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SAFETY REGULATION COMMISSION DOCUMENT (SRC DOC)

SRC DOCUMENT 25

PROCEEDINGS OF THE EUROCONTROL WORKSHOP ON ESARR 5 AND ATCO LICENSING

22nd / 24th May 2002

SAFETY REGULATION COMMISSION

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The EUROCONTROL Safety Regulation Unit (SRU) and EATMP Human Factors and Manpower Unit (DIS/HUM) have organised a workshop to support the implementation of the EUROCONTROL Safety Regulatory Requirement 'ATM Services' Personnel' (reference ESARR 5) and associated best practices namely the European Manual of Personnel Licensing – Air Traffic Controllers. The main aims of the Workshop was to provide a better awareness for civil and military ATM Safety Regulators and ATM Service Providers, professional associations, etc., on how to implement ESARR 5, Ed. 1.0 and associated best practices, including the European Manual of Personnel Licensing – Air Traffic Controllers and to have an initial feedback regarding the implementation of ESARR 5 within States.			
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F.3   DOCUMENT APPROVAL

The following table identifies all management authorities who have approved this document.

AUTHORITY	NAME AND SIGNATURE *	DATE
Quality Control (SRU)	*signed by Daniel Hartin* (Daniel HARTIN)	20-Jan-03
Head Safety Regulation Unit (SRU)	*signed by Peter Stastny* (Peter STASTNY)	20-Jan-03
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* In order to reduce the size of files, all documents placed on the SRC Website do not contain signatures. However, please note that all management authorities have signed the master copies held by the SRU. Requests for copies of master documents should be emailed to: sru@eurocontrol.int.

F.4 DOCUMENT CHANGE RECORD

The following table records the complete history of this document.

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0.01	10-06-02	Creation of the document.	All
0.02	30-09-02	Include the text of all presentations provided by contributing states/organisation during the workshop.	All
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1.0	20-01-03	Following approval by SRC, document formally released.	All

F.5   CONTENTS

APPENDICIES

Note: CDs with Workshop Documentation are available from the SRU (*sru@eurocontrol.int*)

F.6   EXECUTIVE SUMMARY

In May 2002, the Safety Regulation Commission (SRC) together with Agency DIS/HUM Unit have organised the ESARR 5 and ATCO Licensing workshop. The workshop was aimed at;

❑   providing a better awareness of ESARR 5, European Manual of Personnel Licensing - Air Traffic Controllers and related Training issue

❑   obtaining initial feedback from States regarding the implementation of ESARR 5 and the best practices laid down in European Manual of Personnel Licensing - Air Traffic Controllers.

❑   following up the workshop held in May 2000.

It was targeted at Civil and Military Providers of Air Traffic Services, ATM Safety Regulators, professional organisations, IFATCA and personnel involved, or likely to be involved, in the implementation of ESARR 5 requirements and associated best practices .

The workshop was focused on the feed back provided by the States who offered to contribute presentations about the status of implementing ESARR 5 requirements and the associated best practices. Additional, the workshop intended to work into syndicate groups dealing with specific issues: Regulation, Licensing and Training issues. Therefore, three groups were formed. Group one dealt with Regulation issues, Group two with Licensing issues and Group three with Training issues.

Within each of the syndicate group questions were raised and answers were provided. In support to the questions raised within each syndicate group, presentations about means of compliance and implementation and monitoring issues were provided. Each syndicate group nominated a Rapporteur responsible for the group's activity report. Each group Rapporteur presented the result of the syndicate work on the last day. Most of the issues were answered during the second day and some of them still have to be answered within future meetings.

The Workshop concluded that for the implementation of ESARR 5 requirements for air traffic controllers it is necessary to have arrangements in place at national level and also tools and resources to support it. It may also be appropriate to hold a further workshop by the end of 2002 beginning of 2003 through the implementation program, to review any newly identified problems.

1. INTRODUCTION

SRC's (Safety Regulation Commission) role calls for the development of harmonised ATM safety regulatory approaches and requirements between States. SRC must respond to current and anticipated developments in ATM across the ECAC area, and wider aspects as necessary, including any new safety demands or expectations by the aviation community. Therefore, SRC worked in widening safety regulatory requirements to one of the three key elements of the ATM system – people.

Within EATMP, the Human Resources Domain (HUM) deals with the integration of human aspects related knowledge and methods into the current and future ATM system to ensure the overall compatibility with the human operator. The domain main activity covers human factors studies, manpower planning, selection, training and licensing.

1.1 Scope

In May 2000, the EATMP Human Resources Team (HRT) have organised a workshop on topics falling within the Human Resources Domain. The Workshop concerned issues relating to implementation of harmonised licensing and training schemes for air traffic controllers and licensing implementation issues. The aim was of enabling States and Administrations to better understand the European air traffic controller licensing scheme and assimilate the demands of the scheme into their State air traffic control facilities. The report on the proceedings of the workshop was prepared and released by the DIS/HUM: Proceedings of EUROCONTROL Workshop on Implementation of the European Air Traffic Controllers' Licensing Scheme – 16/18 May 2000, edition 1.0, 12.11.2001, HUM.ET1.ST08.11000-REP-01.

