**COMPLIANCE MATRIX**

**UK Regulation (EU) No 2017/373**

**ANNEX IX – PART ATFM**

**SPECIFIC REQUIREMENTS FOR PROVIDERS OF AIR TRAFFIC FLOW MANAGEMENT**

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| **Service Provider** |  | | |
| **Matrix version number** |  | Date |  |

Complete all relevant sections and send the compliance matrix and supporting documents to [ansp.certification@caa.co.uk](mailto:ansp.certification@caa.co.uk)

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| **Amendment record** | | |
| **Issue** | **Date** | **Purpose** |
| 4 | April 2021 | Amended by Statutory Instrument 459 |
| 5 | September 2022 | Amended to rename UK Guidance Material (UK GM) to Compliance Matrix Guidance Notes (CM GN), correct typos and include ref to Annex VII Part DAT |
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**General Introduction to the ATM/ANS UK (EU) Regulation No 2017/373 Compliance Matrices**

Regulation (EU) No 2017/373 as retained (and amended in UK domestic law) under the European Union (Withdrawal) Act 2018 is applicable to all the services and functions shown in the diagram below which has been extracted from the regulation.

The Compliance matrices have been divided into the following Parts:

ANNEX III ATM/ANS ORGANISATIONAL REQUIREMENTS

ANNEX IV AIR TRAFFIC SERVICES

ANNEX V METEOROLOGICAL SERVICES

ANNEX VI AERONAUTICAL INFORMATION SERVICES

ANNEX VII DATA SERVICES

ANNEX VIII COMMUNICATION NAVIGATION OR SURVEILLANCE SERVICES

ANNEX IX AIR TRAFFIC FLOW MANAGEMENT

ANNEX X AIRSPACE MANAGEMENT

ANNEX XI PROCEDURE DESIGN

ANNEX XIII AIR TRAFFIC SAFETY PERSONNEL



Note: ANNEX XII Part NM not included.

**The table below indicates which of the compliance matrices must be completed by which type of service provider**

**Service Providers must complete the relevant Compliance Matrices and sections as indicated below**

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| **Compliance Matrix** | | **Compliance Matrix Section** | **ATS** | **MET** | | | **AIS** | **DAT** | **CNS** | **ATFM** | | **ASM** | **FPD** |
| **Local only** | **METARS** | **Forecast** | **NATS (En Route)** | **ATS Units** |
| ANNEX III | | Section 1 | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** |
| Section 2 | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** |
| Section 3 | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** |  |  |
| Section 4 | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** |
| Section 5 | **X** |  |  |  |  |  |  |  |  |  |  |
| Section 6 | **\*** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **X** |
| ANNEX IV | | Sections 1 to 4 | **X** |  |  |  |  |  |  |  |  |  |  |
| ANNEX V | | Section 1 |  | **X** | **X** | **X** |  |  |  |  |  |  |  |
| Section 2 |  | **X** | **X** |  |  |  |  |  |  |  |  |
| Section 3 |  |  |  | **X** |  |  |  |  |  |  |  |
| Section 4 |  |  |  | **X** |  |  |  |  |  |  |  |
| Section 5 |  |  |  | **X** |  |  |  |  |  |  |  |
| Section 6 |  |  |  |  |  |  |  |  |  |  |  |
| Section 7 |  |  |  | **X** |  |  |  |  |  |  |  |
| ANNEX VI | |  |  |  |  |  | **X** |  |  |  |  |  |  |
| ANNEX VII | |  |  |  |  |  |  | **X** |  |  |  |  |  |
| ANNEX VIII | |  |  |  |  |  |  |  | **X** |  |  |  |  |
| ANNEX IX | | Section 1 |  |  |  |  |  |  |  | **X** |  |  |  |
| Section 2 |  |  |  |  |  |  |  |  | **X** |  |  |
| ANNEX X | |  |  |  |  |  |  |  |  |  |  | **X** |  |
| ANNEX XI | |  |  |  |  |  |  |  |  |  |  |  | **X** |
| ANNEX XIII | |  |  |  |  |  |  |  | **X** |  |  |  |  |
|  | **\*ANNEX III Section 6 may be applicable to some ATS providers. See notes in Section 6**  **\*The Applicability of ANNEX XIII is dependent upon the type of service provided, refer to Tables 1 and 2 of the ANNEX XIII Matrix** | | | | | | | | | | | | |

**Introduction to Compliance Matrix ANNEX IX TECHNICAL REQUIREMENTS FOR AIR TRAFFIC FLOW MANAGEMENT**

UK Regulation (EU) No 2017/373 requires that all service providers of air traffic flow management must comply with the technical requirements of annex IX.

