MANUAL FOR THE COMMON ACTIVITIES OF THE FABEC NSAS

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PREAMBLE

DOCUMENT SUMMARY

Objective: Manual of common activities of the FABEC NSAs	
Origin: NSAC Manual WG	**Audience**: FABEC NSAs

Title: Manual of Common Activities of the FABEC NSAs
Reference: FABEC NSAC Manual v8.0.docx *This reference is the filename.*

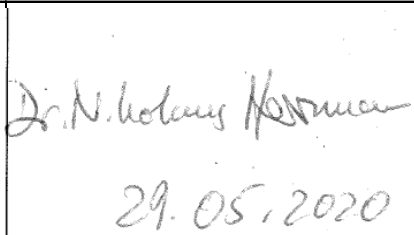
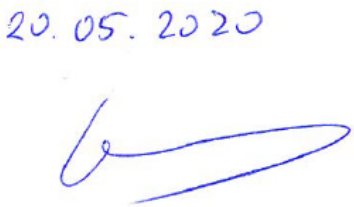
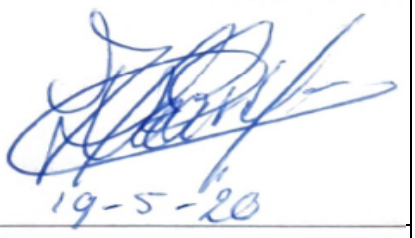
Version: 8.0	**Date**: 14.05.2020	**Status**: ☐ Draft ☑ Released	**Classification**: ☐ Public ☑ FABEC limited ☐ Addressees limited

Explanation version numbers:
V 0.x: draft issue
V 1.0: adopted issue (formal version)
V y.x: draft revised issue
V z.0: adopted revised issue (formal version)

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
V1.0	05.04.2012	Adopted issue	WG members
V2.0	13.12.2012	Inclusion of PRO 01, 03, 07, 08 and General Part Updates of PRO 02, 04 and 06	WG members
V3.0	12.06.2014	Inclusion of PRO 09, PRO 10 and Part III Updates of PRO 01, 06 and 08	WG members
V4.0	10.03.2015	Inclusion of PRO 05 Updates of PRO 02, PRO 06, PRO 09, Part III-A and Part III-B	WG members
V6.0	8.12.2016	Inclusion of PRO 11 Updates of PRO 01, PRO 02, PRO 04, PRO 05 and Part I. Restructuring of Part III	WG members
V7.0	25.07.2019	Update of PRO 11, Part III and removal of PRO 09	WG members
V8.0	14.05.2020	Update of PRO 02, PRO 04, PRO 06 and PRO B	WG members

DOCUMENT APPROVAL

Organisation and State	Name and function	Signature and Date
Bundesaufsichtsamt für Flugsicherung (Federal Republic of Germany)	Prof. Dr. Nikolaus HERRMANN Direktor des Bundesaufsichtsamts für Flugsicherung	
Belgian Supervisory Authority for Air Navigation Services (Kingdom of Belgium)	Kris CLARYSSE Head of BSA-ANS	 18/05/2020
Direction Générale de l'Aviation Civile (French Republic)	Naïma LAGDAA Directrice Technique Aéroports et Navigation Aérienne de la Direction de la Sécurité de l'Aviation Civile	
Direction de l' Aviation Civile (Grand Duchy of Luxembourg)	Romain KOHL Responsable Autorité Nationale de Surveillance	
Inspectie Leefomgeving en Transport (The Netherlands)	Heleen VAARTJES Head of National Supervisory Authority The Netherlands	
Federal Office of Civil Aviation FOCA (Swiss Confederation)	Martin BERNEGGER Head NSA Federal Office for Civil Aviation FOCA	

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Procedure 03 – Supervision of Multi-State ANSPs ..... PRO 03-1

Procedure 04 – Coordination between Competent Authorities for changes to functional systems across State boundaries ..... PRO 04-1

Procedure 05 – Initial Training for ATCO ..... PRO 05-1

Procedure 06 – Safety Performance ..... PRO 06-1

Procedure 07 – Monitoring of ANSP SMS harmonisation and cooperation ..... PRO 07-1

Procedure 08 – Common understanding of published regulations affecting NSAs ..... PRO 08-1

Procedure 10 – Common Position on Draft Regulations ..... PRO 10-1

Procedure 11 – Coordination of Risk-Based Oversight ..... PRO 11-1

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MANUAL FOR THE COMMON ACTIVITIES OF THE FABEC NSAS

PART I – GENERAL

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PREAMBLE

DOCUMENT SUMMARY

Objective: Manual of common activities of the FABEC NSAs	
Origin: NSAC Manual WG	**Audience**: FABEC NSAs

Title: Part I – Manual of Common Activities of the FABEC NSAs
Reference: FABEC NSAC Manual Part I - General v8.0.docx *This reference is the filename.*

Version: 8.0	**Date**: 11.05.2020	**Status**: ☐ Draft ☑ Released	**Classification**: ☐ Public ☑ FABEC limited ☐ Addressees limited

Explanation version numbers:
V 0.x: draft issue
V 1.0: adopted issue (formal version)
V y.x: draft revised issue
V z.0: adopted revised issue (formal version)

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
1.0	14.11.2012	Adopted issue	WG members
2.0	12.06.2014	Adopted issue	Frederik Demeyere
3.0	10.03.2015	Adopted issue	Frederik Demeyere
4.0	02.05.2016	Adopted issue	Isabelle Prat
5.0	10.11.2016	Adopted issue	Isabelle Prat
6.0	08.12.2016	Adopted issue	Antoine Vincent
7.0	18.07.2019	Adopted issue	Antoine Vincent
8.0	11.05.2020	Adopted issue	Antoine Vincent

DOCUMENT APPROVAL

	Name and function	Signature	Date
Approved by chairperson NSAC Manual Working Group	Antoine VINCENT Belgian NSA		08/05/2020
Approved by chairperson NSAC	Karsten TILENDA German NSA		29/05/2020

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1. ABBREVIATIONS, DEFINITIONS, TERMINOLOGY

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

1.1 ABBREVIATIONS

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

CA	Competent Authority
F&PC	Financial and Performance Committee
FAC	FABEC Audit Coordinator
FIAR	Final Impact Assessment Report
HOP	Harmonization, Oversight and Performance
IIAR	Initial Impact Assessment Report
KPA	Key Performance Area
KPI	Key Performance Indicator
MoC	Memorandum of Cooperation
NAC	National Audit Coordinator
NOP	National Oversight Programme
NSAC	National Supervisory Authorities Committee
OASA	OverArching Safety (Support) Argument
PI	Performance Indicator
PRB	Performance Review Body
PRO	Procedure (of the FABEC Manual)
SC-SAF	Standing Committee Safety
SEC	Secretary

1.2 SPECIFIC DEFINITIONS AND TERMINOLOGY

In general, the definitions documented in the applicable SES and EASA regulations apply. Further to the above, underneath a list of specific FABEC definitions, as used throughout this manual, is given:

Accountable Competent Authority	The Competent Authority which issues the certificate.
Adoption of the revised version of the Manual	A revised version of the Manual is adopted by the formal signature of all heads of the NSAs or their mandated representatives.
Coordinating CA	A CA in charge of the coordination between the concerned CAs with respect to the selection and, if applicable, review and acceptance of a multi-actor change or cross-border change
Concerned CA	A CA involved in the oversight of a multi-actor or cross-border change either by assignment of the direct oversight function with respect to service providers proposing the change or being affected by the change or indirectly through cross-border service provision having an impact on the territory of the state where the CA is the designated oversight authority
Cross-border change[1]	A change to (the) functional system(s) of a single provider that crosses state boundaries by means of cross-border service provision
Depositary of the Manual	The person appointed by the NSAC that is responsible for the storage and distribution of the Manual. This is done by the secretary of the NSAC.
Effective date	Date when the revised Manual comes into force.
Enabler	Prerequisite that needs to be in place in order for the exchange of the respective personnel between the NSAs can be effectuated.
Extended NSAC meeting	A NSAC meeting extended with the heads of the NSAs or their mandated representatives.
FABEC Audit	An audit where at least one team member comes from an NSA not being the one that is responsible for the oversight. See also definition of guest and host NSA.
FABEC Performance Plan	The Performance Plan of the FABEC according to the Commission Implementing Regulation (EU) 2019/317.
Guest NSA	NSA from which the exchanged personnel originates.
Host NSA	NSA receiving the exchanged personnel.
Initiator Service Provider	The Service Provider responsible for the coordination among the Service Provider's for the production of the OASA
Multi-actor change[2]	A change to (the) functional system(s) proposed by or affecting more than one service provider and/or aviation undertaking in two or more States[3]
Multi-State ANSP	ANSP holding a valid certificate from one State that also provide services under the responsibility of another State that cannot be classified as only cross-border services.

[1] *Derived from (EU) 2017/373 and (EC) 550/2004*

[2] *Derived from Commission Implementing Regulation (EU) 2017/373 and NSA MoC Article 3c, 5 and 7.1 (in case of FABEC context)*

[3] *Please note that this manual explicitly refers to situations where two or more States are concerned*

Overarching Safety (Support) Argument (OASA)	A coordinated statement provided by all affected service providers[4] (ATS or non-ATS), taking into account:

For ATS	**For non-ATS**
- Dependencies between service providers - Dependencies with aviation undertakings - Shared assumptions	
- Shared risk mitigations	- Shared requirements/mitigations
that claims the complete change is safe.	that claims that the service will behave and will continue to behave only as specified in the specified context.

Participating Competent Authority	The Competent Authority of the State in which airspace the ANSP certified by the accountable Competent Authority, provides cross-border services.
Proposed harmonized view	A common understanding on the content of regulations.
Safety assessment	All the activities required to produce a safety case, i.e. all the activities and considerations defined in ATS.OR.205 in combination with ATS.OR.210
Safety Case	A structured, documented argument, supported by a body of evidence that provides a compelling, comprehensible and valid justification that a change to the functional system is and will be acceptably safe for a given application in a given operating context
Safety support assessment	All the activities required to produce a safety support case, i.e. all the activities and considerations defined in ATM/ANS.OR.C.005
Safety Support Case	A structured documented argument, supported by a body of evidence that provides a compelling, comprehensible and valid justification that the system behaves and will behave only as specified in the specified context

1.3 HARMONISATION OF DEFINITIONS AND TERMINOLOGY

Validation	A process to ensure that the result of an internal FABEC NSAs process is concluded in line with the agreed task.
Verification	A process to ensure that (the result coming from) a process of (a) FABEC ANSP(s) is in line with the applicable requirements. The following are – inter alia – considered as verification methods review, audit and inspection.

[4] *Affected Service providers and aviation undertakings as in [ATM/ANS.OR.A.045 (e-f), AMC1 ATM/ANS.OR.A.045(e) and GM2 ATM/ANS.OR.A.045(e) – letter (b)]*

2 FABEC NSAS PRINCIPLES AND ORGANISATIONAL OVERVIEW

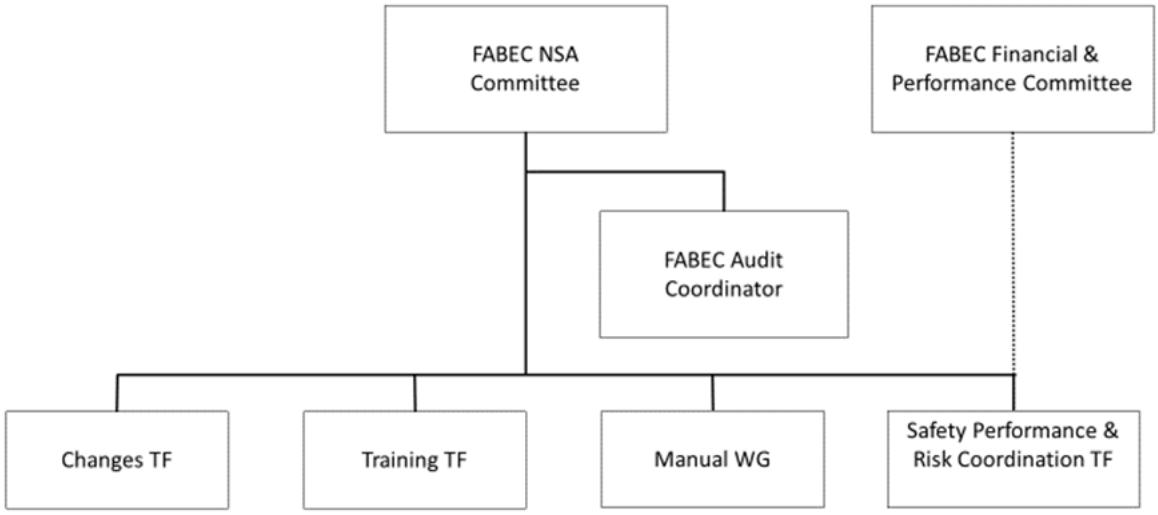
2.1 PRINCIPLES OF COOPERATION

The principles regarding the cooperation between FABEC NSAs, including the harmonisation of procedures, are included in the FABEC NSAs Memorandum of Cooperation (MoC), Article 5.

This Manual is in line with these principles.

2.2 ORGANISATIONAL OVERVIEW

An organisational overview of the NSAC Working Groups and / or Task Forces is given here.



3 STRUCTURE OF THE MANUAL

3.1 LAY OUT OF THE MANUAL

The Manual is divided into the following parts:

- Part I: General
- Part II: Procedures
- Part III: Audit

3.2 CONTENT OF THE MANUAL

Number	*Title*	*Version*	*Valid Since*
Part I	**General**	8.0	11 May 2020
Annex 01	Procedure Template	2.0	12 June 2014
Part II	**Procedures**	**n/a**	
PRO 01	Management and implementation of the Manual for the common activities of the FABEC NSAs	3.0	10 November 2016
PRO 02	Supervision of ATM/ANS Service Providers providing cross-border services	5.0	11 May 2020
PRO 03	Supervision of Multi-State ANSPs	1.0	14 November 2012
PRO 04	Coordination between Competent Authorities for changes to functional systems across State boundaries	5.0	13 January 2020
PRO 05	Initial Training for ATCO	2.0	11 November 2016
PRO 06	Safety Performance	6.0	11 May 2020
PRO 07	Monitoring of ANSP SMS harmonisation and cooperation	1.0	14 November 2012
PRO 08	Common understanding of published regulations affecting NSAs	2.0	30 October 2013
PRO 10	Common Position on Draft Regulations	1.0	30 October 2013
PRO 11	Coordination of Risk-Based Oversight	3.0	15 May 2019
Part III	**Audit Framework**	6.0	28 June 2019
PRO A	Oversight Planning	7.0	28 June 2019
PRO B	Audit Conduct	7.0	11 May 2020

3.3 STRUCTURE OF THE FABEC NSAS PROCEDURES

NSAs procedures contain the following content:

Document Summary

Document Change Record

Document Approval

Table of Contents

1. Purpose
2. Scope
3. Responsibilities
4. Document Templates
5. Records and archives
6. Procedure flowchart
7. Procedure description

Annex

The FABEC NSAC Procedure template is in Annex 1 of Part I: General.

ANNEX 01 – PRO TEMPLATE

FABEC NSAC
Manual

Procedure [number]

[Title]

This is the procedure template

DOCUMENT SUMMARY

Objective: *Describe objective of procedure in a few lines*	
Origin: *NSAC Manual WG*	**Audience**: *Describe briefly (e.g. FABEC NSAs)*

Title : *Title of the procedure*
Reference: FABEC NSAC Manual, Part I - General v2.0 - Annex 01 PRO 00 v2.0.docx *This reference is the filename.*

Version: 2.0	**Date**: 12.06.2013	**Status**: ☐ Draft ☑ Released	**Classification**: ☐ Public ☑ FABEC limited ☐ Addressees limited
Explanation version numbers: V 0.x: draft issue V 1.0: adopted issue (formal version) V y.x: draft revised issue V z.0: adopted revised issue (formal version)			

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
1.0	14.11.2012	Adopted issue	WG Members
1.1		Explanation version numbers	WG Members
1.2		Streamline template	WG Members
1.3		Streamline template	WG Members
1.4	27.11.2013	Checked consistency between template versions	Thomas Vervaet
2.0	12.06.2014	Adopted issue	Frederik Demeyere

DOCUMENT APPROVAL

	Name and function	Signature	Date
Prepared by ('Champion')	*First Name LAST NAME* *Organisation Member State*		
Approved by chairperson xx WG / TF	*First Name LAST NAME* *Organisation Member State*		
Approved by chairperson FABEC NSAC Manual WG	Frederik DEMEYERE NSA The Netherlands		
Approved by chairperson NSAC	Patrick Vanheyste Belgian NSA		

TEXT IN ITALIC IS EXPLANATORY AND TO BE REPLACED BY THE APPROPRIATE TEXT (STYLE 'STANDARD OR NORMAL') OR TO BE DELETED

ALSO REPLACE ALL VERSION AND DOCUMENT INFO ON PAGE 2 BY THE ACTUAL INFORMATION ON THE PROCEDURE

DELETE THIS TABLE

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7 Procedure description I-15
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8 Annexe(s) I-16
Annex N to PRO XX I-17

1 PURPOSE

The purpose of the procedure is explained.

- *What is the reason for a FABEC-wide procedure?*
- *What is the high level aim to be reached by the use of the procedure? For example: facilitating harmonised implementation of common projects by ANSPs, efficient/transparent/harmonised manner of working between NSAs.*

2 SCOPE

- *What is the exact basis from which we are working and can't go beyond?*
- *What is the regulatory basis?*
- *procedure in the manual or in a separate agreement?*
- *Procedure between all FABEC-NSAs or between a limited number of NSAs (or a series of the same procedures between different NSAs)?*
- *To be performed jointly or under the lead of one NSA with the others participating?*
- *How to safeguard that articles 5 – 8 of the FABEC NSA MoC are observed?*

3 RESPONSIBILITIES

- *Which persons/organs are responsible for what? And how is it safeguarded that these responsibilities are factually being taken? Examples (more could be added):*
  - *Formal decision making; probably the separate Heads of NSAs.*
  - *The 'institutional' preparation of the formal decision making; probably the NSA Committee.*
  - *The day-to-day management of the common actions to be taken; could this be done ad hoc or would we need something more elaborated and perhaps general throughout the manual for this, for example an administrator-function?*
  - *The factual carrying out of the work to be done; personnel from the NSAs at expert level. (Heads of) NSAs need to ascertain that capacity is factually available.*
  - *Keeping the manual up to date; 'owner' of the document?*

4 DOCUMENT TEMPLATES

When a procedure needs document templates the titles (and electronic links) are given here.

