(i)-(ii) Direct support personnel		
172.53(b) Rated instructors		
172.53(c) Assessment by rated instructors/examiners		
172.55 Prevention of fatigue [Reserved]		
172.57 Facility Requirements		
172.57(a) Appropriate facilities		
TWR or AFIS Office 172.57(b)(1)(i) Visibility		
172.57(b)(1)(ii) Glare and reflection		
172.57(b)(1)(iii) Noise		
172.57(b)(2) Safeguard from development		
172.57(b)(3)(i) Solo watch locations - toilets		
172.57(b)(3)(ii) Solo watch food facilities		
172.57(b)(4)(i) Voice communication with aircraft		
172.57(b)(4)(ii) Voice communication manoeuvring area		



172.57(b)(5) Equipment:		
(i) Display system		
(ii) Power supply		
(iii) Maps and charts		
(iv) Binoculars		
(v) Clocks		
(vi) Log		
(vii) Outside temperature		
(viii) QNH		
(ix) Signal lamp		
(x) Telephone		
(xi) Status monitors for nav aids		
(xii) Visibility and cloud height checkpoints		
(xiii) Voice and data recording		
(xiv) Wind indicators		
(xv) Audible emergency alarm		
(xvi) AFTN (or alternative)		
(xvii) Airfield lighting controls		
172.57(b)(6) Two independent sources of altimeter setting		



ACC, FIC or APP		
172.57(c)(1)(i) Two-way voice communication		
172.57(c)(1)(ii) Data communication		
172.57(c)(2) Equipment:		
(i) Display system		
(ii) Power supply		
(iii) Maps and charts		
(iv) Clocks		
(v) Log		
(vi) Status monitors for nav aids		
(vii) Telephone		
(viii) Voice and data recording		
(ix) AFTN		
(x) ILS/MLS status monitor		
(xi) Wind indicators		
172.57(d) Operation i.a.w. Part 171		
172.57(e) Position of VDU		
172.57(f) Reliability, availability, redundancy		
172.57(g)(1) Status monitors aural signal		



172.57(g)(2) Status monitors – visual indication		
Temporary TWR, AFIS 172.57(h)(1) Appropriate measures if impracticable		
172.57(h)(2) Control airfield lighting if applicable		
172.59 Establishment and Transfer of Service		
172.59(a)(1) Hours of service		
172.59(a)(2) Safety factors		
172.59(b) Transitional arrangements		
172.61 Shift Administration		
172.61(1)(i)&(ii) Time at shift ends		
172.61(2) Watch transfer time		
172.63 Documentation		
172.63(a) Availability of documentation		
172.63(b)(1) Reviewed and actioned		
172.63(b)(2) Reviewed and authorised before issue		
172.63(b)(3) Availability at locations		



172.63(b)(4) Removal of obsolete documentation		
172.63(b)(5) Obsolete removed		
172.63(b)(6) Changes reviewed and approved		
172.63(b)(7) Identification of revision status		
172.65 Contingency Plan		
172.65(a) Contingency plan		
172.65(b) Provisions for international traffic		
172.67 Co-Ordination Requirements		
Coordination with:		
172.67(a)(1) Part 171 holders		
172.67(a)(2) Part 173 holders		
172.67(a)(3) Part 174 holders		
172.67(a)(4) Part 175 holders		
172.67(a)(5) Aircraft operators		
172.67(a)(6) NZ Defence Force		
172.67(a)(7) SAR authorities		
172.67(a)(8)(i) Aerodrome operator		



172.67(a)(8)(ii) Apron management service		
LOAs 172.67(b)(1) ATS unit in adjoining airspace		
172.67(b)(2) Other regular coordination ATS units		
172.67(c)(1) Effective coordination		
172.67(c)(2) Current		
172.67(c)(3) Signed		
172.67(c)(4) Operations Manual		
172.67(d) Facilitation of communications		
ATS messages 172.67(e)(1) Flight plan information		
172.67(e)(2) Actual progress of flight		
172.67(f) ATS messages per Doc 4444, CAVOK must not be used		
172.69 Notification of Facility Status		
172.69(b)(1) Operational information to AIP provider		



