






Appendix 1 to AMC 2 SKPI — Questionnaire for Measurement of Effectiveness of Safety Management KPI
— State level






Name	
Organisation	
State	
Job Title	

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.		
Q.1.1 There is a well-established primary aviation legislation that contains provisions enabling the government and its administration to proactively supervise/oversee the civil aviation activities and implements implementation of the EU safety regulatory framework in relation to ATM/ANS ANS.		
A Initiating	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/ANS oversight aspects.	 A
B Planning/Initial Implementation	All of Initiating plus: A gap/overlap analysis of the primary legislative framework and the EU regulatory framework has been performed and an Implementation Plan for updating the ATM/ANS ANS primary legislation in line with the EU regulatory framework has been prepared.	 B
C Implementing	All of Planning/ Initial Implementation plus: Primary aviation legislation in the field of ATM/ANS ANS in line with the EU regulatory framework has ve been published and implemented.	 C
D Managing & Measuring	All of Implementing plus: The best (good) practices that are being implemented by other States or promulgated within the EU (e.g..i.e. 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
E Continuous Improvement	All of Managing & Measuring plus: Continuous improvement is achieved by periodic evaluation of the best (good) practices that are being adopted. Follow-up measures are implemented based on that assessment, in the development and establishment of a primary legislative framework including ATM ANS are established with other States and recognised by the ATM industry.	 E
Please provide justification for selected answer		






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Q1.2 There are adequate financial and competent The necessary resources and capabilities are in place to carry out the tasks assigned to the competent authorities (CAs) under EU Regulations in an efficient and timely manner all phases of safety regulatory processes.		
A Initiating	Resources for the tasks assigned to the CAs under EU Regulations safety regulatory functions are provided on an 'as and when needed' ad hoc basis.	A
B Planning/Initial Implementation	All of Initiating plus: Resources only allow for a limited number of the tasks assigned to CAs under EU Regulations safety regulatory activities . A plan is in place to increase resource levels.	B
C Implementing	All of Planning/ Initial Implementation plus: Resource allocations (either internal or through the means of qualified entities recognised organisations) are sufficient to cover at least at minimum level, the tasks assigned to NSA/competent authorities CAs under EU Regulations safety regulatory functions . A periodic assessment every 2 years review of the human resources needed to perform the safety oversight function is in place.	C
D Managing & Measuring	All of Implementing plus: There is a resource plan in place, covering a period of time longer than 2 years, to ensure continued allocation of adequate resources to all the tasks assigned to NSA/competent authorities under EU Regulations safety regulatory functions . An multi-annual resource planning process is in place for all phases of the tasks assigned to CAs under EU Regulations safety regulatory processes .	D
E Continuous Improvement	All of Managing & Measuring plus: Safety has a high priority during resource allocation and all the tasks assigned to NSA/competent authorities under EU Regulations 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 effectively e and the State is setting regulatory best practices which are recognised by the ATM industry. Continuous improvement is achieved by periodic review, and follow-up measures are implemented based on the HR assessment conducted.	E
Please provide justification for selected answer		






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Q1.3 There are national secondary regulations emanating that address the requirements stemming from the EU Regulatory Framework in relation to ANS, primary legislation and international obligations and they are in line with the EU Regulatory Framework in relation to ATM/ANS.		
A Initiating	There is secondary legislation for civil aviation. However, it does not cover address all elements of the primary legislation relating to ATMANS and it is not yet aligned with the EU regulatory framework.	 A
B Planning/Initial Implementation	All of Initiating plus: A gap/overlap analysis of the secondary 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
C Implementing	All of Planning/ Initial Implementation plus: The secondary legislation addresses emanates the requirements stemming from the EU Regulatory framework in relation to ANS, primary legislation and international obligations and it is aligned with the EU regulatory framework.	 C
D Managing & Measuring	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. A process is in place to manage the implementation of changes in national secondary legislation.	 D
E Continuous Improvement	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. Secondary legislation is constantly being evaluated and modified when necessary in order to adjust to the changing ANS environment and to take into account the evolution of the EU regulatory framework.	 E
Please provide justification for selected answer		