In May 2002, the Safety Regulation Commission (SRC) together with Agency DIS/HUM Unit have organised the ESARR 5 and ATCO Licensing workshop. The workshop was aimed:

❑ To provide a better awareness of ESARR 5, European Manual of Personnel Licensing - Air Traffic Controllers and related Training issue

❑ To obtain initial feedback from States regarding the implementation of ESARR 5 and the best practices laid down in European Manual of Personnel Licensing - Air Traffic Controllers.

❑ To follow up the workshop held in May 2000

It was targeted at Civil and Military Providers of Air Traffic Services, ATM Safety Regulators, professional organisations, IFATCA and personnel involved, or likely to be involved, in the implementation of ESARR 5 requirements and associated best practices.

1.2   Purpose

This report aggregates the output of the 'Proceedings of the EUROCONTROL ESARR 5 and ATCO Licensing Workshop', which was held at the EUROCONTROL Institute of Air Navigation Systems, Luxembourg, on 22 to 24 May 2002. It was attended by 110 participants from thirty ECAC States. It includes summaries of the opening and closing addresses, summaries of the presentations, the conclusions of the Working Groups (WGs), other documentation handed out at the Workshop, and the list of participants and contributors.

1.3   Background

The introduction of a harmonised licensing scheme is a European Civil Aviation Conference (ECAC) Ministers' Directive and was defined in the ECAC Strategy of the 90's document. The purpose of the directive is to detail and implement air traffic control licensing standards within ECAC Member States with the intention of developing a European harmonised air traffic controller licensing scheme.

Additionally within its Work Programme, Safety Regulation Commission has developed ESARR 5, ATM Services' Personnel, which sets out the general safety regulatory requirements for all ATM services' personnel responsible for safety related tasks within the provision of ATM services across the ECAC area, the safety regulatory requirements for air traffic controllers and the safety regulatory requirements for engineering and technical personnel undertaking operational safety related tasks[1].

Since January 2002, the European Manual of Personnel Licensing – Air Traffic Controllers together with its Guidance on Implementation had been assessed by SRC and declared an Acceptable Means of Compliance with ESARR 5 requirements. The Statement of Compliance is referenced under EAM5/AMC – Compliance with ESARR 5, Edition 1.0, 26.02.2002.

1.4   Structure of the Workshop

The Workshop opened by the Head of DIS/HUM within a Plenary Session attended by all delegates, during which a keynote address and a number of presentations were delivered. The delegates then split into Syndicate Groups, each addressing a specific aspect of implementation. The Workshop finished with a Plenary Session where summary reports of each Syndicate Group were delivered together with a keynote address from the Head of Safety Regulation Unit. The structure of the workshop is within **Annex 1** to this report.

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[1] This workshop was focused on the subject of safety regulatory requirements for air traffic controllers and have not taken into consideration the safety regulatory requirements for engineering and technical personnel undertaking operational safety related tasks.

2.   THE WORKSHOP – PLENARY SESSION

2.1   Keynote Address

First Mr. Lars Wedback, Director of EUROCONTROL Institute of Air Navigation Services (IANS), welcomed delegates and mentioned that facilities together with staff of IANS are at their disposal for the period of the workshop. Mr. Wedback mentioned that ESARR 5 achievement for ECAC countries will be a "common language" when dealing with competence issues. He expressed the belief that this workshop will be an added value for each participant first, by sharing views between themselves and second by having information of different aspects related to the implementation of ESARR 5 and associated best practices within ECAC members states.

The Workshop was formally opened by Mr Alexander Skoniezki, Chairman of the HRT, who welcomed delegates and highlighted the issues to be addressed in a keynote speech, which is reproduced in full here below:

2.2   Presentation by the HRT Chairman to the ESARR 5 & ATCO Licensing Workshop, Luxembourg – May 2002

Alexander Skoniezki, EUROCONTROL DIS/HUM

Good Morning Ladies & Gentlemen,

Welcome to the ESARR5/ATCO Licensing Workshop which has been commonly organised by the EUROCONTROL Human Factors and Manpower Unit (DIS/HUM) and the Safety Regulation Unit on behalf and in agreement with the SRC and the HRT.

<u>INTRODUCTION</u>

Almost exactly two years ago I had the pleasure of opening the first licensing workshop which was organised by the Licensing Work Group of the Human Resources Team, together with the UK SRG Project Team and ourselves in the DIS/HUM Unit. That workshop took place at a very early stage of the implementation phase and not long after the completion of the ATCO Licensing Manual. It was very much an exercise to get feedback from states on their intentions with regard to implementation of the proposed licensing scheme and a search for areas where problems were expected. All this work, of course, had taken place within the Human Resources Domain, under the umbrella of the Human Resources Team and with the co-operation of European Air Traffic Services Providers and as far as possible with national Regulators.

