

Enclosure 7

SINGLE EUROPEAN SKY  
(SES) REGULATION  
EUROCONTROL PROPOSED ACTIONS TO  
SUPPORT STAKEHOLDERS' EFFORTS TO  
IMPLEMENT THE

***DRAFT IMPLEMENTING RULE ON  
SURVEILLANCE PERFORMANCE AND  
INTEROPERABILITY***

## DOCUMENT CONTROL

### DOCUMENT CHANGE RECORD

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## 1. INTRODUCTION

This document outlines the areas in which EUROCONTROL proposes actions to support the implementation of the Single European Sky (SES) implementing rule on Surveillance Performance and Interoperability requirements (SPI IR).

EUROCONTROL proposed actions are organised into five main streams of activity for the different stakeholders involved in the implementation of the SPI IR:

1. Support to the European Commission (EC) and to the EASA.
2. Support to Air Navigation Service Providers.
3. Support to Member States / National Supervisory Authorities.
4. Support to Aircraft Operators.
5. Support to industry.

For each stream the support may be provided to prepare the SPI IR implementation or to support SPI IR implementation or both.

It is noteworthy that some elements of support may not be specific to this implementing rule and they may be consolidated into a larger support applicable to all interoperability implementing rules.

The SPI IR prescribes interoperability and performance requirements applicable to the airborne equipment as well as high level performance and interoperability requirements applicable to the ground based surveillance systems. With regard to the latter, the requirements are as far as possible technology independent therefore support for a harmonised interpretation and implementation of the implementing rule is desirable.

### 1.1 The need

The mandate required that the final report describes a range of possible actions that EUROCONTROL could offer to support stakeholders' efforts to implement the SPI IR.

The following sections address the support that can be provided to the different actors involved in the application of the SPI IR. Whilst EUROCONTROL recognises that other parties could undertake some of these support activities it is EUROCONTROL's belief that, regardless of whoever conducts the tasks, the activities are critical to the safe, expedient and efficient introduction of the ambitions of the implementing rule.

## 2. SUPPORT TO THE EC AND THE EASA

### 2.1 Management of the exemption process

The SPI IR foresees a number of cases when aircraft can be exempted of some of the requirements specified in the SPI IR:

1. State aircraft Article 7(2)
2. Non EHS capable aircraft Article 12(1)
3. Other aircraft (out of service, historical, ...) Article 12(5)

This proposed task is to establish an exemption management process to undertake the day to day processing of the exemptions submitted by the aircraft operators, to inform aircraft operators, on behalf of the European Commission and NSA's, that they have been granted limited duration or open ended exemptions against the requirements of the SPI IR and to periodically inform the European Commission and NSA's about the exemptions statistics.

This support shall start as soon as possible so that exempted aircraft can fly when the SPI IR enter into force and shall continue throughout the implementation phase.

## **2.2 Support to the EC to adapt existing EUROCONTROL documents to become Means of Compliance**

EUROCONTROL has proposed that a number of existing EUROCONTROL documents could be amended to become Means of Compliance (MOC) for provisions and requirements of the SPI IR. On the basis of the decision of the EC, EUROCONTROL proposes to adapt these documents to the required format and content of MOC.

This support shall be completed before the required date of availability of the relevant MOC.

## **2.3 Support to develop the required MOC**

EUROCONTROL has proposed the creation of documents that would be Means of Compliance for provisions and requirements of the SPI IR. On the basis of the decision of the EC, EUROCONTROL may contribute to the development of these documents in accordance with the required format and content of MOC.

This support shall be completed before the required date of availability of the relevant MOC.

## **2.4 Technical support for the arbitration in case of disagreement between member states regarding spectrum protection**

SPI IR Article 5(4) foresees that in case of disagreement between member states in case resolution of spectrum protection the issue shall be brought to the Commission. EUROCONTROL proposes to provide technical support to the Commission for the resolution of such issues. This support will need to rely on the activities proposed in § 5.4, 5.5 and 5.6.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

## **2.5 Monitor airborne equipage (rate of equipage, proper functioning, ...)**

Article 3(3) of the SPI IR requires that the outputs of the surveillance chain to be compliant with the requirements defined in Annex I. The achievement of these requirements relies on the ground sub-system designed by the ANSP assuming that the airborne sub-system is compliant with Article 4(4-9) and Annex IV.

As for any assumption made within the design process of a system, there is a need to monitor that the assumption is relevant and continues to be relevant whilst the system is in operation. The objective of this proposed support is to undertake this monitoring at a European level to avoid the replication of the same tasks at each ANSP and to ensure a more efficient and harmonised monitoring (scope of traffic, ...).