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Q1.4 National regulations are regularly reviewed, assessed, maintained up to date and in line with the European regulatory framework by the appropriate authority.		
A Initiating	Staff have only limited knowledge of requirements and there is no formal process that ensures requirements are maintained up to date.	 A
B Planning/Initial Implementation	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 incomplete ad-hoc and ineffective.	 B
C Implementing	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
D Managing & Measuring	All of Implementing plus: There is a formal process in place to <u>periodically</u> review national regulations which ensures that they continue to be relevant, up to date, effective and in line with the EU regulatory framework.	 D
E Continuous Improvement	All of Managing & Measuring plus: The organisation has an effective mechanism in place to identify changes within the organisation that could affect regulatory processes.	 E
<i>Please provide justification for selected answer</i>		






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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.		
A Initiating	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
B Planning/Initial Implementation	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
C Implementing	All of Planning/ Initial Implementation plus: International obligations including the obligations steaming from EU regulations related to safety are known and they have been implemented in a timely manner to satisfy national requirements and international obligations including the obligations steaming from EU regulations.	 C
D Managing & Measuring	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
E Continuous Improvement	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
Please provide justification for selected answer		

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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.		
Q.1.65 There is a competent authority either nominated or established to be responsible for safety management (i.e. certification, oversight, licensing) in ATM/ANS ANS supported by appropriate and adequate technical and nontechnical staff with safety policies, regulatory functions, roles, responsibilities and objectives in place.		
A Initiating	There are safety regulatory body/ies in place performing regulatory functions, the tasks assigned to them under EU Regulations (e.g. certification, oversight) on an ad hoc basis. However, there is no formally nominated or established competent authority in the field of ATM/ANSANS.	A
B Planning/Initial Implementation	All of Initiating plus: There is an approved plan to formalise the nomination or establishment creation of a competent authority in the field of ATM/ANS ANS that will perform the tasks assigned to them under EU Regulations safety regulatory functions (e.g. certification, oversight). Implementation has commenced. Recruitment of staff is under way.	B
C Implementing	All of Planning/ Initial Implementation plus: A competent authority for the field of ATM/ANSANS has been nominated or established and safety policies, regulatory functions and objectives are in place. The competent authority is supported by appropriate and adequate technical and nontechnical staff.	C
D Managing & Measuring	All of Implementing plus: The Regulatory processes and formalised procedures are used to establish consistency across the organisationNSA/competent authority. As a result, the regulatory certification and oversight functions performed across the ATM/ ANS ANS industry are consistent and are an integrated annual planning process is in place with other NSA/competent authority oversight functions.	D
E Continuous Improvement	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 (good) practices or actively contributes to the establishment development of EU guidance material and acceptable means of compliance for the ATM/ANS-ANS industry. Maintenance of NSA staff competence through refresher, continuation and new technology training is actively programmed and funded.	E
Please provide justification for selected answer		

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Q1.76 The oversight and certification functions are executed independently of regulatory and service provision functions, and The organisations are clearly adequately separated, at the functional level at least, from the service providers. all levels in the State.		
A Initiating	There is no adequate separation, at the functional level at least, between the competent authority and the service providers. provision functions.	 A
B Planning/Initial Implementation	All of Initiating plus: Some of the regulatory and service provision certification and oversight functions are separated from the service provision functions. There is a plan in place to establish complete functional adequate separation, at the functional level at least, and implementation has commenced.	 B
C Implementing	All of Planning/ Initial Implementation plus: Functional Adequate separation, at the functional level at least, of regulation certification and oversight functions from theand service provisions has been established. However, ultimately they report to the same level of authority.	 C
D Managing & Measuring	All of Implementing plus: The regulatory certification and oversight functions from the and service provision functions and organisations are separated, at the functional level at least, and the reporting lines are clearly separated within the overall aviation safety system. and with effective safety interfaces established.	 D
E Continuous Improvement	All of Managing & Measuring plus: The separated regulatory certification and oversight functions and service provision functions and/or organisations, including their reporting lines are periodically reviewed and are incorporated within the overall aviation safety system.	 E
Please provide justification for selected answer		

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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.		
A Initiating	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
B Planning/Initial Implementation	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
C Implementing	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
D Managing & Measuring	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
E Continuous Improvement	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
Please provide justification for selected answer		

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Q1.97 The relevant competent authority for safety has documented responsibilities and accountabilities of their staff. In addition, it has delegated empowered their sufficient legal authority to staff to allow them to execute their duties. Staff within the competent authority understand and accept their responsibilities.		
A Initiating	There is no formal designation of responsibilities and accountabilities covering safety regulatory certification and oversight functions (e.g. safety oversight, rulemaking). Not all roles and responsibilities have been communicated to staff.	A
B Planning/Initial Implementation	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
C Implementing	All of Planning/ Initial Implementation plus: Documented responsibilities and accountabilities for regulatory competent authority's 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 certification and oversight functions (e.g. safety oversight, rulemaking).	C
D Managing & Measuring	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
E Continuous Improvement	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). There is a process within the NSA/competent authority to allow the individuals to take proactive action to have the rules and procedures responsibilities and accountabilities changed reviewed where a safety benefit is identified.	E
Please provide justification for selected answer		

