NEFAB

north european functional airspace block

North European Functional Airspace Block (NEFAB)

National Supervisory Authorities Handbook

Edition 1.0

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Prepared for the NEFAB NSA Committee with the support of EUROCONTROL Support to States and Regional Initiatives Unit (DPS/SSR)

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Abstract		
This handbook aims to be a single reference document with information on the fundamental aspects of the NEFAB NSA tasks. Its main purpose is to assist NEFAB NSA personnel in fulfilling the NEFAB mission, vision and strategic objectives, and to deliver high-quality products and services through uniformed operations. The handbook is a living document which will be regularly updated by the NEFAB NSA Committee.		
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(Restricted Access)

F.3 DOCUMENT APPROVAL

The following table identifies all management authorities who have approved this document.

Authority	Name and Signature	Date
Director General, Estonian Civil Aviation Administration	(Kristjan TELVE)	27.04.16
Director General, Aviation, Finnish Transport Safety Agency (Trafi)	(Pekka HENTTU)	21.04.2016
Director, Civil Aviation Agency of Latvia	(Mārīs GORODCOVS)	21.04.16.
Director General, Civil Aviation Authority of Norway	(Stein Erik NODELAND)	21.4.16

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F.5 CONTENTS

F.6 FOREWORD

NEFAB NSAs are committed to delivering the regulatory services on FAB-related issues. FAB NSAs are faced with challenges and opportunities, and much of their success will depend on how their cooperation and practices that lead both day-to-day operations and longer-term planning are managed.

In preparation of this document, the following legal references have been considered, as they are the basis for the NSA cooperation within NEFAB:

- Political Declaration on the Establishment of the North European Functional Airspace Block, dated 06-Jun-12;
- Declaration of Commitment for Cooperation in Airspace Development, dated 11-Mar-13;
- the NEFAB State Level Agreement;
- the Cooperation Agreement between the NEFAB NSAs;
- as well as existing NEFAB strategies and policies.

This handbook aims to be a single reference document with information on the fundamental aspects of the NEFAB NSAs' tasks. Its main purpose is to assist NEFAB NSA personnel in fulfilling the NEFAB mission, vision and strategic objectives, and to deliver high-quality products and services through uniformed operations. The handbook is a living document which will be regularly updated by the NEFAB NSA Committee.

The handbook is also expected to be of added value to the Air Navigation Service Providers operating within the NEFAB area by increasing awareness of the NSAs' procedures. It is also important that procedures described in this handbook remain fully aligned with the respective ANSPs' procedures and that the interfaces between NSAs and ANSPs are well understood.

From the involved States point of view, the development of this handbook is one way to ensure that the NSA activities in the FAB framework are properly arranged. It does not substitute any territorial NSA's handbooks since the Committee has not any legal personality and cannot be considered as a competent authority. The role of the Committee is to agree among NSAs how to perform the tasks in a common, harmonised, co-coordinated and efficient manner in NEFAB environment.

This handbook has been prepared by the NEFAB NSA Committee with support from the EUROCONTROL Support to States and Regional Initiatives Unit (DPS/SSR).

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F7. INTRODUCTION

The Need and Intended Use of the Handbook

The NSA personnel in all NEFAB NSAs are likely to be involved in some NEFAB related activities. To successfully manage these tasks, a comprehensive document listing and establishing common harmonised procedures is needed. It is also important that the Air Navigation Service Providers (ANSPs) are treated equally when dealing with NEFAB NSAs, in order to guarantee a level playing field. Initially, NEFAB processes and procedures were established by different stand-alone documents (e.g. agreements, process descriptions, decisions, ToRs, etc.), which are now included in this handbook.

The intention is to create a user friendly handbook, which will serve as a single source of information needed to operate within the NEFAB framework. However, it is not intended to provide detailed instructions on every topic. Its main purpose is to give a holistic view of the NEFAB NSA functions and to help NSA personnel in fulfilling the NEFAB mission, vision, strategic objectives and to deliver high-quality products and services in uniform manner. In order for the handbook to provide details in a more comprehensive way, links to documented NEFAB processes, procedures and other relevant documentation are included.

It is assumed that the users of this document have sufficient knowledge and understanding of SES and other relevant EU legislation. This avoids detailed explanations that would only duplicate EU regulatory provisions or other existing advisory material. Each NEFAB NSA is to ensure that the relevant national stakeholders are aware of the handbook and the procedures within it, as necessary.

Taking into account the above aspects, the NEFAB NSA Handbook:

1. Describes the NEFAB governance structure;
2. Provides information about the NEFAB bodies and their tasks, as well as the inter-connections between them;
3. Identifies and describes the core functions, policies and procedures;
4. Provides an overview of the NEFAB NSAs' long-term goals and, if appropriate, medium-term implementation plans.

This handbook is a living document which will be assessed and updated regularly by the NEFAB NSA Committee.

F8. REFERENCE DOCUMENTS

Political Declaration on the Establishment of NEFAB

NEFAB State Level Agreement

NEFAB NSA Agreement

Declaration of Commitment of Cooperation between NEFAB states and Denmark and Sweden

NEFAB ANSP Agreement

NEFAB Strategy

NEFAB Airspace Policy

NEFAB Safety Policy

Rules of Procedure for NEFAB NSA Committee

Rules of Procedure for NEFAB Financial and Performance Committee

Rules of Procedure for NEFAB Civil-Military Committee

Terms of Reference for NSA Expert Group for Airspace Management

Terms of Reference for NSA Expert Group for Change Management

Terms of Reference for NSA Expert Group for Exchange of Safety Information

Terms of Reference for NSA Expert Group for Oversight

Terms of Reference for NSA Expert Group for Performance

F9. TERMINOLOGY

BOREALIS	See http://borealis.aero/members.5.aspx.
Certifying NSA	the certifying NSA with respect to a particular ANSP, the NSA nominated or established by any Contracting State that has certified that ANSP.
Civil-military coordination	the interaction between civil and military authorities and components of ATM necessary to ensure safe, efficient and harmonious use of the airspace (Def. Commission Regulation (EU) No. 677/2011)
Competent Authority	the authority designated by the Member State as competent to ensure compliance with the requirements of this Regulation (Def. Commission Implementing Regulation(EU) No. 923/2012)
EANPG	Ensures, inter alia, that air navigation system development plans and action within the EUR Region remain coherent and remain compatible with those of the adjacent ICAO Regions and with the ICAO global plan and world-wide provisions; And to promote and facilitate the harmonisation and co-ordination of the air navigation related programmes of other international organisations.
Free Route Airspace (FRA)	specified airspace within which users may freely plan a route between a defined entry point and a defined exit point. Subject to airspace availability, the route can be planned directly from one to the other or via intermediate (published or unpublished) way points, without reference to the ATS route network.
Functional Airspace Block (FAB)	an airspace block based on operational requirements and established regardless of State boundaries, where the provision of air navigation services and related functions are performance-driven and optimised with a view to introducing, in each FAB, enhanced cooperation among ANSPs or, where appropriate, an integrated provider. (Def. Regulation (EC) No. 549/2004).
Key performance indicator (KPI)	The performance indicators used for the purpose of performance target setting (Def. Commission Implementing Regulation (EU) No 390/2013).
Local Single Sky ImPlementation (LSSIP)	Shows the progress made and details the plans for each ECAC State over the next five years. Based on these LSSIP documents, an ESSIP Report, depicting European implementation progress in achieving ESSIP Objectives, is produced every year.
NEFAB NSA Committee	Body composed of the Director Generals of the NSAs and two other representatives nominated by each NSA with the main purpose to facilitate necessary cooperation between NSAs.

North European Free Route Airspace	Free Route Airspace of 6 States: Denmark, Estonia, Finland, Latvia, Norway and Sweden.
North European Functional Airspace Block (NEFAB)	one of nine FABs in Europe established in response to the EU's Single European Sky initiative composed of the flight information regions (FIR) and upper information regions (UIR) of the following North European airspace: Estonia, Finland, Latvia, Norway, and Bodø Oceanic. See http://www.nefab.eu/.
Performance Review Body (PRB)	Body (EUROCONTROL) designated in accordance with Article 5(3) of Regulation (EC) No. 549/2004. The role of the PRB is to assist the Commission, in coordination with the NSAs, and to assist the NSAs on request in the implementation of the SES performance scheme for air navigation services and network functions. see http://www.eurocontrol.int/articles/performance-review-body-ses).
Safety regulatory requirements	the requirements established by the Union or national regulations for the provision of air navigation services or ATFM and ASM functions or other network functions as well as concerning the technical and operational competence and suitability to provide these services and functions, their safety management, as well as systems, their constituents and associated procedures (Def. Commission Implementing Regulation (EU) No 1034/2011).
(Safety) Performance Monitoring	the continuous process of collecting and analysing data in order to measure the actual output of a system versus predefined targets (Def. Regulation (EC) No. 691/2010).
Single European Sky (SES)	See http://www.eurocontrol.int/dossiers/single-european-sky.

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F10. ABBREVIATIONS AND ACRONYMS

ACS	Area Control Surveillance (ATCO rating)
ADI	Aerodrome Control Instrument (ATCO rating)
ADV	Aerodrome Control Visual (ATCO rating)
AFIS	Aerodrome Flight Information Service
AIS	Aeronautical Information Services
ANS	Air Navigation Service(s)
ANSCB	Air Navigation Services Consultative Board
ANSP	Air Navigation Service Provider
APP	Approach Control Procedural (ATCO rating)
APS	Approach Control Surveillance (ATCO rating)
ATCO	Air Traffic Controller
ATS	Air Traffic Services
CAA	Civil Aviation Authority
CMC	Civil-Military Committee
CNS	Communications, Navigation, Surveillance
DK-SE FAB	Danish-Swedish Functional Airspace Block
SSR	EUROCONTROL Support to States and Regional Initiatives Unit
EANPG	European Air Navigation Planning Group
EANPG COG	EAPNG Programme Coordinating Group
EASA	European Aviation Safety Agency
EEA	European Economic Area
ESSIP	European Singe Sky Implementation Plan
FAB	Functional Airspace Block
FIR	Flight Information Region
FPC	Finance and Performance Committee
FRA	Free Route Airspace
FR-R	Framework Regulation (Regulation (EC) No. 549/2004 of the European Parliament and of the Council of 10 March 2004 laying down the framework for the creation of the single European sky)
KPA	Key Performance Area
KPI	Key performance indicator
LSSIP	Local Single Sky Implementation Plan
MAA	Military Aviation Agency/Authority
MET	Meteorological (services)

MMEG	Military-Military Expert Group
NEFAB	North European Functional Airspace Block
NEFRA	North European Free Route Airspace
NSA	National Supervisory Authority
OJTI	On-the job Training Instructor (ATCO endorsement)
PRB	Performance Review Body
RAD	Aerodrome Radar Control (ATCO rating)
SES	Single European Sky
SP-R	Service Provision Regulation (Regulation (EC) No. 550/2004 of the European Parliament and of the Council of 10 March 2004 on the provision of air navigation services in the single European sky)
ToR	Terms of Reference
UIR	Upper Information Region
UK-IRL FAB	UK-Ireland Functional Airspace Block

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1. GOVERNANCE

1.1 Single European Sky Legislation

The first Single European Sky (SES) legislation came into force in March 2004 and introduced an ATM regulatory framework applicable to European Union (EU) Member States. The SES legislation consists of Regulations (EC) Nos. 549/2004, 550/2004, 551/2004 and 552/2004, as amended by Regulation (EC) No. 1070/2009, as well as a number of implementing rules referred to as the SES legislation. The statement on military issues is published in the Official Journal of the European Union (L 96, 31.3.2004, p. 9).

This legislation not only established the notion of a 'national supervisory authority (NSA)', but also provided the basis for a common rulemaking process, based on the development of common requirements and various implementing rules.

The implementation of this new framework raised the need for provisions to ensure that robust capabilities and harmonised processes were implemented by NSAs to supervise safety.

Article 4 of Regulation (EC) No. 549/2004 (the framework Regulation [FR-R]), requires States to establish NSAs. The Regulation was amended by Regulation (EC) No. 1070/2009, which replaced the associated article with a new one (ref. Section 1.3 hereafter).

Within SES, Regulation (EC) No. 550/2004, amended by Regulation (EC) No. 1070/2009 (the service provision Regulation [SP-R]), Article 2(4) requires NSAs to make appropriate arrangements for close cooperation with each other to ensure adequate supervision of ANSPs which provide services relating to the airspace falling under the responsibility of a Member State different from the Member State which issued the certificate.

The SP-R, as amended by Regulation (EC) No. 1070/2009, requires in article 9a (1) that EU member states shall, by 04-Dec-12, take all necessary measures in order to ensure the implementation of functional airspace blocks with a view to achieving the required capacity and efficiency of the air traffic management network within the single European sky and maintaining a high level of safety and contributing to the overall performance of the air transport system and a reduced environmental impact.

Furthermore, Commission Regulation (EU) No. 176/2011 specifies the detailed requirements for the establishment of functional airspace blocks.

Many EC/EU Regulations and amendments to existing ones have been subsequently published over the last years within the SES Regulatory Framework. The current SES legislation is properly presented in Annex E of this handbook, subject to change as necessary.

1.2 Establishment of a State NSA

According to Article 4 of the FR-R concerning the establishment of NSAs:

1. *Member States shall, jointly or individually, either nominate or establish a body or bodies as their NSA in order to assume the tasks assigned to such authority under this Regulation and under the measures referred to in Art. 3.*
2. *The NSAs shall be independent of air navigation service providers (ANSPs). This independence shall be achieved through adequate separation, at the functional level at least, between the NSAs and such providers.*
3. *NSAs shall exercise their powers impartially, independently and transparently. This shall be achieved by applying appropriate management and control mechanisms, including within the administration of a Member State. However, this shall not prevent the NSAs from exercising their tasks within the rules of organisation of national civil aviation authorities or any other public bodies.*
4. *Member States shall ensure that NSAs have the necessary resources and capabilities to carry out the tasks assigned to them under this Regulation in an efficient and timely manner.*
5. *Member States shall notify the Commission of the names and addresses of the NSAs, as well as changes thereto, and of the measures taken to ensure compliance with paragraphs 2, 3 and 4.*

1.3 NSA Tasks

According to Article 2 of the SP-R concerning the tasks of the NSAs:

1. *The NSAs referred in Article 4 of the FR-R shall ensure the appropriate supervision of the application of this Regulation, in particular with regard to the safe and efficient operation of ANSPs who provide services relating to the airspace falling under the responsibility of the Member State which nominated or established the relevant authority.*
2. *To this end, each NSA shall organise proper inspections and surveys to verify compliance with the requirements of this Regulation, including human resources requirements for the provision of ANS. The ANSP concerned shall facilitate such work.*
3. *In respect of FABs that extend across the airspace falling under the responsibility of more than one Member State, the Member States concerned shall conclude an agreement on the supervision provided for in this Article with regard to ANSPs providing services relating to those blocks.*
4. *NSAs shall cooperate closely to ensure adequate supervision of ANSPs holding a valid certificate from one Member State that also provide services relating to the airspace falling under the responsibility of another Member State. Such cooperation shall include arrangements for the handling of cases involving non-compliance with the applicable common requirements set out in Article 6 or with the conditions set out in Annex II.*

5. *In the case of cross-border provision of ANS, such arrangements shall include an agreement on the mutual recognition of the supervisory tasks set out in sub-paragraphs 1 and 2 of these NSA tasks and of the results of these tasks. This mutual recognition shall apply also where arrangements for recognition between NSAs are made for the certification process of service providers.*
6. *If permitted by national law and with a view to regional cooperation, NSAs may also conclude agreements regarding the division of responsibilities regarding supervisory tasks.*

The following diagrams represent in a pictorial manner examples of the functions and tasks allocated to NSAs by SES legislation.