Because this proposed support is related to safety, is common to all European states, is related to ANSP's, NSA's, transponder Manufacturers and Operators, it has been allocated under support to EC and EASA. The relevant parts of this support linked to the other actors can be found in the subsequent sections.

An Airborne Monitoring Project (AMP) was established within the context of the EUROCONTROL Mode S Programme. The AMP successfully conducted the tasks placed upon it within that introduction of that new Mode S avionics technology. Following the closure of the Mode S Programme the AMP was transferred into the EUROCONTROL CASCADE (ADS-B) Programme. It is currently foreseen that the CASCADE Programme will have completed the tasks detailed in its terms of reference in 2013. Without a further mandate to continue, the AMP is expected to conclude in 2013. Therefore it is proposed to further extend the mandate of the AMP to continue its work on the basis of the airborne requirements defined in the SPI IR.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

## **2.6 Support to develop airworthiness directives**

If transponder anomalies are identified, EASA may need to release airworthiness directive to support the resolution of such issues in the most efficient manner. EUROCONTROL already provides coordinated and harmonised technical support to EASA and European NSA's to identify the anomalies and the root cause of the deficiency. It is proposed to continue this cooperation between EASA and EUROCONTROL.

It should be noted that the transponder anomalies may not be serious enough to necessitate an Airworthiness Directive.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

## **2.7 Inform aviation community on SPI IR implementation**

EUROCONTROL proposes to organise workshops to make aware (informative workshop) and educate (training workshop) the involved parties in the implementation of the SPI IR.

This support shall be completed before the implementation phase of the SPI IR.

# **3. SUPPORT TO THE ANSP'S**

## **3.1 Technical report of the airborne equipage monitoring**

The technical reporting of the airborne equipage monitoring is the part of the support proposed in § 2.5 above and which is dedicated to ANSP's. EUROCONTROL proposes to inform the ANSP's on the monitored rates of compliance, a list of transponders with known deficiencies, a list of aircraft with known deficiencies, the potential consequences of these deficiencies on surveillance chain performance, the potential mitigations applicable at the level of ground surveillance systems and, in conjunction with EASA, the resolution process schedule.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

## **3.2 Development of guidelines for undertaking safety assessment of a surveillance system**

Article 8(1) of the SPI IR mandate is for an ANSP to undertake a safety assessment of all ground surveillance systems. EUROCONTROL proposes to develop a guidelines to help an ANSP perform these safety assessments. These guidelines could be based on a generic preliminary system safety assessment.

These guidelines will then be supplemented with further guidance material to assist ANSP when specifically undertaking the following phases in constructing a surveillance system safety case. This document will provide a number of guidelines to help ANSP's to ensure the completeness of the safety issues to be addressed. Similar documents have been and are being developed in the frame of the CASCADE programme to support the implementation by ANSP's of ADS-B applications.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

### **3.3 Monitoring of surveillance related issues that have generated safety hazards**

Article 8(1-2) of the SPI IR requires the ANSP's to undertake safety assessment of their ground surveillance systems.

An essential element of the safety assessment is a thorough identification of the causes of hazards. Therefore it is proposed to consolidate all the causes of hazards due to surveillance systems identified in Europe for the benefits of all ANSP's and to ensure a wider coverage of the safety assessments of ground surveillance systems in Europe. EUROCONTROL proposes, as a result of this task, to maintain a list of hazards due to surveillance system that shall be considered in any ground surveillance system safety assessment undertaken by ANSP in Europe.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

### **3.4 Development of guidelines for undertaking surveillance system performance assessment on the basis of opportunity traffic**

The SPI IR Article 3(3) requires ANSP to assess the performance of the surveillance chain. The use of opportunity traffic is the preferred approach of ANSP's when undertaking surveillance chain performance assessment because it is a cheap approach (compared to flight trials) whilst covering most of the performance requirements.

To support this approach EUROCONTROL proposes to develop practical guidelines to define step by step how to verify the performance defined in the EUROCONTROL Surveillance Chain Performance Specification using available tools and opportunity traffic recordings. The guidelines will take into account the limitations of tools and the side effects of limited recordings and the possible mix of different types of traffic (e.g. IFR, VFR, military).

The experience gained by ANSP's and consolidated at the level of Europe through, for example, the EUROCONTROL Surveillance Appraisal Programme Task Force (SAP-TF) that could be used to establish these guidelines.

These guidelines would assist ANSP's wanting to show compliance with the Surveillance Chain Performance Specification used as a means of compliance with the requirements and provisions of the implementing rule on Surveillance Performance and Interoperability specified in Article 3 (3) and in Annex I. Alternatively, if there is no identified MOC, it would assist ANSP's and notified bodies to show compliance with the requirements and provisions of the SPI IR article 10(1) and 10(2) and Annex VII Part B & C.

This support shall be completed before the implementation phase of the SPI IR.