Since then time has moved on and we now have a greater emphasis on Safety Regulation and its separation from Service Provision. The Safety Regulation Commission and its administrative arm – the Safety Regulation Unit – had been established during the course of the HRT project to produce EUROCONTROL Safety Regulatory Requirements. We were pleased to have their involvement and co-operation for the first workshop. And now, in the spirit of continuing and growing co-operation, we are even more pleased to be able to arrange this workshop jointly with the SRU.

BACKGROUND

You will hear later in more detail the chain of events leading to our current situation but I would like to reflect briefly on the background. We are here today as a direct result of the series of meetings of the ECAC Ministers with responsibility for aviation, which took place in the early 90's. Having noted, with concern, the forecast of substantially increased air traffic demand, devised an action plan for the end of the century and beyond. They invited EUROCONTROL, in partnership with the national administrations of ECAC and the European Communities to implement this plan. Since then the efforts of the EUROCONTROL organisation have been directed towards achieving their objectives. These efforts led to the EATCHIP and later the EATM Programme and are most recently reflected in the ATM 2000+ Strategy and its updated version. A new convention was developed and infrastructure changes took place, including the establishment of the Safety Regulation Commission within the EUROCONTROL Organisation but outside the Agency. EUROCONTROL has also grown closer to ECAC by increasing its membership of ECAC states and this trend continues.

It has fallen to the Human Resources Domain to implement the ECAC Ministers' directive in that subject of most interest to us today – Human Resources and, in particular, Training and Licensing. The most prominent products are, as you know, the ATCO licensing scheme as outlined in the licensing manual and the guidelines for both initial and operational unit training.

DEVELOPMENTS - Since 1st Licensing Workshop

The first licensing workshop was successful in reaching its objectives. Firstly, we were pleased to learn that there were no major omissions in the provisions of the licensing scheme and, secondly, it highlighted those areas which were of concern to workshop participants and gave a rough roadmap of the way towards implementation. Many issues were raised and discussed, for example:

❑ The critical aspects of implementing a harmonised licence, including planning, transitional and legislative matters as well as the military ATC dimension

❑ Institutional arrangements and administrative procedures necessary at both national and international level, including the case of 'migrant controllers'

❑ Training procedures to be put in place including regulation of training establishments

❑ Format of the licence itself and confidentiality of the database

These are just a few of the considerable list of questions that workshop delegates were able to take home and consider. We are looking forward to hearing the experiences and progress of a number of states in the presentations being made later.

But what other developments have taken place in the meantime?

INFRASTRUCTURE

The European Communities have given the air traffic capacity problem in Europe a high priority, as shown by the establishment of the "High Level" group. The "single sky initiative" was established and is currently being progressed at political level. Some important key objectives within the Single European Sky initiative are:

❑   Harmonised training and procedures

❑   A European License to ensure agreed qualification levels for ATC staff.

The co-operation between EUROCONTROL and the EC will mean that the established safety regulation requirements will be backed by law – something which is essential for effective safety regulation.

SAFETY REGULATION

Since the last workshop took place the SRC formally assessed the licensing manual and found it acceptable as a means of compliance with ESARR5 requirements, except on some minor points which will be addressed as part of the future work of reviewing and updating the manual. Also, progress was made on the question of safety requirements for technical and engineering personnel and a new version of ESARR5, including these requirements, has been approved by the Permanent Commission.

A web site has been established which holds all the relevant licensing and safety regulation documentation and this material can be accessed both through the DIS/HUM and SRU. It is also available on CD.

LICENSING

In the intervening period we in the HUM Unit made it clear that we were at the disposal of states to provide implementation assistance or to arrange for help to be provided. We also launched a questionnaire action jointly with SRU. This was intended to discover the intentions of states on implementation of licensing and ESARR5 and also to identify areas where states might experience problems. The results were encouraging, showing that the vast majority of those who replied intended to implement the licensing scheme as a method of compliance with ESARR5. Most respondents also propose to take on board the proposed ATCO Medical Requirements when the final document is issued.

Speaking of medical requirements, we can now say that we are close to completion of the document "Requirements for European Class 3 Medical Requirements for Air Traffic Controllers". This will lay out the recommended best practice in the field and will represent the closest possible to an agreed document that we can achieve.

We have also set up the ATCO Licensing Review Group with the aim of regularly reviewing and updating the licensing manual and assisting the HUM Unit in supplying expertise in licensing matters when requested. We had arranged to hold the first meeting of this new group earlier this year. However, it was necessary to cancel arrangements as members found it difficult to attend due to the difficult economical conditions that prevailed at the time. We now hope that the situation has eased enough to allow us to hold the first meeting soon after the workshop.

TRAINING

With regard to training, we are also pleased to say that the OJT documents "Air Traffic Controller Training at Operational Units" and its related document on "refresher training" have also been accepted by SRC as acceptable means of compliance. Of course it is already a requirement, expressed in ESARR5, that initial training courses satisfy, as a minimum, the ECAC guidelines for Common Core Content training as laid out in the guidelines documents for Phase 1 and 2.

These are some of the developments that have taken place from our point of view since the first workshop. No doubt there are many others within your administrations and we particularly look forward to the presentations today describing progress in implementation in various states.