Figure 1.3.1: NSA tasks resulting from the oversight function

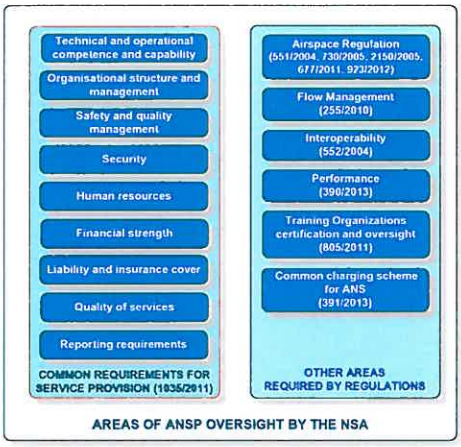

Figure 1.3.2: Areas of the ANSP oversight by the NSA

1.4 Legislative Framework in NEFAB States

For Estonia, Finland and Latvia, as members of the EU, SES legislation is directly applicable. For Norway, although SES legislation is not automatically applicable (as a non-EU Member State), it is considered and incorporated into the legal framework through the EEA Joint Committee established in accordance with the Agreement on the European Economic Area (EEA) between the European Community and Iceland, the Principality of Liechtenstein and the Kingdom of Norway.

The NEFAB State Level Agreement provisions are established without prejudice to the sovereignty of the Contracting States over their airspace or their rights and obligations under the Chicago Convention and other instruments of international law. The provisions of the Agreement are also without prejudice to the competencies of the Contracting States relating to public order, public security and defence matters.

The following table represents references to the legal basis and responsibilities related to civil aviation regulatory matters for all NEFAB States

Estonia

Activity in ATM	Responsible Organisation	Legal Basis
Rulemaking	Ministry of Economic Affairs and Communications (MoEA&C)	Statutes of Ministry of Economic Affairs and Communications (Regulation of Government of the Republic of Estonia no. 323 of 23 October 2002)
Safety Oversight	Estonia Civil Aviation Administration (ECAA)	Aviation Act Statutes of Estonian Civil Aviation Administration (Regulation of the Minister of Economic Affairs and Communications No 73 of 31. July 2006)
Establishment of Tolerable Safety Levels	MoEA&C	Statutes of Ministry of Economic Affairs and Communications (Regulation of Government of the Republic of Estonia no. 323 of 23 October 2002)
Safety Performance Monitoring	ECAA	Aviation Act Statutes of Estonian Civil Aviation Administration (Regulation of the Minister of Economic Affairs and Communications No 73 of 31. July 2006)
Enforcement actions in case of non-compliance with safety regulatory requirements	ECAA	Aviation Act Statutes of Estonian Civil Aviation Administration (Regulation of the Minister of Economic Affairs and Communications No 73 of 31. July 2006)
Airspace	ECAA	Aviation Act Statutes of Estonian Civil Aviation Administration (Regulation of the Minister of Economic Affairs and Communications No 73 of 31. July 2006)
Economic	MoEA&C	Statutes of Ministry of Economic Affairs and Communications (Regulation of Government of the Republic of Estonia no. 323 of 23 October 2002)
Environment	Ministry of Environment	Statutes of Ministry of Environment (Regulation of Government of the Republic of Estonia no. 19 of 10 December 2009)
Security	ECAA	Aviation Act Statutes of Estonian Civil Aviation Administration (Regulation of the Minister of Economic Affairs and Communications No 73 of 31. July 2006)

Finland

Activity in ATM	Responsible Organisation	Legal Basis
Rulemaking	Ministry of Transport and Communications (MoTC), Finnish Transport Safety Agency (CAA Finland, Trafi)	Aviation Act (864/2014), Act on the Finnish Transport Safety Agency (863/2009) and Government Decree on the Finnish Transport Safety Agency (865/2009)
Safety Oversight	Finnish Transport Safety Agency	Aviation Act (864/2014), Act on the Finnish Transport Safety Agency (863/2009) and Government Decree on the Finnish Transport Safety Agency (865/2009)
Establishment of Tolerable Safety Levels	Finnish Transport Safety Agency	Act on the Finnish Transport Safety Agency (863/2009)
Safety Performance Monitoring	Finnish Transport Safety Agency	Act on the Finnish Transport Safety Agency (863/2009)
Enforcement actions in case of non-compliance with safety regulatory requirements	Finnish Transport Safety Agency	Aviation Act (864/2014), Criminal Code (39/1889)
Airspace	MoTC, Finnish Transport Safety Agency	Aviation Act (864/2014)
Economic	MoTC, Finnish Transport Safety Agency	Aviation Act (864/2014)
Environment	Environmental permit authority Finnish Transport Safety Agency	Environmental permits for airports are granted by permit authority according to Environmental Protection Act (86/2000) and environmental protection decree (169/2000). CAA Finland has regulatory power in some environmental issues according to Aviation Act (864/2014)
Security	MoTC, Finnish Transport Safety Agency	Aviation Act (864/2014), Act on the Finnish Transport Safety Agency (863/2009)

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Latvia

Activity in ATM	Responsible Organisation	Legal Basis
Rulemaking	Cabinet of Ministers	Constitution
Safety Oversight	Latvian Civil Aviation Agency (LCAA)	Law on Aviation
Establishment of Tolerable Safety Levels	LCAA	CAA Approval N 01-08/974- (20.09.2013.)
Safety Performance Monitoring	LCAA	Law on Aviation
Enforcement actions in case of non-compliance with safety regulatory requirements	LCAA	Law on Aviation
Airspace	LCAA	Cabinet of Ministers regulation N° 507(28.06.2011.) and Law on Aviation
Economic	Department of Air Transport (MoT)	Cabinet of Ministers regulation N° 991 (5.12.2006.) and Law on Aviation
Environment	LCAA	Cabinet of Ministers regulation N° 487 (20.06.2006.) and N° 1041 (27.12.2005) and Law on Aviation
Security	LCAA	Cabinet of Ministers regulation N° 397 (27.04.2010.) and Law on Aviation

Norway

Activity in ATM	Responsible Organisation	Legal Basis
Rulemaking	Luftfartstilsynet (CAA NO)	Luftfartsloven (Civil Aviation Act)
Safety Oversight	Luftfartstilsynet (CAA NO)	As above and regulation FOR 2007-01-26 no 99 (BSL G 1-1) on the establishment of a Single European Sky.
Establishment of Tolerable Safety Levels	Luftfartstilsynet (CAA NO)	
Safety Performance Monitoring	Luftfartstilsynet (CAA NO)	
Enforcement actions in case of non-compliance with safety regulatory requirements	Luftfartstilsynet (CAA NO)	
Airspace	Luftfartstilsynet (CAA NO)	
Economic	Luftfartstilsynet (CAA NO)	
Environment	Luftfartstilsynet (CAA NO)	
Security	Luftfartstilsynet (CAA NO)	

1.5 NEFAB Bodies

1.5.1 NEFAB Bodies and Governance

The NEFAB Agreement establishes the NEFAB Council, which is the main governing body of NEFAB. Efficient governance for NEFAB is essential for reaching the objectives and fulfilling the obligations within the scope of NEFAB Agreement. The Ministries – responsible for transport and defence – of contracting states act as competent authorities and are represented in the Council.

The NEFAB Council is assisted by three committees. These cover the key areas of cooperation and are established on a permanent basis as they are necessary for preparing the work of the NEFAB Council. Other committees and working groups can be established by the NEFAB Council on an ad-hoc basis.

The details on the functioning of committees are described in the Rules of Procedure of each Committee. They are prepared by the committees and approved by the NEFAB Council.

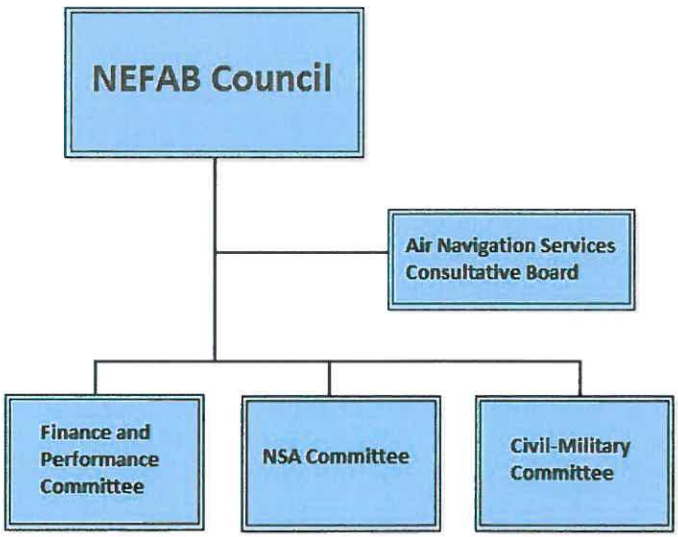

Figure 1.5.1: Governance Structure of NEFAB

1.5.2 NEFAB Council

The NEFAB Council is the highest body on NEFAB governance and is composed of both civil and military representatives from each contracting State. The NEFAB Council is empowered to ensure the implementation of the NEFAB Agreement and the attainment of the objectives of NEFAB in general. It is responsible for initiating work and formulating decisions relating to the functions and tasks assigned to it by the NEFAB Agreement. The NEFAB Council shall ensure the effective functioning of the three NEFAB committees, and it shall also approve the rules of procedures of the committees.

1.5.3 Finance and Performance Committee

The Finance and Performance Committee is responsible for assisting the NEFAB Council in performance related issues; developing common principles for charging policy, monitoring NEFAB performance at strategic level and advising the NEFAB Council on defining strategic objectives for the development of NEFAB. The Committee is composed of representatives from both the NSA Committee and Civil-Military Committee, as well as representatives from each State's competent authority for civil aviation. The Finance and Performance Committee is also responsible for the preparation of the NEFAB Council meetings.

1.5.4 NSA Committee

The NEFAB NSA Committee is composed of the Director Generals of the NSAs and two other representatives nominated by each NSA. The main purpose of the Committee is to facilitate cooperation between NSAs with a view to agreeing on arrangements for the safe and effective implementation of the NEFAB Agreement and to ensure the effective exchange of all information relevant to NEFAB. The NSA Committee shall also conclude cooperation arrangements with NSAs in neighbouring FABs and is responsible for preparing and drawing up NEFAB performance plans, as well as monitoring actual performance against the set targets.

1.5.5 Civil-Military Committee

The Civil-Military Committee assists the NEFAB Council with military-related issues. It shall enhance the use of airspace in NEFAB, provide for efficient and consistent application of the concept of flexible use of airspace and provide inputs to the NEFAB performance plan concerning military mission effectiveness. The Committee is composed of representatives from both the Military and Civil Aviation Authorities from each Contracting State.

1.5.6 Air Navigation Services Consultative Board (ANSCB)

The ANSCB is established to facilitate exchange of information and views between stakeholders and to ensure proper involvement and consultation of the ANSPs. The ANSCB is composed of representatives from the NEFAB Council, the NSAs, ANSPs and the meteorological services.

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1.6 NSAs in NEFAB Environment

1.6.1 Agreement, Roles and Responsibilities of the NEFAB NSA with References to the Agreement

By the NEFAB State Level Agreement, NSAs in NEFAB are authorised to establish arrangements for the safe and effective implementation of NEFAB. These arrangements shall be laid down in cooperation agreements between the NSAs of the Contracting States, as well as in those concluded with the NSAs of other FBAs in Europe.

The scope of the cooperation arrangements between NSAs is limited to those tasks specially mentioned in the NEFAB State level Agreement. The cooperation is authorised only on specific regulatory, operational and technical aspects in the areas especially stated in sub-paragraphs a. to g. of the said Agreement. In addition, the scope of the authorisation of the cooperation arrangement has to belong to the competence of the NSA as specified in the national legislation of the Contracting States.

According to Article 25.2 of the NEFAB State Level Agreement, the NSAs have to conclude agreements for the cooperation in supervisory tasks. This is important in order to harmonise processes and to guarantee a level playing field for all the ANSPs in NEFAB. Possible arrangements for the division of responsibilities regarding supervisory tasks are subject to the requirements of the national law of each Contracting State.

Article 25.3 of the NEFAB State Level Agreement recognises the basic principle that the NSA which certified the ANSP will also perform the oversight activities, unless otherwise agreed between the NSAs in accordance with their respective competencies according to national law. This article also deals with the situation where the Certifying and Territorial NSA are not the same, i.e. when service provision is provided in another Contracting State than where the ANSP is established (cross-border service provision). In that case, oversight activities will be performed by the Certifying NSA, unless otherwise agreed between the NSAs in accordance with their respective competencies according to national law.

The rights of the Territorial NSA to participate in all supervisory tasks of the Certifying NSA in relation to the services provided in the airspace under Territorial NSA's is stated in article 25.4 of the NEFAB State Level Agreement.

The tasks of the NSAs in NEFAB environment are further elaborated upon in the Cooperation Agreement between the National Supervisory Authorities of NEFAB.

NEFAB State level Agreement
NEFAB NSA Agreement
NEFAB ANSP Agreement

1.6.2 ANSP Certification and Designation

NSAs are responsible for certifying and designating their national service providers in the areas of ANS and MET.

The following table represents the certified air navigation service providers in each of the NEFAB states:

Estonia

Name of ANSP	Certified Services				Date of Last Certification / Renewal	Valid until	Designated (Y/N)	Date of Designation
	ATS	AIS	CNS	MET				
EANS	Y	Y	Y	N	14/12/2012	21/12/2018	Y	07/03/2013
Tallinn Airport	Y	N	Y	Y	01/09/2014	15/06/2016	Y	28/02/2014
Estonian Environment Agency	N	N	N	Y	23/12/2014	22/12/2020	N/A	N/A
Defence Forces (Ämari Military Airbase)	Y	N	Y	Y	30/04/2015	30/04/2016	Y	12/06/2015

Finland

Name of ANSP	Certified Services				Date of Last Certification / Renewal	Valid until	Designated (Y/N)	Date of Designation
	ATS	AIS	CNS	MET				
Finavia Corporation	Y	Y	Y	N	17/12/2012	01/12/2018	Y	21/12/2006-21/12/2018
City of Mikkeli	Y	N	Y	N	27/05/2013	01/06/2019	Y	21/06/2007-21/06/2019
Rengonharju foundation	Y	N	Y	N	27/05/2013	01/06/2019	Y	21/06/2007-21/06/2019
Finnish Meteorological Institute	N	N	N	Y	17/12/2012	01/12/2018	Y	05/03/2013-31/01/2020

Name of AFIS Provider	Date of Last Certification / Renewal	Valid until	Designated (Y/N)	Date of Designation	Derogation Granted	Type of Derogation
City of Mikkeli	27/05/2013	01/06/2019	Y	21/06/2007-21/06/2019	Y	(EU) N:o 1035/2011, Annex I, para. 3.2, 8.2. Annex II, para 3.2
Rengonharju foundation	27/05/2013	01/06/2019	Y	21/06/2007-21/06/2019	Y	(EU) N:o 1035/2011, Annex I, para. 2.2, 3.2, 8.2. Annex II, para 3.2

Latvia

Name of ANSP	Certified Services				Date of Last Certification / Renewal	Valid until	Designated (Y/N)	Date of Designation
	ATS	AIS	CNS	MET				
State Joint Stock company "Latvijas Gaisa satiksme"	Y	Y	Y	Y	20/12/2010	20/12/2016	Y	18/04/2007
State Limited Liability Company "Latvian Environment, Geology and Meteorology Centre"	N	N	N	Y	20/12/2010	20/12/2016	Y	18/04/2007

Norway

Name of ANSP	Certified Services				Date of Last Certification / Renewal	Valid until	Designated (Y/N)	Date of Designation
	ATS	AIS	CNS	MET				
Avinor Flysikring AS	Y	Y	Y	Y	18/06/2014	01/06/2024	Y	1/12/2014
Avinor AS	Y	Y	Y	Y	18/06/2014	01/06/2024	Y	1/12/2014
Statoil	Y		Y	Y	01/11/2014	01/11/2022	N	
ConocoPhillips	Y		Y	Y	01/10/2015	unlimited	N	
Sunnhordaland Airport	Y			Y	01/06/2009	01/06/2019	N	
Notodden Airport	Y			Y	24/11/2009	01/06/2019	N	
Kings Bay AS	Y			Y	01/12/2015	unlimited	N	
Store Norske Spitsbergen Grubekompani AS	Y			Y	01/12/2013	01/12/2023	N	
Meteorologisk Institutt (met.no)				Y	01/12/2013	01/12/2023	Y	27/05/2014
Storm Geo				Y	05/02/2014	05/02/2016	N	

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1.6.3 Oversight and Certification of Training Organisations

NSAs in NEFAB are responsible for the certification and oversight of training organisations.