Element 1.3 Accident and incident investigation
MO1.3a: Establish and maintain the independence of the civil aviation safety investigation authorities, including necessary resources.
Q1.408 There is an independent entity empowered to make civil aviation safety investigations.

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A Initiating	There are arrangements for creating an ad hoc structure, outside competent authority and ANSP for the investigation, of safety occurrences such as accidents and serious incidents.	 A
B Planning/Initial Implementation	All of Initiating plus: Plans and financial commitments for putting in place an independent entity for accidents and serious incidents safety occurrences investigations are well documented.	 B
C Implementing	All of Planning/ Initial Implementation plus: An independent entity with main objectives for accidents and serious incidents safety occurrences investigation is well-established and acts effectively.	 C
D Managing & Measuring	All of Implementing plus: The accidents and serious incidents safety occurrences investigation entity is recognised by the national civil aviation community for providing added value for safety.	 D
E Continuous Improvement	All of Managing & Measuring plus: A mechanism is established for continuous improvement of the accidents and serious incidents 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
<i>Please provide justification for selected answer</i>		

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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.		
Q.1.449 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.		
A Initiating	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
B Planning/Initial Implementation	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
C Implementing	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
D Managing & Measuring	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 measures (i.e. safety directives, restrictions, etc.) may operating restrictions have been imposed, where appropriate. This should be based on the systematic identification of deficiencies and concerns resulted from the occurrence reporting system.	D
E Continuous Improvement	All of Managing & Measuring plus: Best (good) practices with regard to the identification of safety deficiencies and concerns and their resolution are shared with civil aviation safety investigation authorities 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/ANS industry.	E
Please provide justification for selected answer		

Q1.4210 A mechanism has been established to ensure that appropriate safety measures are based on the actions proposed in safety recommendations issued by a civil aviation safety investigation authority are properly followed-up.

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A Initiating	Safety measures Actions based on safety recommendations issued by a civil aviation safety investigation authority are taken on ad hoc basis.	 A
B Planning/Initial Implementation	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
C Implementing	All of Planning/ Initial Implementation plus: The mechanism for ensuring that appropriate safety measures actions 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
D Managing & Measuring	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 (an) department appointed person(s) with the overall responsibility for dealing with it.	 D
E Continuous Improvement	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
Please provide justification for selected answer		

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MO1.3c - Ensure that civil aviation safety investigation authorities involve subject matter expertise from the ANSANS domain.		
Q1.4311 There is a mechanism to ensure that civil aviation investigation authorities (AIB) involve ATM/ANS ANS subject matter expertise involvement in their investigation processes for the investigation of occurrences related to ATM/ANS ANS.		
A Initiating	During some safety occurrences investigations On an ad hoc basis subject matter experts are involved in the investigation process of accidents and serious incidents related to ATM/ANS/ANS domain.	A
B Planning/Initial Implementation	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 accidents and serious incidents occurrences investigations in a systematic way.	B
C Implementing	All of Planning/ Initial Implementation plus: The subject matter experts are included in involved in the accidents and serious incidents occurrences investigations related to ATM/ANSANS based on the formal procedure established when considered appropriate in accordance with the legislation.	C
D Managing & Measuring	All of Implementing plus: The subject matter experts involved in the investigation are properly trained for the investigation process.	D
E Continuous Improvement	All of Managing & Measuring plus: The system for use of subject matter expertise in investigation is continuously improved using the feedback of the stakeholders.	E
Please provide justification for selected answer		