CO-OPERATION

Over the next three days you will discuss many subjects in detail and I would not attempt to cover them all. However, before finishing I would like to bring up one final and very important subject and that is "*co-operation*". The Licensing project has established liaison with SRC/SRU at an early stage and our co-operation has been on-going since then. An even closer co-operation right from the start was established with the Training experts from the Institute. Through the HRS in co-ordination with the TSG and with HRT all important Common Core Training guidelines have been developed and are available.

And "co-operation" is the key word here in achieving successful and effective safety regulation. In our work so far, dealing with an area as large as that covered by the ECAC states, we have learned that there is no uniformity in the distribution of responsibilities between Service Provision and Regulation. Different ways of achieving the same goals have developed, based on individual requirements, traditions and cultures, within each aviation authority. Even the task of administering ATCO licences is sometimes the responsibility of regulators and in other cases falls to service providers.

The right of states to decide the structure and statutes best suited to their national conditions will always be respected. However, we also have to be aware that the implementation of ESARR5, the ATCO licensing scheme together with its related guidelines and provisions for other ATM staff will have financial, organisational and social implications to ANSPs and Regulators.

But it is very clear that we all have the same ultimate objective and that is the highest possible standards of aviation safety, particularly where the competence of the human operator is concerned. I urge you then, whether your responsibilities be in the area of service provision or regulation, to ask yourself if your dealings with others who have a responsibility in ensuring safety, are adequate. We are all aware that lack of communication or co-operation in ATM can have disastrous consequences.

In regard to ESARR 5 and the ATCO Licensing scheme we have achieved important milestones:

♦   The basis of what we want to achieve exists !

♦   It is our common challenge to guarantee now the proper implementation of the deliverables within the agreed time frame in close co-operation with all involved!

Only then will we be able to achieve the overall target of safety and proficiency and also contribute to the objectives of the SES initiative.

Thank you for your attention and I wish us all a highly successful and fulfilling workshop.

2.3   Regulatory Framework for ATCO Competency and Associated Best Practices

The main issues brought to the attention of delegates at the Workshop are summarised below.

ECAC States have established the Safety Regulation Commission (SRC) having the objective 'to provide advice to ensure, through co-operation between States on safety regulation, consistent high levels of safety in air traffic management (ATM) within the ECAC area'.

The SRC produced the EUROCONTROL Safety Regulatory Requirement (ESARR) 5, ATM Services' Personnel which has been completed, within the second edition dated 11.04.2002, with the safety regulatory requirements for engineering and technical personnel undertaking operational safety related tasks. The first edition of 10.11.2000 had only established the general safety regulatory requirements for all ATM services' personnel responsible for safety related tasks within the provision of ATM services across the ECAC area and the safety regulatory requirements for air traffic controllers.

The EUROCONTROL Safety Regulatory Requirement – ATM Services' Personnel stemmed, *inter alia*, from the need to complement the ICAO Annex 1 Standard and Recommended Practices - SARPs and to enable the safety aspects of the licence/certificate of competence qualifications to more closely match the air traffic services being provided within ECAC region. This will also permit the recognition of additional ATC skills associated with the evolution of air traffic control systems and their related controlling procedures. It is to be noted that, no provisions are foreseen in ICAO SARPS in respect of the mentioned category of ATM personnel and ESARR 5 is the first safety regulatory document to ensure that competency of technical and engineering staff is adequately and formally covered in a harmonised way at European wide level.

The workshop has been focused on the subject of safety regulatory requirements for air traffic controllers and have not taken into consideration the safety regulatory requirements for engineering and technical personnel undertaking operational safety related tasks. For the requirements established in regard of engineering and technical personnel undertaking operational safety related tasks, activities like workshops and awareness material, will be proposed to the interested parties later during year 2003.

Within the EATMP, the European Manual of Personnel Licensing – Air Traffic Controllers together with its Guidance on Implementation have been produced. The scope of this manual was to concentrate on procedures for harmonised ATS licensing scheme for use in the ECAC States. The manual contains harmonised standards and procedures for the issue and maintenance of ATC licences within ECAC States. The content of this document has provided significant input to the development of the EUROCONTROL Safety Regulatory Requirement for ATM Services' Personnel (ESARR 5, ed 1.0, 10.11.2000).

The SRC has establishes an AMC Expert Panel to analyse the compliance of the European Manual of Personnel Licensing-Air Traffic Controllers with ESARR 5 edition 1.0 requirements. The SRC has recognised as a means of compliance to meet ESARR 5 requirements the European Manual of Personnel Licensing - Air Traffic Controllers when implemented

- ♦ in accordance with its related Guidance on Implementation; and

- ♦ in association with the application of the EATMP Common Core Content training objectives as valuable reference documentation for the implementation of ESARR 5.

The summary of the results of the assessments carried out by the expert panel and the SRC position are within the Statement of Compliance (EAM 5 / AMC 1). The complete detailed assessment is to be found in the SRC DOC 13.

