

THE ANNUAL SAFETY OVERSIGHT REPORT

YEAR 2016

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

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- 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)**.¹
- 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 has 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 Transport Authority (TA)** has been established as a legal successor of the Civil Aviation Authority of the Slovak Republic with effect from January 1, 2014. The TA is an independent institution which represents the Slovak Republic at EASA, performs some tasks on behalf of European Aviation Safety Agency and fulfils the role of National Supervisory Authority for SES purposes (NSA). The TA 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, Communication, Navigation and Surveillance 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 TA 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.

¹ from 1st January 2017 the Ministry of Transport, Construction and Regional Development of the Slovak Republic is changing its name to the Ministry of Transport and Construction of the Slovak Republic (MoT SK).

Table Nr. 1

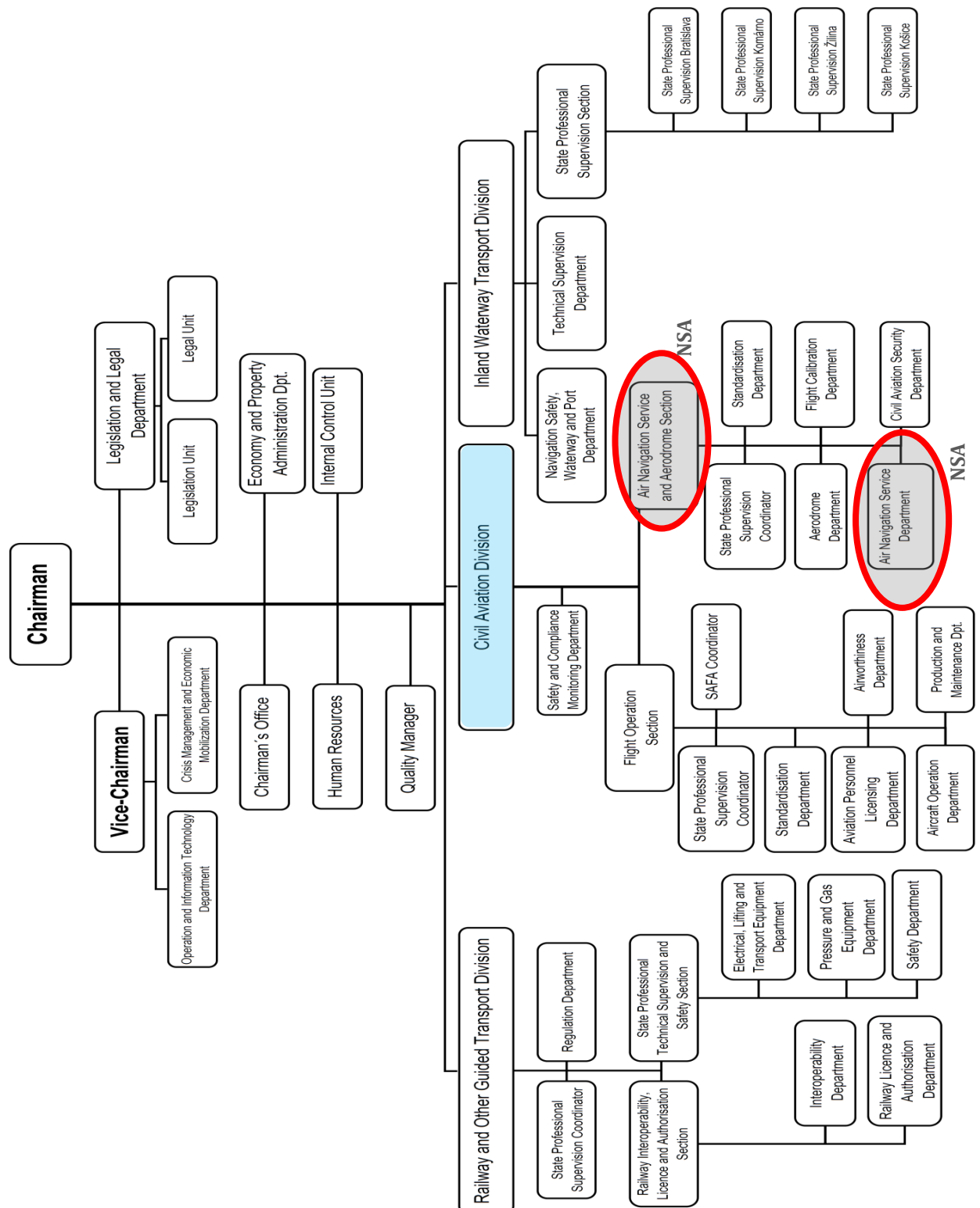
Activity in ATM:	Organisation responsible	Legal Basis
Rule-making	MoT SK	EU legislation and Civil Aviation Act (143/1998 as amended)
Safety Oversight	TA (NSA)	EU legislation and Civil Aviation Act
Enforcement actions in case of non-compliance with safety regulatory requirements	MoT SK TA	EU legislation 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, TA	EU legislation and Civil Aviation Act
Accident investigation	AMIA	EU legislation and Civil Aviation Act

