

Regulation (EC) No 549/2004 of the European Parliament and of the Council  
of 10 March 2004 laying down the framework for the creation of the single  
European sky (the framework Regulation) (Text with EEA relevance)

REGULATION (EC) No 549/2004 OF THE  
EUROPEAN PARLIAMENT AND OF THE COUNCIL

of 10 March 2004

laying down the framework for the creation of the single European sky  
(the framework Regulation)  
(Text with EEA relevance)

THE EUROPEAN PARLIAMENT AND THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty establishing the European Community, and in particular  
Article 80(2) thereof,

Having regard to the proposal from the Commission<sup>(1)</sup>,

Having regard to the opinion of the European Economic and Social Committee<sup>(2)</sup>,

Having regard to the opinion of the Committee of the Regions<sup>(3)</sup>,

Acting in accordance with the procedure laid down in Article 251 of the Treaty<sup>(4)</sup>, in the light  
of the joint text approved by the Conciliation Committee on 11 December 2003,

Whereas:

- (1) Implementation of the common transport policy requires an efficient air transport system allowing safe and regular operation of air transport services, thus facilitating the free movement of goods, persons and services.
- (2) At its Extraordinary Meeting in Lisbon on 23 and 24 March 2000, the European Council called on the Commission to put forward proposals on airspace management, air traffic control and air traffic flow management, based on the work of the High Level Group on the single European sky set up by the Commission. This Group, made up largely of the civil and military air navigation authorities in the Member States, submitted its report in November 2000.
- (3) Smooth operation of the air transport system requires a consistent, high level of safety in air navigation services allowing optimum use of Europe's airspace and a consistent, high level of safety in air travel, in keeping with the duty of general interest of air navigation services, including public service obligations. It should therefore be carried out to the highest standards of responsibility and competence.
- (4) The single European sky initiative should be developed in line with the obligations stemming from the membership of the Community and its Member States of

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Eurocontrol, and in line with the principles laid down by the 1944 Chicago Convention on International Civil Aviation.

- (5) Decisions relating to the content, scope or carrying out of military operations and training do not fall within the sphere of competence of the Community.
- (6) The Member States have adopted a general statement on military issues related to the single European sky<sup>(5)</sup>. According to this statement, Member States should, in particular, enhance civil-military cooperation and, if and to the extent deemed necessary by all Member States concerned, facilitate cooperation between their armed forces in all matters of air traffic management.
- (7) Airspace constitutes a limited resource, the optimum and efficient use of which will be possible only if the requirements of all users are taken into account and where relevant, represented in the whole development, decision-making process and implementation of the single European sky, including the Single Sky Committee.
- (8) For all these reasons, and with a view to extending the single European sky to include a larger number of European States, the Community should, while taking into account the developments occurring within Eurocontrol, lay down common objectives and an action programme to mobilise the efforts by the Community, the Member States and the various economic stakeholders in order to create a more integrated operating airspace: the single European sky.
- (9) Where Member States take action to ensure compliance with Community requirements, the authorities performing verifications of compliance should be sufficiently independent of air navigation service providers.
- (10) Air navigation services, in particular air traffic services which are comparable to public authorities, require functional or structural separation and are organised according to very different legal forms in the various Member States.
- (11) Where independent audits are required relating to providers of air navigation services, inspections by the official auditing authorities of the Member States where those services are provided by the administration, or by a public body subject to the supervision of the abovementioned authorities, should be recognised as independent audits, whether the audit reports drawn up are made public or not.
- (12) It is desirable to extend the single European sky to European third countries, either within the framework of participation by the Community in the work of Eurocontrol, after the accession by the Community to Eurocontrol, or by means of agreements concluded by the Community with these countries.
- (13) The accession of the Community to Eurocontrol is an important component in the creation of a pan-European airspace.
- (14) In the process of creating the single European sky, the Community should, where appropriate, develop the highest level of cooperation with Eurocontrol in order to ensure regulatory synergies and consistent approaches, and to avoid any duplication between the two sides.