Not applicable

5 RECORDS & ARCHIVES

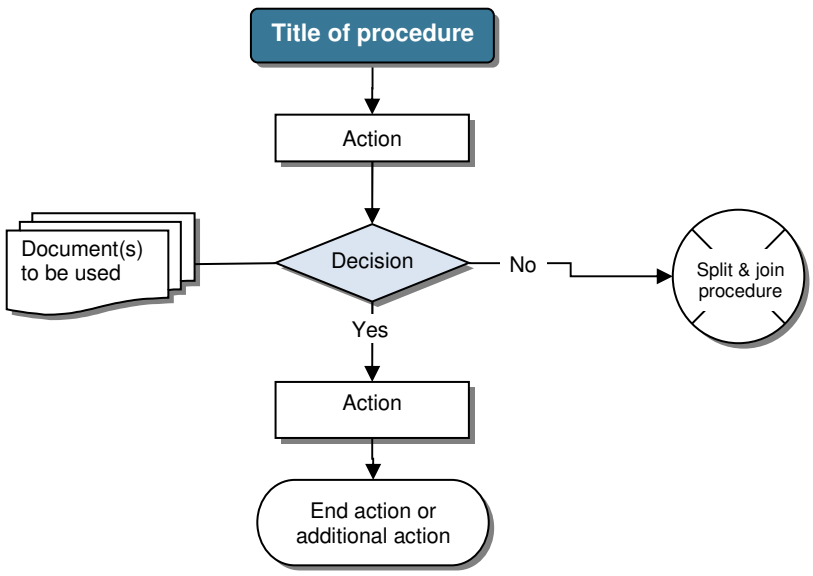
Each procedure step has an indicated output. The outputs to be retained as records, the archives storage place, the minimum retention time and the way to dispose of are given with the use of a table (see example below).

Document	Owner	Medium	Archives storage	Retention Time	Ending
What	*Who*	*Hard/soft copy*	*Location / Drive (location)*	*nn years*	*Shredder/delete*

Not applicable

6 PROCEDURE FLOW CHART(S)

When a procedure is clarified by one or more flow charts, the following symbols are used:



7 PROCEDURE DESCRIPTION

Detailed procedure in steps.

Output: for each step the required output is given.

7.1 Paragraph 1

a. Subdivision 1

8 ANNEXE(S)

The titles of annexes to the procedure are listed here.

ANNEX N TO PRO XX

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MANUAL FOR THE COMMON ACTIVITIES OF THE FABEC NSAS

PART II – PROCEDURES

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FABEC NSA Committee
Manual

Procedure 01

Management and implementation of the Manual for the common activities of the FABEC NSAs

DOCUMENT SUMMARY

Objective: The objective of this procedure is to maintain the general structure and content of the FABEC NSAs Manual and to describe the processes for maintenance of the procedures and the Manual itself.	
Origin: NSAC Manual WG	**Audience**: FABEC NSAs

Title : PRO 01 – Management and implementation of the Manual for the common activities of the FABEC NSAs
Reference: FABEC NSAC Manual PRO 01 v3.03.0 *This reference is the filename.*

Version: 3.0	**Date**: 10.11.2016	**Status**: ☐Draft ☑Released	**Classification**: ☐ Public ☑ FABEC limited ☐ Addressees limited
Explanation version numbers: V 0.x: draft issue V 1.0: adopted issue (formal version) V y.x: draft revised issue V z.0: adopted revised issue (formal version)			

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
1.0	14.11.2012	Adopted issue	WG Members
1.1	21.03.2013	Update with the knowledge of the Yearly Review 2013	Jos NOLLET
1.2	03.07.2013	Editorial clarification to Chapter 7.2; 7.3 and 7.5	WG Members
1.9	03.09.2013	Update after WG 20; on hold for Manual 3.0	WG Members
2.0	17.04.2014	Adopted issue	Frederik DEMEYERE
2.3	22.09.2016	Update for input of the ANSP.	WG Members
3.0	10.11.2016	Adopted issue	Isabelle PRAT

Document Approval

	Name and function	Signature	Date
Approved by chairperson NSAC Manual Working Group	Isabelle PRAT Belgian NSA		10/11/16
Approved by chairperson NSAC	Patrick VANHEYSTE Belgian NSA		10/11/16

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1 PURPOSE

The purpose of this procedure is to maintain the general structure and content of the FABEC NSAs Manual and to describe the processes for maintenance of the procedures and the Manual itself.

The procedure provides for a structured method of working for amending the Manual and issuing revised versions in order to keep it up to date and in relevance with the tasks of the FABEC NSA Committee (NSAC).

2 SCOPE

The scope of this procedure is determined by the FABEC NSAs MoC Article 4 detailing that procedures are to be elaborated between the FABEC NSAs, and where necessary kept in a 'Manual for the common activities of the FABEC NSAs'.

3 RESPONSIBILITIES

When receiving inputs for changes or when detecting the need for changes to the Manual, the NSAC takes the decisions on the way ahead and for coordinating the appropriate actions as described in this procedure.

The Manual WG is regarded as the executive body for what regards the maintenance of the Manual and initiates changes to the Manual as a result of the decisions of the NSAC or as a result of the Yearly Review of the Manual (see chapter 8).

The secretary of the NSAC is the 'depositary of the Manual' and is responsible for the distribution to the concerned addressees in due time.

The Head of each NSA distributes the latest version of the Manual to the concerned ANSPs in due time.

4 DOCUMENT TEMPLATES

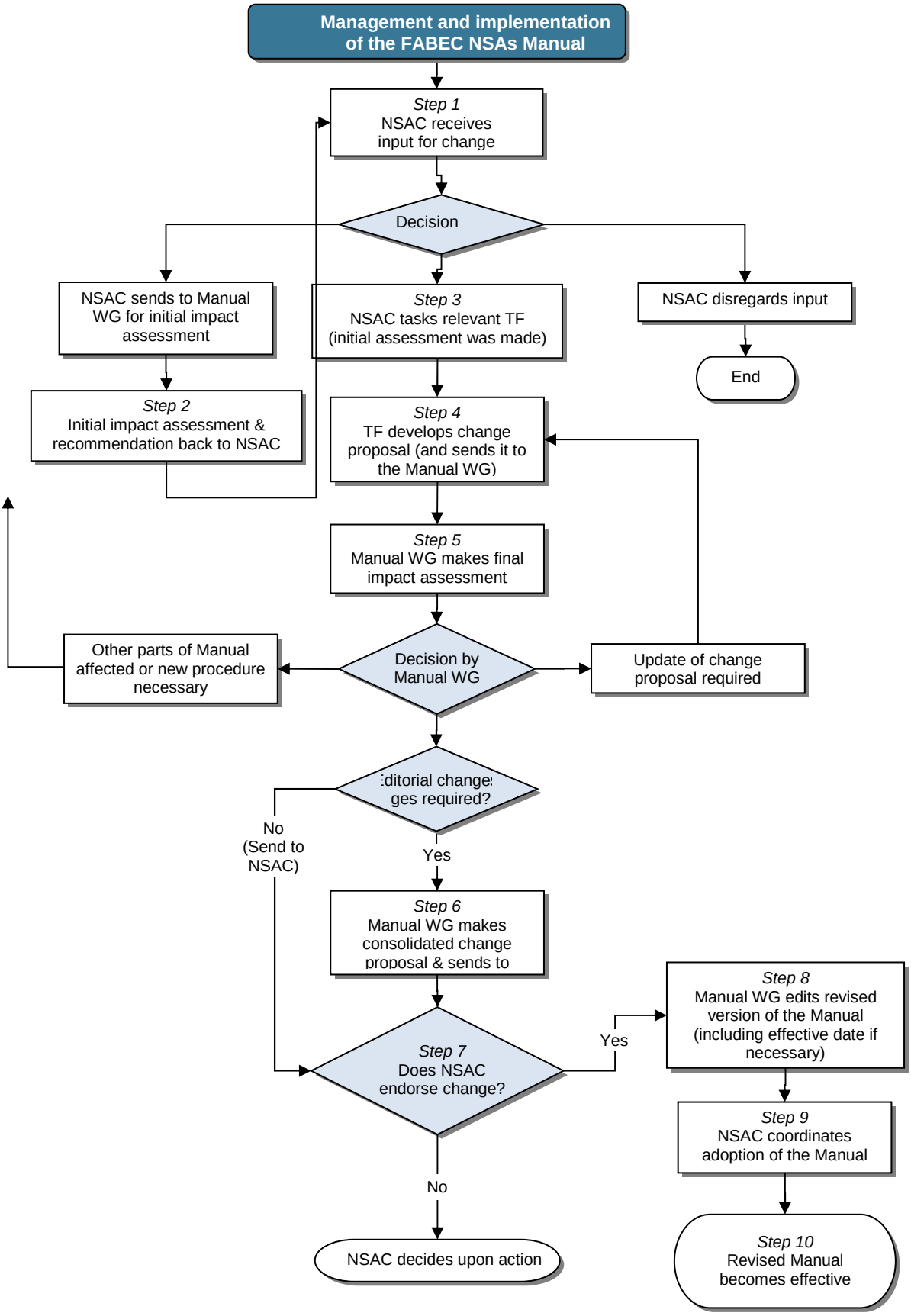
The template for (new) procedures is attached to Part I of this Manual as annex.

5 RECORDS & ARCHIVES

Document	**Owner**	**Medium**	**Archives storage**	**Retention Time**	**Ending**
What	*Who*	*Hard/soft copy*	*Location / Drive (location)*	*nn years*	*Shredder/delete*
Change proposal file	SEC Manual WG	Soft copy	OneSkyTeam	10 years	Delete

6 PROCEDURE FLOWCHART

See §7 for detailed description



7 PROCEDURE DESCRIPTION

7.1 Executive summary

The FABEC NSAC is responsible for the content of the Manual. When the committee receives an input for a change to the Manual it will have to decide upon the validity of the proposal and the way ahead. The NSAC will task the Manual WG or a specialised TF to process the proposal.

The Manual WG will play a leading role in assessing the impact of the change proposal and will be the executive body for introducing the change into the Manual itself, depending the circumstances, in cooperation with other task forces.

When a proposed change to the Manual is adopted by the NSAC the 'depositary of the Manual' will assure distribution to all concerned before its implementation date.

7.2 Initiation and Definition

Step 1: Start of the procedure

The NSAC receives an input for a change to the Manual.

Note 1:
An input for a change can be anything in relation to the Manual ranging from a proposal for editorial updates to a completely new procedure.

Note 2:
An input for a change is not bound by a formal notification but it shall be as detailed as possible and already take into account the impact on procedures in the Manual and on the content of the general part of the Manual as far as possible.

Note 3:
In any case recommendations made by the Manual WG, resulting from the regular review, are considered as inputs.

Note 4:
To retain the oversight of the work and for evidence archiving the SEC of the Manual WG will create a file containing all NSAC decisions concerning the Manual, impact assessments, inputs of other WG and all relevant documentation; this file will be called the 'change proposal file'.

When the input is received the NSAC decides whether to:

- send the information to the Manual WG with the task to perform an initial impact assessment of the input (go to Step 2);
- disregard the input (end of procedure); or
- go directly to Step 3 if the initial impact assessment and recommendation (Step 2) have already been performed by the Manual WG.

Output: decision NSAC.

Step 2: Initial impact assessment and recommendation by the Manual WG

The Manual WG makes an initial impact assessment and reports back to the NSAC.

Output:

- *Initial Impact Assessment Report addressing:*
  - *impact on stakeholders;*
  - *analyse of the comments / feedbacks received in accordance to Step 10 in Chapter 7.6*
  - *parts of the Manual affected, e.g. procedures;*

- *scope of the change;*

- *recommendation on how to proceed including:*
  - *acceptance or rejection of the input;*
  - *proposal which TF to be tasked;*
  - *preliminary change proposal (wherever possible);*
  - *timeframe for development and implementation (including coordinated implementation date if applicable) of the change;*
  - *the need for further investigation.*

Step 3: NSAC decides on tasking of the relevant Task Force(s)

Based on the initial impact assessment and the recommendation of the Manual WG, the NSAC decides:

- to task the Manual WG or a specialised TF to develop the change proposal based on the initial impact assessment;
- that the change to the Manual is not necessary (end of procedure); or
- to ask for more clarification and updating of the initial impact assessment to the Manual WG (go to Step 2).

Output: decision NSAC.

7.3 Development of change proposal

Step 4: Development of change proposal

As tasked by the NSAC the Manual WG or specialised TF develops the change proposal based on the initial impact assessment and the NSAC decision on how to proceed.

The change proposal identifies the changes in or to the Manual compared to the last adopted issue.

In case a specialised TF develops the proposal it coordinates closely with the Manual WG and delivers the change proposal to the Manual WG together with an oral or written clarification. The specialised TF shall take note of the applicable parts of the FABEC NSAC Manual, especially Part I and the procedure template.*Output: change proposal.*

7.4 Final impact Assessment

Step 5: Final impact assessment by the Manual WG

The Manual WG assesses the impact of the change proposal on the other parts of the Manual.
The final impact assessment indicates whether:

- other parts of the Manual are affected or a new procedure is necessary (and those cases cannot be resolved by editorial changes). (Go to Step 1 for what concerns the new elements of the change);
- editorial changes to the change proposal and/or affected parts of the Manual are required. (Go to Step 6)

  In this case, it is only noted in the 'document change record'.
- an update of the change proposal is required. (Go to Step 4);
- none of the above options are applicable. (Go to Step 7).

Output: Final Impact Assessment Report (in case more than only editorial changes).

7.5 Finalizing the change proposal

Step 6: Editorial formatting

The Manual WG incorporates the necessary editorial changes to the change proposal and or affected parts of the Manual in order to make the change proposal consistent with the Manual format and layout.

Output: consolidated change proposal.

Step 7: Endorsement by the NSAC

The Manual WG forwards the consolidated change proposal to the NSAC for endorsement and for information to the involved TF.

In case the consolidated change proposal only consists of editorial changes, the process is put on hold until the scheduled date of issuing a new version of the Manual. In case other changes are taking place, go back to step 1 or 2 as appropriate.

The NSAC decides on the endorsement of the consolidated change proposal:

- if endorsed go to step 8;
- if not, the NSAC will decide on further action.

If the need for a coordinated implementation date has been identified during the initial impact assessment, the NSAC proposes an effective date of the revised version of the Manual to be incorporated by the Manual WG in Step 8.

Output: Endorsed consolidated change proposal.

Step 8: Editing of a proposed adopted revised version of the Manual

The Manual WG incorporates the endorsed change into the proposed revised version of the Manual. An effective date is incorporated by the Manual WG as proposed by the NSAC (if applicable).

The endorsed changes are flagged by a line in the left margin.

Output: proposed adopted revised version of the Manual

Step 9: Adoption by the NSAs

The NSAC coordinates the adoption of the revised version of the Manual.

A revised version of the Manual is adopted by the formal signature of all heads of NSA or their mandated representatives.

Note:
A proposed revised version of the Manual can incorporate multiple changes. It is recommended that a revised version of the Manual is adopted regularly during an extended NSAC meeting. In case the NSAs consider the adoption of the revised version to be urgent, the proposed revised version is adopted as soon as practicable.

Output: Adopted revised version of the Manual.

7.6 Revised Manual becoming effective

Step 10: Revised Manual becoming effective and distribution

The revised Manual becomes effective:

- 20 days after the signature of all heads of NSA or their mandated representatives; or
- on the coordinated implementation date.

The 'depositary of the Manual' distributes the adopted revised version of the Manual electronically according the distribution list (as stated in Part 01 - General) as soon as practicable and in any case before the effective date. NSAs will electronically confirm good reception.

The head of each NSA distributes the revised Manual as soon as practicable to the concerned ANSPs. An 'ANSP guidance letter' template is available on OneSkyTeam.

Output: distributed, effective Manual.

Note: *The ANSP can report feedback or may require further explanation or clarification on the content of the Manual at any given time to their associated NSA. Input from the ANSPs can be part of the input for the yearly review or input for a direct initial impact assessment report and recommendation addressed to the NSAC (see Step 2 of paragraph 7.2).*

8 YEARLY REVIEW OF THE MANUAL

The Manual WG will yearly review the Manual, considering – inter alia – new ICAO SARPs, EU-regulations, EASA findings, agreements within FABEC. The checklist is in Annex 01 of this procedure.

The output of this review will be one or more Initial Impact Assessments Reports and Recommendations addressed to the NSAC (see Step 2 of paragraph 7.2).

ANNEX 01: CHECKLIST 'YEARLY REVIEW'

- Review new or amended EU regulations / EASA AMCs / ICAO SARPs / EASA findings / agreements within FABEC
  - List all new or updated regulations
  - Proposal for follow up
    - Incorporate in the next update of the Manual
      - General part
        - review/update definitions due to amendments in regulations
      - Procedures
        - update references to regulations
      - Guidance
        - Update list of regulations
    - Keep it for a later update
- Consider new agreements concerning service provision with or within FABEC States for the Manual
  - Cross border agreements to be incorporated in Procedure 02
  - Update references
- Consider the manual to updates of the work processes FABEC ANSPs
  - Change management
  - Performance management
  - Training ANSPs
- Consider identified editorial changes on the manual
- Make report to NSAC
  - Proposals with initial assessments
  - Updated draft manual with only editorial changes
  - Proposals for the later updates

FABEC NSA Committee
Manual

Procedure 02

Supervision of ATM/ANS Service Providers providing cross-border services

DOCUMENT SUMMARY

Objective:	The objective of this procedure is to establish joint oversight activities to ensure supervision of ATM/ANS Service Providers providing cross-border services. This document contains the required common procedure.	
Origin:	NSAC Manual WG	**Audience**: FABEC NSAs

Title :	PRO 02 – Supervision of ATM/ANS Service Providers providing cross-border services
Reference:	FABEC NSAC Manual PRO 02 v5.0.docx *This reference is the filename.*

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3.0	03.02.2015	Adopted issue	Frederik Demeyere
4.0	02.05.2016	Adopted issue	Isabelle Prat
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DOCUMENT APPROVAL

	Name and function	Signature	Date
Approved by chairperson NSAC Manual Working Group	Antoine VINCENT Belgian NSA		11/05/2020
Approved by chairperson NSAC	Karsten TILENDA German NSA		11/05/2020

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1 PURPOSE

In Europe, including in the FABEC area, airspace exists of which the borders are not congruent with national borders. So, there are already ATM/ANS Service Providers providing cross-border services. Based **on article 2 of the Service Provision Regulation (Regulation (EC) n° 550/2004** as modified by Regulation (EC) n° 1070/2009, hereinafter SPR) the NSAs of the states concerned need to cooperate closely in order to ensure adequate supervision. This cooperation shall be formalised in an agreement. Again based on article 2 of the SPR, such an agreement shall contain arrangements concerning the following subjects: Common Requirements-related oversight, review and approval of changes to functional systems, safety directives. Those provisions are again mentioned in requirement ATM/ANS.AR.A.005 “Certification, oversight and enforcement tasks” of Regulation (EU) n° 2017/373.

Articles 3a, 5 and 7.1 of the FABEC NSA Memorandum of Cooperation (MoC) –which is the SES-required ‘agreement’- provide for the basic principles regarding cross-border oversight between the FABEC NSAs.

This present procedure between the FABEC Competent Authorities elaborates on the abovementioned articles of the FABEC NSA MoC on the subjects that are mandatory on the basis of both the SPR (see above) and Regulation (EU) n°2017/373.