- Enforcement actions in case of non-compliance with safety regulatory requirements: TA is acting as certifying authority and MoT SK as designating authority. Enforcement actions are linked accordingly to scope of responsibility.
- Sanctions: MoT SK may impose a penalty to the legal or natural person authorised to do business up to EUR 166,000.00, if such a person provides air navigation services without a permission or contradictory to the terms and conditions stipulated in the permission.
- 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. TA 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.

- ADMINISTRATION IN THE CIVIL AVIATION OF THE SLOVAK REPUBLIC

- MoT SK and TA are institutionally separated from ANSPs.
- In general the MoT SK is responsible for preparation, transposition and implementation of legal rules. The TA 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. TA's 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 TA along with deep responsibility of safety oversight and licensing procedures.

Organisational Structure of the Transport Authority



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 other State(s):	Y	HU	

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, š. p.	
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, š. p.
Others	N/A	
Additional information:		
Provision of services in other State(s):	N	

Certified Training organization:

- Transport authority has replaced the certificates for air traffic controller training organisations referred to in Article 7(3) with certificates complying with the format laid down in Appendix 2 of Annex II to 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.

Organization	Training Organisation Certificate Number	Types of air traffic controller training
Letové prevádzkové služby Slovenskej republiky, štátny podnik, so sídlom Ivanská cesta 93, 823 07 Bratislava 216, IČO: 35 778 458	SVK ATCO.TO/01	All types of Training
Letecká fakulta Technickej univerzity v Košiciach, so sídlom Rampová 7, 041 21 Košice, IČO: 00 397 610	SVK ATCO.TO/02	Basic Training
Ministerstvo obrany Slovenskej republiky, so sídlom Kutuzovova 8, 832 47 Bratislava, IČO: 30 845 572 - Veliteľstvo vzdušných síl OS SR, so sídlom Jána Jiskru 10, 960 01 Zvolen	SVK ATCO.TO/03	Unit Training, Continuation Training,

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.
- H24 Free Route Airspace DCTs within Bratislava FIR above FL 245.
- 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.