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- (15) In accordance with the conclusions of the High Level Group, Eurocontrol is the body that has the appropriate expertise to support the Community in its role as regulator. Accordingly, implementing rules should be developed, for matters falling within the remit of Eurocontrol as a result of mandates to that organisation, subject to the conditions to be included in a framework of cooperation between the Commission and Eurocontrol.
- (16) The drafting of the measures necessary in order to create the single European sky requires broad-based consultations of economic and social stakeholders.
- (17) The social partners should be informed and consulted in an appropriate way on all measures having significant social implications. The Sectoral Dialogue Committee set up under Commission Decision 1998/500/EC of 20 May 1998 on the establishment of Sectoral Dialogue Committees promoting the dialogue between the social partners at European level<sup>(6)</sup> should also be consulted.
- (18) Stakeholders such as air navigation service providers, airspace users, airports, manufacturing industry and professional staff representative bodies should have the possibility to advise the Commission on technical aspects of the implementation of the single European sky.
- (19) The performance of the air navigation services system as a whole at European level should be assessed on a regular basis, with due regard to the maintenance of a high level of safety, to check the effectiveness of the measures adopted and to propose further measures.
- (20) The sanctions provided for with respect to infringements of this Regulation and of the measures referred to in Article 3 should be effective, proportional and dissuasive, without reducing safety.
- (21) The impact of the measures taken to apply this Regulation should be evaluated in the light of reports to be submitted regularly by the Commission.
- (22) This Regulation does not affect the power of Member States to adopt provisions in relation to the organisation of their armed forces. This power may lead Member States to adopt measures to ensure that their armed forces have sufficient airspace for adequate education and training purposes. Provision should therefore be made for a safeguards clause to enable this power to be exercised.
- (23) Arrangements for greater cooperation over the use of Gibraltar airport were agreed in London on 2 December 1987 by the Kingdom of Spain and the United Kingdom in a joint declaration by the Ministers of Foreign Affairs of the two countries. Such arrangements have yet to enter into operation.
- (24) Since the objective of this Regulation, namely the creation of the single European sky, cannot be sufficiently achieved by the Member States, by reason of the transnational scale of the action, and can therefore be better achieved at Community level, while allowing for detailed implementing rules that take account of specific local conditions, the Community may adopt measures in accordance with the principle of subsidiarity as set out in Article 5 of the Treaty. In accordance with the principle of proportionality as

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set out in that Article, this Regulation does not go beyond what is necessary in order to achieve this objective.

- (25) The measures necessary for the implementation of this Regulation should be adopted in accordance with Council Decision 1999/468/EC of 28 June 1999 laying down the procedures for the exercise of implementing powers conferred on the Commission<sup>(7)</sup>.
- (26) Article 8(2) of the Standard Rules of Procedure for committees<sup>(8)</sup> established in application of Article 7(1) of Decision 1999/468/EC provides a standard rule according to which the Chairman of a committee may decide to invite third parties to a meeting of that committee. If appropriate, the Chairman of the Single Sky Committee should invite representatives of Eurocontrol to take part in meetings as observers or experts,

HAVE ADOPTED THIS REGULATION:

### *F1* Article 1

#### **Objective and scope**

1 The objective of the single European sky initiative is to enhance current air traffic safety standards, to contribute to the sustainable development of the air transport system and to improve the overall performance of air traffic management (ATM) and air navigation services (ANS) for general air traffic in Europe, with a view to meeting the requirements of all airspace users. This single European sky shall comprise a coherent pan-European network of routes, network management and air traffic management systems based only on safety, efficiency and technical considerations, for the benefit of all airspace users. In pursuit of this objective, this Regulation establishes a harmonised regulatory framework for the creation of the single European sky.

2 The application of this Regulation and of the measures referred to in Article 3 shall be without prejudice to Member States' sovereignty over their airspace and to the requirements of the Member States relating to public order, public security and defence matters, as set out in Article 13. This Regulation and the measures referred to in Article 3 do not cover military operations and training.

3 The application of this Regulation and of the measures referred to in Article 3 shall be without prejudice to the rights and duties of Member States under the 1944 Chicago Convention on International Civil Aviation (the Chicago Convention). In this context, an additional objective of this Regulation is, in the fields it covers, to assist Member States in fulfilling their obligations under the Chicago Convention, by providing a basis for a common interpretation and uniform implementation of its provisions, and by ensuring that these provisions are duly taken into account in this Regulation and in the rules drawn up for its implementation.

4 The application of this Regulation to the airport of Gibraltar is understood to be without prejudice to the respective legal positions of the Kingdom of Spain and the United Kingdom of Great Britain and Northern Ireland with regard to the dispute over sovereignty over the territory in which the airport is situated.]

#### **Textual Amendments**

- F1** Substituted by [Regulation \(EC\) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations \(EC\) No 549/2004, \(EC\) No 550/2004, \(EC\) No 551/2004](#)

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and (EC) No 552/2004 in order to improve the performance and sustainability of the European aviation system (Text with EEA relevance).

## Article 2

### Definitions

For the purpose of this Regulation and of the measures referred to in Article 3, the following definitions shall apply:

1. ‘air traffic control (ATC) service’ means a service provided for the purpose of:
  - (a) preventing collisions:
    - between aircraft, and
    - in the manoeuvring area between aircraft and obstructions; and
  - (b) expediting and maintaining an orderly flow of air traffic;
2. ‘aerodrome control service’ means an ATC service for aerodrome traffic;
3. ‘aeronautical information service’ means a service established within the defined area of coverage responsible for the provision of aeronautical information and data necessary for the safety, regularity, and efficiency of air navigation;
4. ‘air navigation services’ means air traffic services; communication, navigation and surveillance services; meteorological services for air navigation; and aeronautical information services;
5. ‘air navigation service providers’ means any public or private entity providing air navigation services for general air traffic;
6. ‘airspace block’ means an airspace of defined dimensions, in space and time, within which air navigation services are provided;
7. ‘airspace management’ means a planning function with the primary objective of maximising the utilisation of available airspace by dynamic time-sharing and, at times, the segregation of airspace among various categories of airspace users on the basis of short-term needs;
8. [<sup>F1</sup>‘airspace users’ means operators of aircraft operated as general air traffic;]
9. ‘air traffic flow management’ means a function established with the objective of contributing to a safe, orderly and expeditious flow of air traffic by ensuring that ATC capacity is utilised to the maximum extent possible, and that the traffic volume is compatible with the capacities declared by the appropriate air traffic service providers;
10. [<sup>F1</sup>‘air traffic management (ATM)’ means the aggregation of the airborne and ground-based functions (air traffic services, airspace management and air traffic flow management) required to ensure the safe and efficient movement of aircraft during all phases of operations;]
11. ‘air traffic services’ means the various flight information services, alerting services, air traffic advisory services and ATC services (area, approach and aerodrome control services);

