

Enclosure 8

SINGLE EUROPEAN SKY  
(SES) REGULATION

**EUROCONTROL PROPOSED ACTIONS TO  
SUPPORT STAKEHOLDERS' EFFORTS TO  
IMPLEMENT THE**

***DRAFT IMPLEMENTING RULE ON  
AIRCRAFT IDENTIFICATION***

## DOCUMENT CONTROL

### DOCUMENT CHANGE RECORD

The following table records the most important steps of the successive editions of the present document

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## 1. INTRODUCTION

This document outlines the areas in which EUROCONTROL proposes actions to support the implementation of the SES implementing rule on Aircraft Identification (ACID).

EUROCONTROL proposed actions are organised into three main streams of activity:

1. Support for the implementation of the Aircraft Identification.
2. Support for the planning process and preparation of the monitoring of SES implementation.
3. Support to National Supervisory Authorities.

It is noteworthy that streams 2 and 3 are not specific to this implementing rule and might be consolidated into a larger support applicable to all interoperability implementing rules.

The ACID IR prescribes interoperability and performance requirements for a progressive increase in the use of downlinked aircraft identification after 9 February 2012. Initially, the required deployment is prescribed for a limited area but with prescriptions for use of downlinked aircraft identification across SES airspace by 2 January 2020. The ACID IR also prescribes requirements for more sophisticated assignment capabilities for SSR codes to be deployed in FDPS by those ANSPs not implementing use of downlinked aircraft identification by 9 February 2012. The overall objective of the aircraft identification strategy, support by the ACID IR, is to ensure unambiguous and continuous individual aircraft identification in SES airspace after 9 February 2012.

The actions identified in this document are focussed on the implementation of the first milestone (2012), however they may be adapted later on, where necessary, to address the harmonised transition from the 2012 state to the 2020 one.

## 2. SUPPORT FOR THE IMPLEMENTATION OF ACID

During or after the process of implementation of the implementing rule the stakeholders might need support or clarifications concerning the requirements of the rule, with regard to the operational, technical and/or institutional aspects associated with the rule.

EUROCONTROL has already put in place an Aircraft Identification Programme aiming to the coordinated and harmonised implementation of the 2012 phase. To reply to the above mentioned need, in the context of the Programme, EUROCONTROL will provide the guidance and support needed for the understanding of the provisions of the rule.

This support will include (without being limited to):

- Development of an ACID CONOPS - containing the top level description of the concept of operations required for the 2012 initial operational capability.
- Development of a CCAMS User Requirement Document - containing the detailed requirements for the CCAMS Central System, for the ATS Unit systems, for existing CFMU systems and the interfaces between these components. This document may further evolve towards an EUROCONTROL Specification which may be recognised as a Community Specification.
- Development of Safety Documents - including Safety Plan and the assembled material of safety assessment and risk analysis in an ACID Safety Assessment.
- Development Mode S Elementary Surveillance (ELS) User Requirements Document – identification of detailed requirements for data processing of Mode S eligible flights.

- Development of ELS Operations Manual – detailed operational procedures for the use of ELS for aircraft identification, including contingency and non standard operating procedures.
- CCAMS Operations Manual – containing CCAMS operational procedures for code allocation, including assignment and retention arrangements, interfaces with ICAO ORCAM processes and CCAMS Contingency Planning.

Appropriate action should be taken in due time so as to address a harmonised transition from the 2012 milestone to the 2020 milestone when the use of downlinked aircraft identification will be generalised for the continuous and unambiguous identification of individual aircraft.

### **3. SUPPORT OF PLANNING PROCESS AND PREPARATION FOR THE MONITORING OF SES IMPLEMENTATION**

#### **3.1 The need**

The mandate required that the final report describes EUROCONTROL's actions to support stakeholders' efforts to implement the implementing rules.

This section addresses the planning and monitoring activities that should take place before the final operational capability of ACID scheduled for 2020, and mainly to focus on the transition from 2012 to 2020.

#### **3.2 Support to the planning phase**

##### **3.2.1 Basic principles**

The support proposed for the planning phase of the implementation of implementing rules is based on the experience gained with a recognised planning, reporting and monitoring mechanism, i.e. the European and Local Single Sky Implementation (ESSIP/LSSIP).

The ESSIP has evolved from the requirement for a co-ordinated planning mechanism for changes in European ATM established in the early 1990s to become the mature and stable mechanism that is now embodied in the ESSIP and Local SSIP (LSSIP) mechanism, with following characteristics that meet the stakeholders expectations listed in this section:

- **Uniformity:** the work breakdown structuring and identification of planning elements, known as 'ESSIP objectives' and 'Stakeholder Lines of Action' or SLoAs, is the same for all ATM areas.
- **Readability:** each of the planning elements is linked to an element of the ATM Strategy agreed at European level, ensuring its strategic fit.
- **Simplicity:** the level of detail of the planning is appropriate to the real need of stakeholders. Therefore only two levels of decomposition are used to depict the work packages: ESSIP objectives and Stakeholder Lines of Action (SLoA). If further details are required, then reference is made to specific transition plans developed separately (e.g. at national level, or through European-level working arrangements).
- **Consistency:** the ATM stakeholders have been used to developing their LSSIPs national plans according to the ESSIP for more than 10 years. Therefore the planning staff has a good knowledge of the mechanism and is prepared to provide the information required for monitoring and reporting purposes.