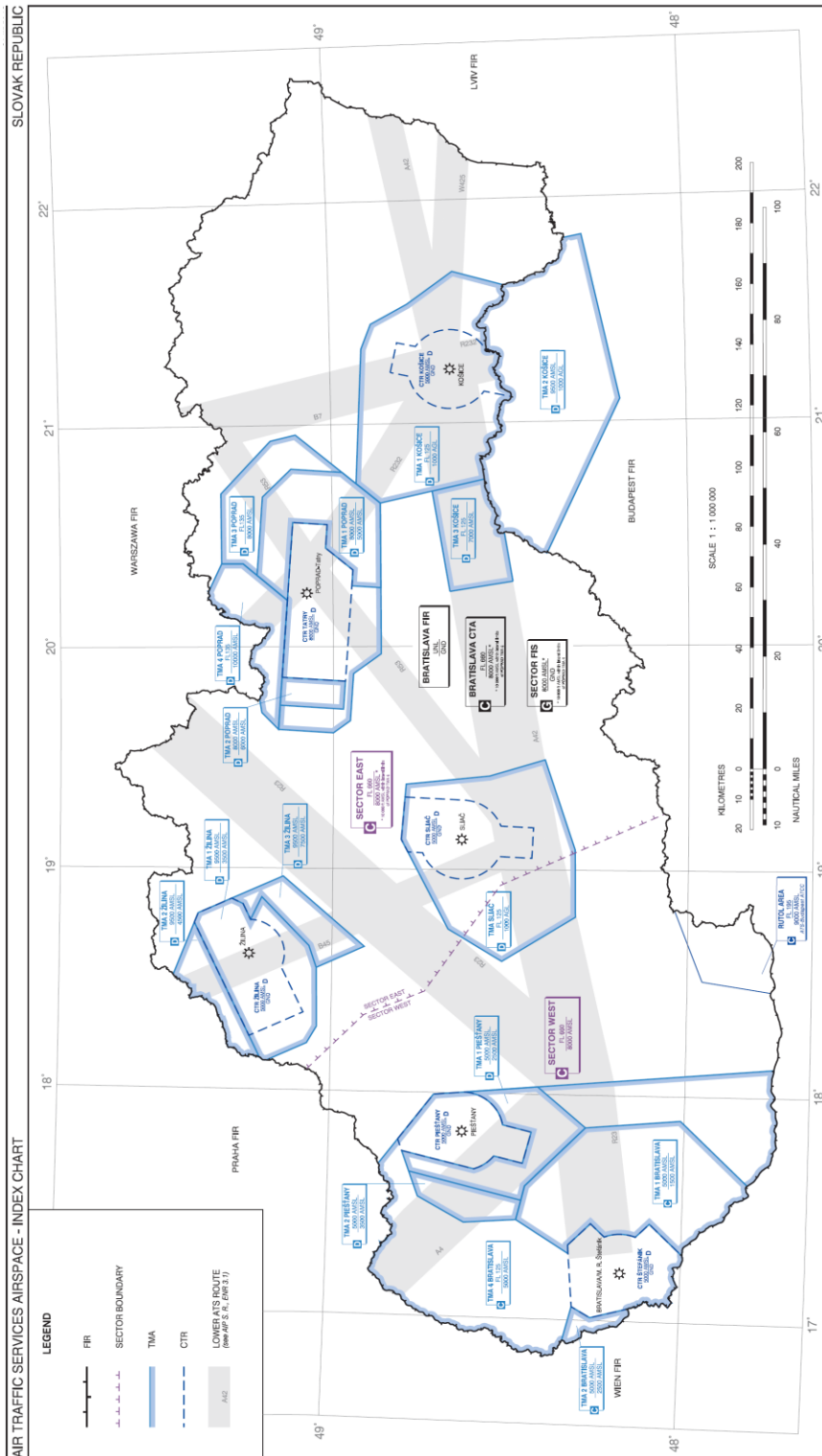
RUTOL AREA

- in this area ATS are delegated 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

TMA 2 KOŠICE

- in this area ATS are delegated 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.



ORGANIZATIONS

- See the list of certified ANSPs on pages 4, 5 and 6

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 2016.