The requirements of UK regulation (EU) No 255/2010, laying down the common rules for air traffic flow management, has not yet been transposed.

This Compliance Matrix contains all the technical requirements detailed in UK Regulation (EU) No 255/2010.

The compliance matrix should be used as a checklist to enable you to establish the level of compliance of your organisation with the regulation and to identify areas where further action is required.

A list of the supporting documents referred to in the compliance matrix should be entered into the table below.

This Compliance Matrix is to be maintained and amended when changes are made to the supporting documents.

Applicants are to submit the completed compliance matrices and the referenced supporting documentation.

**How to complete this Compliance Matrix**

The Matrix is divided into two sections:

**SECTION 1,** To be completed by the local ATFM unit (NATS En Route).

**SECTION 2** - To be completed by all ATS units where flights are subject to an ATFM departure slot.

The Matrix is laid out in the format shown in the example below.

The first column lists the regulation.

The second column provides a very brief description of the requirements.

The third column provides a link to the actual regulation so full details of the requirement can be viewed as shown below. After viewing the regulation clicking on the ‘return link’ will bring you back to where you were in the compliance matrix. The third column also provides links to Compliance Matrix Guidance Notes (CM GN) where applicable.

The original UK Regulation (EU) No 2017/373 and current AMC and Guidance Material (GM) can be accessed via the CAA web site. [ATM/ANS provision of services | Civil Aviation Authority (caa.co.uk)](https://info.caa.co.uk/uk-regulations/atmans-provision-of-services/)

Under each requirement a space is provided to enable you to indicate in which of your organisation’s documents compliance can be demonstrated.

Unless specifically asked for, statements of compliance are not required within the compliance matrix.

Where your organisation is not yet compliant with a requirement enter ‘UNDER DEVELOPMENT’ followed by a target date for completion. This should be no more than 6 months. Items marked as under development will be in the scope of the next routine oversight audit.

Complete all relevant sections and send the compliance matrix and supporting documentation to [ansp.certification@caa.co.uk](mailto:ansp.certification@caa.co.uk).

**Example of compliance matrix**

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| **The Regulation and AMC** | **Requirements for all providers (except where indicated)** | **Link** |
| **Article 4.1**  **General obligations of Member States** | Provide a reference/references that indicates that your organisation ensures that the ATFM function is available to parties referred to in Article 1(3) on a 24-hour basis. | [373](#ART_4_1) |
| CM GN |
| **Enter reference(s) where compliance is indicated** | Provided in document XXXX, Part XXXX Section XXX |  |

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| **Article 4.1 General obligations of Member States**  1. Member States shall ensure that the ATFM function is available to parties referred to in Article 1(3) on a 24 hour basis. | [Return Link 4.1](#RETURN_4_1) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 4.1**  The parties listed in Article 1(3) are as follows:  (a) operators of aircraft,  (b) air traffic service (hereinafter ATS) units, including ATS reporting offices and aerodrome control services.  (c) aeronautical information services.  (d) entities involved in airspace management.  (e) airport managing bodies.  (f) the central unit for ATFM.  (g) local ATFM units.  (h) slot coordinators of coordinated airports.  The evidence of compliance provided needs to ensure that the ATM function is available to all the above.. | [Return Link 4.1](#RETURN_4_1) |

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| **Referenced Documents** | | | |
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**Compliance Matrix SECTION 1**

