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 implementation of the EU safety regulatory framework in relation to 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.	○ **A**
B Planning/Initial Implementation	A gap/overlap analysis of the primary legislative framework and the EU regulatory framework has been performed and an Implementation Plan for updating the ANS primary legislation in line with the EU regulatory framework has been prepared.	○ **B**
C Implementing	Primary aviation legislation in the field of ANS in line with the EU regulatory framework has 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 (i.e. through EASA GM) 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. .	○ **E**
Please provide justification for selected answer		

Q1.2 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.		
A Initiating	Resources for the tasks assigned to the CAs under EU Regulations are provided on an ad hoc basis.	○ A
B Planning/Initial Implementation	Resources only allow for a limited number of the tasks assigned to CAs under EU Regulations. A plan is in place to increase resource levels.	○ B
C Implementing	Resource allocations (either internal or through the means of qualified entities) are sufficient to cover the tasks assigned to NSA/competent authorities under EU Regulations. A periodic assessment every 2 years 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.	○ 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. 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		

Q1.3 There are national secondary regulations emanating the requirements stemming from the EU Regulatory Framework in relation to ANS, primary legislation and international obligations		
A Initiating	There is secondary legislation for civil aviation. However, it does not ~~cover~~ address all elements of the primary legislation relating to ANS and it is not yet aligned with the EU regulatory framework.	A
B Planning/Initial Implementation	A gap/overlap analysis of the secondary legislative 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	The secondary legislation emanates the requirements stemming from the EU Regulatory framework in relation to ANS, primary legislation and international obligations.	C
D Managing & Measuring	**All of Implementing plus:** A process is in place to manage the implementation of changes in national secondary legislation.	D
E Continuous Improvement	**All of Managing & Measuring plus:** 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		

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	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.	B
C Implementing	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 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
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 processess.	E
Please provide justification for selected answer		

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.1.5 There is a competent authority either nominated or established to be responsible for safety management (i.e. certification, oversight, licensing) in 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 body/ies in place performing 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 ANS.	A
B Planning/Initial Implementation	There is an approved plan to formalise the nomination or establishment of a competent authority in the field of ANS that will perform the tasks assigned to them under EU Regulations (e.g. certification, oversight). Implementation has commenced. Recruitment of staff is under way.	B
C Implementing	A competent authority for the field of ANS has been nominated or established and safety policies, and objectives are in place.	C
D Managing & Measuring	**All of Implementing plus:** The processes and formalised procedures are used to establish consistency across the NSA/competent authority. As a result, the certification and oversight functions performed across the ANS industry are consistent and are integrated with other NSA/competent authority oversight functions.	D
E Continuous Improvement	**All of Managing & Measuring plus:** Safety policies 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 development of EU guidance material and acceptable means of compliance for the 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		

Q1.6 The oversight and certification functions are executed independently of service provision functions. ~~and~~ The organisations are adequately separated, at the functional level at least, from the service providers.		
A Initiating	There is no adequate separation, at the functional level at least, between the competent authority and the service providers.	A
B Planning/Initial Implementation	Some of the certification and oversight functions are separated from the service provision functions. There is a plan in place to establish adequate separation, at the functional level at least, and implementation has commenced.	B
C Implementing	Adequate separation, at the functional level at least, of certification and oversight functions from the service provisions has been established. However, ultimately they report to the same level of authority.	C
D Managing & Measuring	**All of Implementing plus:** The 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. .	D
E Continuous Improvement	**All of Managing & Measuring plus:** The separated 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		

Q1.7 The relevant competent authority for safety has documented responsibilities and accountabilities of their staff. In addition, it has empowered their staff 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 certification and oversight functions Not all roles and responsibilities have been communicated to staff.	⊙ A
B Planning/Initial Implementation	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	Documented responsibilities and accountabilities for 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 certification and oversight functions.	⊙ C
D Managing & Measuring	**All of Implementing plus:** 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:** 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 action to have the responsibilities and accountabilities 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.		
Q1.8 There is an independent entity empowered to make civil aviation safety investigations.		
A Initiating	There are arrangements for creating an ad hoc structure, outside competent authority and ANSP for the investigation, of such as accidents and serious incidents.	⚪ *A*
B Planning/Initial Implementation	Plans and financial commitments for putting in place an independent entity for accidents and serious incidents investigations are well documented.	⚪ *B*
C Implementing	An independent entity with main objectives for accidents and serious incidents investigation is well-established and acts effectively.	⚪ *C*
D Managing & Measuring	**All of Implementing plus:** The accidents and serious incidents 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 investigation processes of the entity which aim to provide added value for safety to the civil aviation community in a proactive manner.	⚪ *E*
Please provide justification for selected answer		

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.1.9 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	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	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 processes where measures (i.e. safety directives, restrictions, etc.) may be 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. The process of resolving identified safety concerns is monitored to ensure continuous improvement.	E
Please provide justification for selected answer		