### **3.5 Development of guidelines for establishing Service Level Agreements to be used when exchanging surveillance data between ground surveillance systems**

The SPI IR requires that a formal arrangement is established between ANSP s when sharing data.

These guidelines would define the features of the surveillance data exchange that needs to be addressed in that Service Level Agreement (SLA).

In November 1997 EUROCONTROL published 'Guidelines For An Agreement For The Shared Use of Radar Sensor Data'. Since then this document has been used by many ANSP's in the ECAC area to establish SLA associated to the exchange of radar data.

EUROCONTROL proposes to update this document taking into account the new type of surveillance system, new data items and the SPI IR framework.

The proposed guidelines on the exchange of surveillance information between two air navigation service providers would assist ANSP's in implementing the requirements and provisions specified in Article 4 (2) and in Annex III of the implementing rule on Surveillance Performance and Interoperability.

This support shall be completed before the implementation phase of the SPI IR.

### **3.6 Adaptation of the EUROCONTROL surveillance products to be compliant with Essential Requirements and provisions and requirements of the SPI IR**

The Essential Requirements and the SPI IR specify requirements applicable to the EATMN components of ground surveillance systems or used to assess the performance of surveillance chains.

EUROCONTROL provides to the ANSP's products that are used either as components of ground surveillance systems (e.g. ARTAS, SDDS) or used to assess the performance of surveillance chains (SASS-C).

In order to continue to be used as common building blocks by the ANSP's EUROCONTROL proposes to adapt those tools so that they are compliant with the Essential Requirements and the relevant provisions and requirements specified in the SPI IR.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

## **4. SUPPORT TO AIRCRAFT OPERATORS**

### **4.1 Technical report of the airborne equipage monitoring**

This part is an element of the support proposed in § 2.5 above and which is dedicated to Aircraft Operators. EUROCONTROL proposes to inform the Operators if their aircraft have been identified with known deficiencies, the potential consequences on their operations, the potential mitigations/resolution applicable at the level of airborne surveillance systems and, in conjunction with EASA, the resolution process schedule.

This is in line with Article 6(2) of the SPI IR to inform aircraft operators of transponder anomalies reported from their aircraft.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

## **5. SUPPORT TO MEMBER STATES / NSA'S**

### **5.1 Technical report of the airborne equipage monitoring**

The technical reporting of the airborne equipage monitoring is the part of the support proposed in § 2.5 above and which is dedicated to NSA's and Member States. EUROCONTROL proposes to inform the NSA's on the monitored rates of compliance, a list of transponders with known deficiencies, a list of aircraft with known deficiencies, their potential consequences on surveillance chain performance, the potential mitigations applicable at the level of ground surveillance systems and, in conjunction with EASA, the resolution process schedule.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

## **5.2 Support to develop a specimen AIC for mandating ADS-B Extended Squitter (ES) capability for all aircraft**

Article 4(11) of the SPI IR provides the ability to Member States to extend the scope of the mandatory carriage of ADS-B ES capable transponder to all aircraft provided that surveillance services are based on the use of ADS-B information. EUROCONTROL proposes to develop a specimen AIC for that purpose. The objective being to ensure that the AIC that may be published by Member States are harmonised and consistent between each others.

This support shall be completed before the implementation phase of the SPI IR.

## **5.3 Assessment of 1030 MHz band occupancy**

Article 5(1) of the SPI IR requires Member states to ensure the number of 1030 MHz interrogations received by an aircraft located in its airspace does not occupy the transponder receiver unduly and does not overload the transponder transmitter.

The objective of this proposed support is to undertake the assessment of the 1030 MHz band occupancy at a European level to avoid the replication of the same tasks in each Member State, to coordinate and supplement if needed the assessment made in some member states and to ensure a globally more efficient assessment (e.g. taking into account all 1030 MHz interrogators and not only those located within the member state territory).

In conjunction with the Airborne Monitoring Programme (AMP), previously mentioned, EUROCONTROL is undertaking RF spectrum 1030/1090 MHz monitoring to verify that the global amount of RF activities in these RF bands is compatible with the operation of airborne transponders and with the operation of ground surveillance interrogators. EUROCONTROL proposes to continue this task in conjunction with the continuation of the AMP (see § 2.5 above).

The objective of this proposed support is to undertake this assessment of the 1030 MHz band occupancy at a European level to limit the replication of the same tasks in each Member State, to coordinate and supplement if needed the assessment made in some member states and to ensure a globally more efficient and thorough assessment.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

## **5.4 Assessment of 1090 MHz band occupancy**

Article 4 (4-9 and Annex IV) requires the airborne SSR transponder to transmit surveillance information to the ground surveillance system.

