

**NOTICE
TO
AIR
NAVIGATION
SERVICE
PROVIDERS**

IRELAND

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IRISH AVIATION AUTHORITY

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Recent Legislative Change (5):

Safety KPIs and PIs under the SES Performance Scheme

1. Purpose

This Notice to Air Navigation Service Providers (NASP) is to advise ANSPs of recent developments to Single European Sky legislation focused on Safety Key Performance Indicators (SKPIs) and Safety Performance Indicators (SPIs).

2. Evolution of the Regulatory Requirements for the Performance Scheme

Commission Regulation (EU) No 691/2010 laid down requirements for a performance scheme for air navigation services and network functions. This regulation provided for KPIs for a number of areas including safety. Three safety KPIs were identified as follows;

- The effectiveness of safety management (EoSM) as measured by a methodology based on the ATM Safety Maturity Survey Framework.
- The application of severity classification based on the use of the Risk Analysis Tool (RAT) methodology to the reporting of, as a minimum, the following three categories of occurrences to allow the harmonised reporting of severity assessment:
 - Separation minima infringements;
 - Runway incursions; and
 - ATM specific occurrences.
- The reporting of just culture.

Following on from Regulation No 691/2010 these three safety KPIs were developed further to facilitate their adoption prior to the first reference period (RP1) which covered the period 1st January 2012 to 31st December 2014. This activity culminated in the publication of Regulation (EU) No 1216/2011 on 24 November 2011 amending Regulation (EU) No 691/2010 to include further elaboration on the three safety KPIs.

Regulations 691/2010 and 1216/2011 were repealed with effect from 1 January 2015 under EU Regulation 390/2013 Article 28.

3. EU Regulation 390/2013

This Regulation lays down the measures to improve the overall performance of the air navigation services and network functions for general air traffic within the ICAO EUR and AFI regions where Member States are responsible for the provision of air navigation services with a view to meeting the requirement of all airspace users, in respect of Reference Period 2 (RP2) of the SES Performance Scheme (2015-2019) (but applicable prior to 2015 as appropriate).

Safety Key Performance Indicators (SKPIs)

For RP1 the SKPIs were measured and monitored. For RP2 European and FAB level targets have been established. The Safety KPIs for RP2 are identified in Annex I of Regulation (EU) 390/2013.

The safety targets established for the UK-Ireland FAB in accordance with EU Regulation 390/2013 are documented in the UK-Ireland FAB Performance Plan for RP2.

Safety Performance Indicators (SPIs)¹

In addition to SKPIs, the Regulation also defines in Annex I Section 2 para 1.2 the following Safety Performance Indicators established for monitoring purposes (no targets set) in RP2.

- (a) The application by the ANSPs of automated safety data recording systems where available, which shall include, as a minimum monitoring of separation minima infringements and runway incursions.
- (b) The reporting by the Member States and ANSPs on the level of occurrence reporting, on an annual basis, aiming at measuring the level of reporting and addressing the issue of improvement of reporting culture.
- (c) The number of, as a minimum, separation minima infringements, runway incursions, airspace infringements, and ATM-specific occurrences at all air traffic services units.

¹ The Regulation states that “For the purpose of these indicators, local means at functional airspace block level with an indication for monitoring purposes of the contribution at national level.”

4. EASA Decisions on the SKPIs and SPIs

EASA were tasked with developing acceptable means of compliance and guidance material (AMC/GM) for the implementation and measurement of safety performance indicators. Following consultation, EASA published Decision 2011/017/R. This decision entered into force on 23rd December 2011 and was used during the first year of Reference Period 1 (2012 monitoring).

Decision 2011/017/R was repealed by EASA Decision 2013/032/R of 20 December 2013. This decision adopted amendments to the Appendices to the AMC/GM (the State-level and ANSP-level questionnaires), in order to clarify the questionnaires and to provide additional elements in the related guidance material.

Decision 2013/032/R applies to Member States, their competent authorities and certified ATS and/or CNS providers subject to the performance scheme regulation, as of the 3rd year of Reference Period 1 (2014 monitoring) and entered into force on 1 January 2014.

EASA Decision 2014/035/R

EASA Decision (2014/035/R) was issued on the 16th December 2014. The objective of this decision is to adopt AMC/GM for the safety performance indicators (SPIs)² introduced for RP2 and to make some minor corrections to the AMC/GM for the SKPIs (the AMC/GM has been re-issued as a consolidated version).

