Appendix 1 to AMC 4 SKPI Questionnaire for Measurement of Effectiveness of Safety Management KPI – State level

		Effectiveness Levels										
ID	*Objective*	*Initiating*	Click Button	*Planning/ Initial Implementation*	Click Button	*Implementing*	Click Button	*Managing & Measuring*	Click Button	*Continuous Improvement*	Click Button	*Please provide justification for selected answer*
Component 1 State safety policy and objectives												
Element 1.1 State safety legislative framework												
MO1.1: Implement the EU safety legislative and regulatory framework, including where necessary, by aligning the national framework												
Q1.1	There is a well-established primary aviation legislation that contains provisions enabling the government and its administration to proactively supervise civil aviation activities and implements the EU safety regulatory framework in relation to ATM/ANS.	There is a primary legislative framework. However it is not yet in line with the EU regulatory framework, neither adapted to the level of complexity of the national aviation system or does not cover all ATM oversight aspects	☐ A	**All of *Initiating* plus:** A gap analysis of the primary legislative framework and the EU regulatory framework has been performed and an Implementation Plan for updating the ATM primary legislation in line with the EU regulatory framework has been prepared	☐ B	**All of *Planning/ Initial Implementation* plus:** Primary aviation legislation in the field of ATM in line with the EU regulatory framework have been published and implemented.	☐ C	**All of *Implementing* plus:** The best practices that are being implemented by other States or promulgated within the EU (e.g. through EASA GM) in the area of establishing the primary aviation legislation with regard to ATM in line with the EU regulatory framework are being actively adopted.	☐ D	**All of *Managing and Measuring* plus:** Best practices in the development and establishment of a primary legislative framework including ATM are established with other States and recognised by the ATM industry.	☐ E	
Q1.2	There are adequate financial and competent resources in place to carry out all phases of safety regulatory processes.	Resources for safety regulatory functions are provided on an 'as and when needed' ad-hoc basis.	☐ A	**All of *Initiating* plus:** Resources only allow for a limited number of safety regulatory activities. A plan is in place to increase resource levels.	☐ B	**All of *Planning/ Initial Implementation* plus:** Resource allocations (either internal or through the means of recognised organisations) are sufficient to cover, at least at minimum level, safety regulatory functions. A periodic review of the resources needed to perform the safety oversight function is in place.	☐ C	**All of *Implementing* plus:** There is a resource plan in place to ensure continued allocation of adequate resources to all safety regulatory functions. A multi-annual resource planning process is in place for all phases of the safety regulatory processes.	☐ D	**All of *Managing & Measuring* plus:** Safety has a high priority during resource allocation and all safety regulatory functions are well resourced. Safety authorities, responsibilities and accountabilities are reviewed after any significant organisational change. The Regulator has sufficient resources to ensure that the safety regulatory functions provided are effective and the State is setting regulatory best practices which are recognised by the ATM industry.	☐ E	
Q1.3	There are national secondary regulations that address requirements stemming from primary legislation, international obligations and they are in line with the EU Regulatory Framework in relation to ATM/ANS.	There is secondary legislation for civil aviation. However, it does not cover all elements of the primary legislation relating to ATM and it is not yet aligned with the EU regulatory framework.	☐ A	**All of *Initiating* plus:** A gap analysis of the legislative framework against the EU regulatory framework has been performed and an Implementation Plan for the secondary legislation in line with the EU regulatory framework is in place and its implementation has commenced.	☐ B	**All of *Planning/ Initial Implementation* plus:** The secondary legislation addresses requirements stemming from primary legislation, international obligations and it is aligned with the EU regulatory framework.	☐ C	**All of *Implementing* plus:** Secondary legislation is constantly being evaluated and modified when necessary in order to adjust to the changing ATM environment and to take into account the evolution of the EU regulatory framework. The best practices that are being implemented by other States promulgated within with the EU (e.g. through EASA GM) in the area of establishing secondary legislation with regard to ATM are being actively adapted and adopted .	☐ D	**All of *Managing & Measuring* plus:** Best practices in the development and establishment of a secondary legislation framework including ATM are established with other States and with the EU institutions and are recognised by the ATM industry and by the EU.	☐ E	
Q1.4	National regulations are regularly reviewed, assessed, maintained up to date and in line with the European regulatory framework by the appropriate authority.	Staff have only limited knowledge of requirements and there is no formal process that ensures requirements are maintained up to date.	☐ A	**All of *Initiating* plus:** A process has been identified to maintain national regulations up to date and in line with the EU regulations but its initial implementation is ad hoc and ineffective.	☐ B	**All of *Planning/ Initial Implementation* plus:** The process to maintain all national regulations up to date and in line with the EU regulatory framework is formalised and systematic. Procedures are kept up to date and changes are notified to staff	☐ C	All of *Implementing* plus: There is a formal process in place to periodically review national regulations which ensures that they continue to be relevant, up to date, effective and in line with the EU regulatory framework.	☐ D	**All of *Managing & Measuring* plus:** The organisation has an effective mechanism in place to identify changes within the organisation that could affect regulatory processess.	☐ E	
Q1.5	The State's regulatory process takes into account the need to implement and comply with national requirements and international obligations including the obligations steaming from EU regulations in a timely and consistent manner.	There is awareness of the international obligations including the obligations steaming from EU regulations and requirements and the necessity to comply with them in a timely manner. However, compliance is on an ad hoc basis (e.g. due to limited resources).	☐ A	**All of Initiating plus:** There is awareness of the international obligations including the obligations steaming from EU regulations and plans are in place to comply with them in a timely manner. Work has started in some areas.	☐ B	**All of *Planning/ Initial Implementation* plus:** International obligations including the obligations steaming from EU regulations related to safety are known and they been implemented in a timely manner to satisfy national requirements and international obligations including the obligations steaming from EU regulations	☐ C	**All of *Implementing* plus:** There is a process in place to proactively ensure, timely and consistent conformity with national requirements and international obligations including the obligations steaming from EU regulations..	☐ D	**All of *Managing & Measuring* plus:** There is a systematic process in place, recognised by the ATM industry, to regularly review and amend the safety standards or to contribute to their review within the EU and to ensure on-going consistent compliance with national requirements and international obligations including the obligations steaming from EU regulations.	☐ E	
Element 1.2 State safety responsibilities and accountabilities												
MO1.2: Establish national safety responsibilities and maintain the national safety plan in line with the European Aviation Safety Plan, where applicable. The national safety plan shall include the state policy to ensure the necessary resources.												