Training organisations in NEFAB States are shown in the following table:

Estonia

Name of Training Organisation	Date of Last Certification / Renewal	Valid until	Type of Training Provided/Approved Training Courses	
Estonian Aviation Academy	17/06/2014	30/06/2017	Air Traffic Control Basic Training	Rating training (ACS, ADV/ADI, APP, APS(RAD), OJTI)

Finland

Name of Training Organisation	Date of Last Certification / Renewal	Valid until	Type of Training Provided/Approved Training Courses				
AVIA College	17/05/2013	Unlimited	ATCO initial training	ATCO unit training	Training of on the job training instructors	Training of competence assessors	Continuation training

Latvia

Name of Training Organisation	Date of Last Certification / Renewal	Valid until	Type of Training Provided/Approved Training Courses	
State Joint Stock company "Latvijas Gaisa satiksme''	08/10/2014	31/10/2017	Unit training	Continuation training
Riga Aeronautical Institute	28/05/2015	28/05/2018	Initial training	

Norway

Name of Training Organisation	Date of Last Certification / Renewal	Valid until	Type of Training Provided/Approved Training Courses		
Avinor Flysikring AS	23/03/2015	01/06/2024	Unit training	Continuation training	Rating training for ATCO's (not students) – ACS and APS

1.6.4 Civil Military Cooperation

The active participation and cooperative contribution of the military organisations of the Contracting States is of high importance for the overall success of NEFAB. Therefore, the basic principles for civil-military cooperation in NEFAB, especially in the light of military tactical control services, are laid down in the NEFAB State Level Agreement.

The NEFAB States have the possibility to conclude written arrangements to enable military training activities in the airspace concerned regardless of existing boundaries. The principle of the flexible use of airspace is also taken into account.

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2. NEFAB STATES – CONTEXT

2.1 Geographical Description of the FIRs

NEFAB's airspace is composed of the following flight information regions (FIR) and upper information regions (UIR) of the North European airspace: Estonia, Finland, Latvia, Norway and Bodø Oceanic. Within this area, States are responsible for creating a seamless airspace across their national borders and supervising the cooperation of ANSPs and other stakeholders in order to maintain safe and efficient airspace management, whilst respecting the sovereign interests of the contracting States

The diagram opposite indicates the airspace of all NEFAB States.

2.2 State Stakeholders

Civil aviation in Finland, Latvia and Norway is the overall responsibility of the Ministries of Transport (MoTs). In Estonia, civil aviation is the responsibility of the Ministry of Economic Affairs and Communications. Each have delegated powers to the CAAs to perform the associated regulatory, auditing and oversight of ANSPs in their territory.

The main aviation stakeholders with regard to the NSAs' role and their functional interconnections are presented in figures below for all the States involved. In Latvia, the regulatory power lies with the Cabinet of Ministers.

More details on the main stakeholder organisations and responsibilities are provided in the relevant LSSIP documents or individuals State NSA handbooks, where available.

2.3 Military Authorities(and Civil Military Cooperation)

NEFAB has established the Civil-Military Committee (CMC), consisting of representatives from both the CAAs and Military Aviation Authorities (MAA in Finland and Norway, defence forces from Estonia and Latvia).

The function of the CMC is to:

- define areas of cooperation between the Contracting States within the scope of the NEFAB Agreement as regards military aviation;
- enhance the use of airspace in NEFAB, taking account of military aviation needs, including military mission effectiveness;

- provide for efficient and consistent application of the concept of 'flexible use of airspace' by the Contracting States;
- provide for the development of arrangements for military training activities regardless of existing boundaries.

There is also established a Military-Military Expert Group (MMEG), whose main objective is to support the NEFAB Civil-Military Committee decision making process on military issues. The MMEG is composed of at least one representative nominated by the Military authorities from each NEFAB Member State.

2.4 Designated En-route Air Navigation Service Providers (ANSPs)

Estonia: EANS, http://www.eans.ee/?lang=en

Finland : Finavia corporation, www.finavia.fi/en

Latvia: LGS, www.lgs.lv

Norway: Avinor ANS, https://avinor.no/en/avinor-air-navigations-services/services/en-route-services/

2.5 Designated MET Service Providers

Estonia: Estonian Environmental Agency, http://www.keskkonnaagentuur.ee/

Finland : Finnish meteorological Institute, - http://en.ilmatieteenlaitos.fi/

Latvia: Latvian Environment, Geology and Meteorology Centre, www.lvgmc.lv

Norway: Norwegian Meteorological Institute, http://met.no/Flyv%C3%A6rtjenesten.9UFRjU4H.ips

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2.6 International Membership

NEFAB States are members of the following international organisations in the field of ATM:

	Estonia	Finland	Latvia	Norway
ECAC	1995	1955	1993	1955
EUROCONTROL	2015	2001	2011	1993
European Union	2004	1995	2004	-
EEA (European Economic Area)	-	-	-	1992
European Common Aviation Area	2004	2006	2004	2007
EASA	2004	2002	2004	2005
ICAO	1992	1949	1992	1947
NATO	2004	-	2004	1949

2.7 Cooperation with Other FABs and States

NEFAB NSAs have established cooperation with the other Nordic NSAs, in form of the 7-State NSA Group. Meetings between the 4 NEFAB NSAs and representatives from Iceland, Sweden and Denmark NSAs have been held, and cooperation has been established in areas of common interest. The main objective of the 7-State NSA Group is to establish enhanced cooperation between the NSAs in order to facilitate the harmonised implementation of the SES initiative. The cooperation is formalised through agreed Terms of Reference.

NEFAB ANSPs are closely cooperating with the ANSPs of the DK-SE FAB. The main achievement of this cooperation has been the establishment of a common Free Route Airspace (FRA) covering both FABs.

In 2015, the ANSPs established a new project to develop the future airspace concept 2020 and beyond. This includes a multi-FAB FRA covering 3 FABs (NEFAB, DK-SE and UK-IRL), a joint initiative by the ANSPs in the Borealis alliance. In addition to Borealis FRA, the ANSPs involved are looking for other areas of cooperation.

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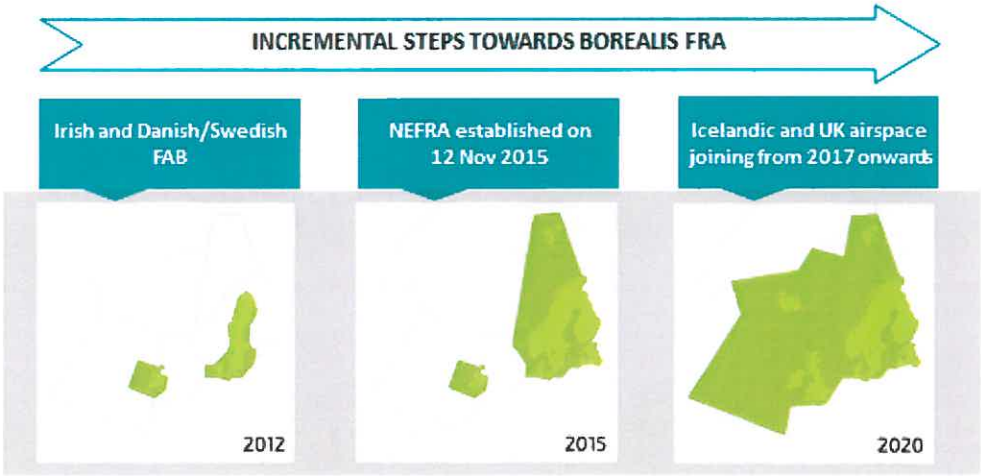
Borealis Free Route Airspace



As a response to the enhanced cooperation between the ANSPs of NEFAB, DK-SE FAB, UK-IRL FAB and Iceland in the framework of the Borealis alliance, the respective NSAs established the 9-State NSA Group in March 2015. The main purpose of the Group is to facilitate and support the enhanced cooperation of ANSPs from the regulatory point of view and to provide the Borealis Alliance with a consolidated set of review comments/feedback/positions/decisions from the 9 State NSA Group.

NEFAB NSAs have common representation in the ICAO EANPG COG and aim to have common representation in other international forums (e.g. NCP working groups), as appropriate.

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3. STRATEGY AND POLICIES

3.1 NEFAB Mission

The mission is to achieve optimal efficiency through harmonization, shared services and integration to the highest extent possible while pursuing optimal civil-military coordination.

3.2 NEFAB Vision

NEFAB is a functional airspace solution where service is optimised to customer expectations, with focus on safe, cost efficient and environmental performance.

3.3 NEFAB Strategy[1]

The NEFAB Strategy expresses the vision and strategic objectives of the NEFAB cooperation from the perspective of the participating States.

The strategy takes full account of the scope and objective of NEFAB to achieve optimal performance in the areas relating to safety, environmental sustainability, capacity, cost-efficiency, flight efficiency and military mission effectiveness, by the design of airspace and the organisation of air traffic management in the airspace concerned regardless of existing boundaries, as set out in Article 2.2 of the NEFAB State Level Agreement, as well as the statement on the areas of cooperation, as set out in Article 5. Likewise, it takes full account of Article 3 on Sovereignty that the provisions of this Agreement shall be without prejudice to the sovereignty of the Contracting States over their airspace on their rights and obligations under Chicago Convention and other instruments of international law and Article 4 on Public Security and Defence that the provisions of this Agreement shall be without prejudice to the competencies of the Contracting States relating to public order, public security and defence matters.

According to Article 9.2.a of the NEFAB State Level Agreement, the NEFAB Council shall, in particular, define strategic objectives for the development of NEFAB, assess the results achieved and take appropriate measures if required.

Furthermore, NEFAB strategy can agree on the strategic measures as enablers and facilitators for the strategic objective. And NEFAB Strategy could explain in detail how the strategic objectives and its enablers and facilitators are going to be achieved.

The NEFAB Council adopts the NEFAB strategy, decides on implementation plans and monitors the implementation. The NEFAB strategy document is reviewed regularly. The current NEFAB strategy document was adopted by the NEFAB Council on 27 November 2014.

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1 *Cfr NEFAB States strategy (see http://www.nefab.eu/docs).*

3.4 NEFAB Policies

In order to fulfil its mission and reach its vision, NEFAB will continuously apply the following Policies.

3.4.1 Safety Policy

Via systematic employment of safety management principles, NEFAB aims to establish the highest possible and uniform level of ATM safety within its member states and strive to continuously improve it.

NEFAB has developed a common safety policy and procedures on the acceptance of safety related changes; and cooperation with respect to this when the airspace of more than one Contracting State is concerned. The safety policy is available on the NEFAB website[2].

NEFAB NSA Committee has developed a common procedure for safety monitoring.

3.4.2 Quality Policy

There is no common quality policy at NEFAB level.

Each NSA operates according to its own management system. The Rules of Procedures of the NEFAB NSA Committee establishes responsibility to the chair of the NSA Committee to ensure that the documentation generated through the activities of the Committee is appropriately handled.

3.4.3 Human Resources Policy

There is no commonly agreed human resources policy at NEFAB NSA level.

Each individual NEFAB NSA has implemented its own human resources policy, thus each NSA is responsible for ensuring that its personnel are competent in the tasks they are expected to perform. When participating in common NEFAB NSA activities, each NSA is responsible for its own costs.

3.4.4 Airspace Policy

The NEFAB Airspace Policy, adopted by NEFAFB Council on 15.01.2016, together with national policies and provisions intends to provide stakeholders with information about how airspace management and design are arranged in NEFAB. The intention is also to support stakeholders in their own investment and project planning, as well as increasing transparency of airspace design and management, thus ensuring public confidence in the performance and safety of the system.

The NEFAB airspace policy creates a high level framework in the NEFAB area within which the civil aviation authorities develop their respective national airspace policies.

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2 *NEFAB Safety Policy adopted by Council 27-11-2014 (see http://www.nefab.eu/docs or NEFAB Safety Policy).*

3.5 NSAs' Contribution to the NEFAB Strategy

The NEFAB NSA Committee is responsible for preparing and drawing up NEFAB performance plans, as set out in Article 7 of the NEFAB NSA Agreement. The NSA Committee responsibilities for the monitoring the application of NEFAB Performance plan are derived from the annual Work Plan of the NEFAB Council, the NSA Committee's Rules of Procedures and the annual NSA Committee Work Plan.

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4. NEFAB NSA COMMITTEE – ORGANISATIONAL STRUCTURE, ROLES AND RESPONSIBILITIES

4.1 Individual State NSAs' Internal Organisation

4.1.1 Estonian CAA

The Estonian CAA is the authority under the jurisdiction of the Ministry of Economic Affairs and Communications exercising civil aviation state inspection and supervising the implementation of national laws and regulations.

Its main function, based on intellectual and material resources, is to ensure aviation safety and execute aviation policy at the national level and in co-operation with other states and international aviation organisations at international level.

Link: Estonian CAA structure

4.1.2 Latvian Civil Aviation Agency

The main mission of the Latvian Civil Aviation Agency is to apply State policy and authority functions for the use of Republic of Latvia airspace and civil aviation activities. The Latvian CAA applies this by executing oversight of civil aviation aircraft flight safety, aviation security and ensures that pollution created by aircraft complies with requirements for environment protection. The Latvian CAA cooperates with other States concerning Latvian airspace use and oversight of civil aviation activities.

Link: Latvian CAA structure

4.1.3 Finnish Transport Safety Agency

The Finnish Transport Safety Agency (Trafi) is the State's national civil aviation authority, with responsibility for ensuring that air transport is safe and as environmentally friendly as possible and for promoting the facilitation and flow of air traffic. Trafi considers aviation issues from the perspective of airline passengers, airlines, private pilots and airport operators.

Link: Finnish TRAFI structure

4.1.4 Norwegian Civil Aviation Authority

The Norwegian Civil Aviation Authority is an independent administrative authority - under the Ministry of Transport and the responsible competent authority and regulator in the field of civil aviation. The main task of the Norwegian CAA is to contribute to a high level of aviation safety and security.