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12. 'area control service' means an ATC service for controlled flights in a block of airspace;
13. 'approach control service' means an ATC service for arriving or departing controlled flights;
- 13a. ['<sup>F2</sup>ATM Master Plan' means the plan endorsed by Council Decision 2009/320/EC<sup>(9)</sup>, in accordance with Article 1(2) of Council Regulation (EC) No 219/2007 of 27 February 2007 on the establishment of a Joint Undertaking to develop the new generation European air traffic management system (SESAR)<sup>(10)</sup>];
14. 'bundle of services' means two or more air navigation services;
15. [<sup>F1</sup>'certificate' means a document issued by a national supervisory authority in any form complying with national law, which confirms that an air navigation service provider meets the requirements for providing a specific service;]
16. 'communication services' means aeronautical fixed and mobile services to enable ground-to-ground, air-to-ground and air-to-air communications for ATC purposes;
17. 'European air traffic management network' (EATMN) means the collection of systems listed in Annex I to Regulation (EC) No 552/2004 of the European Parliament and of the Council of 10 March 2004 on the interoperability of the European air traffic management network (the interoperability Regulation)<sup>(11)</sup> enabling air navigation services in the Community to be provided, including the interfaces at boundaries with third countries;
18. 'concept of operation' means the criteria for the operational use of the EATMN or of part thereof;
19. 'constituents' means tangible objects such as hardware and intangible objects such as software upon which the interoperability of the EATMN depends;
20. 'Eurocontrol' is the European Organisation for the Safety of Air Navigation set up by the International Convention of 13 December 1960 relating to Cooperation for the Safety of Air Navigation<sup>(12)</sup>
21. [<sup>F3</sup>. . . .]
22. [<sup>F1</sup>'flexible use of airspace' means an airspace management concept applied in the European Civil Aviation Conference area on the basis of the 'Airspace management handbook for the application of the concept of the flexible use of airspace' issued by Eurocontrol;]
23. 'flight information region' means an airspace of defined dimensions within which flight information services and alerting services are provided;
- 23a. [<sup>F2</sup>'flight information service' means a service provided for the purpose of giving advice and information useful for the safe and efficient conduct of flights;
- 23b. 'alerting service' means a service provided to notify relevant organisations regarding aircraft in need of search and rescue aid, and to assist such organisations as required;]
24. 'flight level' means a surface of constant atmospheric pressure which is related to the specific pressure datum of 1 013,2 hectopascals and is separated from other such surfaces by specific pressure intervals;

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25. [F1‘functional airspace block’ means an airspace block based on operational requirements and established regardless of State boundaries, where the provision of air navigation services and related functions are performance-driven and optimised with a view to introducing, in each functional airspace block, enhanced cooperation among air navigation service providers or, where appropriate, an integrated provider;]
26. ‘general air traffic’ means all movements of civil aircraft, as well as all movements of State aircraft (including military, customs and police aircraft) when these movements are carried out in conformity with the procedures of the ICAO;
27. ‘ICAO’ means the International Civil Aviation Organisation, as established by the 1944 Chicago Convention on International Civil Aviation;
28. ‘interoperability’ means a set of functional, technical and operational properties required of the systems and constituents of the EATMN and of the procedures for its operation, in order to enable its safe, seamless and efficient operation. Interoperability is achieved by making the systems and constituents compliant with the essential requirements;
29. ‘meteorological services’ means those facilities and services that provide aircraft with meteorological forecasts, briefs and observations as well as any other meteorological information and data provided by States for aeronautical use;
30. ‘navigation services’ means those facilities and services that provide aircraft with positioning and timing information;
31. ‘operational data’ means information concerning all phases of flight that are required to take operational decisions by air navigation service providers, airspace users, airport operators and other actors involved;
32. ‘procedure’, as used in the context of the interoperability Regulation, means a standard method for either the technical or the operational use of systems, in the context of agreed and validated concepts of operation requiring uniform implementation throughout the EATMN;
33. ‘putting into service’ means the first operational use after the initial installation or an upgrade of a system;
34. ‘route network’ means a network of specified routes for channelling the flow of general air traffic as necessary for the provision of ATC services;
35. ‘routing’ means the chosen itinerary to be followed by an aircraft during its operation;
36. ‘seamless operation’ means the operation of the EATMN in such a manner that from the user's perspective it functions as if it were a single entity;
37. [F3 . . . . .]
38. ‘surveillance services’ means those facilities and services used to determine the respective positions of aircraft to allow safe separation;
39. ‘system’ means the aggregation of airborne and ground-based constituents, as well as space-based equipment, that provides support for air navigation services for all phases of flight;
40. ‘upgrade’ means any modification that changes the operational characteristics of a system[F1;]

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41. [F2‘cross-border services’ means any situation where air navigation services are provided in one Member State by a service provider certified in another Member State.]

