



CIVIL AVIATION AUTHORITY OF THE SLOVAK REPUBLIC
AIRPORT M. R. STEFANIK
823 05 BRATISLAVA
SLOVAK REPUBLIC

THE ANNUAL SAFETY OVERSIGHT REPORT

2012



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Foreword: Competent authorities shall report annually on safety oversight actions pursuant to the COMMISSION IMPLEMENTING REGULATION (EU) No 1034/2011 of 17 October 2011 on safety oversight in air traffic management and air navigation services and amending Regulation (EU) No 691/2010.

DOCUMENT APPROVAL

Name	Division/Department	Date	Signature
Ing. Vojtech Šproch	Head of Air Navigation Services Department		
Ing. Ivan Hasiček	Director of Air Navigation Services and Airports Section		

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Table Nr. 1: ABBERRIATIONS AND ANCROYMS

CAA SK	Civil Aviation Authority of the Slovak Republic
EASA	European Aviation Safety Agency
LPS SR	Letové prevádzkové služby Slovenskej republiky, štátny podnik
MAA	Military Aviation Authority
MoD SK	Ministry of Defence of the Slovak Republic
MoT SK	Ministry of Transport, Construction and Regional Development of the Slovak Republic
NSA	National Supervision Authority

Table Nr. 2: Staff

ROLES	Actual Staff
Head of Department	1
Inspectors	12
Total	13

I. Organisational structure and procedures of the competent authority

1. CIVIL REGULATOR(S)-GENERAL INFORMATION

- Civil Aviation in the Slovak Republic is the responsibility of the **Ministry of Transport, Construction and Regional Development of the Slovak Republic (MoT SK)**.
- The regulatory entity under the structure of MoT SK in Civil Aviation is the Directorate General of Civil Aviation and Water Transport. It is (among other functions in civil aviation) responsible for:
 - ✓ state transport policy in Civil Aviation;
 - ✓ representing state in international civil aviation organisations;
 - ✓ monitoring of state supervision in Civil Aviation;
 - ✓ legislation and regulatory process;
 - ✓ designation of Air Navigation Services Providers.
- The Ministry of Defence of the Slovak Republic (MoD SK) is responsible for the process of national military aviation legislation and regulation of military aviation in general. MoD SK is responsible for handling of military air traffic in reserved areas for state military aircraft (licensing of military ATCOs). The Ministry of Defence of the Slovak Republic for these purposes delegated certain responsibilities to the Military Aviation Authority (MAA).
- The Ministry of Interior of the Slovak Republic is responsible for regulation of state aircraft other than military aircraft.
- The Civil Aviation Authority of the Slovak Republic (CAA SK), an independent institution established by the Civil Aviation Act represents the Slovak Republic at EASA, performs some tasks on behalf of European Aviation Safety Agency and fulfils the role of National Supervision Authority for SES purposes (NSA). The CAA SK is responsible for but not limited to:
 - ✓ certification of Air Navigation Services Providers,
 - ✓ certification of systems used or intended to use by Air Traffic Services Providers, Aeronautical Telecommunication Services Providers, Aeronautical Information Services Providers and Meteorological Services Providers,
 - ✓ licensing of Air Traffic Services Personnel,
 - ✓ performance monitoring of Air Navigation Services,
 - ✓ supervision of Air Navigation Services.
- MoT SK acts as an economic and market regulator in the civil aviation.
- In general, the MoT SK is responsible for preparation, transposition and implementation of legal rules. The CAA SK acts as advisory body in this process, as well as, according to the Civil Aviation Act, it has a legislative initiative.
- The different national entities having regulatory responsibilities in ATM are summarised in the Table Nr. 1 below.