Link: Norwegian CAA structure

4.2 NSA Committee Organisation

The NEFAB NSA Committee's objective is to ensure the safe and efficient implementation of NEFAB, taking into account the national legislation of each Contracting State based on the NEFAB NSA Agreement which sets out the principles and provisions governing the cooperation between the NSAs.

The NSA committee is composed of the Director General and two delegates (one alternate) from each NSA. Each NSA has one vote.

The decisions of the NSA Committee shall be made by consensus and shall be implemented individually by the NSAs, in accordance with their national legislation.

The NSA Committee may, whenever needed, invite experts to meetings in order to allow the interests of both civil and military aviation to be represented. The NSA Committee may also establish working groups and expert teams.

Link: Rules of Procedure NEFAB NSA Committee v 1.0

4.3 NSA Committee Subgroups and Working Arrangements

4.3.1 NSA Expert Group for Change Management

The objectives of the NSA Expert Group are to develop common procedures for the NSAs in NEFAB on safety oversight of changes.

The Group is led by Norway.

4.3.2 NSA Expert Group for Performance

Finalisation of the NEFAB Performance Plan. The Group's main tasks are related to performance plan monitoring and reporting. During 2015, the development of procedures for performance plan monitoring and reporting was finalised.

The Group is also led by Norway.

4.3.3 NSA Expert Group for Exchange of Safety Information

The objective of this Group is to establish practical arrangements to fulfil obligations described in the "Reporting, Exchange and Dissemination of Safety Information – Work Procedures".

The Group is led by Finland.

4.3.4 NSA Expert Group for Airspace Management

The Group shall create harmonised regulatory proposals to:

- ensure the implementation of FRA concept by the end of 2015;
- facilitate cross-border air navigation services above FL285 within NEFAB (solutions related to airspace);
- coordinate the establishment of cross-border areas and cross-border operations;
- design and manage a seamless airspace, as well as the coordinated air traffic flow and capacity management, taking due account of collaborative

processes at international level and efficient and consistent application of the FUA concept shall be taken into account in the work of the group.

This Group is led by Estonia.

4.3.5 NSA Expert Group for Oversight

The NSA Expert Group for Oversight shall:

- establish a programme for common NEFAB audits;
- enhance close cooperation between NSAs in the field of supervision of air navigation services;
- develop the principles and harmonise the procedures for oversight in NEFAB NSAs;
- and harmonise the respective practices, training and qualifications pf the personnel performing the oversight tasks.

The Group is led by Finland.

4.4 Annual Work Plan

An Annual Work Plan will be drafted by the chair of the NSA Committee. The tasks and planned activities are based on the NEFAB State Level and NSA Agreements, as well as tasks given by the NEFAB Council in its annual work plan. After internal consultation of the draft work plan, it is approved by the NSA Committee and reflected in the minutes of the NSA Committee meeting.

The Annual work programme consists of: tasks; overview of planned activities and a timetable.

Current NSA Committee Work Plan .

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5. NEFAB PERFORMANCE AND MONITORING

Regulation (EU) No. 390/2013 lays down the principles for the performance scheme and requires all FABs to develop Performance Plans at FAB level. The first reference period (RP1) for the performance scheme covered the calendar years 2012 to 2014 inclusive (performance plans at national level). The second reference period (RP2) shall cover the calendar years 2015 to 2019 inclusive (performance plan at FAB level for the first time). Subsequent reference periods shall be of five calendar years, unless otherwise provided through the amendment of this Regulation.

The Commission will assess the individual performance plans. The performance scheme should contribute to the sustainable development of the air transport system by proving the overall efficiency of air navigation services across the key performance areas (KPAs) of safety, environment, capacity and cost-efficiency, in consistency with those identified in the Performance Framework of the ATM Master Plan, all having regard to the overriding safety objectives. In order to assess and monitor each KPA, separate key performance indicators (KPIs) are introduced.

As stated in Regulation (EU) No. 390/2013, Article 4, para 1, the NSAs shall be responsible for the drawing up of the performance plans, the performance oversight and the monitoring of performance plans and targets. In carrying out these tasks, they shall act impartially, independently and transparently.

5.1 Performance Plan Development

The NEFAB States have agreed to develop and apply NEFAB performance plans, including incentive schemes and targets. Given that the performance framework for RP1 ended in 2014, the first NEFAB performance plan will run from 2015 onwards.

The key performance areas are those of current EU legislation (Article 11 of Regulation (EC) No. 549/2004 and Implementing Regulation (EU) No. 390/2013 (the Performance Regulation), with the addition of military mission effectiveness. Civil-military cooperation is a key factor for success within NEFAB, as this cooperation has an influence on the performance of the aviation sector as a whole. The incorporation of military mission effectiveness as part of the NEFAB performance plans is done in order to ensure that the military needs of the Contracting States are appropriately catered for and that the performance improvements are achieved in a holistic approach taking account of requirements from both civil and military users.

According to the NEFAB State Level Agreement, the NEFAB Council will manage the implementation performance plan through its adoption of the NEFAB performance plans, the related performance targets, the corresponding incentives and additional or corrective measures.

Within NEFAB, the NSA Committee is responsible for the preparation and drawing up of NEFAB performance plans. The NSA Committee shall, inter alia:

- elaborate the relevant information for NEFAB performance plans containing targets consistent with the EU-wide performance targets and the NEFAB performance targets;
- set the NEFAB performance targets;
- ensure that the NSAs provide the NSA Committee with relevant information on the business plans of ANSPs;
- consult the stakeholders on NEFAB performance plans and targets;
- present NEFAB performance plans to the NEFAB Council for adoption.

To carry out these tasks, the NSA Committee has established a Performance Expert group. The group consists of the performance experts of each NEFAB NSA. The group prepares the NEFAB Performance Plan and presents it to the NSA Committee for approval. After its approval the NSA Committee presents the plan to the NEFAB Council for adoption. Following the adoption by the NEFAB Council the NSA Committee sends the plan to the PRB/European Commission for assessment. Before the final adoption of the plan by European Commission it may request further information and explanations to the plan in form of corrigendum.

In connection with above mentioned tasks, the NSA Committee also makes use of the expertise and resources of the Finance and Performance Committee. Coordination with the NEFAB Council and other Committees is carried out by the chair of the NSA Committee. In addition, all the chairs of the committees participate in the NEFAB Council meetings.

Since Norway is not member of the EU, the Norwegian part of the Performance plan will be adopted by EFTA Surveillance Authority (ESA).

5.2 Performance Plan Monitoring

According to Commission Implementing Regulation (EU) No 390/2013, the NSAs and the Commission shall monitor the implementation of the performance plans. For this purpose, the annual values in the performance plan shall be used. The list of data to be provided and the periodicity of data provision for this purpose is published as annex V to Commission Implementing Regulation (EU) No 390/2013. Most of the data is published by the Performance Review Body on its web site.

A detailed process for performance plan monitoring is described in the "NEFAB Performance (EU) 390/2013 Monitoring and Reporting Procedures" document.

In addition to reporting to the EC, the NSA Committee is obliged to report to the NEFAB Council on the implementation of NEFAB performance plans and the outcome of the performance monitoring in relation to Key Performance Indicators (KPIs). The NEFAB NSA Committee's Performance Working Group submits internal reports to the NEFAB NSA Committee three times per year. First report of the year is delivered by 31 May and contains information available from the first quarter (Q1). The second report is delivered by 31 August and includes information from the first and the second quarter (Q1+Q2). Third report is delivered by 30 November including the information from three quarters (Q1+Q2+Q3). Information from the fourth quarter (Q4) is not delivered separately in order to avoid double reporting, as this information will be available in the yearly monitoring report, which will be delivered to the Performance Review Body (PRB) according to Commission Implementing Regulation (EU) No 390/2013. Based on the reports created by the NEFAB NSA Performance Working Group, the NSA Committee reports to the NEFAB Council about the performance in the NEFAB area.

5.3 Overall Progress Planning

According to Article 9.2.a of the NEFAB State Level Agreement, the NEFAB Council shall, in particular, define strategic objectives for the development of NEFAB, assess the results achieved and take appropriate measures if required.

In addition to high level strategic objectives, the NEFAB Council establishes an annual work plan, which further defines objectives and goals to be achieved. This work plan is used as one basis for the NSA Committee's activity planning. When creating the NSA Committee work programme/plan, the ANSP Business plans are also considered, as well as issues stemming from EU regulations and cooperation with other FABs and states. The NSA Committee chair is responsible of the organisation of the work of the Committee, preparation of the work programme for the Committee and ensuring that it is followed-up.

5.4 Overall Progress Monitoring

The objective is to provide the NEFAB NSA Committee and NEFAB Council with information on the progress and activities in NEFAB, including overall performance. This information is vital for the NEFAB Council since it is responsible for defining strategic objectives for the development of NEFAB, assessing the results achieved and taking appropriate measures if required.

The monitoring of the activities in NEFAB is done through the NSA Committee and its working groups, as well as by the Performance and Finance and Civil-Military Committees. All the Committees provide regular reports to the NEFAB Council.

These reports are provided to each NEFAB Council meeting. The specific issues of interest to be reported are listed in the Council work plan. The NSA Committee chair serves as a focal point within the remit of the NSA Committee and ensures appropriate coordination with the NEFAB Council and other NEFAB Committees. The chair has overall responsibility for communication issues relating to the Committee.

The main tasks of the NEFAB NSA Committee include the monitoring and oversight of NEFAB's overall performance, collecting data and exchanging relevant information among the NSAs, as well as with the NEFAB Council.

5.5 Cross Border Operations

The written agreements or other legal arrangements between air traffic service providers and meteorological service providers concerning cross-border services in the airspace concerned shall be approved by the competent authorities concerned after consultation of the NEFAB Council. Once approved, they shall be communicated to NEFAB Council.

The responsibilities and liabilities concerning the supervision of the cross border services are defined in Chapter 7 of the NEFAB State Level Agreement.

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6. RESOURCE MANAGEMENT

6.1 General

NEFAB NSAs are responsible for establishing appropriate arrangements and co-operation agreements for the safe and effective implementation of NEFAB in all relevant areas of co-operation.

According to the NEFAB NSA Agreement, the NSA Committee shall decide on the principles of the use of NSA resources and cost allocation related to shared and divided tasks.

The basic principle is that each NEFAB NSA provides the necessary resources to fulfil the obligations set in the NEFAB State Level and NEFAB NSA Agreements and is responsible for the costs of the participation to the necessary meetings and common activities. Where necessary, the NSA Committee may decide on other methods of cost allocation on a case-by-case basis.

6.2 Shared Values

The NEFAB NSAs commit themselves to ensuring consistency and quality and to ensure, as far as practicable, the harmonised application of the regulations stemming from EU, EASA and ICAO in order to guarantee a level playing field for all ANSPs and airspace users in the NEFAB area.

The NEFAB NSAs pursue open dialogue and cooperation within NEFAB, as well as with neighbouring FABs and states.

The NSAs of NEFAB present unanimously at international forums, as far as practicable.

6.3 Personal Files

Each NSA is responsible for maintaining personal files for their staff. There is no personnel files database as such at NEFAB level. However, a list of experts is kept by the NSA Committee in order to identify expertise available in the NEFAB NSAs (pool of experts).

6.4 Qualifications and Training Requirements

There is no common qualification or training requirements for NSA personnel at NEFAB level. Each NSA is responsible for ensuring their personnel are appropriately trained and qualified to the tasks they are expected to perform according to standards and requirements set in the EU legislation and ICAO regulations. Inspector training shall be documented and recorded in the employee's personal file.

6.5 Physical and Financial Capital and NSA Committee Operation Facilities

The NEFAB NSAs do not possess any common facilities. The Committee shall meet at such times and places as deemed necessary, but at least four times a year in accordance with its work programme and at the invitation of the Chair. The Chair shall determine the dates and locations of the meetings, mainly the offices of the NEFAB NSAs, at the beginning of his/her term of office. To level out the cost burden of the NSAs, it is considered good practice to rotate the meetings between the NSAs.

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7 PROCESSES

7.1 Realisation and Control of NSA Tasks and Services

The NEFAB NSA COMMITTEE identifies the resources (human, infrastructure, financial) necessary to run its core processes and related supporting processes effectively and efficiently and to fulfil its quality objectives.

NEFAB NSAs have a process-focused approach to plan and control the realisation of their services. They initially focus is on the quality of process inputs (i.e. employees, material, equipment, and methods). The appropriateness of all these fundamental process inputs must be assured.

NSAs employees are properly trained and qualified through appropriate education, training, and certification. Training of employees shall be documented.

NSAs material (approved standard forms) meet specified requirements and are properly identified, stored, and issued. Equipment is also adequate, available, properly utilised and maintained.

Methods must be appropriate and proven capable of accomplishing the desired results. Work instructions and other important data must be current and correct.

NEFAB applies the process validation activity. This is done to examine whether the process satisfies NEFAB objectives and if the process addresses the issue in the most suitable and effective way. Every process is periodically reviewed. The review period is established based on the situation, but should be performed at least once every three years.

7.2 Core Processes

FAB cooperation aims at common projects and cross-border services. These projects require changes to the functional systems of the ANSPs and therefore NSAs are required to make appropriate arrangements for close cooperation with each other to ensure adequate supervision of ANSPs. Since final approval of the changes to functional systems is made nationally, a common process to ensure oversight and change management at NEFAB level is essential.

EU regulations require States to draw up performance plans at FAB level. Performance monitoring process is needed to follow not only the EU performance targets but also NEFAB overall performance. Exchange of safety information process has been established to harmonise procedures relating reporting and classification of occurrences with aim to maintain high level of safety.

The current service realisation (core) processes for the NEFAB NSAs are:

1. Procedure for NEFAB Audit;
2. Procedure for Notification and Review of NEFAB Safety Related Changes;
3. Procedure for NEFAB Performance Planning and Monitoring;
4. Procedure for Reporting, Exchange and Dissemination of Safety Information in NEFAB.

Annex A provides a list of documented harmonised processes in place which are applicable to all NEFAB NSAs functionality, as well as ones under consideration for future development.

7.3 Work Instructions

The necessity for, and the required detail of, work instructions is dependent upon the knowledge, skills, and abilities of CAA employees and the complexity of the activities they perform.

Work instructions for CAA core process activities are given in inspecting staff manuals and operating procedures. If necessary, responsible managers may publish additional instructions (in the form of work instructions or check-lists) to document specific issues.

CAA responsible managers ensure that employees monitor the quality of their own work and understand the procedures for reporting related problems and/or suspected non-conforming conditions.

The above mentioned work instructions for the NSA functionality should be harmonised somehow for all NEFAB CAAs. This a main task of the NSA Committee.

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ANNEX A – NEFAB NSA HARMONISED PROCESSES

Procedure for NEFAB Audit

1. *PURPOSE*

In Europe, including in the NEFAB area, airspace exists of which the borders are not congruent with national borders. So, there are already ANSPs providing cross-border services. Based on Article 2 of the Service Provision Regulation (Regulation (EC) n° 550/2004 as modified by Regulation (EC) No. 1070/2009, hereinafter SP-R) the NSAs of the states concerned need to cooperate closely in order to ensure adequate supervision.