#### Textual Amendments

- F1** Substituted by Regulation (EC) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations (EC) No 549/2004, (EC) No 550/2004, (EC) No 551/2004 and (EC) No 552/2004 in order to improve the performance and sustainability of the European aviation system (Text with EEA relevance).
- F2** Inserted by Regulation (EC) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations (EC) No 549/2004, (EC) No 550/2004, (EC) No 551/2004 and (EC) No 552/2004 in order to improve the performance and sustainability of the European aviation system (Text with EEA relevance).
- F3** Deleted by Regulation (EC) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations (EC) No 549/2004, (EC) No 550/2004, (EC) No 551/2004 and (EC) No 552/2004 in order to improve the performance and sustainability of the European aviation system (Text with EEA relevance).

### Article 3

#### Fields for action by the Community

1 This Regulation establishes a harmonised regulatory framework for the creation of the single European sky in conjunction with:

- a Regulation (EC) No 551/2004 of the European Parliament and of the Council of 10 March 2004 on the organisation and use of the airspace in the Single European Sky (the airspace Regulation)<sup>(13)</sup>;
- b 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 (the service provision Regulation)<sup>(14)</sup>; and
- c Regulation (EC) No 552/2004 of the European Parliament and of the Council of 10 March 2004 on the interoperability of the European Air Traffic Management network (the interoperability Regulation)<sup>(15)</sup>;

and with the implementing rules adopted by the Commission on the basis of this Regulation and the regulations referred to above.

2 The measures referred to in paragraph 1 shall apply subject to the provisions of this Regulation.

### [F1] Article 4

#### National supervisory authorities

1 Member States shall, jointly or individually, either nominate or establish a body or bodies as their national supervisory authority in order to assume the tasks assigned to such authority under this Regulation and under the measures referred to in Article 3.

2 The national supervisory authorities shall be independent of air navigation service providers. This independence shall be achieved through adequate separation, at the functional level at least, between the national supervisory authorities and such providers.

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3 National supervisory authorities shall exercise their powers impartially, independently and transparently. This shall be achieved by applying appropriate management and control mechanisms, including within the administration of a Member State. However, this shall not prevent the national supervisory authorities from exercising their tasks within the rules of organisation of national civil aviation authorities or any other public bodies.

4 Member States shall ensure that national supervisory authorities have the necessary resources and capabilities to carry out the tasks assigned to them under this Regulation in an efficient and timely manner.

5 Member States shall notify the Commission of the names and addresses of the national supervisory authorities, as well as changes thereto, and of the measures taken to ensure compliance with paragraphs 2, 3 and 4.]

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**Textual Amendments**

**F1** Substituted by [Regulation \(EC\) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations \(EC\) No 549/2004, \(EC\) No 550/2004, \(EC\) No 551/2004 and \(EC\) No 552/2004 in order to improve the performance and sustainability of the European aviation system \(Text with EEA relevance\).](#)

*Article 5*

**Committee procedure**

1 The Commission shall be assisted by the Single Sky Committee, hereinafter referred to as ‘the Committee’, composed of two representatives of each Member State and chaired by a representative of the Commission. The Committee shall ensure an appropriate consideration of the interests of all categories of users.

2 Where reference is made to this paragraph, Articles 3 and 7 of Decision 1999/468/EC shall apply, having regard to the provisions of Article 8 thereof.

3 Where reference is made to this paragraph, Articles 5 and 7 of Decision 1999/468/EC shall apply, having regard to the provisions of Article 8 thereof.

The period referred to in Article 5(6) of Decision 1999/468/EC shall be set at one month.

[<sup>F14</sup> Where reference is made to this paragraph, Article 5a(1) to (4) and Article 7 of Decision 1999/468/EC shall apply, having regard to the provisions of Article 8 thereof.

5 Where reference is made to this paragraph, Article 5a(1), (2), (4),(6) and Article 7 of Decision 1999/468/EC shall apply, having regard to the provisions of Article 8 thereof.]

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**Textual Amendments**

**F1** Substituted by [Regulation \(EC\) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations \(EC\) No 549/2004, \(EC\) No 550/2004, \(EC\) No 551/2004 and \(EC\) No 552/2004 in order to improve the performance and sustainability of the European aviation system \(Text with EEA relevance\).](#)

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## *F1* Article 6

### **Industry consultation body**

Without prejudice to the role of the Committee and of Eurocontrol, the Commission shall establish an ‘industry consultation body’, to which air navigation service providers, associations of airspace users, airport operators, the manufacturing industry and professional staff representative bodies shall belong. The role of this body shall solely be to advise the Commission on the implementation of the single European sky.