ID	Objective	Initiating	Click Button	Planning/ Initial Implementation	Click Button	Implementing	Click Button	Managing & Measuring	Click Button	Continuous Improvement	Click Button	Please provide justification for selected answer
Q1.6	There is a competent authority established to be responsible for safety in ATM/ANS supported by appropriate and adequate technical and non-technical staff with safety policies, regulatory functions, roles, responsibilities and objectives in place.	There are safety regulatory bodies in place performing regulatory functions (e.g. certification, oversight) on an ad hoc basis. However, there is no formally nominated competent authority in the field of ATM/ANS.	◉ A	**All of Initiating plus:** There is an approved plan to formalise the creation of a competent authority in the field of ATM/ANS that will perform safety regulatory functions (e.g. certification, oversight). Implementation has commenced. Recruitment of staff is under way.	○ B	**All of *Planning/ Initial Implementation* plus:** A competent authority for the field of ATM/ANS has been established and safety policies, regulatory functions and objectives are in place. The competent authority is supported by appropriate and adequate technical and non-technical staff.	○ C	**All of *Implementing* plus:** The Regulatory processes are used to establish consistency across the organisation. As a result, the regulatory functions performed across the ATM industry are consistent and an integrated annual planning process is in place.	○ D	**All of *Managing & Measuring* plus:** Safety policies, regulatory functions and objectives are periodically reviewed with the aim of continuous improvement. The competent authority is establishing safety best practices or actively contributes to the establishment of EU guidance material and acceptable means of compliance for the ATM industry.	○ E	
Q1.7	The regulatory and service provision functions and organisations are clearly separated at all levels in the State.	There is no separation of regulatory and service provision functions.	◉ A	**All of Initiating plus:** Some of the regulatory and service provision functions are separated. There is a plan in place to establish complete functional separation and implementation has commenced.	○ B	**All of *Planning/ Initial Implementation* plus:** Functional separation of regulation and service provisions has been established. However, ultimately they report to the same level of authority.	○ C	**All of *Implementing* plus:** The regulatory and service provision functions and organisations are separated and with effective safety interfaces established.	○ D	**All of *Managing & Measuring* plus:** The separated regulatory and service provision functions and/or organisations are periodically reviewed and are incorporated within the overall aviation safety system.	○ E	
Q1.8	Legislation and procedures are in place to ensure the oversight of safety requirements in accordance with EU regulations and, where applicable, with national and international obligations.	Existing legislation and national procedures does not cover the safety oversight requirements, and is not in line with the EU regulations neither adapted to the level of complexity of the national aviation system.	◉ A	**All of Initiating plus:** A gap analysis between the existing legislative framework and national procedures and the EU regulations has been performed and an Implementation Plan for the safety oversight system has been prepared and has been initiated.	○ B	**All of *Planning/ Initial Implementation* plus:** The relevant legislation and national procedures needed to implement the EU regulations for safety oversight have been published and implemented.	○ C	**All of *Implementing* plus:** The relevant legislation and national procedures needed to implement the EU regulations for safety oversight are applied in a consistent manner. Comprehensive guidance material is being adapted in line with the guidance material published by EASA or by another European Institution, and are adopted from ATM industry best practices. .	○ D	**All of *Managing & Measuring* plus:** The legislation, guidance material and associated national procedures on safety oversight are periodically reviewed and amended with the aim of continuous improvement. These are incorporated within the overall aviation safety system. .	○ E	
Q1.9	The relevant competent authority for safety has documented responsibilities and accountabilities of their staff. In addition, it has delegated sufficient legal authority to staff to allow them to execute their duties. Staff within the competent authority understand and accept their responsibilities	There is no formal designation of responsibilities and accountabilities covering safety regulatory functions (e.g. safety oversight, rulemaking). Not all roles and responsibilities have been communicated to staff .	◉ A	**All of *Initiating* plus:** There is a generic division of roles and responsibilities and ad hoc actions taken in order to make staff aware of their responsibilities. There is a plan in place to ensure all staff are aware of their roles and responsibilities.	○ B	**All of *Planning/ Initial Implementation* plus:** Documented responsibilities and accountabilities for regulatory staff are in place and are derived from EU or national requirements. . Individuals are aware of their roles and responsibilities with regard to safety regulatory functions (e.g. safety oversight, rulemaking) .	○ C	**All of *Implementing* plus:** Safety responsibilities and accountabilities of appropriate staff are proactively assessed for their fitness for purpose. Staff is consulted with regard to improve and review their responsibilities and accountabilities .	○ D	**All of *Managing & Measuring* plus:** Safety responsibilities and accountabilities are periodically reviewed and modified with the aim of continuous improvement (including after any significant organisational change). Individuals take proactive action to have the rules and procedures changed where a safety benefit is identified .	○ E	
Element 1.3 Accident and incident investigation												
MO1.3a: Establish and maintain the independence of the civil aviation safety investigation authorities, including necessary resources.												