172.69(b)(2) Status changes by NOTAM		
172.71 General Information Requirements		
172.71(a) Receipt of info regarding (1) Volcanic pre- eruption volcanic, radioactive, toxic info		
(2) Volcanic eruption		
(3) Volcanic ash - cloud		
(4) Radioactive, toxic material release		
172.71(b)(1) Status of non-visual navigation aids		
172.71(b)(2) Status of visual aids		
172.71(b)(3) Status of visual and non-visual aids for surface movement		
172.71(c)(1),(2),(3) Conditions on movement area		
172.73 Meteorological Information and Reporting		
172.73(a)(1) Information from Part 174 holder		
172.73(a)(2) Basic weather reports		



172.73(b) Information to ATS units		
172.73(c)(1) BWR Representative data		
172.73(c)(2) BWR Identification of runway		
172.73(d) Integrity of bulletin data		
172.75 Area and Approach Control Services		
172.75(a)(1) Relative positions of aircraft		
172.75(a)(2) Issue of clearances, etc.		
172.75(a)(3) Coordination		
172.75(a)(4) Display aircraft movements		
Separation		
172.75(b)(1) All in Class A, B airspace		
172.75(b)(2) IFR-IFR in C, D, E airspace		
172.75(b)(3) IFR-VFR in C airspace		
172.75(b)(4) IFR-SVFR in B, C, D airspace		



172.75(b)(5) SVFR-SVFR in B, C, D airspace low visibility		
172.75(c) Separation criteria (1) Sub-Part E		
(2) Annex 11		
(3) Doc 4444		
(4) Doc 7030		
IFR own separation 172.75(d)(1) Requested by pilot		
172.75(d)(2) Daytime VMC		
172.75(d)(3) Surveillance control service not available		
172.75(d)(4) Specific portion of flight		
172.75(d)(5) Essential traffic pilots agreement		
172.75(d)(6) Essential traffic information passed		
172.75(d)(7) All concerned same ATC frequency		
172.77 Aerodrome Control Services		
172.77(a)(1) Relative positions of aircraft		



Clearances		
172.77(a)(2)(i) Vicinity of aerodrome		
172.77(a)(2)(ii) Landing and taking off		
172.77(a)(2)(iii) Manoeuvring area		
172.77(a)(2)(iv) Vehicles, persons on manoeuvring area		
172.77(a)(2)(v) obstructions		
172.77(a)(3) Safe efficient flow		
172.77(a)(4) Runway, wake turbulence separation		
(i) Annex 11		
(ii) Doc 4444		
(iii) Doc 7030		
(iv) Sub-Part E		
172.77(a)(5) Emergency vehicle priority		
172.77(a)(6) Persons, vehicles on manoeuvring area		
172.77(a)(7) Coordination		
172.77(a)(8) Display aircraft movements		
172.77(b) Clearance using light signals		



172.77(c)(1) Critical area incursions		
172.77(c)(2) Critical area protection		
172.77(d)(1) Separation between IFR and SVFR		
172.77(d)(2) Separation between SVFR in low visibility		
172.77(e) Separation as per delegation		
172.77(f) Separation criteria for (d), (e)		
(1) Annex 11		
(2) Doc 4444		
(3) Doc 7030		
(4) Sub-Part E		
172.79 Special Use Airspace		
Separation provided except 172.79(1) Pilot approval to use airspace		
172.79(2) Danger area/volcanic hazard zone, pilot expressed intention		
172.79(3) VFR/IFR visual reference pilot knows airspace active		



172.79(4) Pilot request for own separation		
172.81 Responsibility for Control		
172.81(a) Control by single ATCU		
172.81(b) Single operating position		
172.81(c) Transfer of control		
172.81(d)(1)(i) Transfer arrangements in LOA		
172.81(d)(1)(ii) Transfer arrangements in Ops manual		
172.81(d)(2)(i) Communication of flight plan		
172.81(d)(2)(ii) Communication of control information		
172.81(d)(2)(iii) Consent of accepting unit		
172.83 Priorities		
172.83(a)(1) Emergency aircraft over others		
172.83(a)(2) Landing over departure		
172.83(a)(3) Landing/Takeoff over taxiing		