#### **Textual Amendments**

- F1** Substituted by Regulation (EC) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations (EC) No 549/2004, (EC) No 550/2004, (EC) No 551/2004 and (EC) No 552/2004 in order to improve the performance and sustainability of the European aviation system (Text with EEA relevance).

## Article 7

### **Relations with European third countries**

The Community and its Member States shall aim at and support the extension of the single European sky to countries which are not members of the European Union. To that end, they shall endeavour, either in the framework of agreements concluded with neighbouring third countries or in the context of agreements on functional airspace blocks, to extend the application of this Regulation, and of the measures referred to in Article 3, to those countries.

#### **Textual Amendments**

- F1** Substituted by Regulation (EC) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations (EC) No 549/2004, (EC) No 550/2004, (EC) No 551/2004 and (EC) No 552/2004 in order to improve the performance and sustainability of the European aviation system (Text with EEA relevance).

## Article 8

### **Implementing rules**

1 For the development of implementing rules the Commission may issue mandates to Eurocontrol or, where appropriate, to another body, setting out the tasks to be performed and the timetable for this and taking into account the relevant deadlines laid down in this Regulation. The Commission shall act in accordance with the advisory procedure referred to in Article 5(2).

2 When the Commission intends to issue a mandate in accordance with paragraph 1 it shall endeavour to make the best use of existing arrangements for the involvement and consultation of all interested parties, where these arrangements correspond to Commission practices on transparency and consultation procedures and do not conflict with its institutional obligations.

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#### Textual Amendments

- F1** Substituted by [Regulation \(EC\) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations \(EC\) No 549/2004, \(EC\) No 550/2004, \(EC\) No 551/2004 and \(EC\) No 552/2004 in order to improve the performance and sustainability of the European aviation system \(Text with EEA relevance\).](#)

### Article 9

#### Penalties

The penalties that Member States shall lay down for infringements of this Regulation and of the measures referred to in Article 3 in particular by airspace users and service providers shall be effective, proportionate and dissuasive.

#### Textual Amendments

- F1** Substituted by [Regulation \(EC\) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations \(EC\) No 549/2004, \(EC\) No 550/2004, \(EC\) No 551/2004 and \(EC\) No 552/2004 in order to improve the performance and sustainability of the European aviation system \(Text with EEA relevance\).](#)

### Article 10

#### Consultation of stakeholders

1 The Member States, acting in accordance with their national legislation, shall establish consultation mechanisms for appropriate involvement of stakeholders, including professional staff representative bodies, in the implementation of the single European sky.

2 The Commission shall establish a consultation mechanism at Community level. The specific Sectoral Dialogue Committee set up under Decision 98/500/EC shall be involved in the consultation.

3 Consultation of stakeholders shall cover, in particular, the development and introduction of new concepts and technologies in the EATMN.

The stakeholders may include:

- air navigation service providers,
- airport operators,
- relevant airspace users or relevant groups representing airspace users,
- military authorities,
- manufacturing industry, and,
- professional staff representative bodies.

#### Textual Amendments

- F1** Substituted by [Regulation \(EC\) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations \(EC\) No 549/2004, \(EC\) No 550/2004, \(EC\) No 551/2004](#)

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and (EC) No 552/2004 in order to improve the performance and sustainability of the European aviation system (Text with EEA relevance).

## Article 11

### Performance scheme

1 To improve the performance of air navigation services and network functions in the single European sky, a performance scheme for air navigation services and network functions shall be set up. It shall include:

- a Community-wide performance targets on the key performance areas of safety, the environment, capacity and cost-efficiency;
- b national plans or plans for functional airspace blocks, including performance targets, ensuring consistency with the Community-wide performance targets; and
- c periodic review, monitoring and benchmarking of the performance of air navigation services and network functions.

2 In accordance with the regulatory procedure referred to in Article 5(3), the Commission may designate Eurocontrol or another impartial and competent body to act as a 'performance review body'. The role of the performance review body shall be to assist the Commission, in coordination with the national supervisory authorities, and to assist the national supervisory authorities on request in the implementation of the performance scheme referred to in paragraph 1. The Commission shall ensure that the performance review body acts independently when carrying out the tasks entrusted to it by the Commission.

3

- a The Community-wide performance targets for the air traffic management network shall be adopted by the Commission in accordance with the regulatory procedure referred to in Article 5(3), after taking into account the relevant inputs from national supervisory authorities at national level or at the level of functional airspace blocks.
- b The national or functional airspace block plans referred to in point (b) of paragraph 1 shall be drawn up by national supervisory authorities and adopted by the Member State(s). These plans shall include binding national targets or targets at the level of functional airspace blocks and an appropriate incentive scheme as adopted by the Member State(s). Drafting of the plans shall be subject to consultation with air navigation service providers, airspace users' representatives, and, where relevant, airport operators and airport coordinators.
- c The consistency of the national or functional airspace block targets with the Community-wide performance targets shall be assessed by the Commission using the assessment criteria referred to in point (d) of paragraph 6.