##### **3.2.2 Overview of the proposed mechanism**

The ESSIP/LSSIP mechanism applies currently to different kinds of objectives, which may vary depending on their geographical scope (pan-European or multinational) and on their

perceived status. It may happen, notably, that States' commitment does not go beyond applying "their best endeavours to complete their agreed actions within the time scales set".

The regulatory nature of the SES implementing rules should overcome this limitation in the areas where they apply.

The proposal is to define, for a given implementing rule (in this case ACID), one (or several as required) ESSIP objectives which would directly reflect the obligations imposed by the rule. The achievement of the objective(s) would therefore have a clear **mandatory** status for parties affected by the rule. The set of objectives associated with the various SES implementing rules would be grouped in a specific new part of the ESSIP, addressing regulatory issues. For each objective within this part, the process for defining the appropriate Stakeholder Lines of Action would be of a similar nature as for the "non regulatory" objectives.

Planning information reported in the LSSIP on the implementation of these Lines of Action and their associated timescales would be used as a basis for monitoring progress towards implementation of regulatory requirements and could help identify possible risks at early stages, taking also into account the fact that LSSIP is also the tool used for the SES Reporting, discharging the Member States of the legal obligation to report annually to the European Commission the level of implementation of the SES legislation.

## **4. SUPPORT TO NATIONAL SUPERVISORY AUTHORITIES**

EUROCONTROL proposes to support National Supervisory Authorities according to the following main lines:

- Support to the supervision of compliance;
- Support for the management of SES safeguards.

These lines of support can be considered as potential "transversal" activity regardless of implementing rules. The following refines these lines of support into generic supportive activities and specific support applicable to the implementing rule on air-ground voice channel spacing.

### **4.1 Supervision of compliance**

#### **4.1.1 The need**

National Supervisory Authorities, where appropriate, in cooperation with relevant authorities, are tasked with the supervision of compliance with the air-ground voice channel Regulation of all parties within its scope. Therefore the role of National Supervisory Authorities is instrumental for SES implementation and the harmonisation of supervision of compliance is deemed necessary to meet the objectives of the interoperability Regulation.

#### **4.1.2 Proposed support**

This function should be operated on sound, harmonised basis to avoid deviations of implementations between National Supervisory Authorities. A progressive, pragmatic approach should prevail whereby National Supervisory Authorities tasks and resources are adequately sized to cope with SES Regulations and existing implementing rules.

EUROCONTROL proposes to facilitate the harmonisation of supervision of compliance with:

- Basic principles to support the supervision of compliance;
- Some follow-up of the application of these basic principles.

#### *4.1.2.1 Basic principles to support the supervision of compliance*

The acquisition of a common understanding about the supervision of compliance by all stakeholders is key for SES implementation. SES Regulations provide high level provisions about National Supervisory Authorities activities. Further clarifications are necessary to refine and detail these high level provisions, in particular in the case of Regulations addressing not only systems and/or constituents but also the associated procedures or when some parties within the scope of the Regulation are not part of EATMN (e.g. non-European airlines or pilots).

These basic principles might address the following points:

- Identification of the requirements regulatory baseline (Essential requirements, implementing rules, ...);
- Process for the supervision of compliance;
- Workshops/ training sessions to use basic materials.

#### *4.1.2.2 Follow-up of the application of basic principles*

The availability of basic principles is not sufficient to ensure the effective harmonisation of the supervision of compliance. The application of these principles by National Supervisory Authorities will provide valuable indications about their relevance. The post-analysis of activities of supervision of compliance achieved by National Supervisory Authorities will notably consist in:

- Reviewing activities carried out by National Supervisory Authorities, identification of problems and proposals to solve the issues;
- Organising ad hoc workshops and meetings to allow National Supervisory Authorities and concerned parties, within the scope of the Regulations, to express their views and opinions on these activities;
- Proposing enrichment and modifications of basic principles supporting the supervision of compliance;
- Proposing appropriate Community Specifications or guidelines in support of supervision of compliance.

## **4.2 Support for the management of SES safeguards**

### **4.2.1 The need**

Article 7 of the Regulation (EC) 552/2004 amended by Regulation (EC) 1070/2009 defines specific obligations for National Supervisory Authorities, Member States and the Commission in cases of non-compliance of a given implementation with the essential requirements and/or relevant implementing rules.

The non-compliance with the essential requirements might be due to:

- Failure to meet the essential requirements;
- Incorrect application of the implementing rules and/or Community specifications;
- Shortcomings in the implementing rules and/or Community specifications.

The analysis of non-compliance cases should be based on systematic procedures inspired by configuration management procedures. Non-compliance cases should be registered, traced and assigned a clear status in terms of impacts upon the EATMN, European Air Traffic Management Network.

### **4.2.2 Proposed support**

EUROCONTROL proposes to support the management of SES safeguards in terms of:

- Support to the analysis of non-compliance cases;
- Support to the management of non-compliance cases.

The analysis of non-compliance cases will likely be achieved by different experts. EUROCONTROL proposes to address the non-compliance cases with experts from technical domains and the regulatory domain.

Non-compliance cases should be managed with appropriate procedures to trace the status of these non-compliance cases and keep track of the treatment of these cases with all relevant associated information.

EUROCONTROL proposes support for the definition of these procedures and their application to non-compliance cases.

It is noteworthy that this support does not alter the obligations and responsibility of parties as specified in Article 7 of the Regulation (EC) 552/2004 amended by Regulation (EC) 1070/2009.