Articles 25 of the Agreement on the Establishment of the North European Functional Airspace Block (NEFAB) provides for the requirements of ANSPs' supervision including the cross-border services between the NEFAB States. Through the combination of the Article 25 and this procedure, the NEFAB NSAs' cross-border oversight arrangements are in conformance with Article 2 of the Service Provision Regulation as far as it concerns intra-NEFAB cross-border services. The high level aim of this procedure is to facilitate NEFAB-wide harmonised co-operation between NSAs and to make supervision of ANSPs transparent.

2. *SCOPE*

This procedure is based on the following regulations and agreements:

- Regulation (EC) No. 550/2004 of the European Parliament and of the Council of 10 March 2004 on the provision of air navigation services in the single European sky, as modified by Regulation (EC) No. 1070/2009.
- Commission Implementing Regulation (EU) No. 1034/2011 of 17 October 2011 on safety oversight in air traffic management and air navigation services.
- Commission Implementing Regulation (EU) No. 1035/2011 of 17 October 2011 laying down common requirements for the provision of air navigation services.
- Agreement on the Establishment of the North European Functional Airspace Block (NEFAB), in particular Article 25.

This procedure in conjunction with Article 25 of the Agreement on the Establishment of the North European Functional Airspace Block (NEFAB) provides for a common compliance Article 2 of SPR regarding the oversight on all cross border situations inside the NEFAB-area.

The audit/inspections of cross-border services concerning ANSPs and/or NSAs other than those involved in NEFAB is outside the scope of this procedure. Additionally, this procedure does not cover the situations of ad-hoc inspections of the ANSPs providing for cross-border services within NEFAB.

3. RESPONSIBILITIES

NSAs are required to work in line with this procedure concerning the oversight of ANSPs providing cross-border services within NEFAB.

4. ABBREVIATIONS, DEFINITIONS, TERMINOLOGY

Hereafter, only the abbreviations and definitions used in this manual that are non-ICAO abbreviations are clarified.

4.1 Abbreviations

When an abbreviation is followed by an *–s*, it indicates plural (e.g. ANSP – ANSPs).

CAP	Corrective Action Plan
OWG	Oversight Working Group, supporting the NSA Committee
CNSA	Certification NSA
TNSA	Territorial NSA
NSAC	National Supervisory Authorities Committee
QE	Qualified Entity

4.2 Specific Definitions and Terminology

In general, the definitions documented in the applicable SES and EASA regulations apply. However, the following is a list of specific NEFAB definitions, as used throughout this manual:

Certification NSA	The NSA issuing the ANS certificate.
Territorial NSA	The NSA of the State in the airspace where the certified ANSP by the Certification NSA provides the cross-border service(s).
Validation	A process to ensure that the result of an internal NEFAB NSAs process is concluded in line with the agreed task.
NEFAB Audit Focal Point	The persons responsible for centralising the information regarding planned audits and inspections from each NEFAB States.
Observer	A person from an NSA who can take part in an audit of another NSA without any roles in the audit/inspection activity.
Team member	A person agreed by the Team Leader to participate in an audit and/or inspection with clear defined roles, responsibilities and tasks.

5. PROCEDURE FLOWCHART

The process flowchart is in the Appendix 1.

6. *PROCEDURE DESCRIPTION*

This is to provide the steps to be followed in the case of NEFAB audit/inspection(s) activities.

6.1 Applicability

The applicability of this procedure is defined in Appendix 2 (list of cross-border services) to this procedure.

6.2 Initiation and Planning

Each NSA is primarily responsible for the oversight of all ANSPs it has certified. Each NSA may propose common NEFAB audits and inspections for the next year during the month of September of the current year. This shall be carried out by the NEFAB Audit Focal Points in each NSA. They will exchange this information through the OWG.

After finalisation of national audit plans, the CNSAs inform the TNSA(s) about planned audits and inspections with relation to service provision in a cross-border area. The TNSA(s) shall indicate if they have an interest in one or more audits and subsequently requests to be involved. Additionally, other NEFAB States may express an interest in participating as Observers in such audits and inspections.

Agreement of the requests formulated by TNSA(s) in case of the cross-border services shall be done at the level of OWG. All communication regarding the agreed planned audits and inspections and request formulated by TNSA(s) will be carried out via the NEFAB Audit Focal Points. The same applies in the case of Observers.

In addition, TNSA may request CNSA to audit the areas covered by the provision of cross-border services, if this is not well captured by the CNSA in the planned audits and inspections, or may request that some specific points to be included in the planned audits and inspections. In the latter case, the request shall include the rationale and objectives. Once such requests had been registered the CNSA shall inform accordingly the concerned ANSP(s).

In all other cases, the ANSP shall be informed of the TNSA(s) participation and be required to provide their agreement.

The CNSA shall communicate to the TNSA before the end of November of the current year its decision regarding the request from the TNSA. If the request is not granted (accepted) by the CNSA, the decision shall be accompanied by a rationale. Moreover, the situation will be raised for resolution to the NSA Committee. The same applies for Observers.

By the end of January of the next year all planning of audits and inspections as well as the requests for participation from TNSA(s) and Observers shall be established preferably without any doubts about dates and locations. This will be exchanged once more via the OWG.

6.3 Preparation

Once the CNSA agrees on the TNSA request(s) the following elements have to be established:

- Scope of the TNSA participation (areas to be covered during the audit).
- Resources (decide on the number of experts):
  - The expert(s) proposed by the TNSA to take part in the audits/inspections shall have the necessary qualification as defined by the TNSA (i.e. qualified auditor/inspector within the specific areas);
  - Each NSA shall define the qualification criteria for the auditors/inspectors within the relevant areas of activity;
  - Each NSA will propose a number of experts within different areas of expertise (e.g. ATM, CNS, MET, AIS, etc.) that could be part of the future NEFAB audits and/or inspections.
- Statute of the resources (Team Member or Observer):
  - As a Team Member ,TNSA staff will be under the leadership of the CNSA Team Leader and will have tasks allocated to him/her for execution;
  - As Observer, TNSA staff will not undertake tasks within the audit/inspection and will monitor the CNSA activities.
- Timeframe and location(s).

The CNSA will nominate the Team Leader (TL). TL will establish the audit team taking into account the participation of the TNSA(s) experts. The TNSA(s) experts will work under the functional authority and rules of the CNSA during the audit/inspections activities. The TL's responsibilities are:

- Establish the audit schedule and inform auditors about it;
- Provide observers with the necessary information about the audit/inspection(s) scope, timeframe, location, occupational safety and health requirements, security aspects regarding the location to be visited, the CNSA audit/inspection procedure to be applied, etc.
- Provide the audit tasks to each team members;
- Provide the necessary information, documentation, etc. to each team member;
- Informing TNSA(s) experts about any occupational safety and health requirements;
- Informing TNSA(s) experts about the requirements of the audit/inspection procedure to be applied during the whole audit/inspection(s) process;
- Informing TNSA(s) experts about any security aspects regarding the location to be visited;
- Informing TNSA(s) experts about any briefings and preparatory meetings and ensuring their participation;

- Inform team members of any changes to the schedule, tasks, etc. to the forthcoming audit/inspection;
- Inform the team members regarding the working language during the audit.

The above list is without prejudice to any national processes and requirements.

6.4 Conduct

The on-site activities are conducted under the leadership of the TL. All team members including those from the TNSA(s). Any aspects/issues related to the audit/inspection(s) activities will be directly communicated to the TL. TL will undertake the necessary co-ordination with the ANSP to resolve the issues.

TL shall provide team members with the necessary forms to be used during the audit/inspection(s) i.e. finding form, report template, etc. TL shall organise the necessary team briefings in accordance with the CNSA procedure.

Observers shall participate in the on-site activities as indicated in the planning phase of the audit/inspection(s). Their role is defined in the planning phase e.g. learning, exchange of experiences, etc. In accordance with the CNSA procedure they might be asked not to participate in the team briefings, however if their presence is for learning purposes this has to be taken into consideration as positive aspect. TL may organise specific meetings with Observers to provide for explanations regarding the process followed, techniques used, etc.

6.5 Working Language

The TL will use English in all communications with the TNSA(s) experts during the preparation and conduct of the audits/inspections. Team members will communicate between themselves using English during the audit proceedings to provide for good synergies of the audit team. The TL will also use English in all communication with the Observers during the preparation and conduct of the audits/inspections.

All documentation provided to the TNSA(s) experts will be in the language(s) used by the CNSA. It is not required to provide an English translation for such documentation. TNSA experts will ensure the translation of such documentation into their national language(s).

All audits are foreseen to be conducted in the national language(s) of the CNSA. However, in the case of TNSA(s)' experts participation it would be recommended that English language is used for the conduct of the audit/inspection. If English language is agreed to be used during the audit/inspection proceedings, this shall be coordinated with the ANSP concerned.

6.6 Reporting

At the end of the on-site activities, the TL shall communicate to all team members the schedule for the next phases of the audit/inspection(s) i.e. reporting timeframe, deadline for the receipt of any comments from team members on the report before being sent to the ANSP, deadline for the receipt of comments from ANSP, deadline for the receipt of CAP and comments from team members.

In addition, the TL shall provide the team members with the template for the audit/inspection report.

Each team member shall provide his/her input regarding the audit/inspection report within the timeframe communicated by the TL. TL is responsible for making available the Draft Audit/Inspection Report to the ANSP.

Once the CAP is received by the CNSA, TL shall distribute it to the team members for review and comments. In case of comments on the CAP, TL shall clarify them with the ANSP and team members responsible for those findings. Once agreed the CAP, the CNSA via the TL will communicate this to the ANSP. Any change to the CAP i.e. updated CAP provided by the ANSP shall be communicate to all team members.

CNSA will provide the TNSA with the final report including relevant findings and agreed CAP. The report could be in the national language of the CNSA and it is the TNSA duty to ensure its translation into English language. It is recommended that the TNSA verifies the translated version of the report together with the CNSA to ensure to the maximum extend the correct wording and meaning for each finding.

6.7 Follow-up Actions

When planning follow-up audit/inspection(s) to verify the implementation of the CAP, the CNSA shall inform the TNSA(s) experts through the annual planning of audit/inspection(s) - see Section 7.2.

Planning, preparation, conduct and reporting will follow the same provisions in Sections 7.2 - 7.6.

6.8 Financial Aspects

The costs involved by the TNSA(s) experts and Observers participation during preparation, conduct and follow-up of the audit/inspection(s) (i.e. accommodation, transportation, per diem and all additional costs that may arise) shall be supported by their organisations.

6.9 Use of Qualified Entities

Qualified Entities may be used in NEFAB in accordance with Commission Implementing Regulation (EU) No. 1034/2011.

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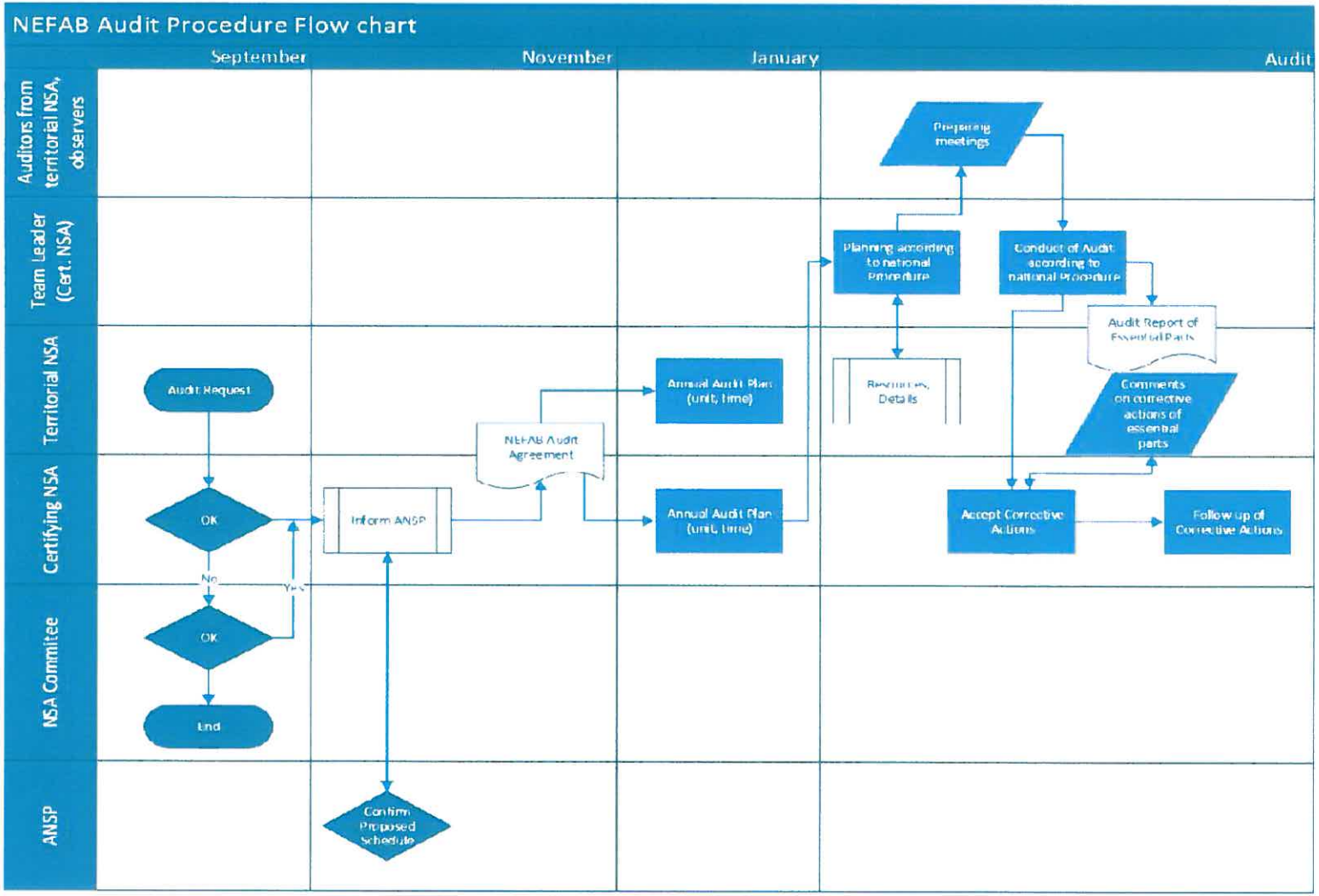
APPENDIX 1 – NEFAB AUDIT PROCEDURE FLOWCHART



APPENDIX 2 – LIST OF CROSS-BORDER SERVICES

Delegated ATS Area	Vertical Limit	Territorial NSA	ATS Delegated to	Activity Time
Halti CTA	FL95-FL660	Finland	Norway	H24
Manto CTA	FL65-FL660	Finland	Norway	H24

Other Cross-Border Services	Service	Remarks
Radar data sharing	CNS	Norway provides radar data to Northern Finland

Procedure for the Notification and Review of NEFAB Safety-Related Changes

1. PURPOSE

The aim of this document is to describe the procedure used by CMET (Change Management Expert Team) and the NEFAB Project Manager office in order to review the safety assessments linked with NEFAB safety-related changes planned by the NEFAB ANSPs (Air Navigation Service Providers).