Table Nr. 3

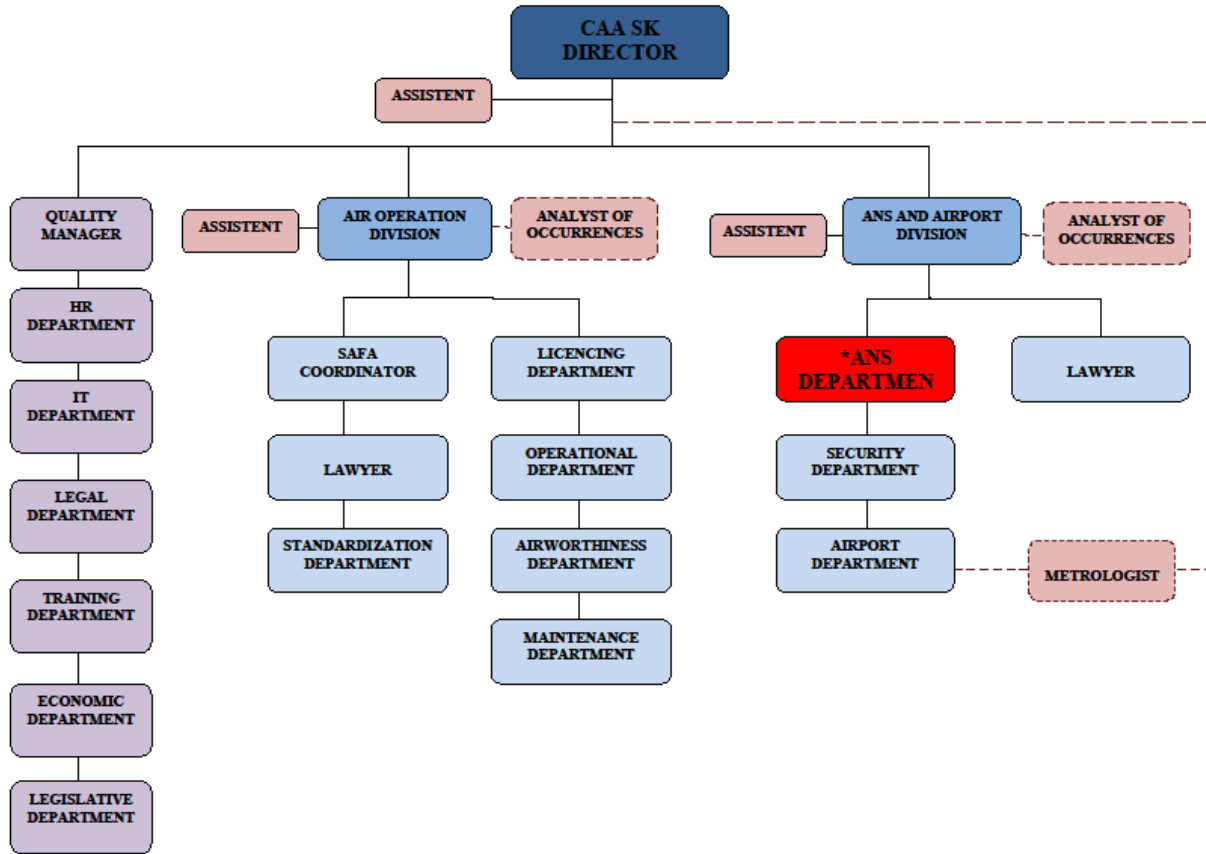
Activity in ATM:	Organisation responsible	Legal Basis
Rule-making	MoT SK	EU legislation and Civil Aviation Act (143/1998 as amended)
Safety Oversight	CAA SK (NSA)	EU legislation and Civil Aviation Act
Establishment of Tolerable Safety Levels	CAA SK (NSA)	EU legislation and Civil Aviation Act
Performance Monitoring	CAA SK (NSA)	EU legislation and Civil Aviation Act
Enforcement actions in case of non-compliance with safety regulatory requirements	MoT SK CAA SK	EU legislation and Civil Aviation Act
Airspace	MoT SK and MoD SK	EU legislation and Civil Aviation Act
Economic	MoT SK	EU legislation and Civil Aviation Act
Environment	MoT SK	EU legislation and Civil Aviation Act
Security	MoT SK, CAA SK	EU legislation and Civil Aviation Act

- Enforcement actions in case of non-compliance with safety regulatory requirements: CAA SK is acting as certifying authority and MoT SK as designating authority. Enforcement actions are linked accordingly to scope of responsibility.
- Airspace: Major changes of Airspace are associated with mutual coordination/approval of MoT SK and MoD SK
- Security: MoT SK is responsible for international security activity. CAA SK is responsible for assessment of security programmes, supervision of organizations which are obligated to have security processes in place, assessment of background check of individuals. Detailed description of tasks and responsibilities are published in National Aviation Security Programme which is published as special Attachment to national version ICAO Annex 17.