Q1.10 A mechanism has been established to ensure that the actions proposed in safety recommendations issued by a civil aviation safety investigation authority are properly followed-up.		
A Initiating	Actions based on safety recommendations issued by a civil aviation safety investigation authority are taken on ad hoc basis.	A
B Planning/Initial Implementation	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	The mechanism for ensuring that appropriate 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	The process for dealing with safety recommendations issued by a civil aviation safety investigation authority is systematically applied and there is an 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.	E
Please provide justification for selected answer		

MO1.3c - Ensure that civil aviation safety investigation authorities involve subject matter expertise from the ANS domain.		
Q1.11 There is a mechanism to ensure that civil aviation investigation authorities (AIB) involve ANS subject matter expertise in their processes for the investigation of occurrences related to ANS.		
A Initiating	On an ad hoc basis subject matter experts are involved in the investigation process of accidents and serious incidents related to ANS domain.	*A*
B Planning/Initial Implementation	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 investigations in a systematic way.	*B*
C Implementing	The subject matter experts are involved in the accidents and serious incidents investigations related to ANS based on the formal procedure established.	*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		

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.		
Q1.12There are 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.		
A Initiating	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	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 inCommission Regulation (EU) No 805/2011.	B
C Implementing	Formal framework and procedures for handling of non-compliances and implementation of enforcement measures, including limitation, suspension, revocation of licenses 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.	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.		
Q1.13 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	Internal safety-related interfaces are identified. Processes and procedures planned to manage them in a formalised way have been initiated.	B
C Implementing	All safety-related internal interfaces are managed in a formal manner. Safety requirements are specified and documented in appropriate managerial arrangements (e.g. a Management System).	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:** The 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
Please provide justification for selected answer		

Q1.14 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	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	Processes and procedures to ensure a coherent approach amongst internal management systems in line with State Safety Programme are in place.	C
D Managing & Measuring	**All of Implementing plus:** Where appropriate, there is full integration of all 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		

Q1.15 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	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 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).	⬡ 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.	⬡ D
E Continuous Improvement	**All of Managing & Measuring plus:** Internal surveys are conducted on a regular basis to identify and address weaknesses in the external interface process. There is a systemic view of ANS which correlates the certification and oversight functions for all industry elements, ANSPs, Airports, Airspace Users, Military and other competent authorities.	⬡ E
Please provide justification for selected answer		

Q1.16 Working relationships with ANSPs are based on formalised processes and procedures in accordance with their safety significance.		
A Initiating	The relationship (e.g-reporting and assessment of safety occurrences) with ANSPs is informal and ad hoc.	⊙ A
B Planning/Initial Implementation	The relationship (e.g. reporting and assessment of safety occurrences) with ANSPs is being formalised and procedures have been developed and implementation activities have started.	⊙ B
C Implementing	The relationship (e.g. 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. 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. Regulatory sharing of safety-related data is in place with respect to the management of safety. Formalised sharing of staff (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	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	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	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	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		

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	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	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 to determine whether the~~ir~~ ANSPs comply with safety requirements.	○ 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
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.		
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	A limited amount of ATM safety-related performance information is made available to the public.	B
C Implementing	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		

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 oversight process based on documented procedures for verification of compliance with applicable requirements by air navigation service providers.		
A Initiating	There is no~~t~~ process in place for safety oversight of the air navigation service provider ~~but~~ and the ~~State~~ competent authority performs ad hoc inspections.	A
B Planning/Initial Implementation	There is a plan in place to establish formalised process for the safety oversight of the air navigation service provider. Implementation activities have commenced.	B
C Implementing	The competent authority follows documented procedures when performing 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.	C
D Managing & Measuring	**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 .	D
E Continuous Improvement	**All of Managing & Measuring plus:** The procedures for safety oversight are constantly reviewed for continuous improvement. The competent authority is applying the risk-based safety oversight based on established criteria.	E
Please provide justification for selected answer		

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 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	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	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.	○ E
Please provide justification for selected answer		

Q3.3 All persons involved in safety oversight activities are competent to perform the required functions		
A Initiating	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	Implementation activities in respect of definition and formalization 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 compliance with ANS requirements.	B
C Implementing	Regular audits are performed by competent staff who are independent 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. The European framework on the subject is used to ensure that there are consistent rules and processes across the State's ANS 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 framework in respect of the qualifications and training of persons involved in the ANS safety oversight activities 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		

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 review methods in place.	A
B Planning/Initial Implementation	The process for the competent authority reviews of proposed changes to the functional system has started to be formalised, but there are insufficient staff to perform all reviews. Initial implementation has started.	B
C Implementing	There is a systematic approach to approval of changes to the functional system. Reviews of changes to the functional system are performed by qualified staff who are independent from the ANSPs. A formal 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.	C
D Managing & Measuring	**All of Implementing plus:** The process is used to ensure that there is a consistent approach to changes to the functional system and reviews are conducted commensurate with the level of risk posed. Where appropriate, quantified safety levels are used. The review mechanism and its associated methodologies are assessed and kept in line with industry standards.	D
E Continuous Improvement	**All of Managing & Measuring plus:** The European framework in respect of changes to the 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 ANS industry best (good) practice.	E
Please provide justification for selected answer		