**ANNEX IX - TECHNICAL REQUIREMENTS FOR PROVIDERS OF AIR TRAFFIC FLOW MANAGEMENT (ATFM.TR)**

**General Requirements**

**ATFM.TR.100 Working methods and operating procedures for providers of airspace management.**

This section of the compliance matrix contains extracts from the above annexe of the regulation that are applicable to **the Local ATFM unit (NATS En Route)**

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| **The Regulation and AMC** | **Requirements for the Local ATFM Unit (NATS)** | **Link** |
| **Article 4.1**  **General obligations of Member States** | Provide a reference/references that indicates that your organisation ensures that the ATFM function is available to parties referred to in Article 1(3) on a 24-hour basis. | [373](#ART_4_1) |
| [CM GN](#GM_4_1) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **Article 4.2**  **General obligations of Member States** | Provide a document reference/references that indicates that your organisation ensures that the definition and implementation of ATFM measures is compatible with Member States security and defence requirements. | [373](#ART_4_2) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **Article 4.3**  **General obligations of Member States** | Provide a reference/references that indicates that your organisation has established consistent procedures for the cooperation between the parties involved in ATFM function, ATS units and entities involved in airspace management, in order to optimise the use of the airspace. | [373](#ART_4_3) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **Article 4.****4**  **General obligations of Member States** | Provide a reference/references that indicates that your organisation has established, where applicable, the publication of route availability in national aeronautical information publications which is fully consistent the common reference document created by Eurocontrol containing the policies, procedures and description for route and traffic  orientation. | [373](#ART_4_4) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **Article 4.5**  **General obligations of Member States** | Common procedures for requesting exemption from an ATFM departure slot shall be drawn up in accordance with the ICAO provisions specified in the Annex. Those procedures shall be coordinated with the central unit for ATFM and published in national aeronautical information publications | [373](#ART_4_5) |
|  | CAA responsibility. No entry required. |  |

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| **Article 6.5**  **General obligations of ATS units**  **NOTE: Although this regulation is directed at ATS Units it is in part applicable to the NATS Airspace Management Cell or local ATFM unit. Refer to UKGM** | Provide a reference/references that indicates that your organisation has established a process to provide the central unit for ATFM with the following data and subsequent updates, in a timely manner and ensuring its quality:  (a) availability of airspace and route structures,  (b) ATS unit sector configurations and activations,  (c) aerodrome taxi times,  (d) air traffic control sector and airport capacities,  (e) route availability including availability through application of flexible use of **airspace** in accordance with UK (EU) Regulation No 2150/2005,  (f) updated flight positions,  (g) deviations from flight plans,  (h) airspace availability including availability through application of flexible use of airspace in accordance with UK (EU) Regulation No 2150/2005,  (i) actual flight take-off times. | [373](#ART_6_5) |
| [**CM GN**](#GM_6_5) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **Article 10.1**  **Obligations concerning critical events** | Provide a reference/references that indicates that your organisation has established a process to ensure that ATFM procedures for handling critical events are established and published by the central unit for ATFM, in order to minimise disruption to the EATMN. | [373](#ART_10_1) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **Article 13**  **Safety Requirements** | Provide a reference/references that indicates that your organisation has established a process to ensure that a safety assessment, including hazard identification, risk assessment and mitigation, is conducted, before any significant changes to ATFM systems and procedures are introduced, including an assessment of a safety management process addressing the complete lifecycle of the air traffic management system. | [373](#ART_13) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **Article 14.1**  **Additional Requirements** | Provide a reference/references that indicates that your organisation has established a process which ensures that personnel of the parties referred to in Article 1(3) involved in ATFM activities are:  (a) made duly aware of the provisions of this Regulation.  (b) adequately trained and competent for their job functions | [373](#ART_14_1) |
| **Enter reference(s) where compliance is indicated** |  |  |

**Compliance Matrix SECTION 2**

**ANNEX IX - TECHNICAL REQUIREMENTS FOR PROVIDERS OF AIR TRAFFIC FLOW MANAGEMENT (ATFM.TR)**

**General Requirements**

**ATS.TR.100 Working methods and operating procedures for providers of airspace management.**

This section of the compliance matrix contains extracts from the above annexe of the regulation that are applicable to **ATS units**