2. ADMINISTRATION IN THE CIVIL AVIATION OF THE SLOVAK REPUBLIC

- MoT SK and CAA SK are institutionally separated from ANSPs.
- In general the MoT SK is responsible for preparation, transposition and implementation of legal rules. The CAA SK acts as advisory body in this process, as well as, according to the Civil Aviation Act, it has a legislative initiative and it adopts manuals and procedures for executive activities. CAA SK main responsibility is safety and security oversight of ANSPs.
- For ATM safety regulation, the responsible body is MoT SK (Directorate General of Civil Aviation and Water Transport) and for executive manuals and procedures, the responsible body is CAA SK along with deep responsibility of safety oversight and licensing procedures.

3. ORGANISATIONAL STRUCTURE OF THE CIVIL AVIATION AUTHORITY



* ANS Department perform role of NSA

CERTIFIED ANSPs:

Name of the ANSP:	Letové prevádzkové služby Slovenskej republiky, štátny podnik (LPS SR)		
Governance:	State enterprise	Ownership:	Slovak Republic
Services provided	Y/N	Comment	
ATC en-route	Y		
ATC approach	Y		
ATC Aerodrome(s)	Y		
AIS	Y		
CNS	Y		
MET	N		
ATCO training	Y		
Others	N/A		
Additional information:			
Provision of services in	Y	HU	

other State(s):		
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Name of the ANSP:	MicroStep - MIS		
Governance:	Private organisation	Ownership:	Slovak Republic
Services provided	Y/N	Comment	
ATC en-route	N		
ATC approach	N		
ATC Aerodrome(s)	N		
AIS	N		
CNS	N		
MET	Y		
ATCO training	N/A		
Others	N/A		
Additional information:			
Provision of services in other State(s):	N		

Name of the ANSP:	Slovak Hydrometeorological Institute (SHMÚ)		
Governance:	State organisation	Ownership:	Slovak Republic
Services provided	Y/N	Comment	
ATC en-route	N		
ATC approach	N		
ATC Aerodrome(s)	N		
AIS	N		
CNS	N		
MET	Y		
ATCO training	N/A		
Others	N/A		
Additional information:			
Provision of services in other State(s):	N		

Name of the ANSP:	MoD- Air Force of the Slovak Republic (MoD- VzS OS SR)		
Governance:	State organisation	Ownership:	Slovak Republic
Services provided	Y/N	Comment	
ATC en-route	N		
ATC approach	Y		
ATC Aerodrome	Y		
AIS	N	At Sliač Airport provided by Letové prevádzkové služby SR	
CNS	Y		
MET	N	At Sliač Airport provided by Slovak Hydrometeorological Institute	
ATCO training	Y	Only unit training, other types of training are provided by Letové prevádzkové služby SR	
Others	N/A		
Additional information:			
Provision of services in other State(s):	N		

II. Airspace falling under the responsibility of the competent authority, and organisations falling under the supervision of that competent authority

AIRSPACE

BRATISLAVA FIR

- Bratislava FIR is surrounded by FIRs of 5 States, namely Austria, the Czech Republic, Poland, Ukraine and Hungary.
- The Division Flight Level (DFL) separating upper from lower ATS airspace is FL 245.

CONTROLLED AIRSPACE:

- Controlled airspace in the Slovak Republic comprises:
 - ✓ airspace from 8000ft/2450m AMSL or 1000ft/300m AGL, depending which one is higher, to FL 660;
 - ✓ airspace within CTRs and TMAs
- No UIR is established.
- Uncontrolled Airspace:
 - ✓ Airspace "G" is from GND to 8000ft /2450m AMSL or 1000ft/300m AGL, depending which one is higher, with the exception of CTRs and TMAs.