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Element 1.4 Enforcement policy		
MO1.4: Establish appropriate, transparent and proportionate enforcement procedures, including for the suspension, limitation and revocation of licences and certificates and the application of other effective penalties.		
Q1.14 12 There are is a well-established procedures for handling of non-compliances and implementation of appropriate enforcement measures as provided for in Article 7(7) of Regulation (EC) No 550/2004 and Article 10, Article 22a(d), and Articles 25 and 68 of Regulation (EC) No 216/2008, while taking into account the need to ensure the continuity of air navigation services and as provided for in Regulation (EU) No 805/2011 aviation legislation that delegates powers to the competent authority and its staff for enforcement, including suspension, revocation of licences and certificates and other penalties.		
A Initiating	Arrangements exist for ad hoc. The handling of non-compliance and the limitation, suspension, revocation of licenses and certificates are performed on ad hoc basis, with no formalised procedure and criteria. The enforcement measures and penalties are not formalised in the national aviation framework.	A
B Planning/Initial Implementation	All of Initiating plus: There is a plan for establishing a formal procedure for handling of non-compliances and implementation of appropriate enforcement measures as provided for in Article 7(7) of Regulation (EC) No 550/2004 and Article 10, Article 22a(d), and Articles 25 and 68 of Regulation (EC) No 216/2008, while taking into account the need to ensure the continuity of air navigation services and as provided for in Commission Regulation (EU) No 805/2011 evaluating the necessity of use of subject matter expertise in the occurrences investigations on systematic way.	B
C Implementing	All of Planning/ Initial Implementation plus: Formal framework and procedures for handling of non-compliances and implementation of enforcement measures, including limitation, suspension, revocation of licences and certificates and other penalties are in place.	C
D Managing & Measuring	All of Implementing plus: There is a systematic approach in handling of non-compliances and applying the enforcement procedures with proved safety benefits.	D
E Continuous Improvement	All of Managing & Measuring plus: Continuous improvement of handling of non-compliances and the enforcement measures is in place procedures including the best practices.	E
Please provide justification for selected answer		

Element 1.5 Management of related interfaces		
MO1.5a: Ensure adequate management of the internal interfaces within the NSA.		
Q1.4513 All safety-related internal interfaces within the competent authority are effectively managed.		
A Initiating	The competent authority is aware of its internal safety-related interfaces, but manages them on an informal basis.	 A
B Planning/Initial Implementation	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
C Implementing	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
D Managing & Measuring	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
E Continuous Improvement	All of Managing & Measuring plus: Surveys are conducted on a regular basis to identify weaknesses in the internal interface processes. The safety regulatory certification and oversight 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
<i>Please provide justification for selected answer</i>		






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Q1.4614 Related internal management systems (e.g. QMS) have been coordinated.		
A Initiating	There is un-coordinated ad hoc integration of internal management systems. Processes and procedures across within the competent authority are conducted in isolation.	A
B Planning/Initial Implementation	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
C Implementing	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 in line with State Safety Programme are still in place, even following organisational changes.	C
D Managing & Measuring	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
E Continuous Improvement	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
Please provide justification for selected answer		

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Q1.1715 All external interfaces with a safety impact (other Regulators, ANSPs, MIL, Airspace Users, Airports, etc.) are coherent and effectively managed.		
A Initiating	There is an informal structure in place for the collection, investigation, evaluation and dissemination of safety occurrence data.	 A
B Planning/Initial Implementation	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
C Implementing	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
D Managing & Measuring	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
E Continuous Improvement	All of Managing & Measuring plus: Internal surveys are conducted on a regular basis to identify and fix address weaknesses in the external interface process. The Regulatory Organisation leads peer review type activities with other Regulators, and is recognised as best practices in class within the ATM industry. There is a systemic view of ATM/ANSANS which correlates the safety regulatory certification and oversight functions for all industry elements, ANSPs, Airports, Airspace Users, Military and other competent authorities.	 E
<i>Please provide justification for selected answer</i>		






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Q1.1816 Working relationships with ANSPs are based on formalised processes and procedures in accordance with their safety significance.		
A Initiating	The relationship (e.g. communication and consultation reporting and assessment of safety occurrences) with ANSPs is informal and ad hoc.	 A
B Planning/Initial Implementation	All of Initiating plus: The relationship (e.g. reporting and assessment of safety occurrences' communication and consultation) with ANSPs is being formalised and procedures have been developed and implementation activities have started.	 B
C Implementing	All of Planning/ Initial Implementation plus: The relationship (e.g. communication and consultation reporting and assessment of safety occurrences) with ANSPs is formalised and procedures have been implemented.	 C
D Managing & Measuring	All of Implementing plus: The relationship (e.g. communication and consultation reporting and assessment of safety occurrences) 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
E Continuous Improvement	All of Managing & Measuring plus: The relationship with ANSPs is systemically and proactively reviewed for continuous improvement. Real-time Regulatory sharing of safety-related data is in place with respect to the management of safety. Formalised sharing of staff (i.e. e.g. secondments) is systematically practiced. Support and guidance is provided on the basis of mutual respect and trust.	 E
Please provide justification for selected answer		