Through the combination of the articles of the FABEC NSA MoC and this procedure, the FABEC NSAs’ cross-border oversight arrangements are in conformance with article 2 of the Service Provision Regulation as far as it concerns intra-FABEC cross-border services. They are also in line with the provisions deriving from Regulation (EU) n° 2017/373. The high level aim of this procedure is to facilitate FABEC-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) n° 1070/2009.
- Commission Implementing Regulation (EU) No 2017/373 of 1 March 2017 laying down common requirements for providers of air traffic management/air navigation services and other air traffic management network functions and their oversight.
- Agreement on the **cooperation of the FABEC national supervisory authorities**, FABEC NSA MoC v3.0, adopted on 4 April 2019.

This procedure between all FABEC-NSAs, in conjunction with articles 3a, 5 and 7.1 of the FABEC NSA MoC, provides for a common ‘article 2 (EC) No 550/2004’ arrangement for the oversight on all cross border situations inside the FABEC-area.

The oversight of cross-border services concerning ATM/ANS Service Providers and/or Competent Authorities other than those involved in FABEC is outside the scope of this procedure.

3 RESPONSIBILITIES

Competent Authorities are required to work in line with this procedure concerning the oversight of ATM/ANS Service Providers providing cross-border services within FABEC.

4 DOCUMENT TEMPLATES

Not applicable

5 RECORDS & ARCHIVES

In regard to oversight activities records are kept at the premises of the accountable Competent Authority according national procedures and regulations.

6 PROCEDURE FLOWCHART

Not applicable

7 PROCEDURE DESCRIPTION

7.1 Applicability

The applicability of this procedure is defined by the relevant agreements between ATM/ANS Service Providers and accepted by the States involved.

7.2 Exchange of information

Reference: NSA MoC **Article 5, Article 7.1a.**

a) Without prejudice to laws and regulations dealing with data protection applicable in one of the States concerned, the parties agree to exchange on a case-by-case basis any appropriate information necessary for the application of this procedure.

b) The accountable Competent Authority makes available to the participating Competent Authorities copies of the certificates of the Service Provider providing cross-border services.

c) Information to be exchanged shall be addressed to the following contacts:

   a. Belgium: bsa-ans@mobilit.fgov.be (National Audit Coordinator)

   b. France: cna.organigramme.dgac.dsac.dsac-ec.ana@aviation-civile.gouv.fr (National Audit Coordinator)

   c. Germany: audit@baf.bund.de

   d. Luxembourg: nsa@av.etat.lu

   e. Switzerland: audit.sifs@bazl.admin.ch

   f. The Netherlands: nsa.fabec@ilent.nl

d) Unless indicated otherwise information shall be exchanged by electronic means.

7.3 Audits and inspections

Reference: NSA MoC **Article 5, Article 7.1**

a) Each Competent Authority is primarily responsible for the oversight of all ATM/ANS Service Providers it has certified. The accountable Competent Authority informs the participating Competent Authority(ies) about planned audits and inspections with relation to service provision in a cross-border area. The participating Competent Authority(ies) shall indicate if it has/they have an interest in one or more audits and subsequently requests to be involved.

b) In case that the participating Competent Authority(ies) request(s) to be involved, the accountable Competent Authority and the participating Competent Authority(ies) define together this involvement taking into account Article 5 and Article 7.1 of the FABEC NSAs MoC.

c) The participating Competent Authority(ies) may request that some specific point is audited by the accountable Competent Authority. Such a request is accompanied by a rationale. The accountable Competent Authority communicates its decision within a reasonable timeframe. If the request is not granted, this decision is accompanied by a rationale. If the request is granted, the paragraphs a and b are applicable.

d) Personnel of the participating Competent Authority works under the functional authority of the accountable Competent Authority during the conduct of the specific inspections and/or audits.

7.4 Findings and corrective actions

References: NSA MoC **Article 5, Article 7.1 and Article 8.1,** ATM/ANS.AR.B.001(c)(5)

If an accountable Competent Authority decides:

- to issue a finding (Level 1 and Level 2) with an impact on the foreign ATM/ANS functional system in the cross-border area;
- to accept a related corrective action plan;
- to approve the completion of a related corrective action plan;

it shall inform the participating Competent Authority(ies) within a month after each of the above mentioned tasks

7.5 Oversight of changes

Reference: NSA MoC **Article 3c, Article 5 and Article 7.1**

Detailed provisions applicable to the coordination between Competent Authorities to changes to functional systems across State boundaries are detailed in procedure PRO 04.

7.6 Safety directives

Reference: NSA MoC **Article 5, Article 7.1 and Article 8.2**

If an accountable Competent Authority decides to issue a safety directive as defined in provision ATM/ANS.AR.A.030 of Regulation (EU) No 2017/373, affecting air traffic service provision in the cross-border area, the participating Competent Authority(ies) are consulted if time permits before the issue of the safety directive.

7.7 Immediate reaction to safety problem

If an accountable Competent Authority decides to issue measures to address a safety problem as defined in provision ATM/ANS.AR.A.025 of Regulation (EU) No 2017/373, affecting air traffic service provision in the cross-border area, the participating Competent Authority(ies) are consulted if time permits before the issue of said measures.

7.8 Working language

If in a certain case the language of the State is not the same for all Competent Authorities concerned or if one of the Competent Authorities involved requests so, the communication between the Competent Authorities is in English. If requested by one Competent Authority a summary of the relevant documents is provided in English.

EXPLANATORY NOTE

Paragraph 2 (Scope)

Article 2 of Regulation (EC) No 550/2004 requires NSAs (inter alia) to have arrangements between them in place in case of cross-border services. According to its paragraph 1, Article 2 of Regulation (EC) No 550/2004 gives requirements regarding 'the appropriate application of this Regulation' (where 'this Regulation' means Regulation (EC) No 550/2004).

This means in fact that the 'cross-border NSA' requirement of article of Regulation (EC) No 550/2004 is limited to subjects having their basis in Regulation (EC) No 550/2004 and/or its implementing rules (IRs).

Based on this, a common FABEC NSAs cross-border oversight procedure, elaborating on the FABEC NSA MoC, for the implementation of article 2 Regulation (EC) No 550/2004 can be limited to these subjects. More subjects could of course be added between NSAs in separate arrangements if they wish to do so, but this is not compulsory.

Seen the above, this procedure that elaborates on the FABEC NSA MoC is indeed limited to the subjects that are compulsory under article 2 of Regulation (EC) No 550/2004. By adopting this procedure the FABEC NSAs can be certain to live up to the requirements of article 2 of Regulation (EC) No 550/2004 concerning cross-border services internal to the FABEC-area. It is then up to them if they would wish to add more subjects (e.g. incident investigation, interoperability, ...) in separate agreements.

Besides from this some 'cross border subjects' have already been dealt with directly within the FABEC NSA MoC of 4 April 2019 and are directly applicable to all FABEC NSAs. From a legal and logical point of view, it makes no sense to once more make arrangements for these subjects in a 'lower level' agreement.

Therefore, these subjects –see article 6, 7.2, 8 and 10 of the FABEC NSA MoC- have not been taken on board in this procedure. They apply directly to the FABEC NSAs.

Last but not least requirements that are already directly applicable through articles in Regulation (EU) No 2017/373 are not included.

Paragraph 7.2 (Exchange of information)

Please note that article 8 FABEC NSA MoC and point ATM/ANS.AR.A.005 (b) and (c) of Regulation (EU) No 2017/373 are already directly applicable for the exchange of information and that subsequently this paragraph applies next to these articles.

Paragraph 7.3 (Audits and Inspections)

General:
Please note that article 19.5 FABEC Treaty and article 6 FABEC NSA MoC are already directly applicable for the cross-border supervision of ANSPs and that this paragraph applies next to these articles.

b: this paragraph on the one hand offers the Competent Authority(ies) flexibility, on the other hand makes sure that the requirements of articles 5 and 7.1 of the FABEC NSA MoC are complied with.

Paragraph 7.6 (Safety Directives)

Seen the short timeframe usually available in case a safety directive needs to be issued, issuing a Safety Directive together with the participating Competent Authority(ies) seems to be somewhat unrealistic. As an alternative the '*consultation if time permits'* clause is introduced.

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FABEC NSA Committee
Manual

Procedure 03

Supervision of Multi-State ANSPs

Document Summary

Objective:	The objective of this procedure is to facilitate the enhanced cooperation of the FABEC NSAs responsible for the oversight of a Multi-State ANSP and ensure that this cooperation is in line with Article 9 of the FABEC NSA MoC.	
Origin:	NSAC Manual WG	**Audience**: FABEC NSAs

Title :	PRO 03 – Supervision of Multi-State ANSPs
Reference:	FABEC NSAC Manual PRO 03 v1.0

Version: 1.0	**Date**: 14.11.2012	**Status**: ☐ Draft ☑ Released	**Classification**: ☐ Public ☑ FABEC limited ☐ Addressees limited

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	Name and function	Signature	Date
Approved by chairperson NSAC Manual Working Group	Frederik DEMEYERE NSA The Netherlands		14/11/12
Approved by chairperson NSAC	Patrick VANHEYSTE Belgian NSA		13/11/12

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1 PURPOSE

This procedure intents to bring NSA agreements on the supervision of Multi-State service provision under the umbrella of the FABEC NSA MoC.

This procedure creates a link between the FABEC NSA MoC and the separate agreements on enhanced cooperation between NSAs within FABEC for the supervision of Multi-State ANSPs.

A Multi-State ANSP is defined in Part I – General.

2 SCOPE

The regulatory basis for this procedure is:

- Article 9 of the FABEC NSA MoC
- Article 2 of the Service Provision Regulation (EC 550/2004)
- Safety Oversight Regulation (EU 1034/2011)

3 RESPONSIBILITIES

The responsibilities of the parties involved are described in the separate agreements between the involved FABEC NSAs.

4 DOCUMENT TEMPLATES

Not applicable

5 RECORDS & ARCHIVES

Not applicable

6 PROCEDURE FLOWCHART

Not applicable

7 PROCEDURE DESCRIPTION

7.1 General principle

The supervision of a Multi-State ANSP within FABEC is arranged through a separate agreement between the involved NSAs.

This procedure facilitates the cooperation of the NSAs responsible for the oversight of Multi-State ANSPs and ensures that this cooperation is in line with the FABEC NSA MoC.

7.2 List of Multi-State ANSPs

In this paragraph the existing Multi-State ANSPs that provide services within the FABEC are listed, together with the corresponding NSA agreements on the supervision of the respective Multi-State ANSP.

a. Eurocontrol Maastricht UAC

The Maastricht Upper Area Control Centre (MUAC) is operated by EUROCONTROL on behalf of Belgium, Germany, Luxembourg and the Netherlands on the basis of the Agreement, relating to the Provision and Operation of Air Traffic Services and Facilities by EUROCONTROL at the Maastricht Upper Area Control Centre (the “Maastricht Agreement”), signed on 25 November 1986.

The oversight of Eurocontrol Maastricht UAC is performed under the responsibility of NSA The Netherlands with participation of the NSAs of Luxembourg, Belgium and Germany. Detailed arrangements concerning the oversight of Eurocontrol MUAC by the 4 States NSAs are described in:

- The agreement of the 4 States NSAs on the oversight activities on Maastricht UAC, signed on 6 October 2011 in Luxembourg, and
- The 4 NSAs Manual for the oversight activities on Maastricht UAC (annexed to the above agreement).

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FABEC
NSAC – Manual

Procedure 04

Coordination between Competent Authorities for changes to functional systems across State boundaries

DOCUMENT SUMMARY

Objective:	This document explains how a change affecting multiple service providers and aviation undertakings has to be coordinated between Competent Authorities of the FABEC group and with the neighbouring States	
Origin:	Change Task Force	**Audience**: FABEC CAs

Title:	PRO 04 – Coordination between Competent Authorities for changes to functional systems across State boundaries
Reference:	FABEC NSAC Manual PRO 04 v5.0.docx *This reference is the filename.*

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DOCUMENT APPROVAL

	Name and function	Signature	Date
Prepared by chairperson of the NSAC Change TF	Gianpaolo Cecchin Competent Authority Switzerland		18.10.2019
Approved by chairperson NSAC Manual Working Group	Antoine Vincent Belgian NSA		10.01.2020
Approved by chairperson NSAC	Karsten TILENDA German NSA		13.01.2020

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1 PURPOSE

This document describes the procedure to be applied by the CAs of the FABEC (including the necessary coordination with CAs of surrounding FABs as far as achievable) and to be taken notice of by FABEC service providers to coordinate[1] the selection and the review of changes to functional systems that cross State boundaries.

It can be applied by CAs outside FABEC by replacing any reference to the FABEC with the required context and scope.

This procedure fulfils the requirements of the Commission Implementing Regulation (EU) 2017/373 with respect to the coordination arrangements between Competent Authorities for notified changes to functional systems [ATM/ANS.AR.A.005(c)], its applicable AMC and GM. It substitutes the PRO04 “Notification and Review of FABEC Safety-related Changes”.

It covers:

- the coordinated decision to review a notified change to the functional system [ATM/ANS.AR.C.035] and
- the coordinated review of a notified change to the functional system [ATM/ANS.AR.C.040]

2 SCOPE

This PRO deals with the coordination, selection and possible review and acceptance of:

a) **Multi-actor changes**

b) **Cross border changes**

In case a of combination of both a) and b), the regime in a) prevails.

[1] In case this procedure is in contradiction with procedures established in other FABs or surrounding neighbouring countries, individual coordination arrangements are to be established when the need arises. In principle, however, this PRO is designed in a generic manner so that it can be applied as well for any changes involving any non-FABEC states

3 GENERAL ARRANGEMENTS

3.1 Coordination contacts

3.1.1 FABEC Competent Authorities

The following functional Email addresses ensure the contact with the State Authorities and therefore the coordination, independently from their members' availability.

- Netherlands: heleen.vaartjes@ILenT.nl
- Belgium: michel.vanopstal@mobilit.fgov.be
- Luxemburg: nsa@av.etat.lu
- Germany / BAF: change@baf.bund.de
- France: dsac-ana-smn@aviation-civile.gouv.fr
- Switzerland / BAZL: BAZL-Safetydocuments@bazl.admin.ch

3.1.2 Neighbour States Competent Authorities

		FAB-x							
		AUT	CZE	DEN	ENG	ESP	ITA	POL	SWE
FABEC	BEL				●				
	CHE	●					●		
	DEU	●	●	●				●	●
	FRA				●	●	●		
	HOL			●	●				
	LUX								

- Spain / Seguridad Aerea: supervisioncmbfna@seguridadaerea.es
- Italy / Ente Nazionale per l'Aviazione Civile: Marco Costantini, m.costantini@enac.gov.it
- Austria / BMVIT: nsa.austria@bmvit.gv.at
- Czech Republic / CAA Czech Republic: Renata Neubertová, Neubertova@caa.cz
- Poland / CAA PL: loz@ulc.gov.pl
- Denmark / CAA DK: cagj@tbst.dk
- Sweden : *will be updated with next PRO04 update*
- Norway : *will be updated with next PRO04 update*
- UK / CAA UK: *will be updated with next PRO04 update*

3.1.3 Airspace Committee

In case of need, the Coordinating FABEC contact is:

- FABEC Airspace Committee: Ref-LF17@bmvi.bund.de

3.2 Document templates

The following templates and forms accompany this procedure:

- Coordinated review decision, available on Change Task Force Sharepoint templates folder
- Checklist for the OASA review, available in Annexes chapter 9.2 below

3.3 Records & archives

Each CA is in charge for the local storage of records, including those related to the multi-actor or cross-border changes.

4 RESPONSIBILITIES

For Service Providers:

- Service Providers are responsible for identifying and notifying multi-actor changes and cross-border changes according to IR 2017/373 and applicable national procedures
- Service Providers are responsible to submit change notifications and safety (support) cases in due time taking into account applicable local directives[2] prescribing the applicable means, methods and timeline

For Competent Authorities[3]:

- Each CA receiving the information about a multi-actor change or cross-border change is responsible to inform the other concerned CAs
- The CA overseeing the Service Provider initiating the change becomes the coordinating CA and is in charge of the coordination related to the decision to review and the review itself. This coordination role can be passed to other concerned CAs on a case-by-case basis
- The coordinating CA is in charge of ensuring the communication with the initiator Service Provider
- Each concerned CA exchanges relevant information and coordinates with the other concerned CAs whether and how to conduct the reviews at national level
- The concerned CAs evaluate in a harmonised way the risk posed by the change, and as a consequence there is an agreement on what safety (support) assessments will be reviewed by each CA[4]
- It remains the responsibility of each concerned CA to conduct reviews at national level according to applicable national procedures
- Based on the decision for a review, the concerned CAs commonly review the OASA, using the common review checklist annexed to this manual.
- The approval of the argument(s) is coordinated among the concerned CAs.
- The administrative act to send the approval remains the responsibility of each concerned CA according to applicable national rules and procedures, taking into consideration possible conditions set by other concerned CAs.
- Each CA reports operational risks identified during oversight activities at the next FABEC Change Task Force meeting

[2] GM1 ATM/ANS.AR.A.005(c) C

[3] GM1 ATM/ANS.AR.A.005(c), Easy Access Rules June 2018, pages 47 and 48. Articles (b), (c), (d), (e)

[4] GM1 ATM/ANS.AR.A.005(c)

5 NOTIFICATION OF CHANGES

5.1 Entry point for the notification of changes

Service Providers notify both multi-actor and cross-border changes directly to their CA.

There is no additional notification to a FABEC NSAs focal point.

Service Providers shall give contact details and change reference names/identifiers from all Service Providers involved in the change in their change notification and in the OASA.

5.2 Content of a notification

Based on AMC1 OR.A.045(a) and GM1 OR.A.045(a) the notification of changes shall contain as a minimum (CA can require more in national directives) the following information:

a) Name of the organisation notifying the change;
b) Unique identifier of change;
c) Version number of notification;
d) Title of the change;
e) Date of the submission of the original of this change notification;
f) Scheduled date of entry into service (even if only approximate);
g) Details of the change and its impact;
    i. Purpose of the change;
    ii. Reason for the change;
    iii. Place of implementation;
    iv. New/modified functions/services brought about by the change;
    v. High-level identification of the constituents of the functional system being changed, and what is modified in their functionality;
    vi. Consequence of the change, i.e. the harmful effects of the hazards associated with the change;
h) The list of the service providers and other aviation undertakings that are affected by the change as identified in OR.A.045(a)(3);
i) Entity in charge of the assurance case; and
j) Identity of a point of contact for communications with the competent authority.

5.3 Information to the concerned CAs

In the case of multi-actor or cross-border changes, any CA shall inform (preferably in English) the other concerned CAs about the reception of a multi-actor change, providing the Service Provider notification form per Email.

5.4 Missed identification of a multi-actor or cross-border change

The Service Provider's change notification is required to contain information on which other service providers or aviation undertakings are affected by the change[5].

A CA may receive information revealing that a notified change qualifies as a multi-actor or cross-border change even though it was not declared as such (by the Service Provider). In that case, the notified CA initiates the verification with the notifying Service Provider and asks for an amendment of the notification.