Q1.10	There is an independent entity empowered to make civil aviation safety investigations.	There are arrangements for creating an ad-hoc structure, outside ANSP for the investigation, of safety occurrences such as accidents and serious incidents.	◉ A	**All of *Initiating* plus:** Plans and financial commitments for putting in place an independent entity for safety occurrences investigations are well documented.	○ B	**All of *Planning/ Initial Implementation* plus:** An independent entity with main objectives for safety occurrences investigation is well established and acts effectively.	○ C	**All of *Implementing* plus:** The safety occurrences investigation entity is recognised by the national civil aviation community for providing added value for safety.	○ D	**All of *Managing & Measuring* plus:** A mechanism is established for continuous improvement of the safety occurrences investigation processes of the entity which aim to provide added value for safety to the civil aviation community in a proactive manner.	○ E	
MO1.3b: Establish means to ensure that appropriate safety measures are taken after safety recommendations have been issued by a civil aviation safety investigation authority.												
Q1.11	There is a mechanism to ensure that the results of occurrence reporting system and investigation activities are used in the identification of deficiencies and safety concerns and their resolution.	Results from occurrence reporting system and investigation activities are used for identification and analysis of safety deficiencies and concerns on an ad hoc basis. A plan to formalise the analysis of the results from the occurrence reporting system and investigation activities is being developed.	◉ A	**All of *Initiating* plus:** There is an approved plan in place to formalise the analysis of the results from the occurrence reporting system and investigation activities in order to provide safety recommendations. There is evidence that some areas of the plan have been implemented.	○ B	**All of *Planning/ Initial Implementation* plus:** There is a formal mechanism for identification and analysis of deficiencies and safety concerns resulting from the investigation of safety occurrence reporting. Safety recommendations/ directives are issued based on identified safety deficiencies, and concerns.	○ C	**All of *Implementing* plus:** Follow-up actions resulting from safety recommendation/ directives are monitored to ensure corrective and mitigation actions are implemented. There are documented cases where operating restrictions have been imposed, where appropriate, based on the systematic identification of deficiencies and concerns resulted from the occurrence reporting system.	○ D	**All of *Managing & Measuring* plus:** Best practices with regard to the identification of safety deficiencies and concerns and their resolution are shared with safety regulatory organisations. The process of resolving identified safety concerns is monitored to ensure continuous improvement. The safety deficiency, identification and analysis approach is recognised as best in class within the ATM industry. MAR's proposal: The State system for investigation of safety occurrence and safety recommendations is regularly reviewed with the involvement of all stakeholders to ensure continuous improvement.	○ E	

ID	Objective	Initiating	Click Button	Planning/ Initial Implementation	Click Button	Implementing	Click Button	Managing & Measuring	Click Button	Continuous Improvement	Click Button	Please provide justification for selected answer
Q1.12	A mechanism has been established to ensure that appropriate safety measures are based on safety recommendations issued by a civil aviation safety investigation authority.	Safety measures based on safety recommendations issued by a civil aviation safety investigation authority are taken on ad hoc basis.	◉ A	All of *Initiating* plus: There is plan to establish a more systematic mechanism for dealing with safety recommendations issued by a civil aviation safety investigation authority.	○ B	All of *Planning/ Initial Implementation* plus: The mechanism for ensuring that appropriate safety measures are taken after safety recommendations issued by a civil aviation safety investigation authority is in place but not systematically used. No enough resources have been allocated to it. .	○ C	All of *Implementing* plus: The process for dealing with safety recommendations issued by a civil aviation safety investigation authority is systematically applied and there is a department dealing with it.	○ D	All of *Managing & Measuring* plus: There is a continuous review of the process with the aim to continuously improve it. The mechanism of dealing with safety recommendations issued by a civil aviation safety investigation authority is recognised as one of the best practises.	○ E	
MO1.3c – Ensure that civil aviation safety investigation authorities involve subject matter expertise from the ATM/ANS domain.												
Q1.13	There is a mechanism to ensure that civil aviation investigation authorities involve ATM/ANS subject matter expertise involvement in their investigation processes for the investigation of occurrences related to ATM/ANS.	During some safety occurrences investigations on ad-hoc basis subject matter experts are involved.	◉ A	All of *Initiating* plus: There is a plan for establishing a formal procedure for evaluating the necessity of use of subject matter expertise in the occurrences investigations on systematic way.	○ B	All of *Planning/ Initial Implementation* plus: The subject matter experts are included in the occurrences investigations when considered appropriate in accordance with the legislation.	○ C	All of *Implementing* plus: The subject matter experts involved in the investigation are properly trained for the investigation process.	○ D	All of *Managing & Measuring* plus: The system for use of subject matter expertise in investigation is continuously improved using the feed-back of the stakeholders.	○ E	
Element 1.4 Enforcement policy												
MO1.4: Establish appropriate, transparent and proportionate enforcement procedures, including for the suspension, limitation and revocation of licenses and certificates and the application of other effective penalties.												
Q1.14	There is a well-established aviation legislation that delegates powers to the competent authority and its staff for enforcement, including suspension, revocation of licences and certificates and other penalties.	Arrangements exist for ad-hoc suspension, revocation of licences and certificates and penalties.	◉ A	All of *Initiating* plus: There is a plan for establishing a formal procedure for evaluating the necessity of use of subject matter expertise in the occurrences investigations on systematic way.	○ B	All of *Planning/ Initial Implementation* plus: Formal procedures for enforcement, including suspension, revocation of licences and certificates and other penalties are in place.	○ C	All of *Implementing* plus: There is a systematic approach in applying the enforcement procedures with proved safety benefits.	○ D	All of *Managing & Measuring* plus: Continuous improvement of the enforcement procedures including the best practices.	○ E	
Element 1.5 Management of related interfaces												
MO1.5a: Ensure adequate management of the internal interfaces within the NSA.												