2.4 Implementation Issues at National Level

The European Convergence and Implementation Programme (ECIP) contains safety objectives addressing the approved safety regulatory requirements together with the necessary steps to be followed by States when implementing them at national level. This is the available tool to monitor ESARRs implementation level within States. From all safety objectives SRC 05 is the one addressing the implementation ESARR 5 edition 1.0 by the EUROCONTROL members States, the remaining ECAC States not members of EUROCONTROL are strongly recommended to implement all safety regulatory requirements for harmonisation purposes. States have to implement ESARR 5 requirements for air traffic controllers by November 2003. The analysis of SRC 05 provided SRC/SRU with the clear indication that States need help within the implementation process of ESARR 5. The feed back from States regarding implementation issues at national level will help SRU/SRC to refine the necessary guidance material and/or to cater further developments within ESARR 5. The workshop is aimed at giving this opportunity to the participants to provide feed back on ESARR 5 implementation at national level.

3.   PRESENTATIONS TO THE WORKSHOP

Following the keynote address, presentations were made on the following subjects;

❑   Regulatory framework for ATCO competency – ESARR 5 requirements

❑   Implementation best practices: European Manual of Personnel Licensing – Air Traffic Controllers,

❑   Training issues,

❑   ICAO news and developments,

❑   States experience in implementing ESARR 5 and associated best practices,

❑   ESARR 5 and Acceptable Means of Compliance,

❑   ESARR 5 and ECIP mechanism (ESARR implementation monitoring mechanism).

The slides associated with each presentation can be found on SRC web site : www.eurocontrol.int/src within the SRC Deliverables page. All presentations from the workshop are included on a CD-ROM prepared by the SRU team and can be requested by interested persons at the following e-mail address: sru@eurocontrol.int.

The last two presentations mentioned above on AMC and LCIP mechanism were delivered by the SRU team (Bogdan BRAGUTA and Tony LICU) during the second day within the syndicate groups. These presentations, enabled discussions within the three groups and as such reference to them will be inserted along the sections of the report dealing with syndicate groups activity.

3.1   Regulatory Framework for ATCO competency – ESARR 5 requirements

Presentation by Tony LICU, EUROCONTROL Safety Regulation Unit (SRU)

Introduction

The Safety Regulation Commission (SRC) is a Commission established by the EUROCONTROL Permanent Commission to provide advice in order to ensure, through co-operation between States on safety regulation, consistent high levels of safety in air traffic management (ATM) within the ECAC area.

SRC's role calls for the development of harmonised ATM safety regulatory approaches and requirements between States. SRC must respond to current and anticipated developments in ATM across the ECAC area, and wider aspects as necessary, including any new safety demands or expectations by the aviation community.

The purpose of Safety Regulation is to ensure safety in the public interest. This is achieved by the development of a safety regulatory framework, and its application to the services being regulated. In the case of the SRC, its multi-national role also calls for it to ensure that the agreed regulatory principles are being applied in each nation and by the EUROCONTROL Agency itself.

In its initial work on harmonisation of safety regulatory requirements, the SRC has identified and focussed on those safety areas which, in their view, needed most urgent attention. On this basis, the SRC Work Programme recognised the need to establish a EUROCONTROL Safety Regulatory Requirement (ESARR) addressing and ensuring the competence of ATM services personnel having safety related tasks, with initial emphasis on air traffic controllers.

As a consequence ESARR 5 has been elaborated and has gone through extensive phases and stages of consultation, having been distributed several times at working group level, within the SRC Licensing Working Group, and twice at SRC and HRT wide level, before finally going twice to EUROCONTROL wide consultation.

It is the first EUROCONTROL ESARR which is elaborated in an area where ICAO SARPS are already existing for a long period of time. Standards and Recommended practices for Personnel Licensing were first adopted by the ICAO Council in 1948 pursuant to the provisions of Article 37[2] of the Chicago Convention and designated as Annex 1 to the Convention.

Scope of ESARR 5

ESARR 5 sets out the general safety regulatory requirements for all ATM services' personnel responsible for safety related tasks within the provision of ATM services across the ECAC area, the safety regulatory requirements for air traffic controllers and the safety regulatory requirements for engineering and technical personnel undertaking operational safety related tasks.

Since ICAO Annex 1, Personnel Licensing, was first published, there has been a significant increase in the volume of air traffic throughout the ECAC area. Although Annex 1 has been amended during this period, the basic licensing procedures, including the ratings, have remained unchanged. The increase in traffic, together with new technology, has led to more complex ATC procedures which, in turn, require controllers to become more specialised and to use more advanced controlling techniques.

The EUROCONTROL Safety Regulatory Requirement – ATM Services' Personnel stemmed, *inter alia*, from the need to complement the ICAO Annex 1 Standard and Recommended Practices - SARPs and to enable the safety aspects of the licence/certificate of competence qualifications to more closely match the air traffic services being provided within ECAC region. This will also permit the recognition of additional ATC skills associated with the evolution of air traffic control systems and their related controlling procedures.

In addition, an inclusion has been developed to detail the safety regulatory requirements for engineering and technical personnel undertaking operational safety related tasks.