In the event that the Commission identifies that one or more national or functional airspace block targets do not meet the assessment criteria, it may decide, in accordance with the advisory procedure referred to in Article 5(2), to issue a recommendation that the national supervisory authorities concerned propose revised performance target(s). The Member State(s) concerned shall adopt revised performance targets and appropriate measures which shall be notified to the Commission in due time.

Where the Commission finds that the revised performance targets and appropriate measures are not adequate, it may decide, in accordance with the regulatory procedure referred to in Article 5(3), that the Member States concerned shall take corrective measures.

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Alternatively, the Commission may decide, with adequate supporting evidence, to revise the Community-wide performance targets in accordance with the regulatory procedure referred to in Article 5(3).

- d The reference period for the performance scheme shall cover a minimum of three years and a maximum of five years. During this period, in the event that the national or functional airspace block targets are not met, the Member States and/or the national supervisory authorities shall apply the appropriate measures they have defined. The first reference period shall cover the first three years following the adoption of the implementing rules referred to in paragraph 6.
- e The Commission shall carry out regular assessments of the achievement of the performance targets and present the results to the Single Sky Committee.

4 The following procedures shall apply to the performance scheme referred to in paragraph 1:

- a collection, validation, examination, evaluation and dissemination of relevant data related to the performance of air navigation services and network functions from all relevant parties, including air navigation service providers, airspace users, airport operators, national supervisory authorities, Member States and Eurocontrol;
- b selection of appropriate key performance areas on the basis of ICAO Document No 9854 'Global air traffic management operational concept', and consistent with those identified in the Performance Framework of the ATM Master Plan, including safety, the environment, capacity and cost-efficiency areas, adapted where necessary in order to take into account the specific needs of the single European sky and relevant objectives for these areas and definition of a limited set of key performance indicators for measuring performance;
- c establishment of Community-wide performance targets that shall be defined taking into consideration inputs identified at national level or at the level of functional airspace blocks;
- d assessment of the national or functional airspace block performance targets on the basis of the national or functional airspace block plan; and
- e monitoring of the national or functional airspace block performance plans, including appropriate alert mechanisms.

The Commission may add to the list of procedures referred to in this paragraph. These measures designed to amend non-essential elements of this Regulation, by supplementing it, shall be adopted in accordance with the regulatory procedure with scrutiny referred to in Article 5(4).

5 The establishment of the performance scheme shall take into account that en route services, terminal services and network functions are different and should be treated accordingly, if necessary also for performance-measuring purposes.

6 For the detailed functioning of the performance scheme, the Commission shall by 4 December 2011 and within a suitable time-frame with a view to meeting the relevant deadlines laid down in this Regulation, adopt implementing rules in accordance with the regulatory procedure referred to in Article 5(3). These implementing rules shall cover the following:

- a the content and timetable of the procedures referred to in paragraph 4;
- b the reference period and intervals for the assessment of the achievement of performance targets and setting of new targets;
- c criteria for the setting up by the national supervisory authorities of the national or functional airspace block performance plans, containing the national or functional

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airspace block performance targets and the incentive scheme. The performance plans shall:

- (i) be based on the business plans of the air navigation service providers;
  - (ii) address all cost components of the national or functional airspace block cost base;
  - (iii) include binding performance targets consistent with the Community-wide performance targets;
- d criteria to assess whether the national or functional airspace block targets are consistent with the Community-wide performance targets during the reference period and to support alert mechanisms;
- e general principles for the setting up by Member States of the incentive scheme;
- f principles for the application of a transitional mechanism necessary for the adaptation to the functioning of the performance scheme not exceeding 12 months following the adoption of the implementing rules.]

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#### Textual Amendments

- F1** Substituted by [Regulation \(EC\) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations \(EC\) No 549/2004, \(EC\) No 550/2004, \(EC\) No 551/2004 and \(EC\) No 552/2004 in order to improve the performance and sustainability of the European aviation system \(Text with EEA relevance\).](#)

### Article 12

#### Supervision, monitoring and methods of impact assessment

1 The supervision, monitoring and methods of impact assessment shall be based on the submission of annual reports by the Member States on implementation of the actions taken pursuant to this Regulation and to the measures referred to in Article 3.

[<sup>F12</sup> The Commission shall periodically review the application of this Regulation and of the measures referred to in Article 3, and shall firstly report to the European Parliament and to the Council by 4 June 2011, and at the end of each reference period referred to in Article 11(3) (d) thereafter. When justified for this purpose, the Commission may request from the Member States information additional to the information contained in the reports submitted by them in accordance with paragraph 1 of this Article.]

3 For the purposes of drafting the reports referred to in paragraph 2, the Commission shall request the opinion of the Committee.