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| **The Regulation and AMC** | **Requirements for all ATS providers** | **Link** |
| **Article 6****.1**  **General obligations of ATS units** | Provide a reference/references that indicates that your organisation has established a process to ensure that when an ATFM measure has to be applied it coordinates through the local ATFM unit with the central unit for ATFM. | [373](#ART_6_1) |
| [CM GN](#GM_6_1) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **Article 6.2**  **General obligations of ATS units** | When necessary, ATS reporting offices shall facilitate the exchange of information between pilots or operators and the local or the central unit for ATFM. |  |
|  | Not relevant in the UK. No ATS reporting offices. |  |
| **Article 6.3**  **General obligations of ATS units** | Provide a reference/references that indicates that your organisation has established a process which ensures that ATFM measures applied to airports are coordinated with the airport managing body concerned. | [373](#ART_6_3) |
| **Enter reference(s) where compliance is indicated** |  |  |
| **Article 6.4**  **General obligations of ATS units** | Provide a reference/references that indicates that your organisation has established a process for notifying to the central unit for ATFM through the local ATFM unit all events that may impact air traffic control capacity or air traffic demand | [373](#ART_6_4) |
| **Enter reference(s) where compliance is indicated** |  |  |

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| **Article 6.5**  **General obligations of ATS units** | Provide a reference/references that indicates that your organisation has established a process to provide the central unit for ATFM with the following data and subsequent updates, in a timely manner and ensuring its quality:  (a) availability of airspace and route structures,  (b) ATS unit sector configurations and activations,  (c) aerodrome taxi times,  (d) air traffic control sector and airport capacities,  (e) route availability including availability through application of flexible use of **airspace** in accordance with UK (EU) Regulation No 2150/2005,  (f) updated flight positions,  (g) deviations from flight plans,  (h) airspace availability including availability through application of flexible use of airspace in accordance with UK (EU) Regulation No 2150/2005,  (i) actual flight take-off times. | [373](#ART_6_5) | |
| [**CM GN**](#GM_6_5) | |
| **Enter reference(s) where compliance is indicated** |  |  | |
| **Article 6.6 (a)**  **General obligations of ATS units** | Provide a reference/references that indicates that your organisation has established a process to ensure that where a flight is subject to an ATFM departure slot, that slot is included as part of the air traffic control clearance. | | [373](#ART_6_6) |
| **Enter reference(s) where compliance is indicated** |  | |  |
| **Article 6.6 (b)**  **General obligations of ATS units** | Provide a reference/references that indicates that your organisation has established a process to ensure that  flights adhere to ATFM departure slots. | | [373](#ART_6_6) |
| **Enter reference(s) where compliance is indicated** |  | |  |
| **Article 6.6 (c)**  **General obligations of ATS units** | Provide a reference/references that indicates that your organisation has established a process to ensure that flights not adhering to their estimated off blocks time, taking into account the established time tolerance, are not given take-off clearance. | | [373](#ART_6_6) |
| **Enter reference(s) where compliance is indicated** |  | |  |
| **Article 6.6 (d)**  **General obligatio****ns of ATS units** | Provide a reference/references that indicates that your organisation has established a process to ensure that flights whose flight plan has been rejected or suspended are not given take-off clearance. | | [373](#ART_6_6) |
| **Enter reference(s) where compliance is indicated** |  | |  |
| **Article 10.2 (First Part)**  **Monitoring of compliance to ATFM measures** | Provide a reference/references that indicates that your organisation has established a process to ensure that in the preparation for critical events, ATS units and airport managing bodies have coordinated the relevance and content of the contingency procedures with operators affected by critical events, including any adjustment to priority rules. | | [373](#ART_10_2) |
| **Enter reference(s) where compliance is indicated** |  | |  |
| **Article 10.2 (Second Part)**  **Monitoring of compliance to ATFM measures** | Provide a reference/references that indicates that your organisation has established contingency procedures which include:  (a) organisational and coordination arrangements,  (b) ATFM measures to manage access to affected areas to prevent excessive air traffic demand compared with declared capacity of the whole or part of the airspace or airports concerned,  (c) circumstances, conditions and procedures for the application of priority rules for flights, which respect Member States’ essential security or defence policy interests.  (d) recovery arrangements. | | [373](#ART_6_6) |
| **Enter reference(s) where compliance is indicated** |  | |  |