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.		
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	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. There is an evidence that some areas of the plan have been implemented.	B
C Implementing	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 directives are issued based on identified safety deficiencies, and concerns.	C
D Managing & Measuring	**All of Implementing plus:** Actions resulting from analysis of the safety oversight and monitoring activities recommendation/directives are followed to ensure corrective and mitigation measures are effectively implemented.	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 other competent authorities. The process of resolving identified safety concerns is monitored to ensure continuous improvement.	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 A system is in place to appropriately collect, store, analyse and disseminate safety data and information.		
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	Plans for establishing a formal procedure for systematic collection, storage, analysis and dissemination of hazards and safety risks data.	B
C Implementing	There is an established procedure for collection, storage, analysis and dissemination of hazards and safety risks data at 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 State levels is used systematically. The information 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		

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 collection, investigation, evaluation, and respecting appropriate protection 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 of safety occurrence data.	○ A
B Planning/Initial Implementation	There is an approved plan to formalise the arrangements for active exchange of safety information developed on the basis 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	The State has a formal system in place that provides for active exchange of safety information developed on the basis of the collection, investigation, and evaluation 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 ANS 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 of safety occurrence data is regularly reviewed to ensure continuous improvement.	○ E
Please provide justification for selected answer		

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	Formal steps to implement a just culture have been initiated with various stakeholders.	○ B
C Implementing	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
Please provide justification for selected answer		

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	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	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.	E
Please provide justification for selected answer		

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	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	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**
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 ANS; however, there is a growing understanding of the requirements against which ANS is regulated.	⬡ A
B Planning/Initial Implementation	Individuals understand the requirements for the provision of ANS but have yet to develop the skills required to oversee them.	⬡ B
C Implementing	There are adequate and trained staff who are qualified/competent 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
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 by the ANS industry.	⬡ E
Please provide justification for selected answer		

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 learnt from the industry (such as regional/local operational safety improvement action plans, toolkits).		
A Initiating	Information gathering on best (good) practices and lessons learnt is done on an ad hoc basis. Evaluation of the applicability of best (good) practices and lessons learnt is done on an ad hoc basis.	A
B Planning/Initial Implementation	A formal plan is in place to gather best (good) practices and lessons learnt. Initial implementation has started. Some formal evaluation of the applicability of best (good) practices and lessons learnt is undertaken.	B
C Implementing	There is a robust and effective mechanism in place for the collection of best (good) practices and lessons learnt. 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 learnt 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 by the ANS industry.	E
Please provide justification for selected answer		

Q4.3 There is a process in place to share best (good) practices, safety-relevant information and safety lessons learnt internally, nationally, regionally and with international bodies.		
A Initiating	Sharing of best (good) practices and safety lessons learnt 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	The benefits of sharing best (good) practices and safety lessons learnt 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	A national policy has been published with regard to sharing safety-related best (good) practices and safety lessons learnt with other parties. A documented process is in place to enable the sharing of best (good) practices and safety lessons learnt internally and also with other competent authorities and international bodies.	C
D Managing & Measuring	**All of Implementing plus:** Best (good) practices and safety lessons learnt 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 learnt 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 promote awareness and disseminate safety information to the ANSPs and training organisations to support an effective and efficient SMS.		
A Initiating	Ad hoc support to the ANSPs S̶ and ATCO training organisations is provided on the applicable SMS requirements.	A
B Planning/Initial Implementation	Commitment to provide support concerning SMS requirements and guidance material to the ANSPs and ATCO training organisations is in place.	B
C Implementing	A formal procedure for communication and dissemination of safety information related to SMS requirements and guidance material to the ANSP and ATCO training organisations is being implemented.	C
D Managing & Measuring	**All of Implementing plus:** Communication and dissemination of safety information to ANSP and ATCO Training organisations with respect to the SMS requirements is applied systematically.	D
E Continuous Improvement	There is a continuous communication and dissemination of safety information to ANSP and ATCO training organisations with respect to the SMS requirements. Feedback from the ANS industry is taken into account for continuous improvements.	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 and values.		
A Initiating	There are few shared beliefs and values across the competent authority. Staff may not have a 'common' understanding of what 'safety' means for their activities.	○ A
B Planning/Initial Implementation	There is growing commitment towards establishing a safety culture across all levels of the competent authority. Staff within the competent authority has a good level of safety awareness. The competent authority is starting to put processes in place to facilitate the consideration of safety throughout its activities.	○ B
C Implementing	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
D Managing & Measuring	**All of Implementing plus:** Safety-related experiences are openly exchanged internally and externally. The competent authority shares internally oversight error.	○ D
E Continuous Improvement	**All of Managing & Measuring plus:** Activities include the identification and sharing of best (good) practices related to safety culture. The competent authority safety culture is led by the senior management and the organisation's safety culture is well recognised by the ANS industry.	○ 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	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	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.	E
Please provide justification for selected answer		

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