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[2] Excerpts from Chicago Convention addressing the subject are to be found in appendix A to SRC DOC 5 document.

Link with other ESARRs

Link with ESARR 3

Many times the SRU has been questioned if ESARR 5 was developed in close relationship with the other ESARRs and the answer is an affirmative one. To demonstrate that ESARR 5 was not developed in total isolation from the other ESARRs we can take the requirements set-up in ESARR 3 – Use of Safety Management Systems by ATM Providers and ESARR 4 – Risk Assessment and Mitigation in ATM and see the match with the requirements from ESARR 5.

ESARR 3 requires that ATM service providers:

"shall ensure that staff are adequately trained, motivated and competent for the job they are required to do, in addition to being properly licensed if so required."

The rationale of ESARR 5 is that the competence of ATM personnel and, where applicable, their satisfaction of medical requirements, are fundamental elements of safety achievement, and therefore of safety management, in the provision of ATM services. The application of EUROCONTROL safety regulatory requirements in this area aims to establish harmonised minimum levels of competency and proficiency for staff having specific ATM safety responsibilities.

Competence is taken to mean possession of the required level of knowledge, skills, experience and where required, proficiency in English, to permit the safe and efficient provision of ATM services.

Therefore ESARR 5 is the natural expansion of the ESARR 3 requirement, to different categories of ATM personnel.

Additionally ESARR 3 requires that ATM service providers:

"shall ensure adequate and satisfactory justification of the safety of the externally provided services, having regard to their safety significance within the provision of the ATM service."

That is to say that external services being safety significant within the provision of the ATM service shall ensure the same level of safety as the organisation for which they are provided. That is applicable to the services which enable the ATM services and usually taken by outside companies than the ATM service provider.

The direct link with the above ESARR 3 is to be found in ESARR 5 requirements for Operating Organisation related to engineering and technical personnel undertaking operational safety related tasks.

LINK with ESARR 4

ESARR 4 – Risk Assessment and Mitigation in ATM:

❑ *Concerns the use of a quantitative risk based-approach in ATM when introducing and/or planning changes to the ATM system (its airborne and ground, including spatial, components)*

❑ *Covers **the human**, procedural and equipment (hardware, software) elements of the ATM System as well as its environment of operations*

❑ *Covers the complete life-cycle of the ATM System, and, in particular, of its constituent parts*

❑ *Does not address the assessment of introducing and/or planning organisational or management changes to the ATM service provision (which is covered by ESARR 3 - Use of the Safety Management Systems by ATM Service providers)*

That is to say that an ATM service provider shall ensure that hazard identification as well as risk assessment and mitigation are systematically conducted for any changes to those parts of the ATM System ***including human element***, and supporting services within his managerial control, in a manner which addresses the three different types of ATM elements (human, procedures and equipment), the interactions between these elements and the interactions between the constituent part under consideration and the remainder of the ATM System.

Consistency with ICAO Annex 1

ESARR 5 has stemmed from the need to complement the ICAO Annex 1 Standard and Recommended Practices - SARPs and as mentioned previously, in its first edition sets out the general safety regulatory requirements for all ATM services' personnel responsible for safety related tasks within the provision of ATM services across the ECAC area and the safety regulatory requirements for air traffic controllers.

In order to identify consistencies and differences between ESARR 5 and ICAO SARPs stipulated within Annex 1 - Personnel Licensing the SRC DOC 5 – Consistency between ESARR 5 and ICAO SARPs – Annex 1 document has been developed by SRC/SRU with the support of Agency SQS Unit. The main objective was to develop the rationale why, for certain requirements, it was necessary for ESARR 5 to differ from, or expand further upon, ICAO SARPs or to address areas not currently covered in ICAO Annex 1.

This document can also be used by ECAC States - when, according with Article 38 of Chicago Convention - wish to fill in differences between their national regulation (and associated practices) and the International Standards laid down in the ICAO Annex 1.

In addition to the first edition of ESARR 5, an inclusion has been developed to detail the safety regulatory requirements for engineering and technical personnel undertaking operational safety related tasks. This inclusion has been approved by the EUROCONTROL Commission and constitute the second edition of ESARR 5.

It is to be noted that, no provisions are foreseen in ICAO SARPS in respect of the mentioned category of ATM personnel and ESARR 5 is the first safety regulatory document to ensure that competency of technical and engineering staff is adequately and formally covered in a harmonised way at European wide level. Therefore no need to demonstrate consistency with ICAO is required for this later category of ATM personnel.

Questions from participants

No questions from participants were raised.

3.2 Implementation of Best Practices: European Manual of Personnel Licensing – Air Traffic Controllers

Presentation by Gerry CLINTON, EUROCONTROL Human Factors and Manpower Unit (DIS/HUM)

Introduction

An overview of the ATCO Licensing Project, its philosophy and accomplishment, was given by Gerry Clinton as a basis for the workshop proceedings. It was explained that the project was launched by the Human Resources Team (HRT) at the request of the ECAC Transport Ministers for harmonised guidelines on ATCO licensing, as laid out in the ECAC Strategy for the 90's.