RUTOL AREA

- in this area are delegated ATS to Hungary / Hungarocontrol

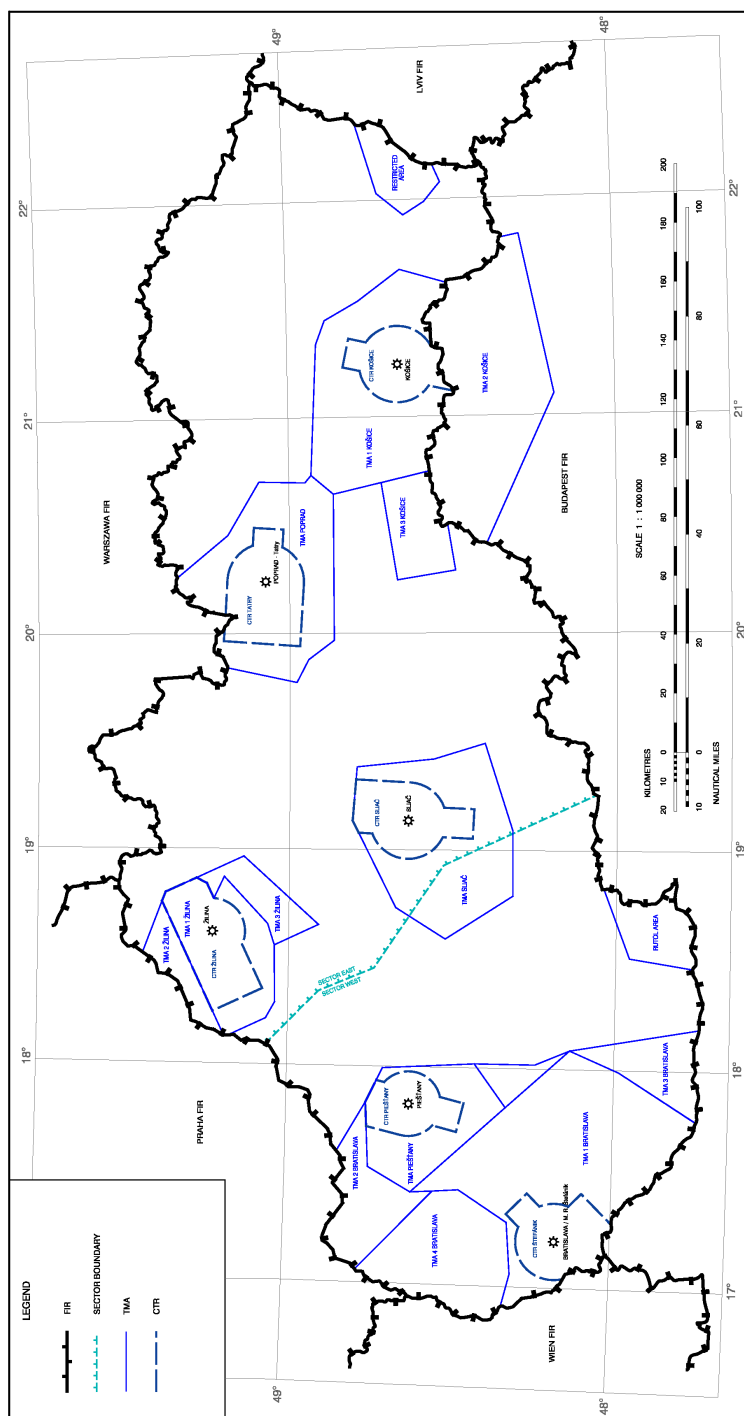
- 480214N 0184917E - along state boundary to 474551N 0182754E - 475117N 0182910E -475729N 0183036E - 480214N 0184917E.
- FL 195 / FL 90 ATS provided by Budapest ATCC. Search and rescue co-ordination and operations provided by appropriate authorities of the Slovak Republic, Class of airspace:C

R 49 / R 50

- (in this area are delegated ATS to Ukraine/Ukrainian State Air Traffic Services Enterprise, but only for those flights to and out of Uzhhorod International Airport.)
- The responsibility for the ATS provision is spread to the limited portion of Bratislava Flight
- Information Region (FIR), defined as Restricted Areas LZ R49 and LZ R 50.

TMA 2 KOŠICE

- in this area are delegated ATS to Slovakia / LPS SR
- 482346N 0202459E along state boundary to 482000N 0214901E 481703N 0214953E 481110N 0210551E 482346N 0202459E 9 500 ft (2 900 m) AMSL / 1 000 ft (300 m) AGL Class of airspace:D
- The following map shows the geographical situation of the Slovak airspace.



III. Qualified entities commissioned to conduct safety regulatory audits

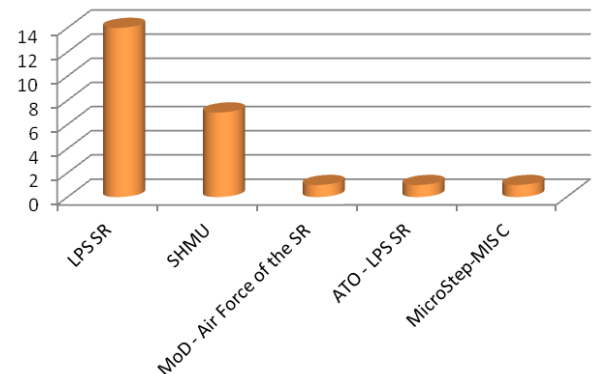
- The Slovak NSA/Competent Authority has performed all safety regulatory audits by itself, thus no qualified entities have been used during 2012.