Depending on traffic load and the number of interrogations eliciting replies it could be that the 1090 MHz spectrum is so loaded that it is very difficult for the ground surveillance system to decode the replies and/or the squitters transmitted by the aircraft, this issue could lead to an unacceptable degradation of the surveillance chain performance.

In conjunction with the Airborne Monitoring Programme (AMP), previously mentioned, EUROCONTROL is undertaking RF spectrum 1030/1090 MHz monitoring to verify that the global amount of RF activities in these RF bands is compatible with the operation of airborne transponders and with the operation of ground surveillance receivers. EUROCONTROL proposes to continue this task in conjunction with the continuation of the AMP (see § 2.5 above).

The objective of this proposed support is to undertake this assessment of the 1090 MHz band occupancy at a European level to limit the replication of the same tasks in each Member State, to coordinate and supplement if needed the assessment made in some member states and to ensure a globally more efficient and thorough assessment.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

### **5.5 Prediction of 1030 MHz band occupancy in case of modification (removal, addition, new parameter setting) of ground interrogator(s)**

Article 5(1) of the SPI IR requires Member states to ensure the number of 1030 MHz interrogations received by an aircraft located in its airspace does not occupy the transponder receiver unduly and does not overload the transponder transmitter.

When an ANSP modify its 1030 MHz interrogator infrastructure (adding, removing or modifying parameters) it will have an impact on the number of 1030 MHz interrogations received by the transponder located in its airspace.

The objective of this support is to provide a common facility to the ANSP's to predict the impact of modifying their interrogator infrastructure on the number of 1030 MHz interrogations received by aircraft located in its airspace.

This could be useful in the context of the implementation of the ground surveillance infrastructure rationalisation foreseen by the SESAR programme. This could be useful to propose technical solution when a disagreement between member states is brought to the Commission for resolution as foreseen in Article 5(4).

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

### **5.6 Prediction of 1090 MHz band occupancy in case of modification (removal, addition, new parameter setting) of ground interrogators and/or in accordance with traffic prediction**

Article 4 (4-9 and Annex IV) requires the airborne SSR transponder to transmit surveillance information to the ground surveillance system.

Depending on traffic load and the number of interrogations eliciting replies it could be that the 1090 MHz spectrum is so loaded that it is very difficult for the ground surveillance system to decode the replies and/or the squitters transmitted by the aircraft, this issue could lead to an unacceptable degradation of the surveillance chain performance.

The objective of this support is to provide a common facility to the ANSP's to predict the impact on the performance of their ground surveillance systems of modifying their interrogator infrastructure and/or of the traffic prediction on the number of 1090 MHz replies generated by aircraft located in its airspace.

This would be useful in the context of the implementation of the ground surveillance infrastructure rationalisation foreseen by the SESAR programme and would also be useful to propose a technical solution when a disagreement between member states is brought to the Commission for resolution as foreseen in Article 5(4).

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

### **5.7 Monitoring of aviation RF bands occupancy**

Article 5(3) of the SPI IR requires Member States to ensure that the use of a ground based transmitter does not produce harmful interferences of other surveillance systems.

The objective of this support is to undertake a monitoring of all the transmitters operated in ground surveillance systems located on the territory of all Member States. This will provide an assessment of the current aviation RF band occupancy and will help predicting the new situation in case of modification of the transmitter infrastructure.

This would be useful in the context of the implementation of the ground surveillance infrastructure rationalisation foreseen by the SESAR programme. This would also be useful to propose technical solution when a disagreement between member states is brought to the Commission for resolution as foreseen in Article 5(4).

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

## **6. SUPPORT TO INDUSTRY**

### **6.1 Technical support to aviation industry for the development of EATMN constituent Community Specifications**

Within its programmes and its contribution to the EUROCAE, EUROCONTROL proposes to continue to contribute to the creation of Community Specifications for EATMN constituents.

The objective of this task is to ensure that the views of all the EUROCONTROL stakeholders are represented in these activities even if they cannot directly participate. EUROCONTROL would provide technical expertise to the development of these specifications.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

### **6.2 Technical support to transponder manufacturers for the resolution of reported transponder anomalies**

This proposed support is the part of the support proposed in § 2.5 above and which is dedicated to transponder manufacturers. EUROCONTROL proposes to inform the transponder manufacturers of transponders that have shown deficiencies, the potential mitigations/resolution applicable at the level of the transponder and, in conjunction with EASA, the resolution process schedule.

This support shall start from the publication of the IR i.e. during the transition phase and continue throughout the implementation phase.

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

### **7.1 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 implementation of SPI as well as during its the applicability.

### **7.2 Support to the planning phase**

#### **7.2.1 Basic principles**

The support proposed for the planning phase of the implementation of implementing rules is based on the experience gained with a recognized 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.

### **7.2.2 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 SPI), 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.