[5] [ATM/ANS.OR.A.045 (a) (3); AMC1 ATM/ANS.OR.A.045 (a) – letter (h); ATM/ANS.AR.C.040 (a-2)]

6 DECISION TO REVIEW OR TO NOT REVIEW

The concerned CAs identify and link changes that belong together; they exchange their expert opinion based on the information provided along with the notifications.

They evaluate the risk posed by the change, and they agree on:

- what safety (support) assessments will be reviewed by each CA for multi-actor changes

or

- the review decision to be taken by the CA overseeing the initiator Service Provider for cross-border changes.

The CAs may use the Changes Task Force decision matrix as a mean to facilitate a harmonised decision[6].

The CAs clarify together:

1. Who takes the role of the Coordinating CA
2. Which CAs participate in the review of the OASA
3. The names of the reviewers to participate in the review of the OASA

Decision not to review:

In case a local safety (support) argument of a multi-actor change is not reviewed, it is the responsibility of the concerned CA taking that decision, to add a condition in the decision to not review.

That condition shall state that the local part of the multi-actor change may only be put in operation as soon as any prerequisites related to the implementation of the multi-actor change are fulfilled. This includes necessary approvals of other concerned CA as applicable.

[6] GM1 ATM/ANS.AR.A.005(c)

7 REVIEW OF THE OASA OR CROSS-BORDER ARGUMENTS

7.1 Common review of the OASA for multi-actor changes

As soon as the OASA is received, the common review shall start as soon as possible.

The CAs review collectively the OASA and check its consistency with the local arguments according to the table annexed to the definition of OASA in Part I of this Manual[7].

Note: Typically, all CAs reviewing the respective local/national assurance case as part of the assurance for the multi-actor change, will also participate in the review of the OASA, no matter if the OASA is part or an attachment of the local/national assurance case or an independent document. In both cases, the OASA completes the global picture as regards the dependencies between the different assurance cases.

It is the responsibility of the coordinating CA that the review team concludes its work in a timely manner, commensurate with the complexity of the OASA and the planned implementation deadline(s).

The common review shall be accomplished via email and/or phone/conference call. If needed an on-site meeting may additionally be organised.

Review milestones (meetings, phone conferences, delivery deadlines,…) are coordinated by the coordinating CA in order to organise and structure the common review of the OASA taking into account the planned implementation date of the change(s).

7.2 Review of cross-border changes:

Once the decision to review the cross-border change is taken, the review shall start without any delay as soon as the argument for the change is received. Different scenarios are possible:

1. The Coordinating CA and the other concerned CA conduct a common review and jointly agree on a review team, the modalities of the review and the review conclusion.
2. The Coordinating CA conducts a review but the other concerned CA may not want to participate in the review. In that case, the coordinating CA informs the other concerned CA on the result of the review as soon as it is available.

In any case, the other concerned CA works under the functional authority of the coordinating CA and oversight procedures of the coordinating CA are applied.

[7] GM1 ATM/ANS.AR.A.005(c) – (e)

8 COORDINATED CONCLUSION BETWEEN CA

The CAs approval related to the argument of the local changes shall state that:

- the OASA has been commonly reviewed by the concerned CAs for multi-actor changes or
- the review of the cross-border change has been coordinated amongst the concerned CAs.

It is the responsibility of each concerned CA to add a condition in the local approval.

This condition shall state that the local part of the multi-actor change may only be put into operation as soon as any prerequisites related to the implementation of the multi-actor change are fulfilled. This includes necessary approvals of other concerned CA as applicable.

In case of a disagreement within the review team, the concerned CAs coordinate and decide on the next steps to resolve the issue and consider to involve the next escalation level (for FABEC: NSAC).

8.1 Post-acceptance follow up

It is the responsibility of the concerned CAs to monitor the compliance with the conditions set for the introduction into service of the change by the Service Provider(s) under their supervision.

In case that a condition associated with the acceptance is not met and may affect others Service Providers, the CAs of the non-compliant Service Provider(s) shall inform the concerned CA(s) about the situation and the planned actions towards its resolution.

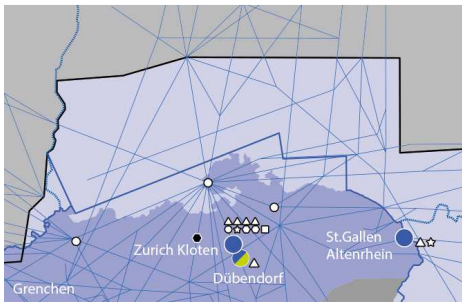
9 ANNEXES

9.1 Examples of changes covered by this procedure

9.1.1 Change affecting Service Providers from different FABs

The removal of a VOR in a FABEC State used by a Service Provider overseen by a CA of another FAB State. Since both States use the VOR it is to expect an impact on the ENR and APP control

9.1.2 Cross-border change within FABEC



Within German airspace, air traffic service provision is delegated from DFS to Skyguide within parts of the upper and lower airspace in the southern part of Baden-Württemberg. This cross-border service provision is based on a contract as required by Art. 10 of Regulation (EC) No 550/2004 and respective working arrangements are specified in LoAs between the involved units of DFS and Skyguide.

Typical cross-border changes are those changes to IFR approach and departure procedures to/from Zurich airport (which is located in northern Switzerland close to the German border) that stretch over territories from both States but which are designed according to applicable Swiss rules and responsibilities and used by Swiss ATC only.

FABEC NSA Committee Manual

Procedure 05

Initial Training for ATCO

DOCUMENT SUMMARY

Objective:	This document lays down the procedures to be followed for a FABEC initial training provider when applying for a certification, approval of initial training plans and for the mutual recognition of basic training certificates and student air traffic controller licences.	
Origin:	FABEC NSAC Training TF	**Audience**: FABEC Members

Title :	**FABEC BASIC course and mutual recognition of student air traffic controller licenses**
Reference:	FABEC NSAC Manual PRO 05 v2.0

Version: 2.0	**Date**: 11.11.2016	**Status**: ☐ Draft ☑ Released	**Classification**: ☐ Public ☑ FABEC limited ☐ Addressees limited

Explanation version numbers:

V 0.0: working draft
V 0.1: draft issue
V 1.0: released issue
V 1.1: amended issue
V 2.0: reviewed issue

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
1.0	16.10.2014	Update after NSAC approval	TF
1.1	14.01.2016	Review based on EU-R 2015/340	TF
1.2	01.04.2016	Change in structure	TF
1.3		Inputs of the BSA	NSA Belgium
1.4	07.09.2016	Inputs NL	competent authorities of NL
1.5	08.09.2016	General review	CM Training Task Force
1.9	22.10.2016	Review by the Manual Working Group	Manual Working Group
2.0	11.11.2016	Adopted version	Isabelle Prat

DOCUMENT APPROVAL

	Name and function	Signature	Date
Approved by chairperson Training TF	Nils Jahn NSA Switzerland		11.11.2016
Approved by chairperson FABEC NSAC Manual WG	Isabelle Prat Belgian NSA		10/11/16
Approved by chairperson NSAC	Patrick Vanheyste Belgian NSA		10/11/16

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1 PURPOSE

The purpose of this procedure is to lay down common FABEC procedures for the certification and monitoring of training organisations providing initial training for ATCO, for the approval of initial training plans, courses and examination and assessment methods of such organisations, and for the mutual recognition of basic training certificates and student air traffic controller licences.

2 SCOPE

This procedure determines the working arrangement for the mutual recognition of the FABEC Basic Course and student air traffic controller licenses by the FABEC competent authorities, in accordance with ATCO.B.001 of the Commission Regulation (EU) 2015/340 of 20 February 2015 laying down technical requirements and administrative procedures relating to air traffic controllers' licences and certificates pursuant to Regulation (EC) No 216/2008 of the European Parliament and of the Council, amending Commission Implementing Regulation (EU) No 923/2012 and repealing Commission Regulation (EU) No 805/2011.

The procedure relates to FABEC competent authorities concerning ATCO trainees succeeding the approved initial (basic and rating) training in a certified training organisation.

OBJECTIVES

Produce common procedures for the FABEC competent authority for:

- the certification and monitoring of training organisations providing initial training for ATCO, and

- the approval of training plans, courses and examination and assessment methods of such organisations, and

- for the mutual recognition

as required by:

- REGULATION (EC) No 216/2008 of the European Parliament and of the council of 20 Feb. 2008.

- Commission Regulation (EU) 2015/340 of 20 February 2015 laying down technical requirements and administrative procedures relating to air traffic controllers' licences and certificates pursuant to Regulation (EC) No 216/2008 of the European Parliament and of the Council, amending Commission Implementing Regulation (EU) No 923/2012 and repealing Commission Regulation (EU) No 805/2011.

- AMC and Guideline from Commission Regulation (EU) 2015/340 -EASA Easy Access 2 ATCO version- should be used as a common set of tools to harmonize certification of training providers and approval of training plans.

- And in accordance with the FABEC Treaty.

This document is based upon the requirements set up in:

- Commission Regulation (EU) 2015/340 of 20 February 2015 laying down technical requirements and administrative procedures relating to air traffic controllers' licences and certificates pursuant to Regulation (EC) No 216/2008 of the European Parliament and of the Council, amending Commission Implementing Regulation (EU) No 923/2012 and repealing Commission Regulation (EU) No 805/2011.

- The Regulation (EC) n° 216/2008 of the European Parliament and of the Council of 20 February 2008 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency, and repealing Council Directive 91/670/EEC, Regulation (EC) No 1592/2002 and Directive 2004/36/EC, amended by the Regulation (EC) n° 1108/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulation (EC) no 216/2008 in the field of aerodromes, air traffic management and air navigation services and repealing Directive 2006/23/EC.

- The Treaty of 2nd of December 2010 relating to the establishment of the functional airspace block "Europe Central" between the federal republic of Germany, the Kingdom of Belgium, the French Republic, the Grand Duchy of Luxembourg, the Kingdom of the Netherlands and the Swiss Confederation.

- The FABEC Cooperation Agreement between the national supervisory authorities of 5 November 2015.

3 RESPONSIBILITIES

The concerned competent authority remains responsible for the certification and monitoring, as well as the approval of training plans of training organisations having their principal place of business in that state.

Other FABEC competent authorities may be invited to participate to certification, training plan, courses, assessment and examination approvals or monitoring activity on request of the concerned competent authority.

4 DOCUMENT TEMPLATES

Not applicable

5 RECORDS & ARCHIVES

Not applicable

6 PROCEDURE FLOW CHART(S)

See Annex 3, § f

7 PROCEDURES

7.1 FABEC procedure for the certification and monitoring of training organisations providing ATCO initial training for two or more FABEC states

The objective of this procedure is to provide a coordinated FABEC approach to ATCO initial training organisation certification and monitoring to the scope defined in the TF Terms of Reference of the FABEC NSA Training Taskforce.

Refer to Annex 1 for the detailed procedure.

7.2 FABEC procedure for the approval of ATCO initial training valid in two or more FABEC states

The objective of this procedure is to provide a coordinated FABEC approach to ATCO initial training approval to the scope defined in the TF Terms of Reference of the FABEC NSA Training Taskforce.

Refer to Annex 2 for the detailed procedure.

7.3 FABEC procedure for the mutual recognition of the FABEC Basic Course Certificates and student licenses

The objective of this procedure is to provide a coordinated FABEC approach with regard to the recognition of FABEC Basic Course Certificates as well as student air traffic controller licences to the scope defined in the Terms of Reference of the FABEC NSA Training Taskforce.

Refer to Annex 3 for the detailed procedure.

ANNEX 1: FABEC PROCEDURE FOR THE CERTIFICATION AND MONITORING OF TRAINING ORGANISATIONS PROVIDING ATCO INITIAL TRAINING FOR TWO OR MORE FABEC STATES

a. *General Objective*

The objective of this procedure is to provide a coordinated FABEC approach to ATCO initial training organisation certification and monitoring to the scope defined in the Terms of Reference of the FABEC NSA Training Taskforce.

b. *Subject*

This procedure lays down the requirements applicable for the certification and monitoring of initial training organisations by the FABEC competent authorities, in accordance with Commission Regulation (EU) 2015/340 of 20 February 2015 laying down technical requirements and administrative procedures relating to air traffic controllers' licences and certificates pursuant to Regulation (EC) No 216/2008 of the European Parliament and of the Council, amending Commission Implementing Regulation (EU) No 923/2012 and repealing Commission Regulation (EU) No 805/2011.

c. *Reference*

Commission Regulation (EU) 2015/340, ANNEX II, Part ATCO.AR, Subpart E

Commission Regulation (EU) 2015/340, ANNEX II, Part ATCO.AR, Subpart C

d. *Responsibility*

The responsibility of certification activities of a specific training organisation lies with the concerned competent authority nominated by the state.

Nevertheless, the certification of initial training organisations is coordinated between the FABEC competent authorities. The decision to issue, maintain, suspend or revoke a training organisations certificate remains in the responsibility of the concerned competent authority.

The concerned competent authority may request support from the other FABEC competent authorities for the certification activities.

e. *Issuance of an Initial Training Organisation Certificate*

Refer to Commission Regulation (EU) 2015/340, Appendix 2 of ANNEX II for the template.

f. *Changes to the Initial Training Organisation Certificate*

Refer to:

- *Commission Regulation (EU) 2015/340, ATCO.OR.B.015, incl. AMC1, GM1 and GM2*
- *Commission Regulation (EU) 2015/340, ATCO.AR.E.010 incl. AMC1 and GM1*

g. *Oversight and Enforcement*

The monitoring activities of initial training organisations is coordinated between the FABEC competent authorities through the audit planning process.

Refer to Commission Regulation (EU) 2015/340, ANNEX II, Part ATCO.AR, Subpart C

The decision, however, to maintain, suspend or revoke a training organisation certificate remains the responsibility of the concerned competent authority.

ANNEX 2: FABEC PROCEDURE FOR THE APPROVAL OF ATCO INITIAL TRAINING PLANS VALID IN TWO OR MORE FABEC STATES

a. *General Objective*

The objective of this procedure is to provide a coordinated FABEC approach to ATCO initial training approval to the scope defined in the Terms of Reference of the FABEC NSA Training Taskforce.

b. *Subject*

This procedure lays down the requirements applicable for the approval of initial training for ATCO applicable in two or more FABEC states (FABEC Basic Course) by the FABEC competent authorities, in accordance with Commission Regulation (EU) 2015/340 of 20 February 2015 laying down technical requirements and administrative procedures relating to air traffic controllers' licences and certificates pursuant to Regulation (EC) No 216/2008 of the European Parliament and of the Council, amending Commission Implementing Regulation (EU) No 923/2012 and repealing Commission Regulation (EU) No 805/2011.

c. *Reference*

Commission Regulation (EU) 2015/340, ANNEX II, Part ATCO.AR, Subpart E, ATCO.AR.E.005

d. *Implementation of the approved FABEC Basic Training in another Training Organisation.*

It is up to each individual training organisation to seek for the approval of the FABEC Basic Course from their competent authority, if they intent to use that course.

It remains in the area of competence of each concerned competent authority to approve the FABEC Basic Course training plan of the training organisation(s) under its responsibility.

The training organisation shall provide the evidence that the FABEC Basic Course fits into its organisational environment based on the requirements laid down in ATCO.OR.D.001 and ANNEX II Subpart D.

It remains in the area of competence of the competent authority receiving a copy of a FABEC Basic Course Certificate to check the correctness of the data with the competent authority of the FABEC state where the training organisation is located.

Refer to Annex 3 for the FABEC competent authority mutual recognition process.

e. *Condition for the Recognition of the FABEC Basic Course approval by other FABEC competent authorities*

The approval of FABEC competent authorities for the generic part of the FABEC Basic Course will be accepted by the other FABEC competent authorities if:

- The approval audit has been conducted with the involvement of at least two FABEC competent authorities.
- The content of at least the generic part of the FABEC Basic Course has been checked for completeness and consistency during the approval activity.
- No open findings exist in the generic part of the FABEC Basic Course.

f. *Changes to the FABEC Basic Course*

Changes to the FABEC Basic Course shall be notified to the FABEC NSA Training TF through the Maintenance Control Board, MCB.

Depending on the matter of the change, the FABEC NSA Training TF will decide if the FABEC Basic Course will need to undergo a re-approval as defined in paragraph 7.2.

FABEC Competent Authority

Name of Competent Authority

CERTIFICATE OF ACHIEVEMENT

Pursuant to Commission Regulation (EU) 2015/340 and subject to the conditions specified below, hereby certifies that

Mr.

Has successfully passed the

FABEC BASIC Course

DD.MM.YYYY
Address of issuing Training Organisation

CONDITIONS:

1. All FABEC Training Organisations will mutually recognize this certificate.
2. This certificate covers:
    a. The generic part of the approved FABEC Basic Course
    b. The local part of the specific training organisation approved by the respective competent authority.

Date of issue

Signature

Head of Training Organisation

ANNEX 3: FABEC PROCEDURE FOR THE MUTUAL RECOGNITION OF THE FABEC BASIC COURSE CERTIFICATES AND STUDENT AIR TRAFFIC CONTROLLER LICENCES

a. *Objective*

The objective of this procedure is to provide a coordinated FABEC approach with regard to the recognition of FABEC Basic Course Certificates as well as student licences to the scope defined in the Terms of Reference of the FABEC NSA Training Taskforce.

b. *Scope*

This procedure lays down the requirements applicable for the mutual recognition of the FABEC Basic Course Certificate and ATCO student licences by the FABEC competent authorities, in accordance with Commission Regulation (EU) 2015/340 of 20 February 2015 laying down technical requirements and administrative procedures relating to air traffic controllers' licences and certificates pursuant to Regulation (EC) No 216/2008 of the European Parliament and of the Council, amending Commission Implementing Regulation (EU) No 923/2012 and repealing Commission Regulation (EU) No 805/2011.

c. *Reference*

- *Regulation (EC) No 216/2008, Article 11*
- Commission Regulation (EU) 340/2015 Annex I – ATCO.A.010

d. *Recognition of FABEC Basic Course Certificates*

Based on the procedure defined in Annex 2 of this FABEC Procedure, a trainee having succeeded an approved FABEC Basic Course shall be authorised to continue rating training in all approved initial training organisations within the FABEC.

In such cases the training organisation shall issue a FABEC BASIC Course Certificate (see appendix 1 of Annex 2), which will be mutually recognised by other training organisation and their competent authorities within the FABEC.