Q1.15	All safety related internal interfaces within the competent authority are effectively managed.	The competent authority is aware of its internal safety related interfaces but manages them on an informal basis.	◉ A	All of *Initiating* plus: Internal safety related interfaces are identified. Processes and procedures planned to manage them in a formalised way have been initiated.	○ B	All of *Planning/ Initial Implementation* plus: All safety related internal interfaces are managed in a formal manner. Safety requirements are specified and documented in appropriate managerial arrangements (e.g. a common Management System etc) .	○ C	All of *Implementing* plus: All internal safety related interfaces are managed and measured to assess their effectiveness. The competent authority processes ensure that a consistent corporate approach is applied to safety related activities across the organisation.	○ D	All of *Managing & Measuring* plus: Surveys are conducted on a regular basis to identify weaknesses in the internal interface processes. The safety regulatory functions are incorporated within the competent authority. All internal safety related interfaces are managed effectively and are measured systematically with the aim of continuous improvement.	○ E	
Q1.16	Related internal management systems (e.g. QMS) have been coordinated.	There is un-coordinated ad hoc integration of internal management systems. Processes and procedures across within the competent authority are conducted in isolation.	◉ A	All of *Initiating* plus: A formal plan exists for further alignment of internal management systems, which has been initiated. Processes and procedures across the competent authority have been mapped and potential synergies identified.	○ B	All of *Planning/ Initial Implementation* plus: The integration of the alignment of the internal management systems is on-going. Processes and procedures to ensure a coherent approach amongst internal management systems and State Safety Programme are still in place, even following organisational changes.	○ C	All of *Implementing* plus: Where appropriate, there is full integration of all management systems across the organisation. Relationships between departments are being proactively built. Competent authority processes and procedures ensure that a consistent corporate approach is applied to safety related activities across the authority.	○ D	All of *Managing & Measuring* plus: Working practices ensure that the competent authority works as a coherent system and not as a group of individual or fragmented units. There is a review process in place to ensure that the competent authority can adapt proactively to organisational changes and continuously improve the internal management systems. Processes and procedures are incorporated within the overall internal management system.	○ E	
MO1.5b: Ensure adequate management of the external interfaces with relevant stakeholders												

ID	Objective	Initiating	Click Button	Planning/ Initial Implementation	Click Button	Implementing	Click Button	Managing & Measuring	Click Button	Continuous Improvement	Click Button	Please provide justification for selected answer
Q1.17	All external interfaces with a safety impact (other Regulators, ANSPs, MIL, Airspace Users, Airports, etc.) are coherent and effectively managed.	There is an informal structure in place for the collection, investigation, evaluation and dissemination of safety occurrence data.	☐ A	All of *Initiating* plus: External safety related interfaces are identified and processes and procedures are planned to manage them in a formalised way. Implementation activities have commenced.	☐ B	All of *Planning/ Initial Implementation* plus: All safety related external interfaces are managed in a formal manner. Safety requirements are specified and documented in appropriate managerial arrangements (e.g. where appropriate, Letters of Agreement – LOAs; Service Level Agreements – SLAs, MoUs etc). The competent authority plans to be the subject of peer review type activities.	☐ C	All of *Implementing* plus: All external safety related interfaces are managed and measured to determine their effectiveness. The competent authority processes ensure that a consistent corporate approach is applied to external safety related interfaces. The competent authority participates in peer review type activities with other Regulators/competent authorities and act on the results.	☐ D	All of *Managing & Measuring* plus: Internal surveys are conducted on a regular basis to identify and fix weaknesses in the external interface process. The Regulatory Organisation leads peer review type activities with other Regulators, and is recognised as best in class within the ATM industry. There is a systemic view of ATM which correlates the safety regulatory functions for all industry elements, ANSPs, Airports, Airspace Users, Military and other competent authorities.	☐ E	.
Q1.18	Working relationships with ANSPs are based on formalised processes and procedures in accordance with their safety significance.	The relationship (e.g. communication and consultation) with ANSPs is informal and ad-hoc.	☐ A	All of *Initiating* plus: The relationship (e.g. communication and consultation) with ANSPs is being formalised and procedures have been developed and implementation activities have started.	☐ B	All of *Planning/ Initial Implementation* plus: The relationship (e.g. communication and consultation) with ANSPs is formalised and procedures have been implemented.	☐ C	All of *Implementing* plus: The relationship (e.g. communication and consultation) with ANSPs is not only formalised but also collaborative (e.g. through joint policy boards with defined terms of reference). Historic data is shared when appropriate.	☐ D	All of *Managing & Measuring* plus: The relationship with ANSPs is systemically and proactively reviewed for continuous improvement. Real-time sharing of safety related data is in place with respect to the management of safety. Formalised sharing of staff (i.e.secondments) is systematically practiced. Support and guidance is provided on the basis of mutual respect and trust.	☐ E	
Component 2 Safety risk management												
Element 2.1 Safety requirements for the air navigation service provider's SMS												
MO2.1: Establish controls which govern how service providers' safety management systems (SMS) will identify hazards and manage safety risks												