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.		
A Initiating	The competent authority oversees the service provider's risk assessment process on ad hoc basis.	A
B Planning/Initial Implementation	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
C Implementing	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 provider procedure for hazard identification and risk assessment and mitigation has been approved by the competent authority.	C
D Managing & Measuring	All of Implementing plus: The procedure for overseeing the service provider's risk assessment processes is systematically applied.	D
E Continuous Improvement	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-based oversight approach.	E
Please provide justification for selected answer		

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).		
A Initiating	Acceptable safety levels are established through the ATM safety regulatory framework in a limited number of areas and in an ad hoc manner.	A
B Planning/Initial Implementation	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
C Implementing	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
D Managing & Measuring	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
E Continuous Improvement	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
Please provide justification for selected answer		

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Q2.3 The safety performance achieved is regularly monitored and assessed in order to determine their compliance with safety requirements.		
A Initiating	Ad hoc monitoring is carried out but and there is limited assessment and determination of compliance with the safety requirements.	 A
B Planning/Initial Implementation	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
C Implementing	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 monitored and assessed, established and internal benchmarking activities to determine whether their ANSPs comply with safety requirements have started.	 C
D Managing & Measuring	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 (good) practices.	 D
E Continuous Improvement	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
<i>Please provide justification for selected answer</i>		

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Q2.4 The State informs the general public on the overall ATM safety-related performance through routine publication of achieved safety performance and trend.		
A Initiating	All ATM safety-related performance information is deemed as confidential and is not made available to the public.	 A
B Planning/Initial Implementation	All of Initiating plus: A limited amount of ATM safety-related performance information is made available to the public.	 B
C Implementing	All of Planning/ Initial Implementation plus: Appropriate ATM safety-related performance information is made available to the public.	 C
D Managing & Measuring	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
E Continuous Improvement	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
Please provide justification for selected answer		

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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		
<p>Q3.1 There is a well-established oversight process based on documented procedures for verification of compliance with applicable requirements by 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.</p>		
A Initiating	There is not process in place legislation nominating a competent authority/NSA as responsible for safety oversight of the air navigation service provider but and the State competent authority performs arrange for ad hoc inspections.	<input type="radio"/> A
B Planning/Initial Implementation	<p>All of Initiating plus:</p> <p>There is a plan in place to establish formalised process 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.</p>	<input type="radio"/> B
C Implementing	<p>All of Planning/ Initial Implementation plus:</p> <p>The legislation nominating the competent authority/NSA as responsible for safety oversight of the air navigation service provider has been established. The competent authority follows documented procedures when performing has initiating procedures for the safety oversight of the air navigation service providers. It includes documentation specifically intended to provide safety oversight personnel with guidance to perform their functions.</p>	<input type="radio"/> C
D Managing & Measuring	<p>All of Implementing plus:</p> <p>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.</p>	<input type="radio"/> D
E Continuous Improvement	<p>All of Managing & Measuring plus:</p> <p>The procedures for safety oversight are constantly reviewed ing for continuous improvement. The competent authority is applying the risk-based safety oversight based on established criteria procedure.</p>	<input type="radio"/> E
<p>Please provide justification for selected answer</p>		

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 the 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 licence/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).		
A Initiating	The safety oversight system is based on ad hoc arrangements. Deviations from the applicable regulation for safety oversight exist.	A
B Planning/Initial Implementation	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
C Implementing	All of Planning/ Initial Implementation plus: The safety oversight system has been implemented and meets the applicable regulation for safety oversight.	C
D Managing & Measuring	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 (good) practices concerning the safety oversight system.	D
E Continuous Improvement	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/ANS industry as being amongst the best.	E
Please provide justification for selected answer		