172.83(b)(1) Ambulance/mercy		
172.83(b)(2) SAR		
172.83(b)(3) Civil defence/police emergency		
172.83(b)(4) Head of State, etc.		
172.83(c) Cruising level		
172.83(c)(1) Cruising level per Doc 7030/LOA		
172.83(c)(2) Cruising level reassignment for seperation		
172.83(d) RNP airspace		
172.83(e) Priority schemes		
172.83(f) Complaint handling – AIP		
172.83(g)(1) Arrivals/departures		
172.83(g)(2) Other operations in control zone		
172.83(h) First-come, first-served		
172.83(i)(1) ATC precedence over FIS		



172.83(i)(2) ATC precedence over non-ATS tasks		
172.85 Flow Control		
172.85(a) Establish flow control		
172.85(b)(1) Aerodrome operators		
172.85(b)(2) Aircraft operators and other ATS providers		
172.85(b)(3) AIS		
172.87 ATC Clearances		
172.87(a) Procedures for ATC clearances		
172.87(b)(1) No violation of rules		
172.87(b)(2) Positive, concise, standard phraseology		
172.87(b)(3) Amended if unsuitable		
172.87(b)(4) Clearance includes:		
(i) Aircraft FPL call sign		
(ii) Clearance limit		
(iii) Route		
(iv) Levels		
(v) Manœuvres, communications, validity, etc.		



172.87(b)(5) Local flights etc.		
172.87(b)(6)(i) Transonic to end of transonic operations		
172.87(b)(6)(ii) Uninterrupted descent from supersonic to subsonic		
172.89 Cruising Levels		
172.89(a) As per 91.425 or 91.313		
172.89(a)(1) Track/level correlation unnecessary in controlled airspace		
172.89(a)(2) VFR may be allocated IFR levels in controlled airspace		
172.89(b) As per Annex 2 in Auckland Oceanic FIR		
172.91 Deviation from an ATC Clearance		
172.91(a) No hindrance to response to: (1) ACAS RA		
(2) GPWS or TAWS alert		
(3) Weather or other emergency deviation		
172.91(b) Separation restored ASAP		



172.93 Flight Information Service		
General		
172.93(a)(1) Aircraft under ATC affected by (b) information		
172.93(a)(2) Aircraft provided with AFIS affected by (b) information		
172.93(a)(3) IFR aircraft affected by (b) information		
172.93(a)(4) Aircraft with VFR flight plan		
172.93(a)(5) VFR aircraft on request		
172.93(b) Provision of information regarding		
(1) SIGMET		
(2) Aerodrome weather		
(3) Volcanic activity		
(4) Radioactive/toxic emissions		
(5) Changes to status of nav aids		
(6) Aerodrome conditions		
(7) Unmanned free balloons		
(8) Other info affecting safety		



172.93(c) Runway surface description: (1) DAMP		
(2) WET		
(3) WATER PATCHES		
(4) FLOODED		
172.93(d) Local operators informed of changes to hours of service		
Traffic information 172.93(e) Essential traffic information to all affected aircraft in:		
(1) Class C airspace		
(2) Class D airspace		
(3) Class E airspace		
(4) Class G airspace		
172.95 Aerodrome Flight Information Service		
172.95(a)(1) Relative positions of aircraft		
172.95(a)(2) Advice and info to aircraft:		
(i) In vicinity of aerodrome		
(ii) On manoeuvring area		
(iii) Landing and taking off		



(iv) And vehicles, persons on manoeuvring area		
(v) Obstructions on manoeuvring area		
172.95(b) Designated preferred runway		
172.97 Alerting Service		
172.97(b)(1) All aerodrome traffic (ATC or AFIS)		
172.97(b)(2) To all aircraft: (i) Flight plan under 91.307 or 91.407		
(ii) In need of assistance		
(iii) Unlawful interference		
172.97(c)(1) declare INCERFA, ALERFA, DETRESFA		
172.97(c)(2) To responsible ACC/FIC		
172.97(d)(1) ACC/FIC as central point		
172.97(d)(2) Information forwarded to RCC		
172.97(e) First alert to local emergency services		