Q2.1	The competent authority has established oversight procedures which aim to monitor compliance with the SMS requirements by the service providers in particular the requirements for hazards identification and risk assessment and mitigation.	The competent authority oversees the service provider's risk assessment process oon ad hoc basis.	☐ A	All of *Initiating* plus: A formal procedure for continuous oversight of the risk assessment processes of the service provider has been prepared but it has not been approved neither implemented.	☐ B	All of *Planning/ Initial Implementation* plus: A formal procedure for continuous oversight of the risk assessment processes of the service provider has been implemented. The service providr procedure for hazard identification and risk assessment and mitigation has been approved by the competent authorit.	☐ C	All of *Implementing* plus: The procedure for overseeing the service provider's risk assessment processes is systematically applied.	☐ D	All of *Managing & Measuring* plus: The procedure for overseeing the service provider's risk assessment processes is constantly reviewing for continuous improvement and for introducing risk-oversight approach.	☐ E	
Element 2.2 Agreement on the service provider's safety performance												
MO2.2: Agree on safety performance of an individual, national or FAB service provider												
Q2.2	The competent authority has agreed with individual air navigation service providers on the safety performance (consistent with the ones contained in the national performance plans)	Acceptable safety levels are established through the ATM safety regulatory framework in a limited number of areas and in an ad hoc manner.	☐ A	All of *Initiating* plus: There is a plan in place to establish and formalise acceptable safety levels for the ATM system through the ATM safety regulatory framework. Implementation activities have commenced.	☐ B	All of *Planning/ Initial Implementation* plus: Formalised acceptable safety levels have been established for the ATM system through the implementation of the State Safety Programme.	☐ C	All of *Implementing* plus: An evaluation of the acceptable safety levels is carried out on a regular basis and changes are introduced when necessary.	☐ D	All of *Managing & Measuring* plus: The acceptable safety level review process is proactively incorporated within the overall aviation safety system. Based on proactive recommendations, acceptable safety levels are linked to potential safety-critical hazards and events through the State Safety Plan.	☐ E	
Q2.3	The safety performance achieved is regularly monitored and assessed in order to determine their compliance with safety requirements.	Ad hoc monitoring is carried out but there is limited assessment and determination of compliance with the safety requirements.	☐ A	All of *Initiating* plus: An approved plan is in place to formalise the safety monitoring and assessment of safety levels against safety targets and thresholds. Implementation activities have commenced.	☐ B	All of *Planning/ Initial Implementation* plus: There is a formalised and effective system in place for safety level monitoring and assessment. Some initial safety targets and thresholds have been established and internal benchmarking activities to determine their compliance with safety requirements have started.	☐ C	All of *Implementing* plus: Assessments of safety levels are carried out using validated safety targets and thresholds on a regular basis, and safety recommendations/ directives are issued when necessary. External benchmarking activities have started with the aim of incorporating available best practices .	☐ D	All of *Managing & Measuring* plus: The results of the monitoring and assessment of acceptable safety levels are used for improvements of the European regulatory and oversight aspects of ATM. Internal and external benchmarking activities are well established and aim to continuously improve the levels of safety, and set new standards of safety requirements within the ATM industry.	☐ E	

ID	Objective	Initiating	Click Button	Planning/ Initial Implementation	Click Button	Implementing	Click Button	Managing & Measuring	Click Button	Continuous Improvement	Click Button	Please provide justification for selected answer
Q2.4	The State informs the general public on the overall ATM safety related performance through routine publication of achieved safety performance and trend.	All ATM safety related performance information is deemed as confidential and is not made available to the public.	◉ A	All of *Initiating* plus: A limited amount of ATM safety related performance information is made available to the public.	○ B	All of *Planning/ Initial Implementation* plus: Appropriate ATM safety related performance information is made available to the public.	○ C	All of *Implementing* plus: The ATM safety related performance information is systematically reviewed with the aim to present the public with a comprehensive view on achieved safety performance and trends.	○ D	All of *Managing & Measuring* plus: The State proactively provides access to appropriate ATM safety related performance information. Achieved and projected safety performance are transparent to the public. There is a feedback process in place that enables those receiving/ accessing information to comment on its relevance, and corrective measures are put in place to rectify any communication deficiencies.	○ E	
Component 3 Safety assurance												
Element 3.1 Safety oversight												
MO3.1a: Attribution of powers to the NSA responsible for safety oversight of air navigation service providers												
Q3.1	There is a well-established legislation that nominates the competent authority/NSA as responsible for the safety oversight of air navigation service providers and provides all the necessary means to execute their safety oversight tasks.	There is not legislation nominating a competent authority/NSA as responsible for safety oversight of the air navigation service provider but the State arrange for ad hoc inspections.	◉ A	All of *Initiating* plus: There is a plan in place to establish legislation for the nomination of the competent authority/NSA as responsible for the safety oversight of the air navigation service provider. Implementation activities have commenced.	○ B	All of *Planning/ Initial Implementation* plus: The legislation nominating the competent authority/NSA as responsible for safety oversight of the air navigation service provider has been established. The competent authority has initiating procedures for the safety oversight of the air navigation service providers.	○ C	All of *Implementing* plus: The procedures for safety oversight of the air navigation service provider are applied systematically in accordance with the European regulatory framework. The competent authority introduces a risk-based safety oversight procedure.	○ D	All of *Managing & Measuring* plus: The procedures for safety oversight are constantly reviewing for continuous improvement. The competent authority is applying the risk-based safety oversight procedure.	○ E	
MO3.1b: Establishment of a national safety oversight system and programme to ensure effective monitoring of the air navigation service provider's (ANSP) compliance with the applicable regulations and monitoring of the safety oversight function.												