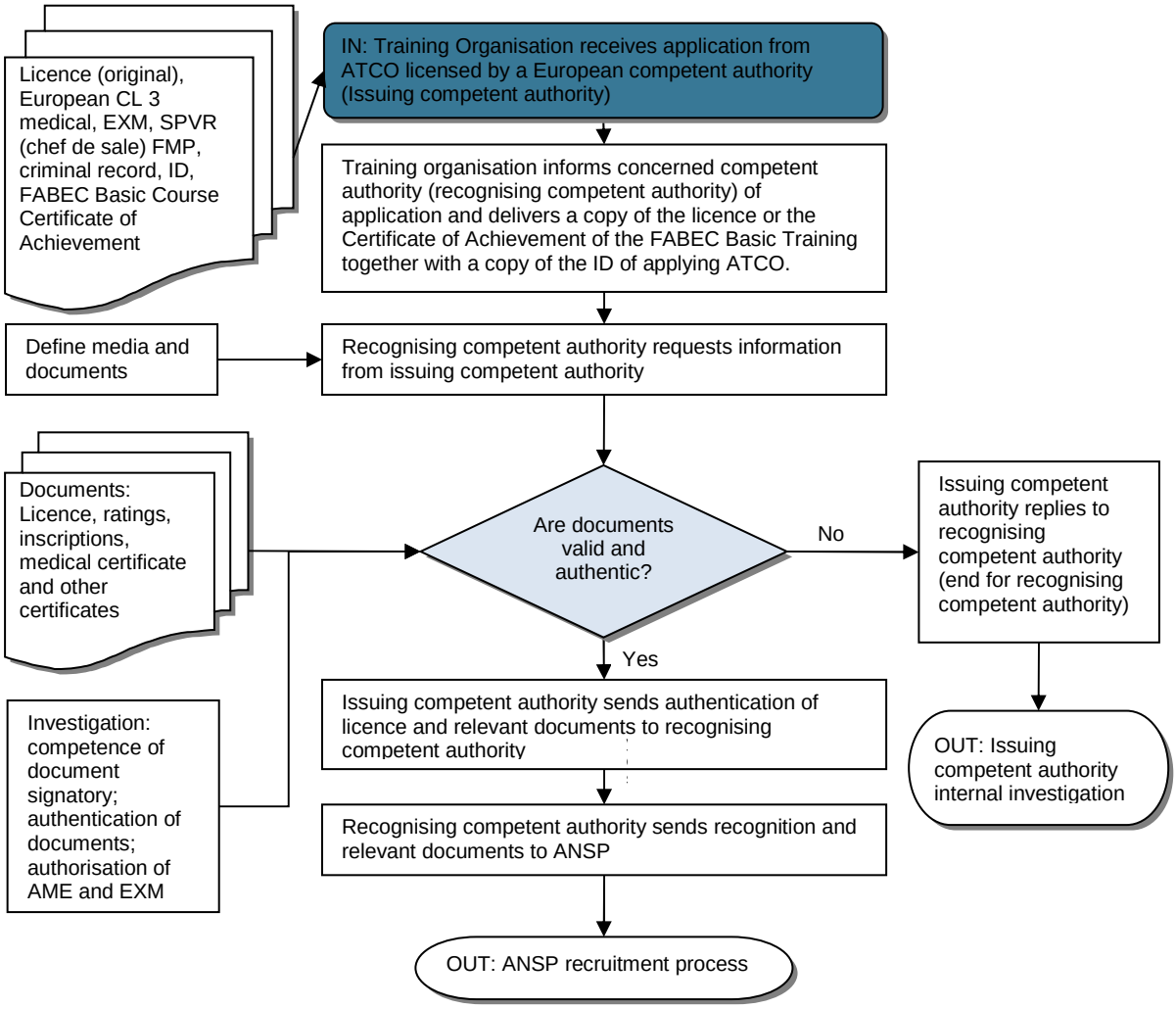
e. *Recognition of Student Air Traffic Controller Licences*

Generally, European competent authorities mutually recognise student air traffic controller licences issued by any European competent authority.

Nevertheless, it remains in the area of competence of the competent authority receiving a copy of such a student air traffic controller licence to confirm the validity of the license entries with the competent authority that has issued the licence.

Amongst the FABEC competent authorities the procedure as depicted in paragraph f below has been created for the mutual recognition of student air traffic controller licences.

f. *FABEC Competent Authority Mutual Recognition Process*



FABEC NSA Committee
Manual

Procedure 06

Safety Performance

DOCUMENT SUMMARY

Objective:	This procedure describes the coordination between the FABEC NSA Committee (NSAC) and the Safety Performance & Risk Coordination Task Force (SPRC TF) for the elaboration, monitoring and reporting of the safety aspects of the FABEC Performance Plan.
Origin: SPRC Task Force	**Audience**: NSAC FPC SPRC TF

Title: Part II – Procedure 06 – Safety Performance
Reference: FABEC NSAC Manual PRO 06 v6.0 *This reference is the filename.*

Version: 6.0	**Date**: 24.02.2020	**Status**: ☐ Draft ☑ Released	**Classification**: ☐ Public ☑ FABEC limited ☐ Addressees limited

Explanation version numbers:
V 0.x: draft issue
V 1.0: adopted issue (formal version)
V y.x: draft revised issue
V z.0: adopted revised issue (formal version)

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
1.0	21.03.2012	Editorial refining for the released version.	Manual WG
2.0	13.11.2012	Adopted issue.	Manual WG
3.0	30.10.2013	Adopted issue.	Manual WG
4.0	10.03.2015	Adopted issue.	Jos NOLLET
5.0	24.05.2017	Adopted issue.	SAFP TF meeting #31
6.0	24.02.2020	Adopted issue	Björn SCHRÄDER

DOCUMENT APPROVAL

	Name	Signature	Date
Approved by Chairperson, Manual WG	Antoine VINCENT NSA, Belgium		11/05/2020
Approved by Chairperson, SPRC TF	Björn SCHRÄDER NSA, Luxembourg		24/02/2020
Approved by Chairperson, NSAC	Karsten TILENDA NSA, Germany		11/05/2020

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1 PURPOSE

This procedure describes the coordination between the FABEC NSA Committee (NSAC) and the Safety Performance & Risk Coordination Task Force (SPRC TF) for the elaboration, monitoring and reporting of the safety aspects of the FABEC Performance Plan.

2 SCOPE

This procedure is based on the following EC/EU Regulations, EC/EASA Decisions, EC Recommendations and agreements:

- Regulation (EC) No 549/2004;
- Commission Implementing Regulation (EU) 2017/373;
- Commission Implementing Regulation (EU) 2019/317;
- Commission Implementing Decision (EU) 2019/903;
- EASA NPAs 2019-10 (A), (B) and (C);
- FABEC Treaty;
- FABEC States Governance Manual;
- Agreement on the Cooperation of the FABEC National Supervisory Authorities.

3 RESPONSIBILITIES

3.1 In accordance with the FABEC Governance Manual, the NSAC is responsible for the assistance of the FPC in the elaboration of the Performance scheme.

3.2 To support it in this task, the NSAC has established the SPRC TF, with responsibilities elaborated in its Terms of Reference (ToRs).

4 DOCUMENT TEMPLATES

The annual reporting to the European Commission will be done by the FPC, using the Performance Review Body (PRB) templates.

5 RECORDS & ARCHIVES

Document	Owner	Medium	Archives Storage	Retention Time	Ending
SKPI – EoSM	SPRC TF	Soft copy	OneSky Team	10 years	Delete
SPI – RWY Incursions	SPRC TF	Soft copy	OneSky Team	10 years	Delete
SPI – SMI	SPRC TF	Soft copy	OneSky Team	10 years	Delete

6 PROCEDURE FLOWCHART

To be developed at a later date.

7 PROCEDURE DESCRIPTION

7.1 INTRODUCTION

In accordance with Commission Implementing Regulation (EU) 2019/317, Article 10, NSAs are responsible for the elaboration of Performance Plans at national or functional airspace block (FAB) level.

The FABEC Performance Plan includes national parts containing additional (specific and local) issues including the cost-efficiency KPIs. This performance plan is composed of four Key Performance Areas (KPAs): safety, environment, capacity and cost-efficiency.

Whilst the FPC is responsible for general FABEC Performance Plan activities, the NSAC is responsible for all safety issues. Therefore, the NSAC shares responsibilities in the elaboration, adoption, ongoing monitoring and alerting processes of the FABEC Performance Plan. The role and responsibilities of the NSAC are described in the FABEC States Governance Manual (§5.5, para 2 g.).

Due to the interdependencies between KPAs, the "safety-related aspects" of the FABEC Performance Plan also include the interactions between the other KPAs and the safety KPA.

7.2 ROLE OF THE SPRC TF

The tasks of the SPRC TF are related to safety aspects during the elaboration phase of the performance plan and its on-going monitoring but it may also provide relevant data for the elaboration process of EU-wide targets and the adoption process of the performance plans.

The method of working of the SPRC TF is described hereafter:

a) development of the safety part of the FABEC Performance Plan;

b) collection of safety data;

c) monitoring of the FABEC safety performance;

d) reporting of the FABEC safety performance;

e) oversight of safety performance;

f) development of safety performance;

g) improvement of the cooperation chain for safety data.

7.2.1 DEVELOPMENT OF THE SAFETY PART OF THE FABEC PERFORMANCE PLAN

The SPRC TF provides advices to the NSAC when target setting for the next reference period is under development and makes proposals for additional S(K)PIs and/or targets.

In order to develop the current and potential new Safety (K)PIs, AMCs and guidance material for the next reference periods, the SPRC TF participates in ad-hoc meetings and workshops organised by the EC, PRB/EASA and other related entities.

The SPRC TF develops the safety part of the draft FABEC Performance Plan, including the:

- safety indicators to be used either as KPI or PI in accordance with EU-wide safety indicators;
- safety target setting on selected KPIs in accordance with EU-wide safety targets, or as a FABEC initiative;
- report of the monitoring process.

Once developed, the SPRC TF presents the safety part of the draft FABEC Performance Plan to the NSAC for comments. In addition to the comments related to the developed safety part, the NSAC provides advice on:

- safety baselines with elements or criteria provided by the SC-SAF, if applicable;

- appropriate corrective actions to be taken, if any.

The SPRC TF collects all comments and finalises the safety part before presenting it to the NSAC for endorsement. Once endorsed, the NSAC transmits the safety part of the draft FABEC Performance Plan to the FPC.

The SPRC TF, on behalf of the NSAC, will participate in the stakeholders consultation organised by the FPC with regards to safety KPA and will present the safety part.

Once received from the FPC via the NSAC, the SPRC TF will review the draft FABEC Performance Plan and provide any comments to the FPC via the NSAC.

If the draft FABEC Performance Plan is assessed (by the EC) as not being consistent with the EU-wide safety targets, the SPRC TF, through the NSAC, will propose corrective measures to the FPC.

7.2.2 COLLECTION OF SAFETY DATA

For the collection and analysis of safety data, the SPRC TF will rely on the individual NSAs.

On an annual basis, the SPRC TF requests safety data related to the selected safety (K)PIs from the individual NSAs and optionally from the SC-SAF. The data received from SC-SAF will be used for clarification purposes only.

If a corrective action plan is pending, progress information shall be provided to SPRC TF by the concerned ANSP, through their respective NSA.

The process description for the selected safety KPI is detailed in Annex 01.

The process description for the selected safety PIs is detailed in Annex 02.

7.2.3 PERFORMANCE MONITORING

The FABEC safety key performance indicator and the indicators for monitoring are defined in the FABEC Performance Plan in accordance with Commission Implementing Regulation (EU) 2019/317, Section 1 of Annex I.

The FABEC NSAs will harmonise the national safety performance monitoring process as far as possible.

The value of the safety KPI is assessed against the target as described in the prevailing FABEC Performance Plan. The target is considered compliant with the applicable EU-wide targets.

The SPRC TF performs an analysis to identify potential gaps between the actual and expected performance levels and identifies the need for corrective action(s).

Where necessary, the SPRC TF, on behalf of the NSAC, requests the SC-SAF to provide additional information to identify the causes of revised performance and a corrective action plan proposal.

7.2.4 REPORTING TO THE EUROPEAN COMMISSION

The SPRC TF will deliver the safety part of the draft FABEC Performance Monitoring Report to the NSAC.

The report is forwarded to the FPC by mid May at the latest, who will in turn coordinate the submission of this report, aligned with the monitoring reporting of the other KPAs to the EC or their delegates before 1 June in accordance with Article 37 (1) of Commission Implementing Regulation (EU) 2019/317.

7.2.5 OVERSIGHT AND DEVELOPMENT OF SAFETY PERFORMANCE

In case the need for corrective action(s) is identified, the SPRC TF proposes appropriate corrective action(s) to the NSAC as soon as practicable. The NSAC reviews the proposal and endorses the corrective action plan.

Once endorsed, the corrective action plan is transmitted by the NSAC to the concerned bodies:

- SC-SAF for ANSPs' corrective action(s);
- FPC for Performance Plan corrective actions (other KPAs' interactions).

The monitoring of corrective action plans is integrated into §7.2.3 (Performance Monitoring).

ANNEX 1 – FABEC SAFETY KEY PERFORMANCE INDICATOR

SKPI: THE MINIMUM LEVEL OF THE EFFECTIVENESS OF SAFETY MANAGEMENT TO BE ACHIEVED BY AIR NAVIGATION SERVICE PROVIDERS CERTIFIED TO PROVIDE AIR TRAFFIC SERVICES

The SKPI at ANSP level will be measured through a questionnaire defined by the NPA 2019-10 (C) providing the questionnaire and associated verification guidance for the Effectiveness of Safety Management (EoSM) SKPI.

Safety Maturity scores are monitored for ANSPs within FABEC Member States.

The SPRC TF measures the results of the SKPI from FABEC ANSPs through the following process:

a. On national level each FABEC NSA verifies in accordance with this procedure the results of its ANSP(s) before the 1 February of each year;

b. The SPRC TF members ensure the availability of the individual verified results of FABEC ANSPs through their respective NSA not later than 1 February of each year;

c. Individual data shall be collected by the respective SPRC TF members and analysed (including an aggregation for own understanding) before the first meeting of each year;

d. The results of c. are analysed using appropriate diagrams by the SPRC TF following §7.2.3 (Performance Monitoring) before 1 May of each year and, if necessary and appropriate already identified corrective action(s) are proposed to the NSAC following §7.2.5 (Oversight and Development of Safety Performance);

e. SC-SAF will optionally provide ANSP aggregated data and their analysis, if available, not later than end of May each year;

f. SPRC TF will exchange their findings and already identified corrective action(s) with the CP of the SC-SAF and update the corrective actions, as stated in d., in cooperation with NSAC and, if possible given the timeframe, with the SC-SAF.

ANNEX 2 – FABEC SAFETY PERFORMANCE INDICATORS

General process description

As pretended by the PRB monitoring template, the reporting is based on the State data and information therefore an aggregation at FABEC level is not possible.

The indicators for monitoring referred to in this Annex shall be calculated for the whole calendar year and for each year of the reference period.

Each SPRC TF member validates the prefilled information with the national occurrence focak point(s)I. NSAs' approval of the data have to be coordinated before filling the worksheet foreseen for the PIs (a) to (e). Members submit the results for discussion in the second SPRC TF meeting of each year with the aim to coordinate oversight and development of safety performance.

a) THE RATE OF RUNWAY INCURSIONS AT AIRPORTS LOCATED IN A MEMBER STATE

The rate of runway incursions at airports located in a Member State, calculated as the total number of runway incursions with a safety impact that occurred at those airports divided by the total number of IFR and VFR movements at those airports;

b) THE RATE OF SEPARATION MINIMA INFRINGEMENTS WITHIN THE AIRSPACE OF ALL CONTROLLING AIR TRAFFIC SERVICES UNITS IN A MEMBER STATE

The rate of separation minima infringements within the airspace of all controlling air traffic services units in a Member State, calculated as the total number of separation minima infringements with a safety impact that occurred in that airspace divided by the total number of controlled flight hours within that airspace;

c) THE RATE OF RUNWAY INCURSIONS AT AN AIRPORT

The rate of runway incursions at an airport calculated as the total number of runway incursions with any contribution from air traffic services or CNS services with a safety impact that occurred at that airport divided by the total number of IFR and VFR movements at that airport;

d) THE RATE OF SEPARATION MINIMA INFRINGEMENTS WITHIN THE AIRSPACE WHERE THE AIR NAVIGATION SERVICE PROVIDER PROVIDES AIR TRAFFIC SERVICES

The rate of separation minima infringements within the airspace where the air navigation service provider provides air traffic services, calculated as the total number of separation minima infringements with any contribution from air traffic services, or CNS services with a safety impact divided by the total number of controlled flight hours within that airspace;

e) USE OF AUTOMATED DATA RECORDING SYSTEMS BY THE AIR NAVIGATION SERVICE PROVIDERS

Where automated safety data recording systems are implemented, the use of these systems by the air navigation service providers, as a component of their safety risk management framework, for the purposes of gathering, storing and near-real time analyses of data related to, as a minimum, separation minima infringements and runway incursions.

FABEC NSA Committee
Manual

Procedure 07

Monitoring of ANSP SMS harmonisation and cooperation

DOCUMENT SUMMARY

Objective:	The objective of this procedure is to describe how the FABEC NSAC monitors the harmonization and cooperation of the FABEC ANSPs in the field of SMS.
Origin: NSAC Manual WG	**Audience**: FABEC NSAs

Title : PRO 07 – Monitoring of ANSP SMS harmonisation and cooperation
Reference: FABEC NSAC Manual PRO 07 v1.0 *This reference is the filename.*

Version: 1.0	**Date**: 14.11.2012	**Status**: ☐ Draft ☑ Released	**Classification**: ☐ Public ☑ FABEC limited ☐ Addressees limited

Explanation version numbers:
V 0.x: draft issue
V 1.0: adopted issue (formal version)
V y.x: draft revised issue
V z.0: adopted revised issue (formal version)

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
1.0	14.11.2012	Adopted issue	WG Members

Document Approval

	Name and function	Signature	Date
Approved by chairperson NSAC Manual Working Group	Frederik DEMEYERE NSA The Netherlands		14/11/12
Approved by chairperson NSAC	Patrick VANHEYSTE Belgian NSA		14.11.12

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1 PURPOSE

This procedure describes how the NSAC monitors the developments of the FABEC ANSPs on the harmonization and cooperation in the field of safety management, particularly by facilitating a discussion on these developments between the NSAC and the SC SAF.

2 SCOPE

The scope of this procedure is to ensure that the process of harmonisation and cooperation of the ANSPs in the field of SMS is monitored by the NSAC.

3 RESPONSIBILITIES

As the procedure does not lead to formal decision making, it is to be performed jointly by all FABEC NSAs participating in the FABEC NSAC.

4 DOCUMENT TEMPLATES

Not applicable

5 RECORDS & ARCHIVES

Document	Owner	Medium	Archives storage	Retention Time	Ending
What	*Who*	*Hard/soft copy*	*Location / Drive (location)*	*nn years*	*Shredder/delete*
Progress report	SEC NSAC	Soft	OST	5	Delete
Additional information	SEC NSAC	Soft	OST	5	Delete

6 PROCEDURE FLOWCHART

Not applicable

7 PROCEDURE DESCRIPTION

7.1 Progress report by Chairman FABEC SC SAF

Whenever deemed necessary by the NSAC or the FABEC SC SAF, but every six months as a minimum, the NSAC invites the chairperson of the FABEC SC SAF to inform the NSAC on the progress of the ANSPs on the cooperation and harmonization of the FABEC ANSPs in the field of safety management. This can be done by means of a written report or a presentation during a NSAC meeting.