IV. Existing levels of resources of the competent authority

- Detailed assessment of resources has been carried out and published in „FAB CE NSA HR ASSESSMENT REPORT 2012„.
- The report provides an assessment of NSA Human Resources for the FAB CE levels. The assessment includes structure and size of ANS Departments, task distribution and staffing levels, experience, competency and training of inspectors, inspector recruitment and qualification requirements and remuneration.

V. Safety issues identified through the safety oversight processes operated by the competent authority

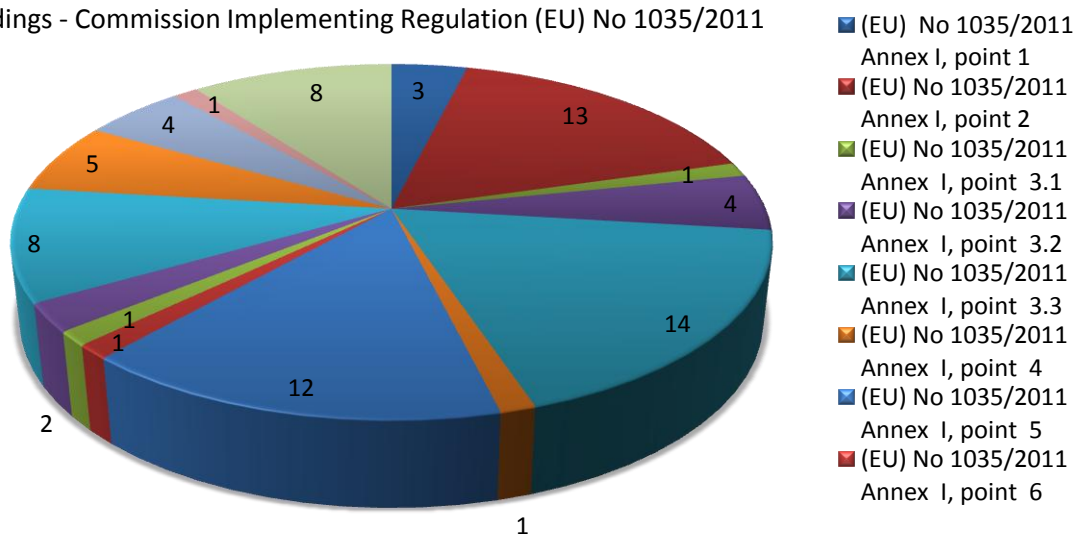
Name of the organization	
LPS SR	14
SHMU	7
MoD- Air Force of the Slovak Republic	1
ATO LPS SR	1
in MicroStep – MIS C	1
Total	24



Most of the findings were in the following areas:		
Commission Implementing Regulation (EU) No 1035/2011		
Annex 1	1. Technical and operational competence and capability	3 findings
	2. Organisational structure and management	13 findings
	3.1 Safety management	1 finding
	3.2 Quality management system	4 findings
	3.3 Quality management system	14 findings
	4. Security	1 finding
	5. Human resources	12 findings
	6. Financial Strength	1 finding
	7. Liability and insurance cover	1 finding
	8. Quality of services	2 findings

Annex 2	Specific requirements for the provision of air traffic services	8 findings
Annex 3	Specific requirements for the provision of meteorological services	5 findings
Commission Implementing Regulation (EU) No 1034/2011		4 findings
Regulation (EC) No 552/2004 of the European Parliament and of the Council		1 finding
Commission Regulation (EU) No 805/2011		8 findings
Total		78

Findings - Commission Implementing Regulation (EU) No 1035/2011



- Service providers were requested to provide corrective action plans and implementation plans which were evaluated by the Competent Authority. If the plans were acceptable, they were approved, if not, they were sent back to service providers to re-do the plans. All the corrective actions and implementation plans were verified during the follow-up audits.
- On the basis of information received via the mandatory occurrence reporting system during the year 2012, several safety issues were identified by the ANSP through their Safety Management System. After investigation appropriate corrective actions were determined in order to reduce the identified risks. The effectiveness of corrective actions is evaluated via the occurrence reporting system and other safety oversight actions.
- Safety Directives
 - ✓ No safety directives were issued by Competent Authority in 2012.

Bratislava 01. March 2013

Director of Air Navigation Services
and Airports Section