Q3.2	The competent authority's safety oversight system is implemented in accordance with applicable regulation for safety oversight (i.e. processes and procedures for the oversight of the safety requirements (e.g. granting, revocation, limitation or suspension of license/certificate; authority to conduct inspections/audits, make recommendations, monitoring activity to ensure that objectives and requirements are met; planning, conducting oversight activities) are effectively implemented).	The safety oversight system is based on ad hoc arrangements. Deviations from the applicable regulation for safety oversight exist.	◉ A	All of *Initiating* plus: The safety oversight system is partially implemented. However, there is a plan in place to ensure it will meet the applicable regulation for safety oversight.	○ B	All of *Planning/ Initial Implementation* plus: The safety oversight system has been implemented and meets the applicable regulation for safety oversight.	○ C	All of *Implementing* plus: The safety oversight system is systematically managed and measured for its effectiveness. There is a process in place to adapt and implement industry best practices concerning the safety oversight system.	○ D	All of *Managing & Measuring* plus: The safety oversight system is reviewed and amended with the aim of continuous improvement. It is recognised in the ATM industry as being amongst the best.	○ E	
Q3.3	Audits are conducted by qualified auditors to ensure that all applicable ATM safety requirements and implementing arrangements by ANSPs are being met.	Audits are conducted on an ad hoc basis but are not consistent with the applicable regulation for safety oversight.	◉ A	All of *Initiating* plus: Implementation activities in respect of oversight audits have started but they are not yet completed. There are insufficient trained auditors to effectively monitor the implementation of ATM safety requirements.	○ B	All of *Planning/ Initial Implementation* plus: Regular audits are performed by qualified staff who are independent of the ANSPs.	○ C	All of *Implementing* plus: There is a systematic approach to auditing. The European safety regulatory framework is used to ensure that there are consistent auditing rules and processes across the State's ATM safety.	○ D	All of *Managing & Measuring* plus: The European safety regulatory framework in respect of auditing processes is incorporated within the overall safety system and the State participates in its periodical review to ensure continuous improvement.	○ E	
Q3.4	Processes and methods are in place to ensure that the European safety requirements in respect to changes to the ATM system are being met.	The competent authority reviews of safety arguments in respect of changes to the ATM system are performed on an ad hoc basis. There are limited regulatory safety review methods in place.	◉ A	All of *Initiating* plus: The process for the competent authority reviews of proposed changes to the ATM system has started to be formalised, but there are insufficient staff to perform all reviews. Initial implementation has started	○ B	All of *Planning/ Initial Implementation* plus: There is a systematic approach to approval of changes to the ATM system. Reviews of changes to the ATM system are performed by qualified staff who are independent of the ANSPs. A formal regulatory safety review mechanism is in place. However, risk assessment regulatory reviews are conducted only on changes that are safety critical.	○ C	All of *Implementing* plus: The safety regulatory process is used to ensure that there is a consistent approach to changes to the ATM system and reviews are conducted commensurate with the level of risk posed. Where appropriate, quantified safety levels are used. The regulatory safety review mechanism and its associated methodologies are reviewed and kept in line with industry standards.	○ D	All of *Managing & Measuring* plus: The European safety regulatory framework in respect of changes to the ATM system is incorporated within the overall safety system and the State participates in its periodical review to ensure continuous improvement. The national regulatory safety review mechanism is recognised amongst ATM industry best practice.	○ E	

ID	Objective	Initiating	Click Button	Planning/ Initial Implementation	Click Button	Implementing	Click Button	Managing & Measuring	Click Button	Continuous Improvement	Click Button	Please provide justification for selected answer
Q3.5	The results of the safety oversight activities (e.g. audits, inspections, certification, oversight of changes, oversight of ATM staff etc) are used in the identification of deficiencies and safety concerns and their resolution.	The results of the safety oversight activities are used in the identification and analysis of safety deficiencies and concerns on an ad hoc basis. A plan to formalise the analysis of the results from the safety oversight activities is being developed.	A	All of *Initiating* plus: A formal plan has been developed to use the results of the safety oversight activities for the issuance of safety recommendations and for the resolution of safety deficiencies and concerns. There is evidence that some areas of the plan have been initiated.	B	All of *Planning/ Initial Implementation* plus: There is a formal system in place for the identification and analysis of deficiencies and safety concerns resulting from safety oversight activities. Safety recommendations/ directives are issued based on identified safety deficiencies, and concerns.	C	All of *Implementing* plus: Follow-up actions resulting from safety recommendation/ directives are monitored to ensure corrective and mitigation actions are implemented.	D	All of *Managing & Measuring* plus: Best practices with regard to the identification of safety deficiencies and concerns and their resolution are shared with other competent authorities. The process of resolving identified safety concerns is monitored to ensure continuous improvement. The safety deficiency, identification and analysis approach is recognised as best in class within the ATM industry.	E	
Element 3.2 Safety data collection, analysis and exchange												
MO3.2: Establishment of mechanisms to ensure the capture and storage of data on hazards and safety risks and analysis of that data at ANSP and State levels as well as its dissemination and exchange.												
Q3.6	Mechanisms are in place to ensure the capture and storage of data on hazards and safety risks and analysis of that data. In addition, mechanisms are in place for dissemination of data and information from that data.	There are available records for identified hazards and safety risks. The relevant information is communicated on ad hoc basis.	A	All of *Initiating* plus: Plans for establishing a formal procedure for systematic collection, storage and dissemination of hazards and safety risks data.	B	All of *Planning/ Initial Implementation* plus: There is an established procedure for collection, storage and dissemination of hazards and safety risks data at ANSP and State levels.	C	All of *Implementing* plus: The procedure for collection, storage and dissemination of hazards and safety risks data at ANSP and State levels is used systematically. The information extracted and disseminated is well analysed and gives possibility for planning of safety measures.	D	All of *Managing & Measuring* plus: There is continuous improvement of the collection, storage and dissemination of hazards and safety risks data process including international exchange.	E	
Q3.7	Institutional arrangements are in place for the supervisory and regulatory tasks as regards collection, investigation, evaluation, protection and dissemination of occurrence data.	There is an informal structure in place for the collection, investigation, evaluation and dissemination of safety occurrence data.	A	All of *Initiating* plus: There is an approved plan to formalise the existing structure for the collection, investigation, evaluation and dissemination of safety occurrence data. There is State commitment from management to allocate resources so that independent activities for the investigation and evaluation of accidents and serious incidents can be implemented.	B	All of *Planning/ Initial Implementation* plus: The Regulatory function has a formal independent system in place that provides for the collection, investigation, evaluation and dissemination of safety occurrence data.	C	All of *Implementing* plus: The State has a formal and robust system in place that provides for the capture of internal- and external-wide information on ATM occurrences. The system is enhanced through the adoption of regulatory best practices.	D	All of *Managing & Measuring plus:* The State system for the collection, investigation, evaluation and dissemination of safety occurrence data is regularly reviewed to ensure continuous improvement. The system is considered to be amongst the best in class within the ATM industry, and is adopted and adapted by other States.	E	