172.97(f)(1) INCERFA when: (i) IFR/controlled VFR 15 min overdue		
(ii) Underminated flight plan		
(iii) VFR SARTIME + 30 min		
172.97(f)(2) ALERFA when: (i) Unlawful interference		
(ii) No news of aircraft		
(iii) Fails to land and no communication		
(iv) Efficiency of aircraft impaired		
172.97(f)(3) DETRESFA when: (i) After alert phase, aircraft probably in distress		
(ii) Fuel probably exhausted		
(iii) Forced landing likely		
(iv) Forced landing occurred		
172.97(g) Emergency information includes: (1) INCERFA/ ALERFA/ DETRESFA		
(2) Agency/person calling		



(3) Nature of emergency		
(4) Flight plan information		
(5) Last unit in contact		
(6) Last position		
(7) Colour/marks		
(8) Action taken		
172.97(h)(1) Useful information to RCC		
172.97(h)(2) End of emergency to RCC		
172.97(i) All available means		
172.97(j) Last known position recorded		
172.97(k) Other aircraft in Auckland FIR		
172.97(l)(1) Alert aircraft operator before RCC		
172.97(l)(2) All information to aircraft operator		
172.99 Flight Plans		
172.99(b)(1) Compliance check		
172.99(b)(2) Completeness, accuracy check		



172.99(b)(3) Action necessary		
172.99(c) Single receiving ATS unit		
172.99(d)(1) Office with AFTN, fax, etc.		
172.99(d)(2) Filing, retention, activation of plans		
172.101 Time		
172.101(a)(1) UTC		
172.101(a)(2) Correct within 5 sec		
172.101(b)(1) To ATC/AFIS to IFR aircraft pre-taxi		
172.101(b)(2) To any aircraft on request		
172.103 Altimeter Setting Procedures		
172.103(1) QNH in hectopascals, rounded down		
172.103(2) QNH on initial contact		
172.103(3) QNH on request		
172.105 Radio and Telephone Procedures		
172.105(a)(1) Standard phraseology		
172.105(a)(2) Discipline		



172.105(a)(3) Annex 10 Vol II procedures except:		
172.105(a)(3)(i) Call signs per 91.249		
172.105(a)(3)(ii) AFIS call sign		
172.105(b)(1) Phraseology as per: (1) Sub-Part F		
(2) Annex 10		
(3) Doc 4444		
(4) Doc 9432		
172.105(c) Precedence per (b)		
172.107 ATS Surveillance Services		
172.107(1) ATS surveillance services as per (i) Doc 4444		
(ii) Doc 7030		
(iii) Sub-Part G		
172.107(2) SSR code allocation		
172.107(3) SSR code management plan: (i) per Doc 4444		
(ii) does not conflict with 91.247(a)		
172.107(4)(i) Nature and extent of services		



172.107(4)(ii) Significant limitations		
172.107(5) Required information displayed		
172.109 Aircraft Emergencies and Irregular Operation		
172.109(a) Maximum assistance and priority		
172.109(b) Strayed, unidentified aircraft and military interception		
172.111 Action after Serious Incident or Accident		
172.111(1) Contribution of navigation facilities		
172.111(2)(i) Warn other aircraft		
172.111(2)(ii) Advise facility operator		
172.111(3) Assist facility operator		
172.111(4) Facility not to be used		
172.113 Incidents [Part 12 Occurrence Reporting]		
172.113(1) Notification and reporting	Refer Part 12 section below	
172.113(2) [91.431] Reports to Part 171 certificate holder		
172.115 Records		
172.115(a)(1) For provision of ATS		