2. SCOPE

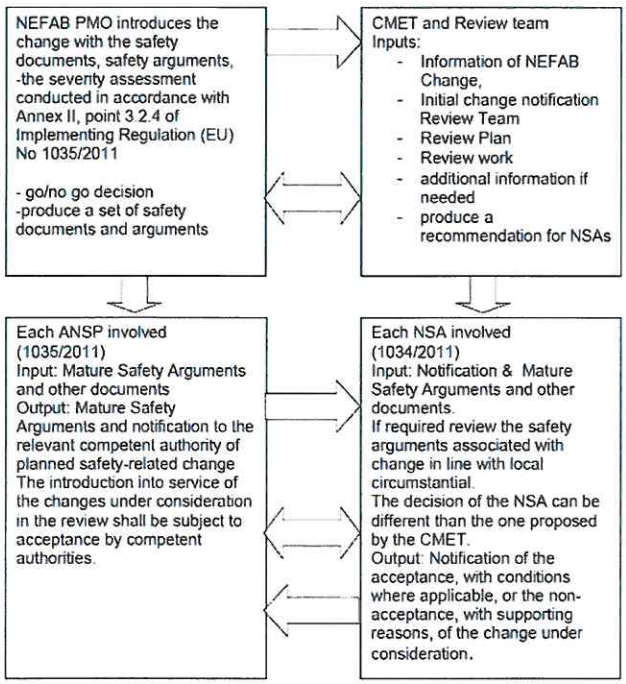
Taking into account Commission Implementing Regulation (EU) No. 1034/2011, the term "change", as considered in this procedure, is any safety-related modification impacting ANS, ATFM or ASM.

Complementing this broad definition, NEFAB changes are defined in this procedure as:

> Safety-related changes impacting the functional system or introducing new functional systems in the NEFAB area and impacting more than one ANSP in two or more NEFAB states.

3. CMET AND NSA RESPONSIBILITIES

Because the NEFAB PMO office is not an organisation as mentioned in Articles 9 and 10 of Commission Implementing Regulation (EU) No. 1034/2011, the final change acceptance must be done at national level.



4. DEFINITIONS

In addition to the definitions noted in Regulation (EC) No. 549/2004 and Commission Implementing Regulations (EU) Nos. 1034/2011 and 1035/2011, for the processes mentioned in this procedure, the following definitions and abbreviations are to be applied:

Change Management Expert Team (CMET)	The CMET is in charge of coordinating the common safety review for all NEFAB changes.
Involved NSA	National Supervisory Authority responsible for the oversight of at least one of the ANSPs that are impacted by the NEFAB change.
Programme Management Office (PMO)	The NEFAB PMO is tasked to manage NEFAB Programme/Project and support the member ANSPs and the states to reach the targets. This includes also information exchange and agreed stakeholder engagement.

5. GENERAL NOTICE

Decision-making in CMET can be done through e-mails or by any appropriate communication means.

6. REVISION OF THE PROCEDURE

A new version of the procedure can be elaborated by CMET, when deemed necessary, or on request from the NSA Committee.

The procedure will enter into force after approval from the NSA Committee.

7. DOCUMENT TEMPLATES

The following templates and forms accompany this procedure:

- Change Notification template;
- Review report template;
- Comment sheet;
- Review plan template;
- Template for the CMET recommendation.

They can be found on the OneSkyTeam (OST) website.

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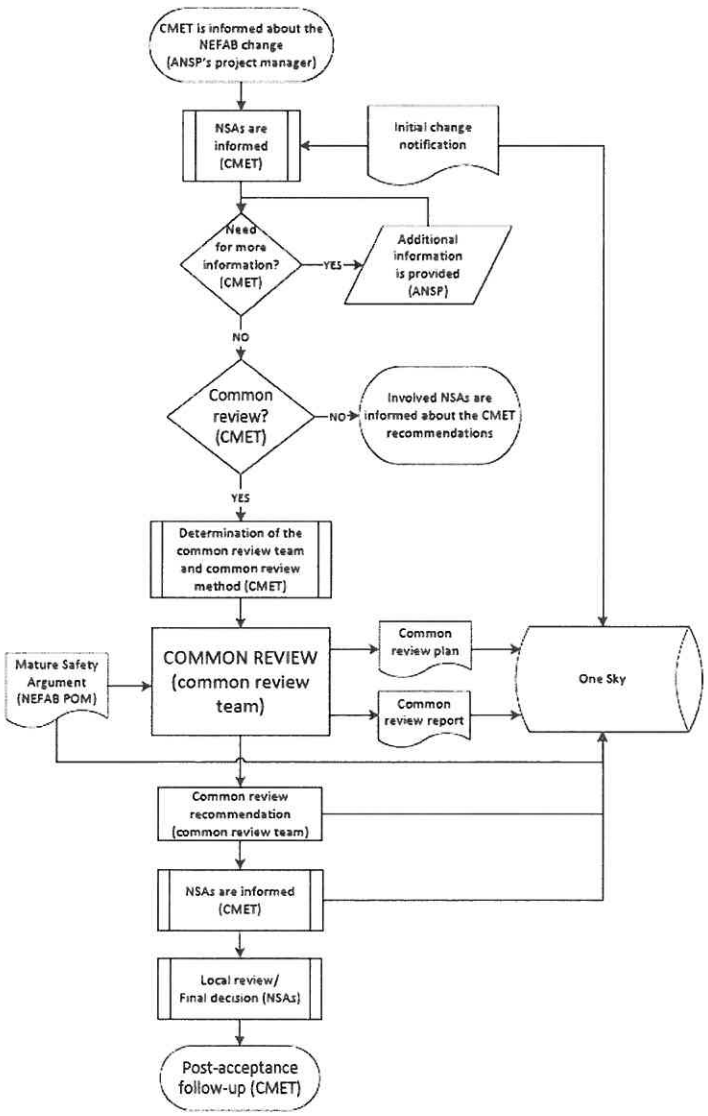
8. RECORDS AND ARCHIVES

Document	Owner	Medium	Archive Storage	Retention Time	Ending
Initial change notification	CMET	Soft copy	OST Website	50 years	Delete
Decision taken by CMET as an answer to the notification	CMET	Soft copy	OST Website	50 years	Delete
Last version of review plans of NEFAB common reviews	CMET	Soft copy	OST Website	50 years	Delete
Last version of the review reports of NEFAB common reviews	CMET	Soft copy	OST Website	50 years	Delete
Final decisions from the involved NSAs	CMET	Soft copy	OST Website	50 years	N/A
Mature versions of the safety arguments	CMET	Soft copy	OST Website	50 years	N/A

9. PROCEDURE FLOWCHART



10. NOTIFICATION OF NEFAB CHANGES

10.1 Notification of NEFAB Changes

The NEFAB changes are notified to CMET by the NEFAB PMO and CMET chairperson forwards the notification to each involved NSA.

10.2 Content of a Notification of a NEFAB Change

The following items shall be the minimum content of the notification of a NEFAB change (ref. NEFAB Change Notification Form Template):

- a description of the change (where, what, why, how, who....);
- the ANSPs impacted;
- all other stakeholders impacted;
- other services impacted;
- interoperability documentation to be developed?
- the identification of a point of contact that is responsible for the change;
- a first evaluation of the severity of the change (if any);
- timescale for completing the mature safety argument;
- the initial timescale for the intended entry into service.

10.3 CMET Recommendations

The items listed in Section 10.2 above shall be sent to the CMET, as soon as the change is authorised for implementation by the Programme Management Board.

The CMET review should be completed and recommendations available for the NSAs within 60 days after the complete mature safety argument from the PMO has been received, unless otherwise agreed with PMO.

The mature safety argument should clearly identify the issues that are still to be addressed and when it is expected to be 'closed'. The mature safety argument should contain sufficient information for the CMET to make its decision.

10.4 Identification of NEFAB Changes

Upon reception of the notification of a NEFAB change, the CMET will allocate it a reference, which will be used for the rest of the process.

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10.5 Link with National Notification Procedures

The notification procedures defined by each NSA, in conformity with Article 9, para 2, of Commission Implementing Regulation (EU) No. 1034/2011, should take into account the notification of NEFAB changes (ref. Sections 10.2 and 10.3 above), in particular on the following aspects:

- the NEFAB changes should be notified to CMET in English. CMET will coordinate further work towards the national NSAs. The NEFAB safety-related changes should be notified by the involved ANSP to the involved NSAs as soon as the ANSP have the relevant information of the change. The time between the notification and the entry into service should be agreed according to Commission Implementing Regulation (EU) No. 1034/2011, Article 9.
- minimum content of the notification of NEFAB changes (see Section 10.2 above).

11. SELECTION OF THE CHANGES SUBJECT TO A NEFAB COMMON REVIEW

11.1 Verification of the Notified Change

- As soon as the CMET has received a notification for a NEFAB change, the CMET verifies, based on the information provided whether:
- It is mandatory that the notified change is reviewed by the relevant competent authority / the involved NSAs on the basis of Commission Implementing Regulation (EU) No. 1034/2011.
- the notified change should be reviewed based on the CMET criteria listed in Appendix 2.

The conditions for mandatory review and acceptance in Commission Implementing Regulation (EU) No.1034/2011 are as follows:

a) when the severity assessment conducted in accordance with Annex II, part 3.2.4 of Commission Implementing Regulation (EU) No. 1035/2011 (Common Requirements), determines a severity class 1 or a severity class 2 for the potential effects of the hazards identified, or

b) when the entry into service introduces the need for new aviation standards (i.e. any effect on the airborne ATM functional system).

In order to conclude the verification, the CMET may exchange information directly with the PMO.

11.2 Decision on the NEFAB Review of the Notified Change

The involved members of the CMET shall decide by consensus (based on the mandatory conditions in Section 11.1 above and the CMET conditions as described in Appendix 2) on one of the following:

- to perform a NEFAB common review of the change;
- not to perform a NEFAB common review of the change;

- or to ask for more information about the change.

The chairperson of the CMET coordinates these discussions. If consensus cannot be reached, the NSA Committee will be informed and a final decision will have to be taken by the NSA Committee.

Each involved NSA reviewers shall participate in the NEFAB common review.

Where the CMET decides to wait for more information on the change, the chairperson of the CMET shall ask the NEFAB PMO to obtain the required information and update the verification result.

In all cases, the involved NSAs are informed about the CMET recommendations. Each involved NSA needs to take a decision based on the CMET's recommendation. The involved NSAs inform CMET about their decision and the CMET informs the NEFAB PMO on the decisions taken and on the rationale for these decisions.

12. DESIGNATION OF THE REVIEW TEAM

12.1 List of Reviewers

A review list shall exist, giving:

- possible reviewers, preferably with areas of expertise;
- contact points within the NEFAB NSAs, responsible for allocating review resources, as requested by the CMET;
- possible observers (e.g. NSA Committee, NSA Quality Manager, NSA reviewer OJT, etc.).

This list is regularly updated by the CMET chairperson, based on the information given by each of the NEFAB NSAs. Each NSA is responsible for nominating at least one reviewer, preferably more.

12.2 Composition of the Review Team

In case a NEFAB common review has been decided, a review team is created, composed of:

- a review team leader;
- reviewers;
- possible subgroups

All involved NSAs shall participate in the review team. The size and level of expertise shall be in accordance with the scope of the change.

12.3 Global process description

The CMET chairperson is in charge of the coordination of the designation of the review team, using the review list.

12.3.1 Designation of the review team leader

For each notified change subject to a NEFAB common review, the review team designate their team leader.

12.3.2 Review Plan

The review team produces a review plan, including as a minimum:

- a brief description of the change;
- the checklist to be used during the review with review areas and responsibilities;
- the members of the review team and the observers, if any;
- the ANSP point of contact; and
- the different timeframes for the change, as provided by the ANSPs.

In case of the modification of at least one of the items listed above, an updated review plan is produced by the review team.

The initial review plan and all subsequent updates are issued by the review team leader to the PMO.

13. NEFAB REVIEW OF A SAFETY ASSESSMENT

13.1 Reception of the mature safety argument

The mature safety argument should be conclusive and signed.

13.2 Issuance of the review report

The review team should present their recommendations in a review report. As soon as the review team has finished its report, it is issued to the CMET. Upon receipt, the CMET forwards it to the involved NSAs.

The review report should contain, as a minimum:

- a description of the change, including the description of the interdependencies between the ANSPs, airspaces and NSAs concerned;
- the latest version of the review plan;
- a list of documents received and reviewed;
- the checklist used during the review;
- a summary of how the review was conducted; and
- recommendations on the acceptances of the introduction into service of the NEFAB change under consideration, with a set of conditions where applicable.

13.3 Disagreement Between the Review Team Members

In case of a disagreement within the review team concerning the review report, the review team leader should inform the CMET, who will decide on the process to resolve the issue. If needed, the NSA Committee could be consulted.

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13.4 NEFAB Review Decision

Upon receipt of the review report, the CMET forwards it to the involved NSAs, who accept or reject their part of the change.

The involved NSAs inform the CMET about their decisions and the CMET forwards this information to the NEFAB PMO.

Note: The review report is for internal use by the NEFAB NSAs only and shall not be submitted to the ANSPs.

14. POST ACCEPTANCE FOLLOW-UP

For those ANSP(s) under its supervision, and within the national part of the change, each NSA is responsible for monitoring compliance with any conditions established regarding the introduction into service of the change.

In cases where such conditions are not met and which may affect other ANSPs, the respective NSA organisation should inform CMET on this situation and the actions taken.

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APPENDIX 1 – CMET CRITERIA FOR WHETHER OR NOT TO CARRY OUT A SAFETY REVIEW.

Change ID	Questions to be asked	Explanation	Comments and justification
	Regulatory Requirement		
	Severity of the effect of the hazards affected by the change (caused by the [effected part of the] system)	The system may have some hazards where the severity of the effect has been classified as 1 or 2. If the change affects any of these hazards, the severity of the change will get the same value.	
	New aviation standard	New system, e.g. ADS-B, GBAS, SBAS etc.	
The organisations ability to implement the change with acceptable risk	**Organisation**		
	Organisational maturity	The Organisation is given a maturity value. Value will be reviewed and updated on a regular basis. Organisation competence, resources, SMS maturity, financing, experience, etc.	
	Organisational influences: "snapshot"	This value will adjust the organisation maturity value considering parameters such as "project organisation maturity", deadline pressure, economy, policy, resources, competence, etc.	
	Change controlled by procedures and standards accepted by the NSA	Based on the description of the process of the change. ANSP procedures accepted by the NSA or standards/procedures used by other parties.	
	Change controlled by a mature standard	IR, Community Specification, AMC, ICAO Doc, ED xx, ETSI, ...	
	Change controlled by procedures and standards validated at the service provider	A "mature standard" has been used by the ANSP or the ANSP has established their own procedure based on existing mature standards.	
	Safety competence and safety resources allocated to the change process	The safety function has been clearly allocated in the project. This should be expected in bigger and more complex projects. The safety function in charge can be considered sound. Do you consider safety to handled by the project in a trustworthy way?	