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Q3.3 All persons involved in safety oversight activities are competent to perform the required functions. Audits are conducted by qualified auditors to ensure that all applicable ATM safety requirements and implementing arrangements by ANSPs are being met.		
A Initiating	Audits are conducted on an ad hoc basis but are not consistent with the applicable regulation for safety oversight. There is no formalised process in place defining the education, training, technical and operational knowledge, experience and qualifications relevant to the duties of each person involved in safety oversight activities within the structure of the competent authority and the persons involved in safety oversight activities are trained on an ad hoc basis.	 A
B Planning/Initial Implementation	All of Initiating plus: Implementation activities in respect of definition and formalisation of the education, training, technical and operational knowledge, experience and qualifications relevant to the duties of each person involved in safety oversight activities within the structure of the competent authority have started, but they are not yet completed. There are insufficient trained auditors to effectively monitor the implementation compliance with of ATM ANS safety requirements.	 B
C Implementing	All of Planning/ Initial Implementation plus: Regular audits are performed by qualified competent staff who are independent of from the ANSPs.	 C
D Managing & Measuring	All of Implementing plus: There is a systematic approach to the education, (specific) training, technical and operational knowledge relevant to the persons involved in safety oversight activities auditing. The European safety regulatory framework on the subject is used to ensure that there are consistent auditing rules and processes across the State's ATMANS safety for the qualifications and training of persons involved in the ANS safety oversight activities.	 D
E Continuous Improvement	All of Managing & Measuring plus: The European safety regulatory framework in respect of the qualifications and training of persons involved in the ANS safety oversight activities auditing processes is incorporated within the overall safety system and the State participates in its periodical review to ensure continuous improvement.	 E
Please provide justification for selected answer		

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Q3.4 Processes and methods are in place to ensure that the European safety requirements in respect to safety-related changes to the ATM functional system are being met.		
A Initiating	The competent authority reviews of safety arguments in respect of changes to the ATM functional system are performed on an ad hoc basis. There are limited regulatory safety review methods in place.	 A
B Planning/Initial Implementation	All of Initiating plus: The process for the competent authority reviews of proposed changes to the -ATM functional system has started to be formalised, but there are insufficient staff to perform all reviews. Initial implementation has started.	 B
C Implementing	All of Planning/ Initial Implementation plus: There is a systematic approach to approval of changes to the -ATM functional system. Reviews of changes to the -ATM functional system are performed by qualified staff who are independent of from the ANSPs. A formal regulatory safety review mechanism is in place. However, risk assessment regulatory reviews are conducted only on changes for which review is required according to Article 10 (1) (a) and (b) of Commission Implementing Regulation (EU) No 1034/2011 that are safety critical.	 C
D Managing & Measuring	All of Implementing plus: The safety regulatory process is used to ensure that there is a consistent approach to changes to the -ATM functional 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 assessed and kept in line with industry standards.	 D
E Continuous Improvement	All of Managing & Measuring plus: The European safety regulatory framework in respect of changes to the ATM functional 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 ANS industry best (good) practice.	 E
Please provide justification for selected answer		

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Q3.5 The results of the safety oversight and monitoring activities (e.g. audits, inspections, certification, oversight of changes, oversight of ATM staff, etc.) are used to determine areas in which safety would require improvement as matter of priority in the identification of deficiencies and safety concerns and their resolution.		
A Initiating	The results of the safety oversight and monitoring 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
B Planning/Initial Implementation	<p>All of Initiating plus:</p> A formal plan has been developed to use the results of the safety oversight and monitoring activities for the prioritisation of the safety areas where improvements necessitates issuance of safety recommendations and for the resolution of safety deficiencies and concerns. There is an evidence that some areas of the plan have been implemented initiated.	B
C Implementing	<p>All of Planning/ Initial Implementation plus:</p> There is a formal system in place for the identification and analysis of deficiencies and safety concerns resulting from safety oversight and monitoring activities. Safety measures recommendations/directives are issued based on identified safety deficiencies, and concerns.	C
D Managing & Measuring	<p>All of Implementing plus:</p> Follow-up Actions resulting from analysis of the safety oversight and monitoring activities safety-recommendation/directives are followed monitored to ensure corrective and mitigation measures actions are effectively implemented.	D
E Continuous Improvement	<p>All of Managing & Measuring plus:</p> Best (good) 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
Please provide justification for selected answer		

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 A system is in place to appropriately collect, store, analyse and disseminate safety data and information 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.		
A Initiating	There are available records for identified hazards and safety risks. The relevant information is communicated on an ad hoc basis.	A
B Planning/Initial Implementation	All of Initiating plus: Plans for establishing a formal procedure for systematic collection, storage, analysis and dissemination of hazards and safety risks data.	B
C Implementing	All of Planning/ Initial Implementation plus: There is an established procedure for collection, storage, analysis and dissemination of hazards and safety risks data at ANSP and State levels.	C
D Managing & Measuring	All of Implementing plus: The procedure for collection, storage, analysis 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
E Continuous Improvement	All of Managing & Measuring plus: There is continuous improvement in the collection, storage, analysis and dissemination of hazards and safety risks data process including international exchange.	E
Please provide justification for selected answer		