[<sup>F14</sup> The reports shall contain an evaluation of the results achieved by the actions taken pursuant to this Regulation including appropriate information about developments in the sector, in particular concerning economic, social, environmental, employment and technological aspects, as well as about quality of service, in the light of the original objectives and with a view to future needs.]

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#### Textual Amendments

- F1** Substituted by [Regulation \(EC\) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations \(EC\) No 549/2004, \(EC\) No 550/2004, \(EC\) No 551/2004](#)

**Changes to legislation:** There are outstanding changes not yet made to Regulation (EC) No 549/2004 of the European Parliament and of the Council. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) View outstanding changes

and (EC) No 552/2004 in order to improve the performance and sustainability of the European aviation system (Text with EEA relevance).

### Article 13

#### Safeguards

This Regulation shall not prevent the application of measures by a Member State to the extent to which these are needed to safeguard essential security or defence policy interests. Such measures are in particular those which are imperative:

- for the surveillance of airspace that is under its responsibility in accordance with ICAO Regional Air Navigation agreements, including the capability to detect, identify and evaluate all aircraft using such airspace, with a view to seeking to safeguard safety of flights and to take action to ensure security and defence needs,
- in the event of serious internal disturbances affecting the maintenance of law and order,
- in the event of war or serious international tension constituting a threat of war,
- for the fulfilment of a Member State's international obligations in relation to the maintenance of peace and international security,
- in order to conduct military operations and training, including the necessary possibilities for exercises.

### <sup>F2</sup>Article 13a

#### European Aviation Safety Agency

When implementing this Regulation and Regulations (EC) No 550/2004, (EC) No 551/2004, (EC) No 552/2004 and Regulation (EC) No 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<sup>(16)</sup>, Member States and the Commission, in accordance with their respective roles as provided for by this Regulation, shall coordinate as appropriate with the European Aviation Safety Agency to ensure that all safety aspects are properly addressed.]

#### Textual Amendments

- F2** Inserted by Regulation (EC) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations (EC) No 549/2004, (EC) No 550/2004, (EC) No 551/2004 and (EC) No 552/2004 in order to improve the performance and sustainability of the European aviation system (Text with EEA relevance).

### Article 14

#### Entry into force

This Regulation shall enter into force on the 20th day following that of its publication in the *Official Journal of the European Union*.

This Regulation shall be binding in its entirety and directly applicable in all Member States.

**Changes to legislation:** There are outstanding changes not yet made to Regulation (EC) No 549/2004 of the European Parliament and of the Council. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) [View outstanding changes](#)

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**Changes to legislation:** There are outstanding changes not yet made to Regulation (EC) No 549/2004 of the European Parliament and of the Council. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) View outstanding changes

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- (1) OJ C 103 E, 30.4.2002, p. 1.
- (2) OJ C 241, 7.10.2002, p. 24.
- (3) OJ C 278, 14.11.2002, p. 13.
- (4) Opinion of the European Parliament of 3 September 2002 (OJ C 272 E, 13.11.2003, p. 296), Council common position of 18 March 2003 (OJ C 129 E, 3.6.2003, p. 1) and position of the European Parliament of 3 July 2003 (not yet published in the Official Journal). Legislative resolution of the European Parliament of 29 January 2004 and Decision of the Council of 2 February 2004.
- (5) See page 9 of this Official Journal.
- (6) OJ L 225, 12.8.1998, p. 27.
- (7) OJ L 184, 17.7.1999, p. 23.
- (8) OJ C 38, 6.2.2001, p. 3.
- (9) [<sup>F2</sup>OJ L 95, 9.4.2009, p. 41.]
- (10) [<sup>F2</sup>OJ L 64, 2.3.2007, p. 1.]
- (11) See page 33 of this Official Journal.
- (12) Convention modified by the protocol of 12 February 1981 and revised by the protocol of 27 June 1997.
- (13) See page 20 of this Official Journal.
- (14) See page 10 of this Official Journal.
- (15) See page 26 of this Official Journal.
- (16) [<sup>F2</sup>OJ L 79, 19.3.2008, p. 1.]

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#### Textual Amendments

- F2** Inserted by Regulation (EC) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations (EC) No 549/2004, (EC) No 550/2004, (EC) No 551/2004 and (EC) No 552/2004 in order to improve the performance and sustainability of the European aviation system (Text with EEA relevance).

**Changes to legislation:**

There are outstanding changes not yet made to Regulation (EC) No 549/2004 of the European Parliament and of the Council. Any changes that have already been made to the legislation appear in the content and are referenced with annotations.