Change ID	Questions to be asked	Explanation	Comments and justification
The nature of the change	**Traffic / Unit / Sector**		
	Traffic concurrency	GA, Mil, civilian, SAR, training, state aircraft,	
	Operational complexity	Number of runways, terrain, weather, CNS infrastructure, company procedures, ...	
	Movements	IFR/VFR, ground traffic, Cargo, training,	
	Affecting LVP	A-SMGS, Layout of the airfield, RVR,	
	Unit service (AFIS, ATC)		
	Reason for the Change		
	Financial, safety improvement, obsolete parts, harmonisation, new regulation, more efficient system, HMI, other....		
	Safety Impact / Change Description		
	Change in capacity	Able to handle more aircrafts?	
	Have direct impact on some ATM safety-related operational equipment (ILS, radio, radar, telephone, etc.).	ILS antenna repair, new building in the vicinity of the ground surveillance function, VCS software upgrade,	
	User configuration settings which affect the operational functionality.		
	Imply a modification of AIS as risk mitigation.	The change will result in a safety requirement or risk mitigation where e.g. NOTAM, AIC or other AIS related issues are influenced.	
	Imply a request for exemption (regulation, service provision ...).		
	Change influenced by other ongoing projects/activities		
	Change in performance of the system or to a function of the system.	Server upgrade, upgrade of the operating system, change in HMI, new functionality, ...	
	Impact on the operational working methods	Splitting ground position in two separate positions, introduction of AMAN,	
	Impact on the operational procedures		

Change ID	Questions to be asked	Explanation	Comments and justification
The nature of the change	Impact on the maintenance working methods	Use of "instructed personnel" for CNS maintenance, ...	
	Traffic/unit/sector		
	Change in Contingency Plan		
	Change in Letters of agreement, MoU, SloAs, etc...		
	Complexity		
	Does the system require the allocation of safety requirements across other service providers?	Are there other FAB's, or service providers outside NEFAB that have ownership to one or more safety requirements?	
	Several ATM segments concerned by the change (satellites, air, ground systems).		
	Subcontractors involvement		
	Change affecting functions outside the service provider	Airport operators, aircraft movement, handling agents, etc.	
	Change on aircraft/aircrew working methods	AIS changes covered above.	
	Change affecting operational phraseology		
	Change result in new ATC procedures such as SID/STAR, change in existing SID/STAR, change in taxiing instructions, ...	Use of PANS/OPS criteria, safety analysis,...	
	Airspace management (sectors, routes, areas).	Change in airspace e.g establishing TMA, ...	
	Several (more than one) technical systems affected		
	Geographical extent or numerous locations of implementation	e. g a radar covering a big geographical area, several airports involved , ...	
	Organisational changes within several operational units		
	Novelty		
	Degree of routine.	Frequency of this kind of change, ...	
	Lesson dissemination from other organisations that have implemented comparable changes		
	Introduction of novelty into the ATM system (technical, operational)	Novelty related to concept, manufacturer, subcontractor, equipment, competence, procedures,	

Change ID	Questions to be asked	Explanation	Comments and justification
The nature of the change	Impact on the maintenance working methods		
	Could the NSA on the basis of the ANSP arguments consider that any replacement part that is part of the original equipment and is as specified by the manufacturer could be fitted without requiring an approval to the change.		
	Other		
	Temporary measures	Extra personnel needed in the transition phase, traffic restrictions,	
	Project factors	New project manager, new methodology, complexity, ...	
CMET procedural documentation	Justification for a review	Organisation is not mature, safety assessment not complete, limited competence on this change, time pressure, financial pressure, ... Change complexity, novelty, criticality, ...	
	Justification for not reviewing	Organisation is mature, safety assessment complete, competence on this change, no time pressure, no financial pressure, ... Simple change , earlier experience, low criticality, ...	
	Renegotiation and revised decision, justification	Based on new information, it is decided that the change will be reviewed even though the first decision was not to review it (or the opposite way)	
	Lessons learned	Did we ask the right questions? Is the organisation really to trust? Actual impact of the change, List of new aspects to consider or to check, Challenges, experience from the review, was it worthwhile to use much resources on the review, timeframe (time used on the review), resources available for the review, was the level of rigour correct?	
	Post acceptance follow up	Audit necessary, included in the annual audit plan or an "ad-hoc" audit necessary, Which parts of / area the change should be audited? What should be the level of rigour of the audit?	

APPENDIX 2 – SAFETY REVIEW CONTENT

The NEFAB safety review is conducted by the review team in a manner commensurate with the level of risk posed by the new functional system or change to existing functional systems. The review will:

a) use documented procedures,

b) be supported by documentation specifically intended to provide safety oversight personnel with guidance to perform their functions,

c) consider the safety objectives, safety requirements and other safety-related conditions that are related to the change under consideration which have been identified in:

- EC declarations of verification of systems;
- EC declarations of conformity or suitability for use of constituents of systems; or
- risk assessment and mitigation documentation established in accordance with applicable safety regulatory requirements,

d) wherever needed, identify additional safety-related conditions associated to the implementation of the change,

e) assess the acceptability of safety arguments presented, taking account of:

- the identification of hazards,
- the consistency of the allocation of severity classes,
- the validity of the safety objectives,
- the validity, effectiveness and feasibility of safety requirements and any other safety related conditions identified,
- the demonstration that the safety objectives, safety requirements and other safety-related conditions are continuously met, and
- the demonstration that the process used to produce the safety arguments meets the applicable safety regulatory requirements,

f) verify the processes used by the ANSPs to produce the safety arguments in relation to the new functional system or changes to existing functional systems under consideration,

g) identify the need for the verification of on-going compliance,

h) include any necessary co-ordination activities with the authorities responsible for the safety oversight of airworthiness and flight operations, and

i) provide for a review report and an advice on the acceptance, with conditions where applicable, or the non-acceptance, with supporting rationale, of the change under consideration.

During the review, new versions of safety argument concerning the change under consideration may become available. Relevant versions are forwarded by the NEFAB PMO to the review team leader preferably by email as soon as they are available. As part of the review, the review team may require additional documentation concerning the change under consideration. If so, the review team leader requests the required information from the PMO.

Questions for a safety review	Yes	No	Not considered	Description	Comments
Is there enough information about the change?					
Is the scope of the change clearly defined?					
Are the interfaces described?				Technical interfaces, operational interfaces, interface to other projects, are the borders of the "influence area" of the change clear? Interface to other stakeholders (ANSPs, subcontractors, ...)	
Does the change introduce new functions (new functionality, new standards)?				New operational procedures, new maintenance procedures, new HMI, new flight plan, OLDI, ICAO, ETSI, EAD, ED, ...	
If there are new functionality introduced, are the functionality sufficiently described?					
Are the operational environment described?					
Is the information detailed enough? Does the information "make sense"?					
Is the purpose of the change described?					
Is the safety assessment covering the whole scope of the change?				Is the safety assessment done on just a part of the scope of the change or does cover everything. If it's only partial, is there any justification available? Is there any relation to other safety cases, or safety assessments - if yes is this described?	

Questions for a safety review	Yes	No	Not considered	Description	Comments
Does the safety assessment cover all relevant technical and operational elements (air, ground, satellite)					
Is the safety assessment done by competent people?				Competent facilitator and people with technical and operational knowledge about the change)	
Is the Safety Assessment Methodology, SAM used?					
Is the safety assessment done in accordance with the "NEFAB change assessment manual"?					
If it's includes software change, is it in accordance with Regulation (EC) No 482/2008. SWAL levels?					
Any other software standards introduced?					
Are 552/2004 documents needed?					
Are all relevant standards and regulations identified?					
Are all relevant safety objectives identified?					
Is there one or more safety requirement associated with each safety objective?					
Are all relevant assumptions described?					
Does the safety assessment provide evidence of that all safety requirement are met?					
Do the assumptions make sense?				Have the assumptions been validated (if possible)?	
Are all recommendations implemented or at least taken into account?				If not implemented are there any arguments for why this was not done?	
Are there any safety related conditions connected to the implementation of the change?					
Are all relevant safety related conditions specified?					
Does the safety assessment provide evidence that all conditions are met?					
Can the safety arguments be accepted taking account of:					
i) the identification of hazards				Are identified hazards valid?	

Questions for a safety review	Yes	No	Not considered	Description	Comments
ii) the consistency of the allocation of severity classes				Are the identified hazards classified? Is the classification acceptable?	
iii) the validity of the safety objectives					
iv) the validity, effectiveness and feasibility of safety requirements				Are the safety requirements maintainable in the system? Have it been specified how to monitor the effectiveness of the requirement?	
v) the validity, effectiveness and feasibility of any other safety-related conditions identified				Are the safety related conditions maintainable in the system? Have it been specified how to monitor the effectiveness of the requirement?	
vi) the demonstration that the safety objectives, safety requirements and other safety-related conditions are continuously met (ref EAM/GUI4 page 66/67)				Is there any description of how the safety objectives, safety requirements and other safety-related conditions are to be continuously met? (Audits, surveys, monitoring, ...)	
vii) the demonstration that the process used to produce the safety arguments meets the applicable safety regulatory requirements				Is it described how the process for producing safety arguments meets applicable safety regulatory requirements?	
Should the implementation of the change be followed up by audit/inspections?					
Should there be any coordination with people in charge of airworthiness or aircraft operations?					
Identify the need for the verification of ongoing compliance				Are there any description of how the change will be maintained, flight validation, competent personnel, regular surveys, audits, tests, ...	

Procedure for Reporting, Exchange and Dissemination of Safety Information In NEFAB

Confidentiality and Data Protection

Member States shall take the necessary measures to ensure appropriate confidentiality of safety information shared within NEFAB. For example, e-mail correspondence of individual occurrence information should be conducted via secured e-mail.

Procedure 1 – Classification of Occurrences and Occurrence Severity

1. Purpose

This procedure ensures that occurrences and their severities are classified according to the same principles in each NEFAB member state. Applying the same principles in the classification of occurrences and their severities ensures that safety information is uniform across all NEFAB member states. This improves the reliability of safety information and the quality of its analysis and other actions which are based on gathered safety information.

2. Definitions

"Occurrence classification" refers to the ECCAIRS Occurrence category – classification (e.g. CFIT, LOC-I, RI-VAP, etc.).

"Occurrence severity" refers to the ECCAIRS Occurrence classification (e.g. accident, serious incident, incident, major incident etc.) and Effect on ATM Service (e.g. total inability to provide safe ATM service, partial inability to provide safe ATM service etc.) classifications.

"ATM specific event" refers to situations where the ability to provide safe ATM services is affected, including situations where, by chance, the safe operation of aircraft has not been jeopardised.

3. Input and Output

The input for the procedure is an occurrence report received by any NEFAB member state.

The output of the procedure is an occurrence report which has been classified uniformly in all NEFAB states, both on the occurrence classification and occurrence severity.

4. Responsibilities

Each NEFAB member state is responsible for the classification of those occurrences reported to it.

In cases where there is uncertainty regarding the occurrence classification or occurrence severity, the member state may request opinions from other states in order to ensure uniform classification.

5. Phases

5.1 Phase 1

The occurrence is received by the authority via their appropriate occurrence reporting mechanism.

5.2 Phase 2

The occurrence severity is assessed according to the type of occurrence. If there was a risk of aircraft collision, or a direct effect on the flight of an aircraft or the occurrence was other than ATM specific event, then the occurrence is assessed according to §5.2.1 below. If the occurrence is an ATM specific event, it is assessed according to §5.2.2 below.

5.2.1 Phase 2.1

Severity classification of occurrences (i.e. accidents and incidents) according to the severity of their effect on the safe operation of aircraft and occupants.

It is encouraged to use The Risk Analysis Tool developed by EUROCONTROL (available at http://www.srv.nm.eurocontrol.int/rat/) for assessing the severity of occurrences other than accidents.

Accident

Severity is classified as per the definition in Regulation (EU) No. 996/2010.

Serious incident

As per the definition in Regulation (EU) No. 996/2010 and the list of examples in its Annex and ESARR 2 Guidance to ATM Safety Regulators, EAM 2 / GUI 1, Attachment A.

Incident

ICAO requires the classification of occurrences into "Accident", "Serious incident" and "Incident"-categories. EUROCONTROL has further refined the "Incident" category into "Major incident" and "Significant incident" for occurrences which are ATM related.

Occurrences which are not accidents or serious incidents and are not ATM related shall be classified as "Incident" in all cases where the occurrence is associated with the operation of an aircraft which affects or could affect the safety of operation.

When the occurrence is ATM-related (as detailed in ESARR 2, Appendix A), the severity shall be assessed to determine if it falls into the categories of "Major incident", "Significant incident", "No safety effect" or "Not determined" (as instructed below) and categorised accordingly.

Major incident

As per ESARR 2 Guidance to ATM Safety Regulators, EAM 2 / GUI 1, Attachment A.

It is encouraged to use The Risk Analysis Tool developed by EUROCONTROL (available at http://www.srv.nm.eurocontrol.int/rat/) for assessing the severity of occurrences other than accidents.

Significant incident

As per ESARR 2 Guidance to ATM Safety Regulators, EAM 2 / GUI 1, Attachment A.

It is encouraged to use The Risk Analysis Tool developed by EUROCONTROL (available at http://www.srv.nm.eurocontrol.int/rat/) for assessing the severity of occurrences other than accidents.

Occurrence without safety effect

As per ESARR 2 Guidance to ATM Safety Regulators, EAM 2 / GUI 1, Attachment A.

It is encouraged to use The Risk Analysis Tool developed by EUROCONTROL (available at http://www.srv.nm.eurocontrol.int/rat/) for assessing the severity of occurrences other than accidents.

ATM specific events classified in the severity classification as "no safety effect" and their effect on the provision of ATM service is assessed according to §5.2.2.

Note: If the ATM specific event has caused a risk of aircraft collision or a direct effect on the flight of an aircraft, then that aspect of the occurrence shall be assessed according to point 2.1. The effect of the event on ATM service provision shall still also be assessed according to §5.2.2.

Not determined

As per the ESARR 2 Guidance to ATM Safety Regulators EAM 2 / GUI 1 Attachment A. **It is encouraged to use The Risk Analysis Tool developed by EUROCONTROL and available at http://www.srv.nm.eurocontrol.int/rat/ for assessing the severity of other occurrences than accidents.**

5.2.2 *Phase 2.2*

Severity classification of occurrences (i.e. ATM specific occurrences) according to the severity of their effect on the ability to provide safe Air Traffic Management Services.

As per the ESARR 2 Guidance to ATM Safety Regulators EAM 2 / GUI 1 Attachment B.

It is also encouraged to use the Risk Analysis Tool developed by EUROCONTROL for assessing the severity of ATM specific occurrences.

ATM specific events are classified in §5.2.1 as "no safety effect" and their effect on the provision of ATM service is classified according to this point. The result is documented in the "Effect on ATM service"-field in ECCAIRS.

5.3 Phase 3

The occurrence classification is determined according to the following principles:

5.3.1 Phase 3.1

At least one occurrence category is selected from the ECCAIRS category tree. To assist in the correct selection of category, the guidance in the "Explanation" information box in ECCAIRS shall be used, as well as the ECCAIRS Coding Guide published by EASA.

5.3.2 Phase 3.2

For the following category areas, further guidance for classification has been developed:

Runway Incursion

The Annual Summary Template Focal Point (AST-FP) Group has developed an example list of different type of occurrences and guidelines on whether or not they should be classified as runway incursions or not. This list of examples shall be used to ensure harmonised categorisation.

Other NEFAB States should be consulted regarding occurrences which are not covered in the example list.

For the following category areas certain specifications have been developed:

i) Mid-Air Collision/Near-miss/AIRPROX

Separation minima infringements shall be included in this category.

ii) Ground collision

A ground collision while taxiing to or from a runway in use is a situation where an aircraft comes into contact with another aircraft, a vehicle, a person, an animal, a structure, a building or any other obstacle while moving under its own power in any part of the airport other than the active runway, excluding power pushback.

The crew must be on board, the beacon must be on, and the aircraft must be in motion and in flight configuration. Collisions caused by runway incursions or ground handling are excluded from this category.

5.4 Phase 4

The occurrence classification and occurrence severity is recorded in the ECCAIRS database.

6. Records

Each occurrence, including its classification and severity, shall be recorded in the ECCAIRS database by the member state who received the occurrence.