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Q3.7 Institutional arrangements are in place to actively exchange safety information with service providers and/or other States, as appropriate, developed on the basis of for the supervisory and regulatory tasks as regards collection, investigation, evaluation, and respecting appropriate protection and dissemination of occurrence data.		
A Initiating	There is an informal structure in place to actively exchange safety information developed on the basis of for the collection, investigation, and evaluation and dissemination of safety occurrence data.	 A
B Planning/Initial Implementation	All of Initiating plus: There is an approved plan to formalise the arrangements for active exchange of safety information developed on the basis 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
C Implementing	All of Planning/ Initial Implementation plus: The Regulatory function State has a formal independent system in place that provides for active exchange of safety information developed on the basis of the collection, investigation, and evaluation and dissemination of safety occurrence data.	 C
D Managing & Measuring	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 exchange on ATMANS occurrences. The system is enhanced through the adoption of regulatory best (good) practices.	 D
E Continuous Improvement	All of Managing & Measuring plus: The State system for the development of information from the collection, investigation, and 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
Please provide justification for selected answer		

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Q3.8 The State is implementing a just culture climate.		
A Initiating	There is an awareness of the need to implement just culture, but no formal steps have been implemented yet.	 A
B Planning/Initial Implementation	All of Initiating plus: Formal steps to implement a just culture have been initiated with various stakeholders.	 B
C Implementing	All of Planning/ Initial Implementation plus: Just culture is perceived to be in place. However, the system has yet to be tested to fully validate the application of the just culture principles and policies implemented.	 C
D Managing & Measuring	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
E Continuous Improvement	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
<i>Please provide justification for selected answer</i>		

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Q3.9 The results of occurrence reporting system and investigation activities are used in the identification of deficiencies and safety concerns and their resolution.		
A Initiating	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
B Planning/Initial Implementation	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
C Implementing	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
D Managing & Measuring	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
E Continuous Improvement	All of Managing & Measuring plus: Best (good) 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
<i>Please provide justification for selected answer</i>		






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.		
Q3.10 Inspections, audits and surveys are prioritised towards the areas of greater safety concern or need or in accordance with the identified safety risks (risk-based oversight).		
A Initiating	Ad hoc inspections are conducted when a particular safety issue has been raised.	 A
B Planning/Initial Implementation	All of Initiating plus: There is a plan to formalise the procedure for the prioritising 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
C Implementing	All of Planning/ Initial Implementation plus: The formal procedure for the prioritising 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
D Managing & Measuring	All of Implementing plus: The formal procedure for the prioritising 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 (good) practices 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
E Continuous Improvement	All of Managing & Measuring plus: There is a continuous improvement of the procedure and means for the prioritising 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 (good) practices on risk-based oversight measure at the EU level. Continuous review of the inspection/audit activities to resolve proactively identified safety issues.	 E
Please provide justification for selected answer		

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.		
A Initiating	Staff have little knowledge of ATM-ANS; however, there is a growing understanding of the requirements against which -ATM-ANS is regulated.	A
B Planning/Initial Implementation	All of Initiating plus: Individuals understand the requirements for the provision of -ATM-ANS safety regulatory functions but have yet to develop the skills required to apply/oversee them.	B
C Implementing	All of Planning/ Initial Implementation plus: There are adequate and trained staff who are certified/licensed qualified/competent where required, according to the requirements of their role. There is a training plan in place to ensure ongoing competency and qualification of staff.	C
D Managing & Measuring	All of Implementing plus: There is a proactive process in place to review and amend the competency and qualification schemes.	D
E Continuous Improvement	All of Managing & Measuring plus: The competency and qualification schemes established are recognised as the best (good) practices in-class by the -ATM-ANS industry.	E
Please provide justification for selected answer		