Existing levels of resources of the competent authority

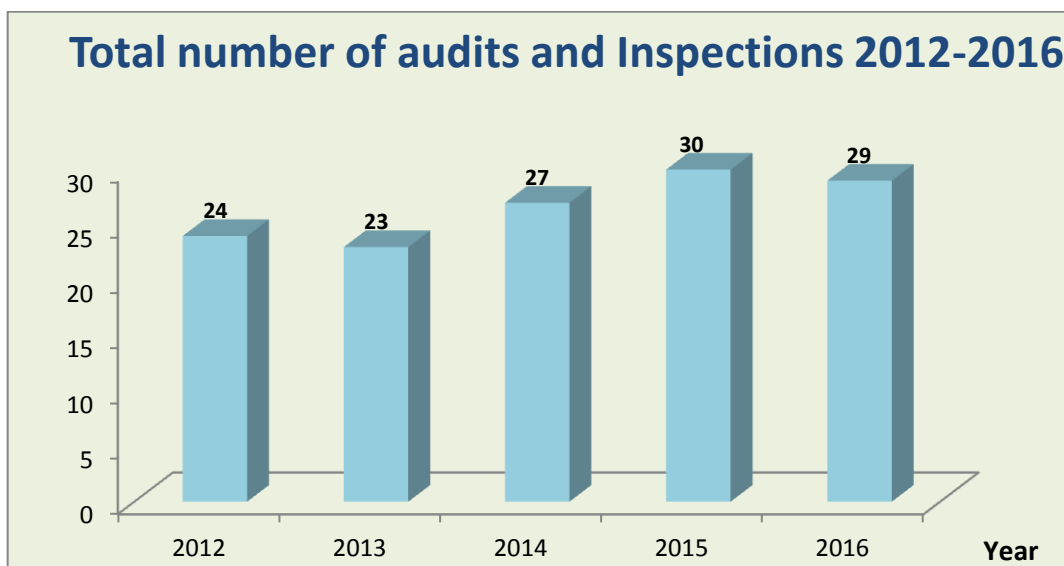
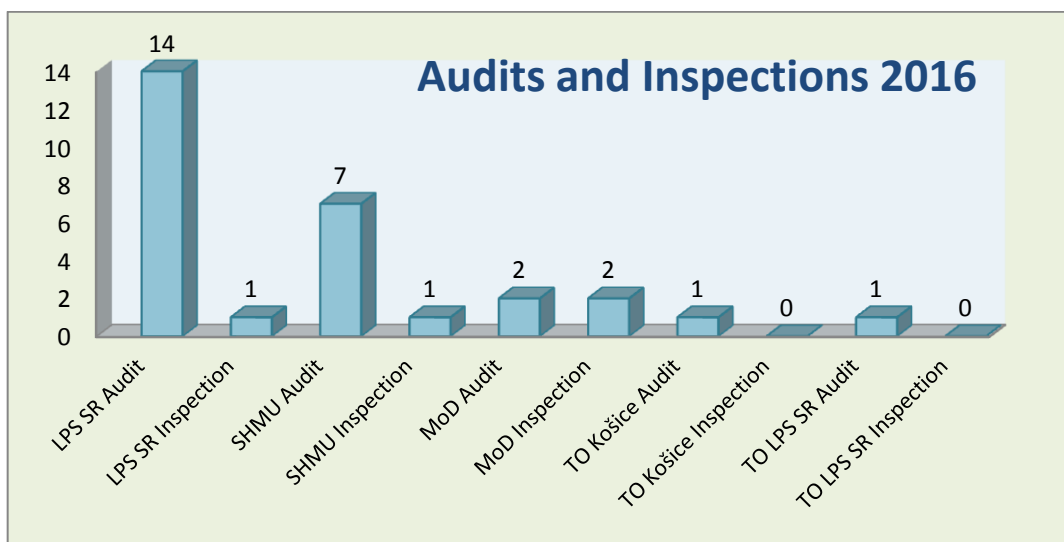
- Detailed assessment of resources has been carried out and published in „**NSA Human Resources Assessment Report 2016**” The report provides an assessment of NSA Human Resources for the FAB CE levels. The assessment includes structure and size of ANS Departments, task distribution and staffing levels, experience, competency and training of inspectors, inspector recruitment and qualification requirements and remuneration.



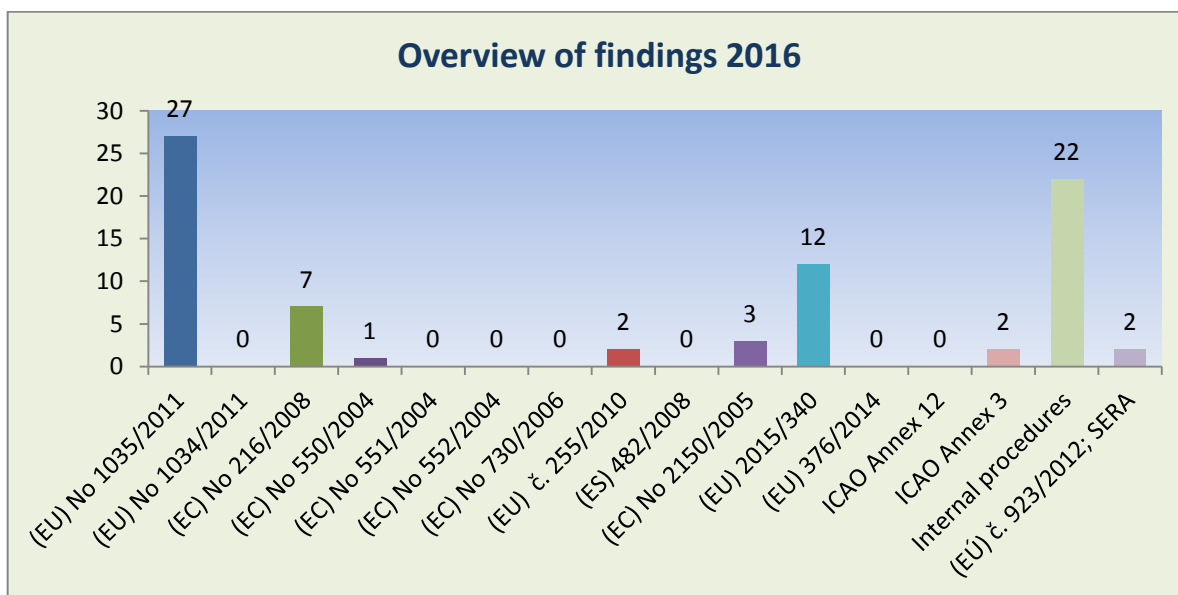
Safety issues identified through the safety oversight processes operated by the competent authority