[View outstanding changes](#)

**Changes and effects yet to be applied to :**

- Art. 1 heading word substituted by S.I. 2019/459 reg. 3(2)
- Art. 1(1) omitted by S.I. 2019/459 reg. 3(3)
- Art. 1(2) word substituted by S.I. 2019/459 reg. 3(4)(b)
- Art. 1(2) words omitted by S.I. 2019/459 reg. 3(4)(c)
- Art. 1(2) words substituted by S.I. 2019/459 reg. 3(4)(a)
- Art. 1(3) words omitted by S.I. 2019/459 reg. 3(5)(b)
- Art. 1(3) words substituted by S.I. 2019/459 reg. 3(5)(a)
- Art. 1(4) omitted by S.I. 2019/459 reg. 3(6)
- Art. 3 heading words omitted by S.I. 2019/459 reg. 5(2)
- Art. 3(1) word substituted by S.I. 2019/459 reg. 5(3)(c)
- Art. 3(1) words inserted by S.I. 2019/459 reg. 5(3)(b)
- Art. 3(1) words inserted by S.I. 2019/459 reg. 5(3)(d)
- Art. 3(1) words omitted by S.I. 2019/459 reg. 5(3)(a)
- Art. 4 heading word substituted by S.I. 2019/459 reg. 6(2)
- Art. 4(1) word substituted by S.I. 2019/459 reg. 6(3)(c)
- Art. 4(1) words omitted by S.I. 2019/459 reg. 6(3)(b)
- Art. 4(1) words substituted by S.I. 2019/459 reg. 6(3)(a)
- Art. 4(2) word substituted by S.I. 2019/459 reg. 6(4)
- Art. 4(3) word substituted by S.I. 2019/459 reg. 6(5)(b)
- Art. 4(3) words inserted by S.I. 2019/459 reg. 6(5)(c)
- Art. 4(3) words omitted by S.I. 2019/459 reg. 6(5)(d)
- Art. 4(3) words substituted by S.I. 2019/459 reg. 6(5)(a)
- Art. 4(4) word substituted by S.I. 2019/459 reg. 6(6)(c)
- Art. 4(4) words inserted by S.I. 2019/459 reg. 6(6)(d)
- Art. 4(4) words substituted by S.I. 2019/459 reg. 6(6)(a)
- Art. 4(4) words substituted by S.I. 2019/459 reg. 6(6)(b)
- Art. 4(5) omitted by S.I. 2019/459 reg. 6(7)
- Art. 5 omitted by S.I. 2019/459 reg. 7
- Art. 6 omitted by S.I. 2019/459 reg. 8
- Art. 7 omitted by S.I. 2019/459 reg. 9
- Art. 8 omitted by S.I. 2019/459 reg. 10
- Art. 9 omitted by S.I. 2019/459 reg. 11
- Art. 10 omitted by S.I. 2019/459 reg. 12
- Art. 11 omitted by S.I. 2019/459 reg. 13
- Art. 12 heading substituted by S.I. 2019/459 reg. 14(2)
- Art. 12(1) omitted by S.I. 2019/459 reg. 14(3)
- Art. 12(2) words omitted by S.I. 2019/459 reg. 14(4)(b)
- Art. 12(2) words substituted by S.I. 2019/459 reg. 14(4)(a)
- Art. 12(3) omitted by S.I. 2019/459 reg. 14(5)
- Art. 12(4) words inserted by S.I. 2019/459 reg. 14(6)(b)
- Art. 12(4) words omitted by S.I. 2019/459 reg. 14(6)(c)
- Art. 12(4) words substituted by S.I. 2019/459 reg. 14(6)(a)
- Art. 13 words inserted by S.I. 2019/459 reg. 15(2)(a)
- Art. 13 words omitted by S.I. 2019/459 reg. 15(2)(b)
- Art. 13 words substituted by S.I. 2019/459 reg. 15(3)
- Art. 13 words substituted by S.I. 2019/459 reg. 15(4)
- Art. 13a omitted by S.I. 2019/459 reg. 16
- Art. 14 omitted by S.I. 2019/459 reg. 17

**Changes and effects yet to be applied to the whole legislation item and associated provisions**

- Signature words omitted by S.I. 2019/459 reg. 18
- Art. 2(14a) inserted by S.I. 2019/459 reg. 4(2)
- Art. 2(15) words substituted by S.I. 2019/459 reg. 4(3)
- Art. 2(17) word inserted by S.I. 2019/459 reg. 4(4)(a)
- Art. 2(17) words omitted by S.I. 2019/459 reg. 4(4)(b)
- Art. 2(17)(a)-(h) and words inserted by S.I. 2019/459 reg. 4(4)(c)
- Art. 2(18) words substituted by S.I. 2019/459 reg. 4(5)
- Art. 2(19) words inserted by S.I. 2019/459 reg. 4(6)
- Art. 2(28) words inserted by S.I. 2019/459 reg. 4(7)(b)
- Art. 2(28) words substituted by S.I. 2019/459 reg. 4(7)(a)
- Art. 2(32) words inserted by S.I. 2019/459 reg. 4(8)
- Art. 2(36) words inserted by S.I. 2019/459 reg. 4(9)(a)
- Art. 2(36) words substituted by S.I. 2019/459 reg. 4(9)(b)
- Art. 2(39a) inserted by S.I. 2019/459 reg. 4(10)
- Art. 2(41) word substituted by S.I. 2019/459 reg. 4(11)(b)
- Art. 2(41) words substituted by S.I. 2019/459 reg. 4(11)(a)