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MO4.1b: Promotion of awareness of safety information and communication and dissemination of safety-related information amongst the aviation authorities within a State.		
Q4.2 The competent authority has an established system that gathers information on best (good) practices, safety-relevant information and safety lessons learned from the industry (such as regional/local operational safety improvement action plans, toolkits).		
A Initiating	Information gathering on best (good) practices and lessons learned is done on an ad hoc basis. Evaluation of the applicability of best (good) practices and lessons learned is done on an ad hoc basis.	A
B Planning/Initial Implementation	All of Initiating plus: A formal plan is in place to gather best (good) practices and lessons learned. Initial implementation has started. Some formal evaluation of the applicability of best (good) practices and lessons learned is undertaken.	B
C Implementing	All of Planning/ Initial Implementation plus: There is a robust and effective mechanism in place for the collection of best (good) practices and lessons learned. Their applicability to different situations is evaluated, and information disseminated/best (good) practice adopted where appropriate. Formal evaluation of the applicability of best (good) practices and lessons learned is undertaken.	C
D Managing & Measuring	All of Implementing plus: The information gathering mechanism is periodically reviewed. The competent authority actively participates in developing best (good) practices and shares them with other competent authorities.	D
E Continuous Improvement	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 (good) practices which are recognised within by the -ATM-ANS industry.	E
<i>Please provide justification for selected answer</i>		

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Q4.3 There is a process in place to share best (good) practices, safety-relevant information and safety lessons learned internally, nationally, regionally and with international bodies.		
A Initiating	Sharing of best (good) 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
B Planning/Initial Implementation	All of Initiating plus: The benefits of sharing best (good) practices and safety lessons learned with other parties is are 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
C Implementing	All of Planning/ Initial Implementation plus: A national policy has been published with regard to sharing safety-related best (good) practices and safety lessons learned with other parties. A documented process is in place to enable the sharing of best (good) practices and safety lessons learned internally and also with other competent authorities and international bodies.	 C
D Managing & Measuring	All of Implementing plus: Best (good) 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
E Continuous Improvement	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
Please provide justification for selected answer		

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 NSA/ Competent authorities authority ensures promote awareness and disseminate safety information that education/training is provided to the ANSPs' personnel and ATCO training organisations on the applicable legislative and regulatory framework to support an effective and efficient SMS.		
A Initiating	Ad hoc support to the ANSPs and ATCO training organisations or ad hoc check that training is provided to the relevant personnel on the applicable SMS requirements legislative and regulatory framework.	<input type="radio"/> A
B Planning/Initial Implementation	All of Initiating plus: Commitment to provide support concerning SMS requirements and guidance material to the ANSPs and ATCO training organisations is in place. conduct systematic oversight to the ANSP training activities in the legislative/regulatory subjects.	<input type="radio"/> B
C Implementing	All of Planning/ Initial Implementation plus: A formal procedure for systematic communication and dissemination of safety information related to SMS requirements and guidance material to oversight of the ANSP and ATCO training organisations personnel training planning in both training programmes and training content with respect to the legislation/regulation, is being implemented.	<input type="radio"/> C
D Managing & Measuring	All of Implementing plus: The Training, Communication and dissemination of safety information to oversight procedure of ANSP and ATCO Training organisations personnel training planning in both training programmes and training content with respect to the legislation/regulations SMS requirements is applied systematically.	<input type="radio"/> D
E Continuous Improvement	All of Managing & Measuring plus: There is a continuous communication and dissemination of safety information to review of the procedure for oversight ANSP and ATCO training organisations personnel training planning in both training programmes and training content with respect to the legislation/regulations SMS requirements. Feedback from the ANS industry is taken into account. 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.	<input type="radio"/> E
Please provide justification for selected answer		

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.		
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.		
A Initiating	There are few shared beliefs, assumptions and values across the competent authority regulatory organisation. There are differences between what is done, what is said and what is understood. Staff may not have a harmonised 'common' understanding of what 'safety' means for their activities.	<input type="radio"/> A
B Planning/Initial Implementation	All of Initiating plus: There is growing commitment towards establishing a safety culture across all levels of the competent authority 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.	<input type="radio"/> B
C Implementing	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).	<input type="radio"/> C
D Managing & Measuring	All of Implementing plus: Safety-related experiences are openly exchanged internally and externally. The competent authority shares operations informed learning and reporting cultures as well as a Just Culture with respect to internally oversight error.	<input type="radio"/> D
E Continuous Improvement	All of Managing & Measuring plus: Activities include the identification and sharing of best (good) 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-ANS industry.	<input type="radio"/> E
Please provide justification for selected answer		

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.		
A Initiating	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
B Planning/Initial Implementation	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
C Implementing	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
D Managing & Measuring	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 proactive 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
E Continuous Improvement	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
Please provide justification for selected answer		

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Signed: Name: Date, place:	
Contact Telephone:	
E-Mail:	