**The UK (EU) Regulations and the AMC reference material**

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| **Article 4.1 General obligations of Member States**  1. The Sectary of State shall ensure that the ATFM function is available to parties referred to in Article 1(3) on a 24-hour basis.  Amended by Statutory Instrument No 459 | [Return Link 4.1](#RETURN_4_1) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 4.1**  The parties listed in Article 1(3) are as follows:  (a) operators of aircraft,  (b) air traffic service (hereinafter ATS) units, including ATS reporting offices and aerodrome control services.  (c) aeronautical information services.  (d) entities involved in airspace management.  (e) airport managing bodies.  (f) the central unit for ATFM.  (g) local ATFM units.  (h) slot coordinators of coordinated airports.  The evidence of compliance provided needs to ensure that the ATM function is available to all the above. | [Return Link 4.1](#RETURN_4_1) |

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| **Article 4.2 General obligations of Member States**  The definition and implementation of ATFM measures shall be compatible with security and defence requirements, in order to ensure efficiency in airspace planning, allocation and use for the benefit of parties referred in Article 1(3).  Amended by Statutory Instrument No 459 | [Return Link 4.2](#RETURN_4_2) |
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| **Article 4.3 General obligations of Member States**  3. Consistent procedures shall be established for the cooperation between the parties involved in ATFM function, ATS units and entities involved in airspace management, in order to optimise the use of the airspace. | [Return Link 4.3](#RETURN_4_3) |
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| **Article 4.4 General obligations of Member States**  Where applicable, publication of route availability in national aeronautical information publications shall be fully consistent the common reference document created by Eurocontrol containing the policies, procedures and description for route and traffic  orientation.  Amended by Statutory Instrument No 459 | [Return Link 4.4](#RETURN_4_4) |
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| **Article 4.5 General obligations of Member States**  5. Common procedures for requesting exemption from an ATFM departure slot shall be drawn up in accordance with the ICAO provisions specified in the Annex. The Secretary of State must endeavour to ensure that those procedures are coordinated with the central unit for ATFM and published in national aeronautical information publications.  Amended by Statutory Instrument No 459 | [Return Link 4.5](#RETURN_4_5) |
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| **Article 6.1 General obligations of ATS units**  When an ATFM measure has to be applied, ATS units shall coordinate through the local ATFM unit with the central unit for ATFM in order to ensure that the choice of measure is made with respect to the optimisation of the overall performance effects on the UK ATMS.  Amended by Statutory Instrument No 459 | [Return Link 6.1](#RETURN_6_1) |

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| **CM GUIDANCE NOTES providing guidance on compliance with Article 6.1**  ATS UNITS should have a documented procedure for notifying the Flight Management Position (FMP) or Airspace Capacity Manager at Swanwick (MATS Pt 2)  This is relating to Adverse Operating Conditions that effect Calculated Take of Time (CTOT) and other flow restrictions such as Average Departure Interval (ADI’s), Minimum Departure Intervals (MDI’s) and Aerodrome Reasonable Departure Spacing (ARDS)  These all fall under Short Term ATC Flow Measures (STAM) and are recorded by NATS when they are deployed recording aerodrome, duration and a rational to requirements | [Return Link 6.1](#RETURN_6_1) |
|  | |
| **Article 6.3 General obligations of ATS units**  ATS units shall ensure that ATFM measures applied to airports are coordinated with the airport managing body concerned, in order to ensure efficiency in airport planning and usage for the benefit of parties referred to in Article 1(3). | [Return Link 6.3](#RETURN_6_3) |
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| **Article 6.4 General obligations of ATS units**  ATS units shall notify to the central unit for ATFM through the local ATFM unit all events that may impact air traffic control capacity or air traffic demand | [Return Link 6.4](#RETURN_6_4) |