- In 2016 Transport authority has performed 29 on-site audits/inspections:

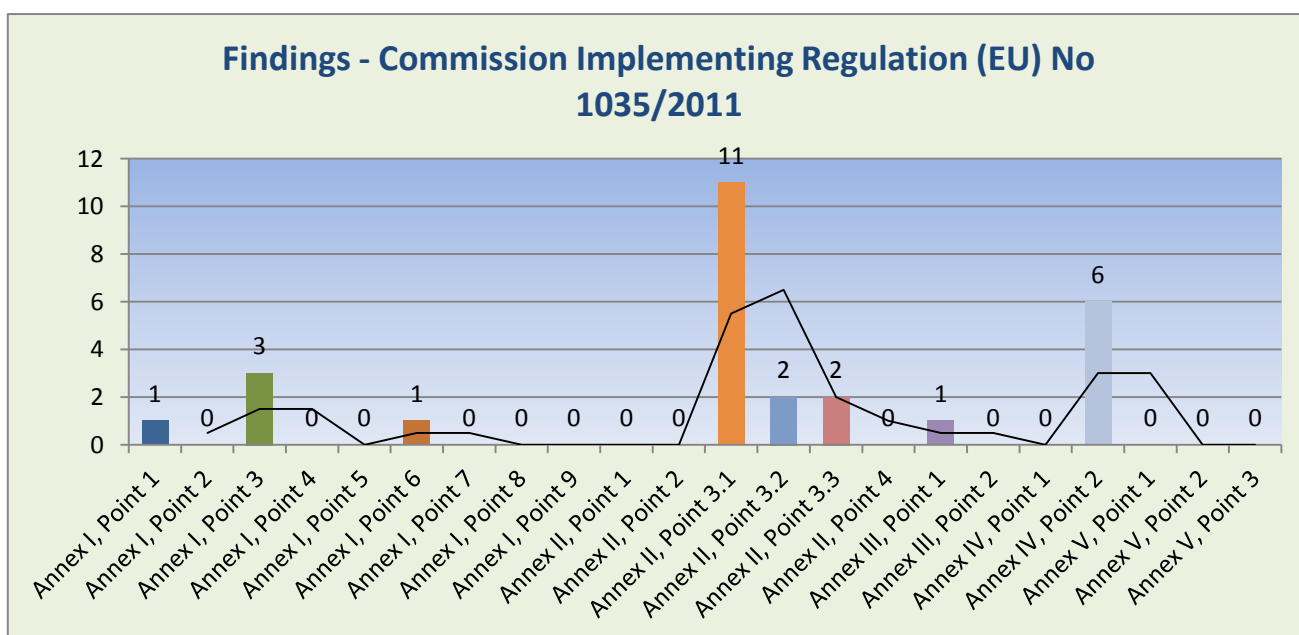
- ✓ 15 in LPS SR
- ✓ 8 in SHMU
- ✓ 4 in MoD- Air Force of the Slovak Republic
- ✓ 1 in TO Košice
- ✓ 1 in TO LPS SR



- Most of the findings were in the following areas:



- 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 2016, several safety issues were identified by the ANSPs 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.

- For period 2017-2019 Competent Authority set the Target Level of Safety "TLS" for main provider LPS SR. These TLS are used as monitoring tool for Safety Domain. Comparison of Actual Level of Safety in relation to TLS is performed every six months. (See Table Nr. 2)

Table Nr. 2

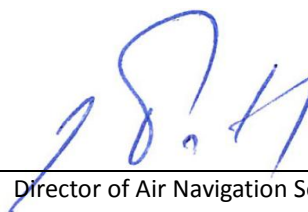
Effect on Operations	Severity Class ESARR 4/2	Target Level of Safety TLS for period 2017-2019
Accident	1	N/A
Serious Incidents	2/A	3,27E-06 (3,27*10⁻⁶)
Major incidents	3/B	6,54E-06 (6,54*10⁻⁶)
Significant incidents	4/C	2,71E-05 (2,71*10⁻⁵)

- **Safety Directives**

- ✓ No safety directives were issued by Competent Authority in 2016.

Bratislava

24. January 2017



Director of Air Navigation Services
and Airports Section