7.2 Discussion by FABEC NSAC

In case the progress report is done through a written report, the NSAC discusses the progress during the first NSAC meeting following the delivery of the progress report. When the progress report is given through a presentation at the NSAC, the NSAC discusses the progress immediately following the presentation made during the same NSAC meeting.

Based upon the discussion, the NSAC may have a need for additional information, in this case the Chairperson of the NSAC requests the Chairperson of the FABEC SC SAF to provide the additional information during the next NSAC meeting, or in written form via email, as applicable.

7.3 Verification

NSAs may use the conclusions of the discussion and the provided information as an input to their annual verification program in case the NSA sees reason to verify the compliance to the applicable regulations of an ANSPs under their supervision. This national verification shall then be communicated/coordinated with the other FABEC NSAs to ensure a harmonised approach of it.

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FABEC NSA Committee

Manual

Procedure 08

Common understanding of published regulations affecting NSAs

DOCUMENT SUMMARY

Objective: *Common interpretation of published regulations and decisions of FABEC NSA's*	
Origin: NSAC Manual WG	**Audience**: FABEC NSAs

Title : PRO 08 – Common understanding of published regulations affecting NSAs
Reference: FABEC NSAC Manual PRO 08 v1.9 *This reference is the filename.*

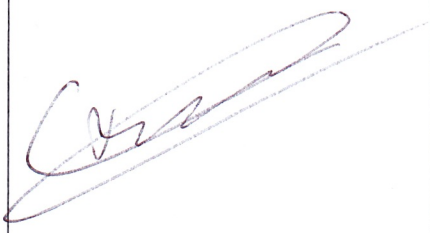
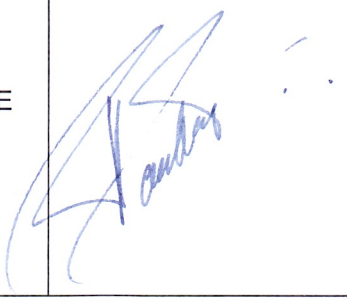
Version: 2.0	**Date**: 30.10.2013	**Status**: ☐ Draft ☑ Released	**Classification**: ☐ Public ☑ FABEC limited ☐ Addressees limited

Explanation version numbers:
V 0.x: draft issue
V 1.0: adopted issue (formal version)
V y.x: draft revised issue
V z.0: adopted revised issue (formal version)

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
1.0	14.11.2012	Adopted issue	WG Members
1.1	03.07.2013	Scope clarified in relation with PRO 10 Decisions are added to the scope	WG Members
1.9	03.09.2013	Finalised	WG Members
2.0	30.10.2013	Adopted issue	Manual WG

DOCUMENT APPROVAL

	NAME AND FUNCTION	SIGNATURE	DATE
Approved by chairperson NSAC Manual Working Group	Frederik DEMEYERE NSA The Netherlands		30-10-13
Approved by chairperson NSAC	Patrick VANHEYSTE Belgian NSA		30-10-13

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1 PURPOSE

Article 19(1) of the FABEC Treaty requires the FABEC NSAs to closely cooperate on the supervision of the air navigation service providers within the airspace concerned and that their practices are harmonised.

The FABEC NSA MoC, art 5(e) states that: "*Commonly agreed positions [and factual input] between all participating NSAs shall be developed*".

The purpose of this procedure is to achieve a common understanding of published regulations and/or decision affecting the NSAs in the FABEC.

2 SCOPE

This procedure is applicable to all published European regulations and decisions affecting NSAs in the FABEC.

Note:

This procedure is initiated prior to the publication in case a finalised version is available.

For the purpose of this PRO, decisions mean the following:

- *EC recommendations;*
- *EC decisions;*
- *EASA decisions, including AMCs.*

Draft regulations and draft decisions are explicitly out of the scope of this PRO. These will be dealt within PRO 10.

3 RESPONSIBILITIES

The Manual WG is responsible for developing the proposed harmonised view and the proposal for follow up actions.

The NSAC is responsible for the evaluation and the approval of the proposed harmonised view and the initiation of the proposed follow up actions.

4 DOCUMENT TEMPLATE

Not applicable

5 RECORDS & ARCHIVES

Document	Owner	Medium	Archives storage	Retention Time	Ending
What	*Who*	*Hard/soft copy*	*Location / Drive (location)*	*nn years*	*Shredder/delete*
The harmonised view	SEC NSAC	Soft copy	Dedicated folder on the OneSkyTeam	Until revocation of the specific regulation	Delete

6 PROCEDURE FLOWCHART

Not applicable

7 PROCEDURE DESCRIPTION

7.1 Initiation and Definition

Step 1: start of the procedure

The NSAC receives an input about a published regulation and/or decision.

When the input is received, the NSAC decides whether to:

1. send the information to the Manual WG with the task to perform an initial impact assessment of the input (Step 2);
2. skip Step 2 and directly task the Manual WG – and if deemed necessary, assisted by (experts of) a specific NSAC TF – when the initial impact assessment is already available (as a result of the yearly review) or considered not necessary, to develop a proposed harmonised view (Step 3) or;
3. disregard the input due to not applicable.

Output: decision NSAC.

Note:

An input can be a notification of a published regulation and/or decision by a member of the NSAC or a NSAC TF.

The Manual WG will act as coordinator in this procedure. If specific knowledge is required they will invite the experts from the specific NSA TF (via the CM of that TF) to assist.

Step 2: initial impact assessment and advice by the Manual WG

The Manual WG makes an initial impact assessment and reports back to the NSAC.

Output:

1. *initial impact assessment, addressing:*
   a. *the level[1] of impact on stakeholders;*
   b. *procedures affected;*
   c. *scope of the proposed harmonised view due to the published regulation and/or decision;*
2. *advice on how to proceed, including:*
   a. *an opinion on the need for a harmonised view;*
   b. *proposal which TF to be asked for assistance;*
   c. *preliminary proposed harmonised view (wherever possible);*
   d. *timeframe for development of the proposed harmonised view;*
   e. *the need for further investigation.*

[1] The level concerned is a high level impact assessment

Step 3: NSAC decides on tasking the Manual WG

Based on the initial impact assessment and the advice of the Manual WG, the NSAC decides:

1. to task the Manual WG to develop a proposed harmonised view (Step 4);
2. that the proposed harmonised view is not necessary (End of procedure); or
3. to ask for more clarification and updating of the initial impact assessment to the Manual WG (go to Step 2).

Output: decision NSAC.

7.2 Development of the proposed harmonised view

Step 4: development of the proposed harmonised view

As tasked by the NSAC, the Manual WG develops the proposed harmonised view. The proposed harmonised view will be submitted to the NSAC for initial approval (Step 5).

In case one or more AMCs to the regulation in question are available, the harmonised view shall indicate which AMC(s) are considered most appropriate.

Output: proposed harmonised view.

Note:

If no harmonised view can be developed, the proposal contains the different views of the Manual WG members. This document is named 'the proposal'.

Step 5: approval of proposed harmonised view

NSAC approves the proposed harmonised view (go to Step 6).

If the proposed harmonised view is not approved, the NSAC comments the proposed harmonised view and the Manual WG will take these comments into account. The (updated) proposed harmonised view will be sent again to the NSAC for approval.

The approved harmonised view is stored under the responsibility of the 'depository of the Manual' (NSAC SEC) on the OneSkyTeam site in a dedicated folder.

Output: NSAC decision on the approved harmonised view.

Note:

In case the proposal (see note under Step 4) contains the different views of the Manual WG members, the NSAC decides on a harmonised view.

If NSAC cannot approve the (updated) proposed harmonised view or take a decision on the previous note, NSAC decides on the next steps.

7.3 Follow up

Step 6: proposition

The Manual WG proposes follow up steps to the NSAC, including advice on:

- updating affected parts of the Manual;
- the need for new procedure(s);
- distribution of the approved harmonised view.

Step 7: decision on the follow up

The NSAC decides on the proposal of the Manual WG and – if applicable – initiates PRO 01.

Step 8: distribution

The SEC of the NSAC distributes the approved harmonised view in line with the NSAC decision.

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FABEC NSA Committee
Manual

Procedure 10

Common Position on Draft Regulations

DOCUMENT SUMMARY

Objective:	*To exchange comments on draft regulations or draft decision affecting the NSAs in the FABEC with the aim of reaching a common position as far as possible.*	
Origin:	NSAC Manual WG	**Audience**: FABEC NSAs

Title :	PRO 10 – Common position on draft regulations
Reference:	FABEC NSAC Manual PRO 10 v1.0
This reference is the filename.	

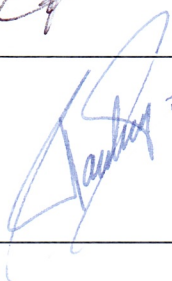
Version: 1.0	**Date**: 30.10.2013	**Status**: ☐ Draft ☑ Released	**Classification**: ☐ Public ☑ FABEC limited ☐ Addressees limited

Explanation version numbers:
V 0.x: draft issue
V 1.0: adopted issue (formal version)
V y.x: draft revised issue
V z.0: adopted revised issue (formal version)

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
1.0	30.10.2013	Adopted issue	Manual WG

DOCUMENT APPROVAL

	Name	Signature	Date
Approved by chairperson NSAC Manual Working Group	Frederik DEMEYERE NSA The Netherlands		30-10-13
Approved by chairperson NSAC	Patrick VANHEYSTE Belgian NSA		30-10-13

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1 PURPOSE

Article 19(1) of the FABEC Treaty requires the FABEC NSAs to closely cooperate on the supervision of the air navigation service providers within the airspace concerned and that their practices are harmonised.

The FABEC NSA MoC, art 5(e) states that: "*Commonly agreed positions [and factual input] between all participating NSAs shall be developed*".

The purpose of this procedure is to exchange comments to draft regulations or draft decision affecting the NSAs in the FABEC with the aim of reaching a common position as far as possible.

2 SCOPE

This procedure is applicable to all draft European regulations or decisions affecting NSAs in the FABEC.

Note:

For the purpose of this procedure, "decisions" mean the following:

- *EC recommendations;*
- *EC decisions;*
- *EASA decisions, including AMCs.*

Published regulations and decisions are explicitly out of the scope of this procedure. These will be dealt with in PRO 08.

3 RESPONSIBILITIES

NSAC is responsible for deciding the way forward on how to deal with draft regulations or draft decisions according to this procedure and for informing the H&AC on the development of the common NSA position.

Depending on the specifics of the draft regulation, other parties may be consulted during the use of this procedure, if so required.

4 DOCUMENT TEMPLATES

Not applicable

5 RECORDS & ARCHIVES

As decided by NSAC.

6 PROCEDURE FLOWCHART(S)

Not applicable

7 PROCEDURE DESCRIPTION

7.1 NSAC decision on action to be taken

Based on input during the NSAC meeting, the NSAC decides which one of the following actions to be taken:

1. No further action;
2. Exchange of national comments if possible or, as a minimum, NSA comments;
3. Elaboration of a common position:
    a. Informal common position which is integrated in the national State's or NSA's comments;
    b. Formal FABEC NSAs position which is issued as such.

Path 3.a. and 3.b. are not exclusive.

This NSAC decision is taking into account, among others, the following points of attention:

- the expected impact of the draft regulations or draft decisions on the activities of the NSAs;
- the timeline for the comments or feedback to the appropriate body;
- any available resources;
- possible activities and decisions by other FABEC bodies and/or FABs.

Output: NSAC decision on action to be taken

7.2 NSAC decision on whom to task

If applicable, based on the decision on § 7.1, NSAC decides on whom to task, taken into account the following possibilities:

- an existing TF;
- a new TF;
- an ad-hoc group of experts;
- NSAC themselves.

NSAC shall define the mandate of the tasked entity including, as a minimum

- timeframe;
- output, inter alia;
    - form of reporting, if any;
    - proposal for follow up, if applicable;
- responsibilities.

Output: NSAC decision on whom to task and associated mandate

7.3 Reporting and output

The tasked entity reports on a regular basis to the NSAC.

The output of the tasked entity is used and formalized by the NSAC as deemed necessary.

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FABEC NSA Committee
Manual

Procedure 11

Coordination of Risk-Based Oversight (CRBO)

DOCUMENT SUMMARY

Objective: *This procedure aims at identifying risks and implementing RBO actions at FABEC NSAC level.*	
Origin: *SPRC Task Force*	**Audience**: *FABEC NSAs*

Title : *Part II – Procedure 11 – Coordination of Risk-Based Oversight*
Reference: FABEC NSAC Manual PRO 11 v3.0.docx *This reference is the filename.*

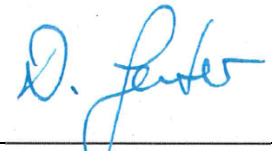
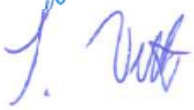
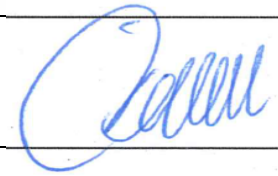
Version: 3.0	**Date**: 15.05.19	**Status**: ☐ Draft ☑Released	**Classification**: ☐ Public ☑ FABEC limited ☐ Addressees limited

Explanation version numbers:
V 0.x: draft issue
V 1.0: adopted issue (formal version)
V y.x: draft revised issue
V z.0: adopted revised issue (formal version)

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
1.0	02.05.2016	Adopted issue.	Isabelle PRAT
1.1	04.07.2016	Extended scope with JC and RAT questionnaires.	Jos NOLLET
1.2	20.07.2016	Review due to lessons learnt joint verification MUAC questionnaires 2015.	Jos NOLLET
1.3	14.09.2016	Extending of scope. Review by SAFP-TF.	SAFP-TF
2.0	15.11.2016	Adopted issue.	Isabelle PRAT
2.1	01.07.2018	Initial draft.	WG Members
2.2	17.07.2018	Inputs by the Luxembourgish TF representative.	Björn Schräder
2.3	09.08.2018	Inputs by the Swiss TF representative.	Laure N. Pirali-Fink
2.4	09.08.2018	Inputs by the French TF representative.	Fabrice Alger
2.5	28.09.2018	Inputs by the FAC.	Sebastian Veth
2.6	02.10.2018	Input by the Manual Working Group.	Antoine Vincent
2.7	30.01.2019	Review and update made at SPRC#40.	SPRC TF
3.0	15.05.2019	Finalisation in SPRC TF meeting #41	SPRC TF

DOCUMENT APPROVAL

	Name and function	Signature	Date
Approved by Chairperson, SPRC TF	Björn SCHRÄDER NSA Luxembourg		27/06/2019
Approved by Chairperson, FABEC NSAC Manual WG	Antoine VINCENT NSA Belgium		27/06/2019
Approved by Chairperson, Training TF	Dirk GEVATER NSA Germany		16/07/2019
Approved by FABEC Audit Coordinator (FAC)	Sebastian VETH NSA Germany		27/06/2019
Approved by Chairperson, Changes TF	Gianpaolo CECCHIN NSA Switzerland		27/06/2019
Approved by Acting Chairperson, NSAC	Karsten TILENDA NSA Germany		05/09/2019

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1 PURPOSE

1.1 The purpose of this procedure is to show how to include a Risk Based Oversight (RBO) dimension to FABEC NSAC activities, especially in order to focus FABEC NSA HR efforts on the most relevant oversight issues.

2 SCOPE

2.1 The scope of this Risk Based Oversight (RBO) procedure is to:

1. share information on operational safety risks identified at national level;
2. identify FABEC risks to enable the NSAC to trigger oversight actions.

This procedure does not replace the national RBO processes.

2.2 FABEC risks shall have the following characteristics:

- be based on tangible cases (through findings, occurrences, other oversight activities, etc.), and not on brainstorming;
- have a tangible operational safety aspect (beyond regulatory compliance aspect);
- be identified in two or more FABEC States.

3 RESPONSIBILITIES

3.1 Responsibilities of the Change Task Force, the Training Task Force and the FAC/NACs

The Change Task Force, the Training Task Force and the FAC/NACs are responsible for:

- sharing information on operational safety risks identified at national level in their field of expertise:
  - changes to the service providers' ATM functional systems for the Change Task Force, including "multi actor changes" with neighbouring countries;
  - ATCO training and licensing issues for the Training Task Force;
  - General oversight for the FAC/NACs.
- identifying FABEC risks in their fields of expertise;
- proposing appropriate common oversight activities for those FABEC risks;
- informing the SPRC Task Force of those FABEC risks and the proposed oversight activities in due time using the template in Annex 1.

3.2 Responsibilities of the SPRC Task Force

The SPRC Task Force is responsible for:

- consolidating FABEC risks identified from national occurrence reporting mechanisms;
- consolidating FABEC risks identified from other FABEC Task Forces and FAC/NACs;
- proposing to the NSAC a prioritised list of FABEC risks with an explanation how the risks affect safety and proposed oversight actions;
- considering where appropriate the SC-SAF's input on risks identified.

3.3 Responsibilities of the NSAC

The NSAC is responsible for endorsing the FABEC risks and proposed oversight activities.

4 DOCUMENT TEMPLATE

See Annex 1.