The project was out-sourced in order to find the best possible expertise in the subject. Following a call for tender, a contract was signed with the United Kingdom Civil Aviation Authority's Safety Regulation Group (CAA-SRG) to undertake development of a scheme for the harmonisation of air traffic controller licensing in Europe. This was a five-year project, and was completed in September 2000.

A project team was set up by SRG, to assist and supervise their efforts, and an expert group - the Licensing Working Group (LWG) - a multinational group of ATC experts appointed by HRT – was also established. The prime deliverable of the project was the *European Manual of Personnel Licensing - Air Traffic Controllers.*

Project Execution

Details were given of the project steps, starting with a world-wide survey of ATCO licensing practice. A questionnaire action within Europe followed, compiling information on licensing methods then in use. To complement the licensing manual, which lays out the proposed licensing scheme in detail, a comprehensive document was produced giving guidelines on implementation. Task and risk analyses were also provided.

Ratings

It was explained that the ICAO Annex 1 licensing provisions were used as the basis for the development work in order to facilitate the highest possible level of acceptance among users. The proposed new ATCO ratings, and their evolution from the ICAO ratings, were set out in detail, as well as the system of rating, licence and unit endorsements. All possible combinations were shown in diagrammatic form.

Other Activities

An explanation was given of parallel projects closely connected to ATCO licensing.

Firstly, the Task Force – Common Core Content (TF-CCC) - was set up to harmonise training for ATCOs. The Chairman of the Task Force was invited to become a member of the LWG. Through co-operation of the two groups it was ensured that the training content modules were developed to correspond directly to the new ratings and endorsements.

Secondly, the subject of ATCO medical requirements, which arose during the licensing project, was addressed by establishing the ATCO Medical Requirements Study Group who reviewed existing ICAO and JAR-FCL requirements. The group produced a set of requirements, considered to be best practice and intended for acceptance by SRC as an acceptable means of compliance with ESARR 5. They are contained in the document entitled "Requirements for European Class 3 Medical Certification of Air Traffic Controllers", the final version of which will be submitted to the next HRT meeting in October 2002 for agreement.

Implementation

A summary of the work carried out and planned during the Licensing implementation period was given. This included the questionnaire action completed in 2001, the production of ECIP HUM04 and the on-going co-operation with SRU/SRC on areas of mutual interest.

The delegates were also informed of the establishment of the "ATCO Licensing Review Group" (ALRG) whose main objective is the future review and updating of the licensing manual.

Questions from participants

A number of questions were raised by delegates following the presentation and none of them was audible from recordings. It was decided within the plenary session that all these questions will be subject for further debate within the syndicate groups.

3.3   Training Issues

Presentation by Michel PISTRE and Brain CONSIDINE, EUROCONTROL Institute of Air navigation Services (IANS).

The presentation have addressed the background to the Common Core Content Training for ATCOs, described the phases of ATCOs training, explained the specification of ATCO training in a regulated framework, explained the progress that has been made to date and finished with an explanation of the lifecycle of the documents.

As a result of a serious delays to the air traffic in the 1980s the ECAC Ministers, in a decision made to harmonise and integrate air traffic control systems, introduced the European Integration and Harmonisation Programme (EATCHIP). As a result of EATCHIP the Task Force for Common Core Content (TFCCC) was established in 1995.

13 member States, EUROCONTROL and ICAO attended the initial meeting. The Specialist Tasks for this group were to "Establish sets of standard training objectives and syllabi for ATS jobs. These sets will define an agreed common core content for training of air traffic controllers within the ECAC area."

The training courses developed to date come under the umbrella of the Guidelines for Common Core Content and Training Objectives for Air Traffic Controllers Phase 1 and Phase 2. In the terminology used in the European Manual for Personnel Licensing – Air Traffic Controllers, these courses equate to Initial Training which is divided into Basic and Rating training. The courses developed are described as Common Core Content Phase 1 (Basic) and Common Core Content Phase 2 (Rating). The Rating courses are;

❑ Aerodrome Visual, Aerodrome Instrument, Aerodrome Control with Radar endorsement,

❑ Approach Control Procedural, Approach Control Surveillance with Radar endorsement,

❑ Area Control Procedural, Area Control Surveillance with Radar endorsement,

❑ Terminal Area Control Endorsement.

The Guidelines for Common Core Content and Training Objectives for Air Traffic Controllers Phase 1 and 2 are identified by ESARR 5 as an acceptable means of compliance.

The progression of ATCO Training is as follows;

❑ Initial Training – Basic and Rating,

❑ Unit Training – Transitional, Pre-OJT and OJT,

❑ Continuation Training – Refresher training, Emergency Training and Conversion Training,

❑ Development Training - i.e. OJTI, Assessor, Supervisor, Safety Manager, Incident Investigator, Airspace Developer.

The statement of the performance of the learner (objectives and performance objectives) are specified in the ATCO Training syllabus. This specification is clarified by the description as an example of adequate training. This description includes an exercise (with the relevant airspace and procedures, the workload, the traffic and the type of problems), a suitable training plan including timetable and type of training event to teach each objective. Additional support is provided by the distribution of courseware relevant to the specific training.