EASA Decision 2014/035/R and the associated AMC/GM is available from:
<https://easa.europa.eu/document-library/agency-decisions/ed-decision-2014035r>

EASA Decision 2015/028/R

EASA Decision (2015/028/R) was issued on the 17th December 2015. The objective of this decision is to update the Annex to Decision 2014/035/R containing the AMC/GM related to the severity classification using the RAT methodology in order to stay aligned with the latest developments of the RAT user group. An overview of the amendments is included in Section 2.5 of the Explanatory Note to the Decision. This includes a revised methodology for ATM-specific occurrences (entry criteria for RAT assessment to establish the cases where the RAT methodology should be applied or not depending on whether an operational function is affected).

EASA Decision 2015/028/R and the associated AMC/GM and Explanatory Note are available from:
<http://easa.europa.eu/document-library/agency-decisions/ed-decision-2015028r>

² Safety performance indicators as defined in Annex I Section 2 para 1.2 of Regulation 390/2013

5. SKPIs - Actions for Irish ANSPs

Only accountable entities subject to the provisions of the Performance Regulation and the Common Charging Regulation are required to measure and report against the European SKPIs. *Therefore, only the IAA ANSP is required to measure and report against these European Safety KPIs.*

EoSM

For the effectiveness of safety management (EoSM) KPI the IAA ANSP is required to complete the associated ANSP questionnaire annually.

RAT (Risk Analysis Tool)

For Ireland, the NSA has required the application of the severity classification based on the use of the RAT methodology to all applicable occurrences at the following units from 1st January 2012:

- IAA Dublin Air Traffic Control Centre
- IAA Shannon Airport
- IAA Cork Airport
- IAA Ballycasey Air Traffic Control Centre

Just Culture

For the reporting of just culture KPI, the IAA ANSP is required to complete the associated ANSP questionnaire annually.

Timescales for Completion of the Questionnaires

EC Regulation 390/2013 places a responsibility on the NSA to monitor the implementation and measurement of the safety KPIs. In addition, the yearly measurement of the EoSM and Just Culture KPIs by NSAs and ANSPs is to be reported to the EASA for the previous year by the NSA before the 1st February of each year.

To meet this deadline the IAA ANSP is required to complete the EoSM and Just Culture questionnaires on or before 20th December of each year using the online survey forms provided by EASA. Once the ANSP is satisfied that all questions have been answered, they should inform the NSA that their responses to the surveys are ready for review. As part of this review the NSA will verify and agree the responses. On completion of the review, the NSA will assume responsibility for submitting the finalised surveys to the EASA.

6. SPIs - Actions for Irish ANSPs

Only accountable entities subject to the provisions of the Performance Regulation and the Common Charging Regulation are required to measure and report against the European SPIs. *Therefore, only the IAA ANSP is required to measure and report against these European Safety SPIs.*

ANSP reporting of the use of automated safety data recording systems

The IAA ANSP is requested to provide data for this SPI to the NSA before the end of March each year.

Reporting on the Level of Occurrence Reporting

The IAA ANSP is requested to prepare a report on this SPI for the NSA before the end of April each year. The NSA will use this information to prepare a national report for EASA (State report deadline 31st May). An example “document outline” template for this report is included in the AMC/GM document (Ref: GM18 SPI).

Number of SMI, RI, AI, and ATM-specific occurrences

The NSA will confirm the number of occurrences with the IAA ANSP using a standard EU-wide template provided for this purpose. The total number of occurrences will be submitted to EASA by 31st March as part of the RAT SKPI reporting process.

7. Additional National Safety Performance Monitoring Measures

The Irish NSA has published further information on the process it employs to monitor safety performance (Reference S.17: Safety Performance Monitoring Measures employed by the NSA for Ireland). For a number of additional safety indicators a set of associated safety targets/alert criteria have been set as a reference for safety performance monitoring purposes.

8. Further Information

Requests for further information on the contents of this notice should be addressed to: ansdinfo@iaa.ie

The Regulations are available from the EC legislation site EUR-lex <http://eur-lex.europa.eu/en/index.htm>

9. Issue Date: 5th April 2017

**Chief Executive.
Irish Aviation Authority.**