5 RECORDS & ARCHIVES

Document	Owner	Medium	Archives storage	Retention Time	Ending
List of FABEC Risks and RBO Actions	SPRC TF	Soft copy	One Sky Team	5 years	Delete

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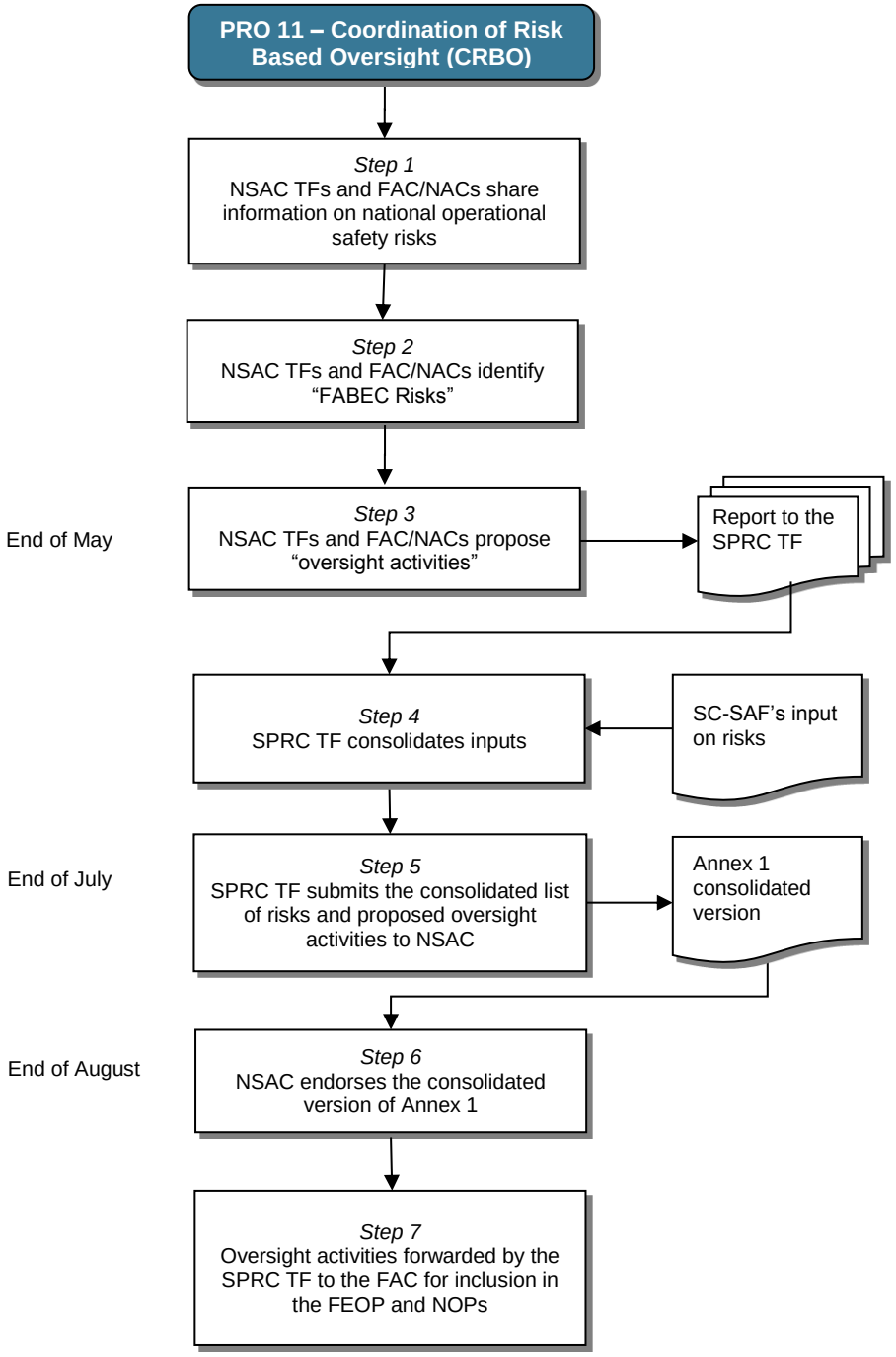
6 PROCEDURE FLOW CHART



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7 PROCEDURE DESCRIPTION

7.1 Identification of Risks and Proposed Oversight Activities

7.1.1 General

The NSAC TFs (Change, Training) and the FAC/NACs shall inform the SPRC TF of those FABEC risks and propose oversight activities by **end of May**, using the appropriate template in Annex 1:

- (Step 1) share information on national operational safety risks identified at national level in their field of expertise:
    - Change TF, e.g. changes to the service providers' ATM functional systems, including "multi actor changes" with neighbouring countries;
    - Training TF, e.g. ATCO training and licensing issues;
    - FAC/NACs, e.g. general oversight.
- (Step 2) identify "FABEC Risks" in their fields of expertise.
- (Step 3) propose appropriate oversight activities for those FABEC risks.

7.1.2 Specificities for the FAC/NACs

When sharing information on operational safety risks, the NACs shall provide the following minimum information:

- Identification of the risk;
- Origin (e.g. finding, observation, feedback);
- If applicable;
    - Location,
    - Affected type of Air Navigation Service,
    - Service Provider,
    - Regulatory reference.

The FAC shall consolidate the FABEC Risks and proposed oversight activities provided by the NACs.

7.2 Coordination of Risks and Proposed Oversight Activities

(Step 4) The SPRC TF consolidates FABEC Risks and oversight activities proposed by all NSAC TFs and the FAC/NACs.

(Step 5) The SPRC TF submits the consolidated list of risks and proposed oversight activities to NSAC by means of the Annex 1 consolidated version **by end of July**.

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7.3 Endorsement and Planning of Actions

(Step 6) The NSAC shall endorse **by end of August** the FABEC risks and proposed oversight activities to be carried out during the following year.

(Step 7) Those Oversight activities shall be:

- forwarded by the SPRC TF to the FAC;
- included in the FABEC Extract of the Oversight Programme (FEOP) by the FAC;
- forwarded by the FAC to the NACs to be included in the National Oversight Programmes (NOPs).

The final result could be the auditing on national level with a response of the result to FAC or a common FABEC audit performed by the same team in the affected FABEC states.

8 ANNEXES

Annex 1: *Overview of identified FABEC risks and oversight activities.*

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ANNEX 1 TO PRO 11

Overview of identified FABEC risks and oversight activities.

No:	reporting NSA	RISK	affected states:	Explanation how the risk affects the safety (possibly different in affected states; to be done by identifying TF when summarized by SPRC-TF)	identified in TF (name/No of meeting):	regulatory aspect	remarks/proposed oversight activity
1							
2							
3							
4							
5							
6							
7							

(End of Document)

MANUAL FOR THE COMMON ACTIVITIES OF THE FABEC NSAS

Part III – Audit Framework

DOCUMENT SUMMARY

Objective:	This document aims at harmonising the FABEC NSAs procedures for auditing through the creation of an Audit Framework.
Origin: NSAC Manual WG	**Audience**: FABEC NSAs

Title : Part III –Audit Framework
Reference: FABEC NSAC Manual Part III - Audit Framework v6.0 *This reference is the filename.*

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3.0	01.06.2016	Adopted issue	WG Members
4.0	8.12.2016	BSA-ANS proposal coordinated with FAC	Antoine VINCENT
5.0	13.07.2017	Output Manual Working Group / FAC teleconference	Antoine VINCENT
6.0	28.06.2019	Update of regulatory references	FAC/NACs

DOCUMENT APPROVAL

	Name	Signature	Date
Approved by chairperson NSAC Manual Working Group	Antoine VINCENT		28/06/2019
Approved by acting chairperson NSAC	Karsten TILENDA		15/07/2019

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1 PURPOSE

The FABEC NSA Committee decided to harmonise the national auditing procedures and to cooperate in the field of auditing (reference FABEC NSAC Decision #25).

This Part aims at implementing the FABEC NSAC Audit Framework as described in Chapter 6. This is achieved by following the principles:

- The framework shall be dynamic in order to allow flexibility for the FABEC NSAs
- The framework shall harmonize the FABEC NSAs oversight activities
- The level of detail of the harmonized framework shall increase over time
- The FABEC NSAs shall implement the harmonized framework into their internal procedures

2 SCOPE

Part III – Audit is scoped at the identification of the enablers for a harmonized audit framework, as well as the description of the general parts of the audit framework (i.e. chapters 1, 2, 4 and 7 of ISO 19011:2018) that need to be implemented by the FABEC NSAs.

Furthermore, the procedures defined in this part will elaborate in detail on those parts of the audit framework that have been identified as ongoing activities between the FABEC NSAs.

3 RESPONSIBILITIES

3.1 Responsibilities of the Manual Working Group

The FABEC NSAC Manual WG is responsible for:

- keeping this document up-to-date

3.2 Responsibilities of the FABEC Audit Coordinator

The FAC is responsible for:

- Collection and assessment of information (e.g. from the feedback forms and lessons learned sessions) relevant for the further development of the Audit Framework
- Discussing updates based on the aforementioned information for further harmonization with the NACs and relaying that input to the Manual Working Group

4 ANNEXES

FABEC NSAC Manual, Part III – Procedure A – Oversight planning

FABEC NSAC Manual, Part III – Procedure B – Audit conduct

5 ENABLERS

5.1 Identification of the enablers

The following enablers are identified and are prerequisites for the exchange of auditors:

5.1.1 COORDINATION

Coordination of exchange of personnel shall be assured.

5.1.2 EFFECTUATION

It shall be assured that the exchange of auditors is effectuated through the exchange of the national oversight programmes.

5.1.3 PROCEDURES

The FABEC NSAs shall agree on what procedures, code of conduct and terminology is applicable.

5.1.4 CONFIDENTIALITY

It shall be ensured that all documents and information obtained by the auditor are treated confidential, as far as applicable.

5.1.5 ACCESS

It shall be ensured that the auditor from the guest NSA has access to all relevant areas within the scope of the audit.

5.1.6 LESSONS LEARNT

It shall be assured that lessons learnt workshops are yearly organised.

5.1.7 LANGUAGE

As far as reasonable practical, it shall be ensured that the audit is conducted in English. The NSAs and organisation shall agree on the language.

5.1.8 FINANCE

The FABEC NSAs shall agree on the expense of the exchange of personnel.

5.1.9 COMPETENCY

An auditor shall be competent.

5.2 Resolution of the enablers

The members of the FABEC NSAC shall resolve the enablers in the following manner:

5.2.1 COORDINATION

In order to assure efficient and effective coordination of the exchange of personnel, the FABEC NSAC has established a ‘FABEC NSAC Audit Coordinator’ (FAC).

5.2.2 EFFECTUATION

The effectuation of the exchange of auditors is ensured through the harmonisation of the process of the establishment of the annual FABEC Extract Oversight Programme and the creation of the FAC function.

5.2.3 PROCEDURES

During the preparation and the factual audit, the code of conduct, procedures and specifications including roles and responsibilities of the host NSA are applicable to the personnel exchanged. These applicable documents are exchanged with the personnel in due time and a common understanding is assured at least through a pre-briefing of the audit team before the actual conduct.

5.2.4 CONFIDENTIALITY

For some NSAs, confidentiality is arranged through the national process, for the sake of harmonisation and clarification, the auditor shall sign, before he starts the preparation of the audit, a confidentiality agreement. The confidentiality agreement is stored with the FAC.

5.2.5 ACCESS

In general, audit teams announce their visits well in advance to the organisation and present the composition of the audit team.

Access to premises is arranged through CIR (EU) 2017/373 or CR (EU) 2015/340. In case access to premises is not granted to personnel of the guest NSA, the decision will be brought to the FABEC Council and/or the ANSCB.

5.2.6 *LESSONS LEARNT*

Each observers and/or auditor shall after the audit give feedback, including as a minimum:

- The encountered major differences between the audit procedure of the guest NSA and host NSA
- The encountered difficulties of joining an audit team of another FABEC NSA as an auditor and foreseeable problematic issues for the future phases (i.e. exchange of auditors and lead auditors)
- The encountered best practices
- Possible inconsistencies between harmonised parts of the audit function and national procedures

A questionnaire was created to streamline the lessons learnt.

5.2.7 *FINANCE*

All costs related to the exchange of personnel are at the expense of the guest NSA. This means that each NSA bares the costs related to its own personnel.

5.2.8 LANGUAGE

NSAs exchanging auditors shall consider language barriers as far as practical.

The audit in which the guest NSA participates is conducted preferably in English. In any case, at the very beginning of the audit process, the guest and host NSA shall agree in consultation with the organisations on the language used.

Note: the common language is English in order to be able to exchange best practices and results during the lessons learnt workshop. Organisations documentation may be in another language.

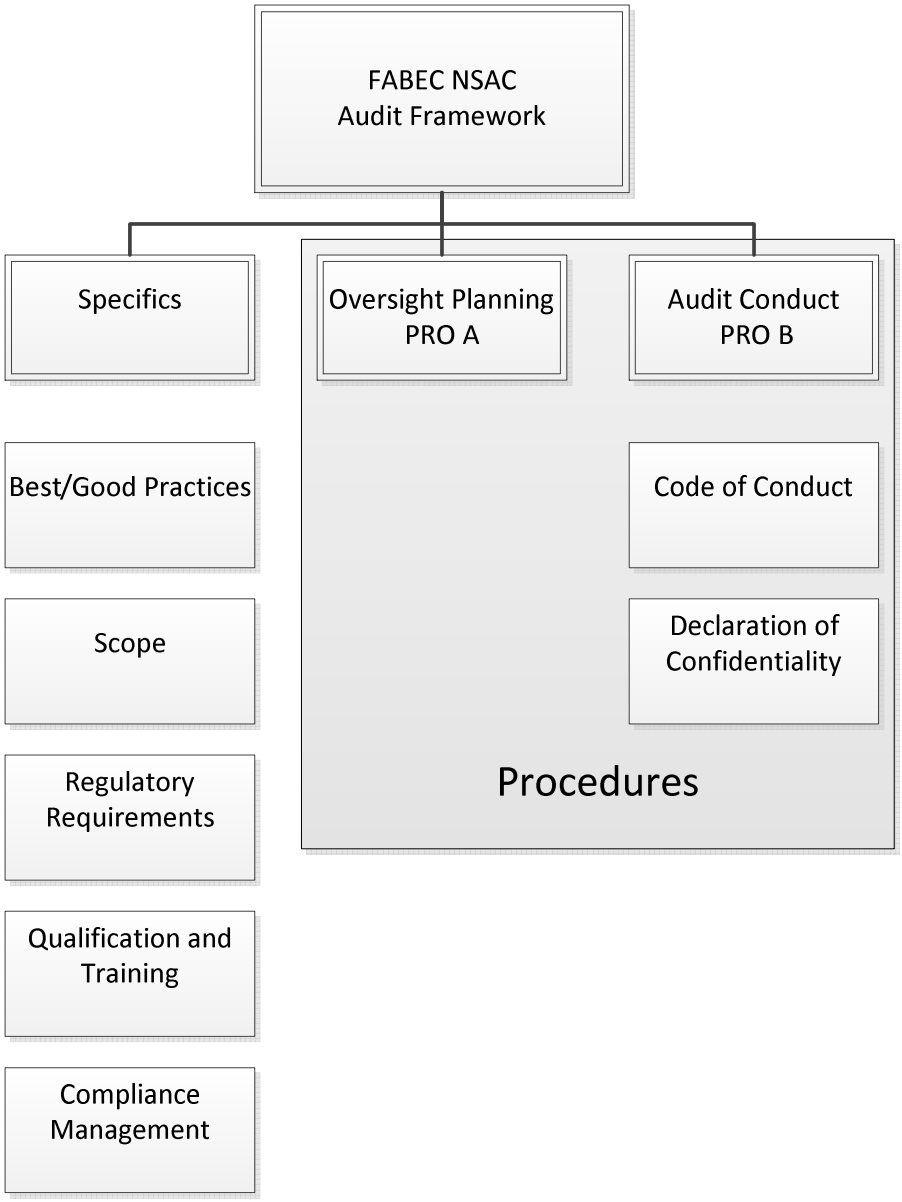
5.2.9 COMPETENCY

In order to ensure competency of the exchanged personnel, the FABEC NSAs qualification and training requirements have to be harmonised. Furthermore, common qualification and training requirements for FABEC Observers and FABEC Auditors need to be defined.

It is the responsibility of the guest NSA to ensure adequate qualification and training. Once per year in the Lessons Learnt workshop the FABEC-wide list of qualified personnel is updated.

6 OVERVIEW OF THE FABEC NSAC AUDIT FRAMEWORK

Part III – Audit is split into a procedure for oversight planning (cf. chapter 5 of ISO 19011:2018), a procedure for audit conduct (cf. chapter 6 of ISO 19011:2018) and general prerequisites that are addressed in this cover document.



7 FRAMEWORK SPECIFICS

The specifics of the framework can be divided into the following parts:

- Best/good practices
- Scope
- Regulatory requirements
- Training and Qualification
- Compliance Management

7.1 Best/good practices

The identified best practices are:

1. ISO 19011:2018 as leading source
2. The following guidance materials are also considered as good practices:
   - National procedures (FABEC States and others)
   - EASA AMC / GM
   - EASA Manual (Commission Implementing Regulation (EU) No 628/2013)
   - Eurocontrol guidance material

7.2 Scope

The scope of the audit framework is restricted to the oversight activities as defined by the NSA(s) for auditing during ongoing oversight at one of the FABEC organisations.

7.3 Regulatory Requirements

The main regulatory requirements on how the audit process is designed and implemented by the NSA are laid down in Regulation (EC) No 550/2004, Regulation (EU) 2018/1139, Commission Regulation (EU) 2015/340, Commission Implementing Regulation (EU) 2017/373.

7.4 Qualification and Training

7.4.1 At national level

Minimum qualification and training requirements at the national level can be found in the table underneath.

If an NSA chooses to deviate on an ad-hoc basis from this training scheme, it can only be by decision of the Head of the NSA.

For participation in audits within the responsibility of the NSA of the Observer or (Lead) Auditor only (NATIONAL)		
Qualification	**Initial / Recurrent**	**Minimum training and competence**
Observer	Initial	• Basic awareness of Single European Sky (SES), e.g. through one of the following recommended trainings: o IANS LEX-SES; o IANS LEX-ORG; o Air Navigation Oversight Methods (DSAC - MESNA); o Or experience on the job.
	Recurrent	Not applicable
Auditor	Initial	Over a period of maximum 2 years: • Meet the requirements of Observer; • One of the following training programs: o Successful completion of Eurocontrol IANS Audit Techniques and Practice course (LEX-AUDIT-1 through 3); o Successful completion of ENAC RANA and TANA course.
	Recurrent	• Participation in at least 2 and preferably 3 audits

		every 2 calendar years as an Auditor or Lead Auditor. *Note: participation as internal; national; MUAC; FABEC; EASA or international Auditor or Lead Auditor is included* • Attendance of refresher workshop at least once every 3 years. Taking into account, e.g. o Audit methodology; o Regulatory updates; o Exchange of best practices.
Lead Auditor	Initial	• Current Auditor • Participation in at least 3 audits as an Auditor • Authorized by the Head of NSA or a mandated representative
	Recurrent	• Participation in 1 audit every 2 calendar years as a Lead Auditor *Note: participation as internal; national; MUAC or FABEC Lead Auditor is included*

Note: the NSA can decide on grandfather rights for auditors and lead auditors already acting as auditors and or lead auditors based on national qualification criteria established before 1st of January 2016.

7.4.2 At FABEC level

At the FABEC level, the qualification and training requirements are harmonised and thus, will be the same for all FABEC staff involved in FABEC audits.

For participation in audits within the FABEC, under the responsibility of a NSA other than the one of the of the FABEC Observer or FABEC (Lead) Auditor (FABEC)		
Qualification	**Initial / Recurrent**	**Minimum training and competence**
FABEC Observer	Initial	• Current Auditor • Signed FABEC confidentiality agreement • General awareness of Part III of the FABEC NSAC Manual
	Recurrent	• Current Auditor
FABEC Auditor	Initial	• Meet the requirements of FABEC Observer; • Current Lead Auditor or participation in at least 3 audits as an Auditor. *Note: participation as internal; national; MUAC; EASA or international Auditor is included* • Authorized by the Head of NSA or a mandated representative
	Recurrent	• Current Auditor • Participation in 1 audit every 2 calendar years as a FABEC Auditor or FABEC Lead Auditor. • Attendance or involvement of annual lessons learnt workshop.

7.5 Compliance Management

Note: compliance management is to be developed later. Which means that for now it will be done according the national procedures of the host NSA.

8 PROCEDURE A – OVERSIGHT PLANNING

This procedure contains the description of the management and coordination that has to be in place in order to plan the exchange of personnel on a yearly basis.

9 PROCEDURE B – AUDIT CONDUCT

This procedure describes the factual conduct of an audit by the audit team and the organisational items that need to be in place in order for the audit to be conducted in a consistent and coherent way.