Q3.8	The State is implementing a just culture climate.	There is an awareness of the need to implement just culture, but no formal steps have been implemented yet.	A	All of *Initiating* plus: Formal steps to implement a just culture have been initiated with various stakeholders.	B	All of *Planning/ Initial Implementation* plus: Just culture is perceived to be place. However, the system has yet to be tested to fully validate the application of the just culture principles and policies implemented.	C	All of *Implementing* plus: The State(s))) within which the Organisation operates has made clear, agreed, structural arrangements about who gets to draw the line between the acceptable and non-acceptable behaviour. Dialogue with stakeholders on Just Culture issues is established and followed. The system has been tested and validated in a number of cases.	D	All of *Managing & Measuring* plus: The involvement of the domain expertise in support of drawing the line jointly with judicial system is ensured. A continuous dialogue with Judicial authorities and the media on just culture issues is established and followed. The system is considered to be robust and is being adopted and adapted by other States .	E	
Q3.9	The results of occurrence reporting system and investigation activities are used in the identification of deficiencies and safety concerns and their resolution.	Results from occurrence reporting system and investigation activities are used for identification and analysis of safety deficiencies and concerns on an ad hoc basis. A plan to formalise the analysis of the results from the occurrence reporting system and investigation activities is being developed.	A	All of *Initiating* plus: There is an approved plan in place to formalise the analysis of the results from the occurrence reporting system and investigation activities in order to provide safety recommendations. There is evidence that some areas of the plan have been initiated.	B	All of *Planning/ Initial Implementation* plus: There is a formal system for identification and analysis of deficiencies and safety concerns resulting from the investigation of safety occurrence reporting. Safety recommendations/ directives are issued based on identified safety deficiencies, and concerns.	C	All of *Implementing* plus: Follow-up actions resulting from safety recommendation/ directives are monitored to ensure corrective and mitigation actions are implemented. There are documented cases where operating restrictions have been imposed, where appropriate, based on the systematic identification of deficiencies and concerns resulted from the occurrence reporting system.	D	All of *Managing & Measuring* plus: Best practices with regard to the identification of safety deficiencies and concerns and their resolution are shared with safety regulatory organisations. The process of resolving identified safety concerns is monitored to ensure continuous improvement. The safety deficiency, identification and analysis approach is recognised as best in class within the ATM industry.	E	
Element 3.3 Safety-data-driven targeting of oversight of areas of greater concern or need												
MO3.3: Establishment of procedures to prioritise inspections, audits and surveys towards the areas of greater safety concern or need or in accordance with the identified safety risks.												

ID	Objective	Initiating	Click Button	Planning/ Initial Implementation	Click Button	Implementing	Click Button	Managing & Measuring	Click Button	Continuous Improvement	Click Button	Please provide justification for selected answer
Q3.10	Inspections, audits and surveys are prioritized towards the areas of greater safety concern or need or in accordance with the identified safety risks (risk-based oversight).	Ad-hoc inspections are conducted when particular safety issue has been raised.	☐ A	All of *Initiating* plus: There is a plan to formalise the procedure for the prioritizing of inspections, audits and surveys towards the areas of greater safety concern or need or in accordance with the identified safety risks (risk-based oversight).	☐ B	All of *Planning/ Initial Implementation* plus: The formal procedure for the prioritizing of inspections, audits and surveys towards the areas of greater safety concern or need or in accordance with the identified safety risks (risk-based oversight) has been approved and it is being initially applied. Well established formal procedure for planning the inspection, audit and survey activities, based on the existing information of safety concerns.	☐ C	All of *Implementing* plus: The formal procedure for the prioritizing of inspections, audits and surveys towards the areas of greater safety concern or need or in accordance with the identified safety risks (risk-based oversight) is systematically applied. The available best practises are constantly reviewed with the aim of improving the procedure. Possibilities for ad-hoc reprioritising of the inspection/audit activities based on the newly arising safety concerns	☐ D	All of *Managing & Measuring* plus: There is a continuous improvement of the procedure and means for the prioritizing of inspections, audits and surveys towards the areas of greater safety concern or need or in accordance with the identified safety risks (risk-based oversight). They are used to develop best practises on risk-based oversight measure at the EU level Continuous review of the inspection/audit activities to resolve pro-actively identified safety issues.	☐ E	
Component 4 Safety promotion												
Element 4.1 Internal training, communication and dissemination of safety information												
MO4.1a: Training of NSA personnel on applicable legislative and regulatory framework												
Q4.1	Staff are qualified and trained. Technical and administrative staff are qualified and competent for the tasks required of them and are certified/licensed where required.	Staff have little knowledge of ATM; however there is a growing understanding of the requirements against which ATM is regulated.	☐ A	All of *Initiating* plus: Individuals understand the requirements for the ATM safety regulatory functions but have yet to develop the skills required to apply them	☐ B	All of *Planning/ Initial Implementation* plus: There are adequate and trained staff who are certified/licensed where required, according to the requirements of their role. There is a training plan in place to ensure on-going competency and qualification of staff.	☐ C	All of *Implementing* plus: There is a proactive process in place to review and amend the competency and qualification schemes.	☐ D	All of *Managing & Measuring* plus: The competency and qualification schemes established are recognised as the best in class by the ATM industry.	☐ E	
MO4.1b: Promotion of awareness of safety information and communication and dissemination of safety-related information amongst the NSA's within a State												