172.115(a)(2) For accident, incident investigation		
172.115(b) Records to include		
(1) Telephone communications		
(2) Radio communications		
(3) Air/ground datalink		
(4) ATS surveillance system		
(5) Flight plans		
(6) Progress strips		
(7) Duty rosters		
(8) Met and aeronautical info		
(10)(i) Training segments		
(10)(ii) Knowledge testing		
172.115(c)(1) Electronic recording of:		
(1) Radio and telephone communications		
(2) HF communications		
(3) Data from ATS surveillance systems		
(4) non-telephone transfer of control		



172.115(d)(1) Include time recording correct to 5 secs		
172.115(d)(2)(i) Replicate voice communication and situation display		
172.115(d)(2)(ii) Differences described		
172.115(g) Clarity of records		
172.115(h) Retention for 31 days		
172.115(h)(1) Duty rosters 2 years		
172.115(h)(2) 172.121(a)(2) & (3) Records three years		
172.115(h)(3) Training records three years		
172.117 Logbooks and Position Logs		
172.117(a) Each unit, separate areas within unit		
172.117(b)(1) Maintained by senior person on duty		
172.117(b)(2) Maintained throughout hours of watch		
172.117(b)(3) Include time of entry		
172.117(b)(4) Signing On Watch		



172.117(b)(5)(i) Chronological		
172.117(b)(5)(ii) Not erased, defaced		
172.117(b)(5)(iii) Correction initialled etc.		
172.117(b)(6) Watch opening, closing times		
172.117(b)(7) Retained three years		
172.117(c) Operating position logs		
172.117(d)(1) Operating position log information: (i) when position operating		
(ii) services provided		
(iii) operator identity		
172.117(d)(2) Operating position log retained 31 days		
172.119 Security Programme		
172.119(a) ATS security programme		
172.119(b) Physical requirements, practices and procedures		
172.119(c)(1) Positive access control		



172.119(c)(2) Protect personnel		
172.119(c)(3) In the event of a threat		
172.119(c)(4) Monitoring unattended buildings		
172.121 Service Disruptions		
172.121(a)(1) Advise Director of planned disruptions		
172.121(a)(2) Investigate unplanned disruptions		
172.121(a)(3) Report unplanned disruptions to Director in 48 hrs		
172.121(b)(1) Watch open more than 15 min late		
172.121(b)(2) Interruption greater than 10 min		
172.121(b)(3) Watch curtailment by more than 30 min		
172.157 Denial of ATC clearance		
172.157(a)(1)&(2) Denial for non-payment of charges		
172.157(b) Normal ATC service		
172.123 100 Safety Management		



172.173 System for safety management		
100.3(a)(1) Safety policy		
100.3(a)(2) Risk management process		
100.3(a)(3)(i) Hazard etc. reporting, analysis and action		
100.3(a)(3)(ii) Goals		
100.3(a)(3)(iii) Quality assurance		
100.3(a)(4) Training		
100.3(b) Documentation		
100.3(c) Adequacy of SMS		
172.165 Security Training Programme		
172.165(b) Training program contains (1) Initial and recurrent segments		
(2) Knowledge testing		
172.165(c) Procedures for (1) Acceptable syllabus		



(2) Structured and coordinated		
172.165(d) Recurrent training within 3 years		
Part 12 Occurrence Reporting		
12.55(a)(2) Notification of airspace incident		
12.55(a)(5) Notification of security incident		
12.55(a)(7) Notification of information incident		
12.55(d)(1) [App A(a)] Required information		
12.55(d)(5) [App A(e)] Required information		
12.55(d)(6) [App A(f)] Required information		
12.57(a)(1) Provide details		
12.57(b)(1)-(3) Means of providing details		
12.59(1) Conduct investigation		
12.59(2)(i)-(iii) Submit report to CAA		
12.59(3) Preventative action		
List any other rules complied with:		



CAA Use

Assessed By:

Work Request:

Date received: DD / MM / YYYY Date accepted: DD / MM / YYYY

This matrix was established using the following Rule Part amendment statuses

12	Accidents, Incidents, and Statistics	Amendment 10	30 October 2017
100	Safety Management		1 February 2016
172	Air Traffic Service Organisations – Certification	Amendment 13	20 July 2018

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