Occurrences which are sent to one NEFAB State by another State (in cases involving aircraft from the other state) shall be recorded in the ECCAIRS also by the receiving state in addition to the state where the occurrence occurred. Member states may have other databases used to store occurrence data.

7. Additional Information and Reference Documents

- ESARR 2 'Reporting and Assessment of Safety Occurrences in ATM',
- EAM 2 / GUI 1 'Severity Classification Scheme for Safety Occurrences in ATM',
- EUROCONTROL SRC's AST-FP Group's Runway Incursion examples,
- EASA: ECCAIRS Coding Guide, version 2.

8. Links to Other NEFAB Procedures

- Procedure 2: Monitoring of Safety Performance Indicators,
- Procedure 4: Exchange of Information Regarding Individual Occurrences,
- Procedure 5: Exchange of Safety Analysis, Reports and Reviews.

Procedure 2 – Monitoring of Safety Performance Indicators

1. Purpose

The purpose of the procedure is to make it possible to measure safety-performance. SPI's enable NEFAB to identify which areas need attention in order to successful improve safety and measure which safety goals are being met. Another advantage of using SPI's is that the use and publication of SPI's, raises safety awareness among NEFAB-organizations.

The importance of the procedure is to measure and verify the safety performance of NEFAB member-states and to validate the effectiveness of safety risk controls.

2. Definitions

A **Safety Performance Indicator (SPI)** is used to verify the safety performance of the NEFAB-area and is used to validate the effectiveness of safety risk controls. SPIs enable NEFAB to detect changes affecting the NEFAB-area, with the specific objective of identifying that acceptable or tolerable safety levels can be met.

3. Input and Output

The input consists of the reports received. These occurrences are classified in occurrence classes (accident, serious incident, incident, major incident, significant incident, occurrence without safety effect or not determined).

The output is the identified SPI (RE - Runway Excursion, RI - Runway Incursion, LOC-I Loss Of Control in flight, CFIT – Controlled Flight Into Terrain, and GCOL - Ground Collision). The SPI is related per 10,000 flight hours or 10,000 operations.

4. Responsibilities

Each member state of NEFAB is responsible for collecting and sharing the agreed SPI's with the other NEFAB Member States.

The information is then managed in a way NEFAB member states agree on.

NEFAB will thereafter share the outcome of the safety areas measured by the SPI's. Primary for internal use but, if agreed, the information can be distributed externally.

5. Phases

Each member state is primary responsible for sharing the agreed SPI's within the agreed time-limit. It is each countries responsibility to share the information with the other member states.

When the information has been shared, it will be merged into one NEFAB database in order to make it possible to compare each countries specific area of interest, as well as be able to compare the safety performance of the whole NEFAB-area.

5.1 Phase 1

The occurrence is received, severity is assessed and the occurrence is classified and an indicator identified.

The safety performance indicators (per 10,000 commercial air transport and general aviation flight hours) which are monitored in NEFAB States are:

- Tier 1
  1. Accidents, (compared to 10 000 commercial air transport and general aviation flight hours)
  2. Serious incidents, (compared to 10 000 commercial air transport and general aviation flight hours)
  3. Fatalities. (compared to 10 000 commercial air transport and general aviation flight hours)
- Tier 2
  1. Runway excursions, (compared to 10 000 commercial air transport and general aviation flight hours)
  2. Runway incursions, (compared to 10 000 operations in controlled aerodromes including AFIS-aerodromes)
  3. Loss of Control in Flight, (compared to 10 000 commercial air transport and general aviation flight hours)
  4. CFIT, (compared to 10 000 commercial air transport and general aviation flight hours)
  5. Mid-air collision / AIRPROX, (compared to 10 000 commercial air transport and general aviation flight hours)
  6. Ground collision. (compared to 10 000 commercial air transport and general aviation flight hours)

Note: Military aviation is excluded.

5.2 Phase 2

Create statistical data to be shared.

5.3 Phase 3

Normalise the data based on operations/flight hours.

6. Records

The documented record is statistical information which is stored in a central database.

7. Additional Information and Reference Documents

- EASA – European Aviation Safety Plan 2011-2015.
- EUROCONTROL – Top 5 Operational Safety priorities for 2013.

8. Links to Other Procedures

- Procedure 1: Classification of Occurrences and Occurrence Severities.
- Procedure 3: Exchange of Safety Performance Indicator Information.
- Procedure 5: Exchange of Safety Analysis, Reports and Reviews.

Procedure 3 – Exchange of Safety Performance Indicator Information

1. Purpose

The procedure enables NEFAB States to share their safety performance information with other NEFAB States.

2. Definitions

"Information" refers to safety data which has been collected, managed and translated into statistical information, graphs, etc.

3. Input and output

The inputs are the SPIs which are selected by NEFAB. The output is statistical information shared within NEFAB.

4. Responsibilities

Every Member State is responsible for sharing the relevant information in due time within NEFAB.

5. Phases

Each Member State collects the agreed statistical information, which is shared with other NEFAB States.

5.1 Phase 1

Collected SPI information is gathered and put onto a common shared site on the extranet, which is available for all NEFAB Member States.

5.2 Phase 2

SPI information from individual states is shared with the other NEFAB states twice per year. Previous year's last six months SPI information is delivered by 1st March and the current year's first six month SPI information by 1st September.

SPI-information is exchanged via the Extranet, as described in Procedure 6.

6. Records

SPI information is stored on the common shared site on the Extranet.

7. Additional Information and Reference Documents

If available: published information from other FABs in order to compare safety-performance and sharing knowledge about areas of safety interest.

8. Links to Other NEFAB Procedures

- Procedure 1: Classification of Occurrences and Occurrence Severities.
- Procedure 2: Monitoring of Safety Performance Indicators.
- Procedure 5: Exchange of Safety Analysis, Reports and Reviews.
- Procedure 6: Dissemination of Safety Information via an Extranet.

Procedure 4 – Exchange of Information Regarding Individual Occurrences

1. Purpose

This procedure ensures that information regarding occurrences which a NEFAB member state receives via their appropriate occurrence reporting mechanism and that involve an aircraft from another NEFAB member state is exchanged between the member states quickly, efficiently and safely. It also deals with other cases where individual occurrence data is exchanged and where the process is initiated by another State.

The uniform procedure across all NEFAB member states regarding this information exchange would ensure that vital safety related information can be exchanged easily and the required follow-up processes can be initiated without delay.

2. Definitions

"Exchange of information" refers to e-mail (preferably) communications between NEFAB Member States with regards to information contained in individual occurrence reports, the related follow-up actions and/or other related information.

"Individual occurrence" refers to a single occurrence that any NEFAB Member State authority has received via their appropriate occurrence reporting mechanism and which is stored in the authority's occurrence database.

3. Input and Output

The input is an individual occurrence which a NEFAB Member State authority receives via their appropriate occurrence reporting mechanism that would be of interest to another NEFAB Member State.

The output of the procedure is the possession of relevant safety information regarding individual occurrences by the involved NEFAB Member States, so that any relevant follow-up action can be made.

4. Responsibilities

Each NEFAB Member State that receives an occurrence report shall send the necessary information regarding the occurrence to the appropriate NEFAB Member State(s) in the cases where the occurrence involves:

1. An aircraft registered in another NEFAB state,
2. An aircraft operator functioning in another NEFAB state,
3. Air navigation services provided by another NEFAB state.

In all of the cases, the aircraft or air navigation services provided should have had a contribution to the occurrence. It is not necessary to send the occurrence information if there was no above-mentioned contribution.

5. Phases

5.1 Phase 1

An occurrence report is received by a NEFAB member state authority via their appropriate occurrence reporting mechanism.

5.2 Phase 2

Upon receipt of the occurrence report, the member state evaluates if the occurrence is relevant to any other NEFAB member state.

5.3 Phase 3

The occurrence which is evaluated to be relevant is sent to the other member state's authority preferably by e-mail as soon as possible.

The e-mail addresses to be used are:

Estonia: ecaa@ecaa.ee

Finland: flightsafety@trafi.fi

Latvia: sidd@latcaa.gov.lv

Norway: ela@caa.no

5.4 Phase 4

The member state that receives the relevant information about the occurrence report from another member state acknowledges the receipt of the report by e-mail.

5.5 Phase 5

Any follow-up procedures, or additional information regarding the individual occurrence, is also exchanged in e-mail format as soon as possible.

In cases where a request is made from one NEFAB member state to another regarding a specific occurrence, the phases are as follows:

- a NEFAB member state sends an e-mail to other member state's contact point requesting the specific occurrence.
- the NEFAB country receiving the request evaluates whether the data can be exchanged, and if yes, sends the data in e-mail format to the requestor member state.

6. Records

Each information exchange regarding individual occurrences may be recorded by each NEFAB member states in their own databases/systems for proper record-keeping and any necessary follow-up procedures.

7. Additional Information and Reference Documents

- Directive 2003/42/EC, Article 6.

8. Links to Other Procedures

- Procedure 1: Classification of Occurrences and Occurrence Severities.
- Procedure 2: Monitoring of Safety Performance Indicators.
- Procedure 5: Exchange of Safety Analysis, Reports and Reviews.

Procedure 5 – Exchange of Safety Analysis, Reports and Reviews

1. Purpose

This procedure ensures that the exchange of safety related analysis, reports and reviews is done according to the same principles in each NEFAB Member State. In addition to individual analysis, reviews and reports which can be sent whenever considered useful to other NEFAB states. At least twice a year, a review/evaluation of the key risk areas identified in each country shall be shared with other NEFAB Member States.

2. Definitions

"Safety analysis, reports and reviews" refers to any analysed, aggregated safety data for the purpose of monitoring safety performance and identifying risk areas.

3. Input and Output

The input for the procedure is safety related analysis, reports and reviews by any NEFAB Member State.

The output of the procedure is safety related analysis, reports and reviews which have been shared in all NEFAB Member States.

4. Responsibilities

Each NEFAB Member State is responsible for the preparation and sharing of safety analysis, reports and reviews that have been agreed upon.

5. Phases

5.1 Phase 1

Safety analysis, reports and reviews are agreed upon and prepared by each NEFAB Member State, which;

- could be based upon using relevant ECCAIRS queries,
- all information to be shared should be interpreted in a uniform manner using harmonised analysis tools (it is encouraged to use the Risk Analysis Tool developed by EUROCONTROL and available at www.srv.nm.eurocontrol.int/rat) and relevant exposure data so that all NEFAB Member States understand the results the same way.

5.2 Phase 2

Ad-hoc safety analysis under NEFAB co-operation (for example NEFAB specific safety issues etc) should also be shared accordingly.

5.3 Phase 3

A review of the key risk areas in each state is prepared twice a year and sent to other NEFAB states by e-mail or via the extranet.

- The review is based on different safety information collected by the respective states and contains the top five key risk areas identified and a short analysis;
- The first review is delivered by 1st March and the second by 1st September each year.

5.4 Phase 4

The analysis, report or review should preferably be in English. If this is not viable, an executive summary in English shall be prepared describing the key points and conclusions.

5.5 Phase 5

The analysis, reports and reviews shall be uploaded into the NEFAB extranet as described in Procedure 6.

6. Records

Safety analysis, reports and reviews are recorded by each NEFAB Member State in their own databases/systems and shared through the NEFAB extranet.

7. Additional Information and Reference Documents

N/A

8. Links to Other NEFAB Procedures

- Procedure 1: Classification of Occurrences and Occurrence Severities.
- Procedure 3: Exchange of Safety Performance Indicator Information.
- Procedure 4: Exchange of Information Regarding Individual Occurrences.
- Procedure 6: Dissemination of Safety Information via an Extranet.

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Procedure 6 – Dissemination of Safety Information via an Extranet

1. Purpose

The establishment of a common storage and interface for accessing safety information within NEFAB Member States facilitates easy exchange and dissemination of e.g. safety reviews, reports and analysis.

The safety information needs to be easily accessible to all parties in order for it to be effectively used.

Currently one of the easiest ways to exchange large amounts of varied information between a number of participants and collaborate online securely is via an Extranet.

2. Definitions

"Extranet" refers to a network which allows controlled access from the outside, for specific business or educational purposes (Wikipedia). Extranet is often an extension of an organization's intranet that is extended to users outside the organization, usually partners, vendors and suppliers, in isolation from all other Internet users.

"Yammer" refers to an enterprise social network service which is currently owned by Microsoft. It enables private communication within organizations or between organizational members and pre-designated group (Wikipedia). Currently EASA uses Yammer, for example, to exchange information within their Network of Analysts-group.

3. Input and Output

The input is different safety data, such as reviews, reports and analysis which have been produced by NEFAB states and now need to be exchanged and disseminated with other NEFAB states or need to retrieve safety information at NEFAB Extranet. Output is safety information extracted from NEFAB Extranet by NEFAB states.

4. Responsibilities

Each NEFAB state is responsible for entering data into the NEFAB Extranet as described in the appropriate procedures.

The NEFAB Extranet will be established based on the Finnish Transport Safety Agency's Extranet platform. Finland is responsible for maintaining and administering the NEFAB Extranet-site.

5. Phases

Trafi Extranet is available at http://tyotilat.trafi.fi/sidosryhmat/nefab. Finland is responsible for administering necessary user access to the Extranet and providing support in technical issues as necessary.

6. Records

Safety reviews, analysis, reports and other appropriate safety information collected in the NEFAB Extranet.

7. Additional Information and Reference Documents

Work procedures detailed in this document.

8. Link to Other NEFAB Procedures

- Procedure 3: Exchange of Safety Performance Indicator Information.
- Procedure 5: Exchange of Safety Analysis, Reports and Reviews.
- Procedure 6: Dissemination of Safety Information via an Extranet.

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Procedure for NEFAB Performance Planning and Monitoring

To be included once developed.

ANNEX B – NEFAB NSA COMMITTEE AND WORKING GROUP DIRECTORY

The list of the individuals involved in all activities related to NEFAB tasks is available in the ToRs of the related NSA Expert groups (refer F8).

ANNEX C – PROCESS TO UPDATE THE HANDBOOK, QUALITY MANAGEMENT PROCESS

NSAC is responsible for ensuring the review of this document at least annually and keeping it up to date.

Any proposals for amendment of this document shall be addressed to the NEFAB NSAC for further review and adoption.

ANNEX D – INTERFACES WITH THE NEFAB PROGRAMME (ANSPS)

The achievement of the objectives of the NEFAB requires effective and efficient communication between NSAs and ANSPs.

Formal Periodic Reporting

NEFAB programme provides regular reports that shall be available for all interested State level bodies and committees. The programme reports three times annually; May, September and December. The reports are distributed to NSA Committee which redistributes them to NEFAB Council, Finance & Performance Committee, as well to other NEFAB committees. For the reporting purpose a standard template has been established.

Coordination is also taking place in the NSA Committee meetings. In these meetings the NEFAB Management Board/NEFAB Programme Office is invited to give an update of the progress as appropriate.

Designated Contact Persons

The main communication between the NSA Committee and ANSPs takes place via the Chair of the NSA Committee and the Chair of the NEFAB Management Board.

Expert Level Interface

The expert level interface is mainly arranged through the NSA Committee working group Chairs and members. The Chairs of the working groups report regularly to the Chair of the NSA Committee.

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ANNEX E – SES REGULATORY FRAMEWORK

The SES and EASA regulatory framework, including titles and abbreviations used for associated Commission Regulations (EC and EU) and Commission Implementing Regulations (IR), are available through https://trainingzone.eurocontrol.int/seslex.htm.

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