Q4.2	The competent authority has an established system that gathers information on best practices, safety-relevant information and safety lessons learned from the industry (such as regional/local operational safety improvement action plans, toolkits).	Information gathering on best practices and lessons learned is done on an ad hoc basis. Evaluation of the applicability of best practices and lessons learned is done on an ad hoc basis.	☐ A	All of *Initiating* plus: A formal plan is in place to gather best practices and lessons learned. Initial implementation has started. Some formal evaluation of the applicability of best practices and lessons learned is undertaken.	☐ B	All of *Planning/ Initial Implementation* plus: There is a robust and effective mechanism in place for the collection of best practices and lessons learned. Their applicability to different situations is evaluated, and information disseminated / best practice adopted where appropriate. Formal evaluation of the applicability of best practices and lessons learned is undertaken.	☐ C	All of *Implementing* plus: The information gathering mechanism is periodically reviewed. The competent authority actively participates in developing best practices and shares these with other competent authority.	☐ D	All of *Managing & Measuring* plus: There is a systematic process in place to proactively review and improve the information gathering mechanism. The State is establishing best practices which are recognised within the ATM industry.	☐ E	
Q4.3	There is a process in place to share best practices, safety-relevant information and safety lessons learned internally, nationally, regionally and with international bodies.	Sharing of best practices and safety lessons learned is done on an ad hoc basis. Information is shared internally but there are no plans to release it to external stakeholders in any way, as these matters are considered to be confidential.	☐ A	All of *Initiating* plus: The benefits of sharing best practices and safety lessons learned with other parties is recognised. A plan is in place to identify and develop a network to enable this sharing and implementation activities have commenced. Information has started to be shared externally, but it is considered that there are insufficient safeguards to sharing information more widely.	☐ B	All of *Planning/ Initial Implementation* plus: A national policy has been published with regard to sharing safety related best practices and safety lessons learned with other parties. A documented process is in place to enable the sharing of best practices and safety lessons learned internally and also with other competent authorities and international bodies.	☐ C	All of *Implementing* plus: Best practices and safety lessons learned are systematically shared internally, nationally, regionally and with international bodies with the aim of establishing remedial actions, as appropriate.	☐ D	All of *Managing & Measuring* plus: The process is reviewed on a regular basis and is incorporated within the competent authority at all levels with the aim of continuous improvement. Remedial actions arising and lessons learned are used in national and/or European safety improvement initiatives.	☐ E	
Element 4.2 External training, communication and dissemination of safety information												
MO4.2a: Education/training of ANSP personnel and air traffic controllers (ATCO) training organisations on applicable legislative and regulatory framework												
Q4.4	Competent authority ensures that education/training is provided to the ANSP personnel and ATCO training organisation on the applicable legislative and regulatory framework.	Ad-hoc support to the ANPS and training organisations or ad hoc check that training is provided to the relevant personnel on the applicable legislative and regulatory framework.	☐ A	All of *Initiating* plus: Commitment to conduct systematic oversight to the ANSP training activities in the legislative/regulatory subjects	☐ B	All of *Planning/ Initial Implementation* plus: A formal procedure for systematic oversight of the ANSP personnel training planning in both training programmes and training content with respect to the legislation/regulation is being implemented.	☐ C	All of *Implementing* plus: The oversight procedure of ANSP personnel training planning in both training programmes and training content with respect to the legislation/regulation is applied systematically.	☐ D	All of *Managing & Measuring* plus: There is a continuous review of the procedure for oversight ANSP personnel training planning in both training programmes and training content with respect to the legislation/regulation. The review aims for continuous improvements. The competent authority participates actively in the development and enhancement of the existing legislative and regulatory framework for its continuous improvements.	☐ E	
MO4.2b: Promotion of awareness of safety information and communication and dissemination of safety-related information with external stakeholders												
	See Questions MO4.1b (Q4.2 and Q4.3)											
Component 5 Safety culture												
Element 5.1 Establishment and promotion of safety culture												
MO5.1: Establishment and promotion of safety culture within the competent authority/NSA.												

ID	Objective	Initiating	Click Button	Planning/ Initial Implementation	Click Button	Implementing	Click Button	Managing & Measuring	Click Button	Continuous Improvement	Click Button	Please provide justification for selected answer
Q5.1	There is a safety culture in the competent authority that is led by the management in ensuring that relevant staff are aware of and support the regulatory organisation's shared beliefs, assumptions and values.	There are few shared beliefs, assumptions and values across the regulatory organisation. There are differences between what is done, what is said and what is understood. Staff may not have a harmonised understanding of what 'safety' means for their activities.	☐ A	**All of *Initiating* plus:** There is growing commitment towards establishing a safety culture across all levels of the organisation. Staff within the competent authority has a good level of safety awareness. The competent authority is starting to cater for and put processes in place to facilitate the consideration of safety throughout its activities	☐ B	**All of *Planning/ Initial Implementation* plus:** There is a safety culture in place, but this is not yet mature. Further work is needed to ensure that staff engages in a proactive manner. Staff across the competent authority is involved in safety activities (passively).	☐ C	**All of *Implementing* plus:** Safety related experiences are openly exchanged internally and externally. The competent authority operations informed learning and reporting cultures as well as a Just Culture with respect to oversight error.	☐ D	**All of *Managing & Measuring* plus:** Activities include the identification and sharing of best practices related to regulatory safety culture. The competent authority safety culture is led by the senior management and the organisation's safety culture is well recognised by the ATM industry.	☐ E	
Element 5.2 Measurement and improvement of Safety Culture												
MO5.2:Establishment of procedures to measure and improve safety culture within the competent authority/NSA.												
Q5.2	Safety culture is measured on a regular basis and there is an improvement programme in place.	The need to have safety culture measurements in place is not yet recognised. The competent authority is determining what safety means for them and is generating some awareness of this throughout the organisation.	☐ A	**All of *Initiating* plus:** Senior management is aware of the need to have periodic measurements of safety culture in place as well as an improvement plan, but what and when will be measured is still being defined	☐ B	**All of *Planning/ Initial Implementation* plus:** Safety culture has been measured and results are available within the competent authority. An improvement plan has been agreed by the senior management.	☐ C	**All of *Implementing* plus:** Safety culture enablers and disablers are identified and the improvement initiative is sharing those with other competent authorities. There are incentives for being pro-active and committed to improving safety culture (due to their internalised belief that safety oversight and safety management are important). The competent authority assesses its safety culture on a systematic basis and implements plans to improve any identified weaknesses.	☐ D	**All of *Managing & Measuring* plus:** Improvement plans are set to ensure that staff are aware of and support the competent authority's shared beliefs, assumptions and values regarding safety across the Regulatory function. Senior management and staff are proactively and jointly participating in continuously improving the safety culture within the competent authority. Their approach is widely recognised within the ATM industry.	☐ E	