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| **Article 6.5 General obligations of ATS units (Local ATFM Unit)**  5. ATS units shall provide the central unit for ATFM with the following data and subsequent updates, in a timely manner and ensuring its quality:  (a) availability of airspace and route structures,  (b) ATS unit sector configurations and activations,  (c) aerodrome taxi times,  (d) air traffic control sector and airport capacities,  (e) route availability including availability through application of flexible use of airspace in accordance with UK (EU) Regulation No 2150/2005,  (f) updated flight positions,  (g) deviations from flight plans,  (h) airspace availability including availability through application of flexible use of airspace in accordance with UK (EU) Regulation No 2150/2005,  (i) actual flight take-off times.  The data shall be made available to parties referred to in Article 1(3) and provided free of charge to the central unit for ATFM.  Amended by Statutory Instrument No 459 | [Return Link 6.5 NATS](#RETURN_6_5) |
| [Return Link 6.5 ATS Units](#RETURN_ATS_6_5) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 6.5**  This part of the regulation is applicable, in part to both the NATS Airspace Management Cell and ATS Units.  **ATS Units:**  ATS Units will either supply the data listed in Article 6.5 to NATS Airspace Management Cell or if participating in the Aerodrome Collaborative Decision Making (ACDM) process directly to the central unit for ATFM at Eurocontrol.  **NATS Airspace Management Cell**  The NATS Airspace Management Cell will collate the data received from the ATS Units that do not participate in the ADCM process and forward this to the central unit for ATFM at Eurocontrol | [Return Link 6.5 NATS](#RETURN_6_5) |
| [Return Link 6.5 ATS Units](#RETURN_ATS_6_5) |

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| **Article 6.6 General obligations of ATS units**  The ATS unit at the departure airport shall ensure that:  (a) where a flight is subject to an ATFM departure slot, that slot is included as part of the air traffic control clearance.  (b) flights adhere to ATFM departure slots.  (c) flights not adhering to their estimated off blocks time, taking into account the established time tolerance, are not given take-off clearance.  (d) flights whose flight plan has been rejected or suspended are not given take-off clearance.  Amended by Statutory Instrument No 459 | [Return Link 6.6 (a)](#RETURN_6_6a) |
| [Return Link 6.6 (b)](#RETURN_6_6b) |
| [Return Link 6.6 (c)](#RETURN_6_6c) |
| [Return Link 6.6 (d)](#RETURN_6_6d) |
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| **Article 10.1 Obligations concerning critical events**  The Secretary of State must endeavour to ensure that ATFM procedures for handling critical events are established and published by the central unit for ATFM, in order to minimise disruption to the UK ATMS.  Amended by Statutory Instrument No 459 | [Return Link 10.1](#RETURN_10_1) | |
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| **Article 10.2 Obligations concerning critical events**  In the preparation for critical events, ATS units and airport managing bodies shall coordinate the relevance and content of the contingency procedures with operators affected by critical events, including any adjustment to priority rules.  The contingency procedures shall include:  (a) organisational and coordination arrangements,  (b) ATFM measures to manage access to affected areas to prevent excessive air traffic demand compared with declared capacity of the whole or part of the airspace or airports concerned,  (c) circumstances, conditions and procedures for the application of priority rules for flights, which respect to essential security or defence policy interests,  (d) recovery arrangements. | [Return Link 10.2 First Part](#RETURN_10_2_FP) | |
| [Return Link 10.2 Second Part](#RETURN_10_2_SP) | |
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| **Article 13 Safety requirements**  The Secretary of State shall ensure that a safety assessment, including hazard identification, risk assessment and mitigation, is conducted, before any significant changes to ATFM systems and procedures are introduced, including an assessment of a safety management process addressing the complete lifecycle of the air traffic management system.  Amended by Statutory Instrument No 459 | [Return Link 10.1](#RETURN_10_1) | |
| **Article 14.1 Additional requirements**  1. The Secretary of State shall ensure that personnel of the parties referred to in Article 1(3) involved in ATFM activities are:  (a) made duly aware of the provisions of this Regulation.  (b) adequately trained and competent for their job functions.  Amended by Statutory Instrument No 459 | [Return Link 14.1](#RETURN_14_1) | |