FABEC NSAC
Manual

Part III – Procedure A

Oversight Planning

DOCUMENT SUMMARY

Objective: *This document aims at harmonising the FABEC NSAs procedures for auditing through the creation of an audit framework*	
Origin: *NSAC Manual WG*	**Audience**: *FABEC NSAs*

Title : *Part III – Procedure A - Oversight Planning*
Reference: FABEC NSAC Manual PRO A v7.0 *This reference is the filename.*

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4.0	08.12.2016	Adopted Issue	Antoine Vincent
5.0	13.07.2017	Output Manual Working Group / FAC teleconference	Antoine Vincent
6.0	03.07.2018	Adopted issue	Antoine Vincent
7.0	28.06.2019	Addition of risk coordination and updated annex	Antoine Vincent

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1 PURPOSE

In order to enable the exchange of personnel, the annual oversight planning of the FABEC Member States needs to be aligned. This procedure defines the timeline for the national oversight planning based on the milestones and information required for creating the 'FABEC Extract Oversight Programme' (FABEC EOP). The FABEC EOP presents the oversight activities that are executed by teams consisting of auditors from at least two different FABEC Member States.

2 SCOPE

The oversight activities are planned by each FABEC NSA according to Reg. (EC) No 550/2004 Article 2. Notwithstanding any other oversight cycles an annual planning is conducted in all Member States.

In the planning process activities, that are to be actively advertised/promulgated for FABEC, participations are identified. Reasons for that may be but are not limited to:

- Specific expertise for a certain scope
- Cross-border service provision
- Specific FABEC activities and risks.

3 RESPONSIBILITIES

3.1 Roles and responsibilities of the National Audit Coordinators

NACs are responsible for:

- Timely dissemination of information according to this procedure
- Coordination of and information to personnel of their respective NSA
- Ensuring that lessons learnt are fed back for further harmonization
- Participation in lessons learned workshops
- Ensuring that only personnel qualified in accordance with the Audit Framework participates in FABEC-audits
- Reporting of FABEC risks' status to NSAC via FAC

3.2 Responsibilities of the FABEC Audit Coordinator

The FAC is responsible for:

- Coordinating the exchange of personnel in the planning phase
- Reporting to the NSAC on the development and implementation of the FABEC EOP
- Collection of FABEC risks' status from NACs for yearly report to NSAC
- Collection and assessment of information (e.g. from the feedback forms and lessons learned sessions) relevant for the further development of the Audit Framework
- Organising lessons learned workshops
- Organises the telephone conference with the NACs in the coordination phase
- Active coordination with the Manual WG for the further development of the audit framework

3.3 Responsibilities of the NSAC

The NSAC is responsible for

- the endorsement of the FABEC EOP
- the timely decision on specific FABEC activities to be incorporated in the FABEC EOP.

3.4 Responsibilities of the Manual Working Group

The FABEC NSAC Manual WG is responsible for

- keeping this document up-to-date

4 DOCUMENT TEMPLATES

The template of both the FABEC EOP and the National Oversight Programmes (NOP) within FABEC is available as Annex I. This template is coordinated by the NACs with the purpose to get easy access to all relevant information of planned oversight activities. NACs are requested to make use of this template.

5 RECORDS & ARCHIVES

The FABEC EOP including all inputs, updates and disseminated versions is stored in electronic format with the FAC.

Feedback forms and Declarations of Confidentiality are stored electronically by the FAC.

6 PROCEDURE FLOW CHART

To be developed in a later issue

7 PROCEDURE DESCRIPTION

7.1 General oversight planning in year n-1

7.1.1 FABEC risk planning phase

After receiving the endorsed list of FABEC risks from NSAC, the NACs coordinate internally the most suitable way of addressing those. Per definition, at least two states are involved in risks. Therefore the NAC of the 1st state in the list of each line/risk contacts the other NAC(s) affected in order to decide whether the risk should be planned as national or common audit. The result is included in the NOPs for the next phase.

7.1.2 Information phase – FEOP issue 0.1

By 1st of October at the latest, basic national oversight programme (NOP) year n, including request(s) for expertise and specific activities as decided by FABEC NSAC, is sent by the national audit coordinator (NAC) to the FAC and the other national audit coordinators.

Minimum information on audits in the NOP:

- Audited organisation (ORG)
- Geographical location (LOC), if available (obligatory for FABEC audits)
- Check box for type of organisation: ATS, CNS, MET, AIS, ASM/ATFM, TO, AFIS, PFD
- Quarter of year n - or more detailed, if available
- Duration of the audits
- Scope - requirements on article level, if available
- Remarks – FABEC risks to be addressed (compare PRO 11)
- Lead Auditor, if available

The identification of declared FABEC audits has to be unambiguous.

Those NOPs have in principle already been subject to consultation with organisation.

On the basis of all available NOPs, the FAC sums up all declared FABEC audit activities in issue 0.1 of the FEOP and distributes it to all NACs.

7.1.3 Proposal phase – FEOP issue 0.2

In preparation of the Coordination phase at the latest one day before the telephone conference:

- All NACs send their input to the FAC and the other NACs which encompasses the following:
  - Responses to issue 0.1 of the FEOP
  - Requests for additional exchanges besides the declared FABEC audits, if any
- The FAC sums up all agreed FABEC audit activities in issue 0.2 of the FEOP and distributes it to all NACs.

7.1.4 Coordination phase – FEOP issue 0.3

The telephone conference is held between 15th and 20th October. Its objective is to solve all open items, missing details and possible problems in participation.

The FAC sums up all agreed FABEC audit activities in issue 0.3 of the FEOP and distributes it to all NACs.

7.1.5 Reporting phase – FEOP issue 0.4

By 1st November at the latest, all NACs report to the FAC and the other NACs their NSA's decision on the exchanges listed in issue 0.3 of the FEOP.

The FAC sums up all decisions in issue 0.4 of the FEOP, distributes it to all NACs and forwards it to the NSAC.

7.1.6 Endorsement phase – FEOP issue 1.0

During the NSAC the FAC presents and clarifies the FEOP issue 0.4. Following NSAC formal endorsement, the FAC distributes issue 1.0 of the FEOP to the NACs and the NSAC secretary.

7.1.7 Distribution Phase

By the 1st week of December at the latest, the NACs send the Final NAP to the FAC and the other NACs.

7.2 Management of oversight planning in year n

7.2.1 Updates of the NOPs and FEOP

Updates of the NOPs are distributed by each NAC to the FAC and the other NACs. Dates of audit activities planned in Q1 and Q2 should be coordinated with all participants by the beginning of the year at the latest. Dates of audit activities planned in Q3 and Q4 should be coordinated with all participants by May at the latest.

FAC updates the FEOP when major changes are recognized in the NOPs.

7.2.2 Audit preparation

Latest 2 months in advance of a FABEC audit, the Lead Auditor sends all available information to the auditors.

More generally, the Lead Auditor is responsible for the timely communication of all audit related information to the whole team, including FABEC auditors or observers. In the absence of Lead Auditor identified in the FEOP, this function shall be assumed by the NAC.

ANNEX 01 – LAYOUT NATIONAL OVERSIGHT PROGRAMMES AND FABEC EXTRACT OVERSIGHT PROGRAMME

FABEC Audit No.	National Audit No.	Host state	Organisation	Location	Date	Duration (days)	SERVICE									Scope	Functional Area	Remarks	Lead Auditor	Participant(s)
							ATS	CNS	MET	AIS	ASM/ATFM	TO/licencing	AFIS	MED	FPD					
FYY-No.																				

Audit No.: Audits with FABEC auditor exchange will be uniformly marked with “F” at the beginning (**F-**19-02)

Host state: NL; LU; CH; BE; FR; DE

Organisation: Organisation to be audited (auditee)

Location: Location of the TWR / ACC / Office…

Date: beginning and end of the planned audit

Duration: number of days for the planned audit

Service: one or more services which have to be audited; marked by “x”

Scope: Regulation incl. Articles or Annexes (not only free text; additional explanation possible as text)

Functional areas to be verified during the oversight activities. The following list is provided as an example:

- O Operations
- OV Remote
- OL Tower/APP
- OM Organisation Regional
- T Engineering and Technical Services
- OA AIM Services
- HT Initial Training Organisation
- CS Legal, Regulation, Compliance, Int. Affairs
- VA Corporate Audit
- H Human Resources
- CP Portfolio & Change Management
- FC Financial controlling
- OO Operations Development (incl. ATM procedures, airspace and PANS-OPS Design, ATFCM, OPS Regulation)
- S Safety, Security, Quality
- FR Corp. Real Estate Management & Infrastructure

Remarks: e.g. FABEC risk No.

Lead Auditor: Point of contact for all members in the audit team

Participant(s): internal and/or external auditors, observers, members from foreign NSAs (not the expected participants from the auditee). Please provide email-address.

FABEC NSAC
Manual

Part III - Procedure B

Audit Conduct

DOCUMENT SUMMARY

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4.0	08.12.2016	Adopted issue	Antoine Vincent
5.0	13.07.2017	Output Manual Working Group / FAC teleconference	Antoine Vincent
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1 PURPOSE

In order to enable the exchange of personnel the general rules for the conduct of an audit by the FABEC Member States needs to be aligned. This procedure defines the supporting elements for the audit conduct as well as the code of conduct itself.

2 SCOPE

This procedure aims at harmonizing the audit conduct in the different FABEC NSAs, in particular to support the exchange of observers and auditors between the FABEC NSAs.

3 RESPONSIBILITIES

3.1 Roles and responsibilities of the observer

In principle, an observer does not intervene during the conduct of the interviews (see ISO 19011:2018, 3.11 on observer). However, there can be a deviation from this principle if there has been prior agreement within the audit team. In this case, the observer is allowed to actively participate in audits under the responsibility of a qualified auditor.

Note: a licensed oversight inspector according to French regulation is included in the above deviation.

3.2 Roles and responsibilities of the auditor

An auditor from the guest NSA is an integral part of the audit team. An auditor is acting under the responsibility of the Lead Auditor of the host NSA and in accordance with applicable regulations and procedures of the host NSA.

3.3 Roles and responsibilities of the lead auditor

The lead auditor manages the audit, planning, conduct and reporting and is the single point of contact for all communication related to the specific audit. The lead auditor reports to the head of the host NSA. The lead auditor informs the other auditors about the specific procedures of the host NSA.

3.4 Roles and responsibilities of the National Audit Coordinators

NACs are responsible for

- Promulgation of this procedure and its annexes to the auditors of their respective NSA
- Ensuring that lessons learnt are fed back for further harmonization
- Collection and storage of Declaration of Confidentiality
- Completion report of the FABEC Audit to FAC for status report of ongoing coordination

3.5 Responsibilities of the Manual Working Group

FABEC NSAC Manual WG is responsible for

- keeping this document up-to-date

4 DOCUMENT TEMPLATES

4.1 Feedback form

The feedback form for the lessons learnt from the FABEC exchange will be provided as Word document by the NACs.

5 RECORDS & ARCHIVES

All records related to the audit are kept according the processes of the host NSA.

6 PROCEDURE FLOW CHART

To be developed in a later issue

7 PROCEDURE DESCRIPTION

7.1 General

During the preparation and the audit, the code of conduct, procedures and specifications including roles and responsibilities of the host NSA are applicable to the personnel exchanged. The applicable documents are exchanged with the personnel in due time and a common understanding is assured at least through a pre-briefing of the audit team before the actual conduct.

7.2 Before the audit

Preparation

- Planning of the audit
- Notification of the audit

All FABEC auditors and observers shall sign a confidentiality agreement based on the template in Annex 02 before starting the audit preparation.

7.3 During the audit

Conduct

- On-desk document review
- On-site conduct of the audit

The lead auditor present preliminary audit findings without classification to the audited organisation during the closing meeting.

7.4 After the audit

7.4.1 Finding classification

The lead auditor organizes a finding classification review meeting including:

- if possible all team members,
- if arrangeable external attendees to the audit team, such as the head of NSA or a responsible manager.

The outcome of this meeting is a classification based on expert judgement of the preliminary findings in one of the following categories:

- 1a level 1 finding with safety impact
- 1b level 1 finding without safety impact (e.g. related to continuity of operations)
- 2a level 2 finding with safety impact
- 2b level 2 finding without safety impact (e.g. documentary compliance)
- Observation.

Categories 1a and 2a are candidates of risks and undergo PRO 11.

If the audited organisation is involved in cross-border service, the meeting shall also determine whether the finding risk has an impact on the foreign ATM/ANS functional system. If the answer is positive, level 1 and 2 findings shall be exchanged as detailed in PRO 02.

7.4.2 Audit report

Audit results will be documented and reported in the audit report to the accountable manager.

7.4.3 Completion report of FABEC Audit

The NAC reports the completion of the FABEC audit to the FAC for updating the status of ongoing coordination to be reported to NSAC.

When FABEC risks were addressed in the FABEC audit, additional feedback regarding the status has to be provided from the NAC to the FAC.

7.4.4 Lessons learnt

The NAC of the hosting CA will distribute the feedback form to the lead auditor and the FABEC Auditor after the issue of the audit report. The feedback form is to be completed within four weeks after the audit and has to be sent to the NAC of the hosting CA. The NAC of the hosting CA will upload the files in pdf to the OST corresponding folder.

8 ANNEXES

Annex 01 – Code of Conduct

Annex 02 – Declaration of Confidentiality

ANNEX 01 – CODE OF CONDUCT

1 BACKGROUND

This document 'Code of Conduct' describes how an auditor should behave during an audit. The goal of these professional and ethical principles is to create a process-oriented, not goal-oriented framework for all Team Members (TM) to adhere to during an audit. After all, auditors are, when performing their duties on behalf of a guest NSA, representatives of the host NSA. These principles are binding on all TMs. They should also be observed by individuals participating in audits as observers.

For the purpose of this document, an audit is every activity related to certification, on-going oversight or change review audits, including the follow-up of corrective action plans. The principles are applicable from the first preparation meeting till the dismissal of the TM, where applicable.

The principles laid out in this 'Code of Conduct' are based on ISO 19011:2018 which are also endorsed by ICAO's USOAPS.

This Code of Conduct is notwithstanding any national regulations regarding principles mentioned in this chapter.

2 PROFESSIONAL CONDUCT

An audit shall be conducted on the basis of the "Foundations of Professionalism": trust, integrity, confidentiality and discretion.

TMs are expected to always reflect the values represented by these elements in their dealings with organisations or third parties.

All TMs, as representatives of an NSA, shall maintain a professional conduct during all phases of the audit and avoid any non-professional behavior, including but not limited to inappropriate jokes, attitude or appearance to any person, gender or group.

3 PRINCIPLES

The following principles apply to all Team Members involved in the audit:

3.1 Integrity

Auditors shall:

- perform their work with honesty, diligence, and responsibility;
- observe and comply with any applicable legal requirements;
- perform their work in an impartial manner, i.e. remain fair and unbiased in all their dealings;

3.2 Fair presentation

The communication between the audit team and the auditee shall be truthful, accurate, objective, timely, clear and complete. Audit findings, audit conclusions and audit reports shall reflect truthfully and accurately the audit activities. Significant unresolved differences in opinion encountered during the audit between the audit team and the auditee, including situations hampering the conduct of the audit, shall be stated in the audit report.

3.3 Due professional care

Auditors shall exercise due care in accordance with the importance of the task they perform and the confidence placed in them by the FABEC NSAs. An important factor in carrying out their work with due professional care is to apply reasoned judgements in all situations.

3.4 Confidentiality

Auditors shall exercise discretion in the use and protection of information acquired in the course of their duties. Audit information shall not be used inappropriately for personal gain by the auditor or the audit client, or in a manner detrimental to the legitimate interests of the auditee. This concept includes the proper handling of sensitive or confidential information.

3.5 Independence

Auditors shall be independent of the activity being audited wherever practicable, and shall in all cases act in a manner that is free from bias and conflict of interest. Auditors shall maintain objectivity throughout the audit process to ensure that the audit findings and conclusions are based only on the audit evidence.

3.6 Evidence-based approach

Audit evidence shall be verifiable. It is in general based on samples of the information available, since an audit is conducted during a finite period of time and with finite resources. An appropriate use of sampling shall be applied, since this is closely related to the confidence that can be placed in the audit conclusions.

3.7 Professionalism

- Always show up well-prepared and punctual for assigned tasks.
- The dress code is normal business attire. During audit activities, this should always be maintained even in case local habits differ and TMs are offered to dress casually.
- During audit activities, all TMs are requested to silence or switch-off entirely their cell phones and to limit dedication to any other businesses not related to the audit to an absolute minimum.
- In the presence of officials of an inspected entity, TMs shall not openly challenge statements or decisions made by other TMs. In cases of clarification need it is advisable to request a small break in order to discuss and resolve the issue within the audit team.
- TMs shall always be sensitive about the environment when discussing about audit results. This is particularly applicable at public places like trains, planes or hotel lobbies; discussions related to audits should generally be avoided at such places.
- TMs shall not leave behind or place in local waste bins any field notes, draft reports or other documents or records related to the audit.
- All TMs are responsible to take the necessary precautions to protect any audit-related electronic files from potential abuse.

ANNEX 02 – DECLARATION OF CONFIDENTIALITY

The text of the declaration is defined below. National standards on layout and format may apply.

The undersigned, [Family Name, Surnames], hereafter called "Audit Team Member", is hereby legally authorised by [Name of Guest NSA], being the competent authority of [State Name], to participate as [Function in Audit] in an Audit of [Name of host NSA], being the competent authority of [State Name], and of the undertakings under its oversight in the period from [Date of Audit].

CONFIDENTIALITY. The Audit Team Member keeps confidential and does not disclose outside the Audit Team any information that is revealed to him/her, that he/she has discovered or any information relating to the views expressed during the course of the Audit. The Audit Team Member will not make any adverse use of information related to the Audit.

INDEPENDENCE. The Audit Team Member shall neither seek nor take instructions from any government, authority, organisation or person outside the Host NSA. The Audit Team Member is to conduct him-/herself solely with the interests of the Host NSA in mind.

CONFLICT OF INTEREST. The Audit Team Member immediately informs in writing the Audit team leader if he/she discovers any (potential) conflict of interest, direct or indirect, in respect of participation in this Audit of the competent authority or any undertaking audited.

CODE OF CONDUCT. During the Audit, the Audit Team Member shall respect the Code of Conduct as defined in the FABEC NSAC Manual.

DEPOSITORY. This Declaration is kept in the Audit file of the Host NSA. A copy of this Declaration is sent to the Guest NSA and the FABEC Audit Coordinator.

This Declaration is notwithstanding any national regulations regarding Confidentiality, Conflict of Interests and Independence.

On behalf of the NSA seconding the Audit Team Member, the first signatory is Head of [Guest NSA] or mandated representative.

The second signatory is the Audit Team Member, authorised by [Guest NSA].

Done in [place name], on [date].

[Signature]	*[Signature]*
[full Name & title printed] *Head of organisation seconding the Audit Team Member*	*[full Name & title printed]* *Audit Team Member*