Today, the ATCO Common Core Content has been fully specified in two syllabi: Basic Training and Rating Training, for which a planned review is scheduled in 2003.

The life cycle of the syllabus includes the provision of feedback by users and the validation through the process of description. A tool to help to compare and map local training to Common Core Content will be made available in 2003.

Questions from participants

No questions from participants were raised.

3.4 ICAO news and ICAO Universal Safety Oversight Audit Programme (USOAP)

This section of the workshop had two presentations: one focused on the latest developments of ICAO on language proficiency and the second focused on the ICAO USOAP and extension to Annex 11 and 14.

3.4.1 ICAO News

Presentation by Adrian ENRIGHT, EUROCONTROL Institute of Air Navigation Services (IANS)

Proficiency Requirements in Common English

Supporting Safety Initiatives in Aeronautical Communication

At the request of the Air Navigation Commission, following Assembly resolution A32-16, the PRICE Study Group was established by ICAO in November 2000 to strengthen the provisions of ICAO Annex 10 Aeronautical Communications - Volume II. Subsequently, the PRICESG developed proposals concerning language proficiency for radiotelephony communications affecting Annex 1 – Personnel Licensing, Annex 6 – Operation of Aircraft, Annex 11 – Air Traffic Services and PANS-ATM Doc 4444.

The PRICE Group set out to establish English as the common language for international aeronautical communication and to develop a single standard for language proficiency. The scope covers pilots and air traffic controllers with a focus on plain English. Proficiency in the use of standard ICAO phraseology for radiotelephony is a prerequisite.

The Air Navigation Commission in December 2001 discussed the proposals submitted by the PRICE Group and on 31st May 2002 issued a State Letter detailing the proposed amendments to the ICAO Annexes as listed above.

The PRICE Group defined language proficiency requirements in terms of holistic descriptors and a rating scale. The level of language proficiency to be achieved is described at level 4 (of 6) and termed Operational Level. In view of the fact that air-ground radiotelephony shall be conducted in the language normally used by the station on the ground or in the English language, the PRICE Group emphasized that the language proficiency requirement applies to any and all languages used in aeronautical communication.

PRICE is not only directing its efforts toward improving the English of non-native speakers. An equal emphasis is being placed on the native English speaker to adhere to standard ICAO phraseology, use correct radiotelephony techniques and be aware of the language limitations of the non-native speaker.

PRICE and PELA

The language proficiency requirements developed by the PRICE Group relate to the use of plain language, which together with the correct use of ICAO standard phraseology, will satisfy most situations encountered by pilots and controllers.

PELA, on the other hand, is a test in the **P**roficiency in **E**nglish **L**anguage designed specifically for **A**ir traffic control. The PELA assess the performance of student air traffic controllers in three papers - listening, oral responses (to recorded pilot requests) and oral interaction (simulating pilot/controller communication in an unusual situation, using plain English). As a test PELA satisfies the requirements of ICAO Level 4, Operational. It goes further in insisting on compliance to radiotelephony phraseology and in rating language performance in an unusual situation.

Questions from participants

No questions from participants were raised.

3.4.2 ICAO Universal Safety Oversight Audit Programme (USOAP)

Presentation by Bogdan BRAGUTA, EUROCONTROL Safety Regulation Unit (SRU)

Introduction

ICAO responsibilities and objectives are set out in the Chicago Convention where article 44 to the Convention requires ICAO to;

❑ ensure the safe and orderly growth of international civil aviation throughout the world;

❑ meet the needs of the peoples of the world for safe, regular, efficient and economical air transport;

❑ promote safety of flight in international air navigation;

ICAO promulgates requirements for international aviation as Standard and Recommended Practices which are published as Annexes to the Convention. ICAO Annexes are the foundation for all provisions including those on safety management.

ICAO Safety activities

ICAO has a number of activities specifically focused on safety of which we mention;

1. ICAO Global Aviation Safety Plan where ICAO wants to gain commitment from States and industry in a collaborative effort to enhance safety in order to;

    • achieve a significant decrease in world-wide accident rates,

    • enhance identification of all elements that can impair safety, such as shortcomings and deficiencies and lack of compliance with SARPS, and recommend corrective actions,

    • identify repetitive causes for accidents on a world wide basis and recommend specific actions,

- enhance contracting States or group of States co-operation with ICAO in order to improve ICAO's own capability to compile, assess and disseminate safety related information.

2. ICAO Universal Safety Oversight Audit Programme (IUSOAP) where audits are conducted to verify compliance with ICAO Annexes. To support the activities for this Programme ICAO has issued Safety Oversight Manual – The establishment and management of State's Safety Oversight System (DOC 9734) and Safety Oversight Audit Manual (DOC 9735). Within the Safety Oversight Audit technical work programme responsibilities on ICAO have been established as follows;

- develop standard auditing procedures, protocols and other audit tools for the use of the Section,

- planning, conducting and reporting on safety oversight audits and audit follow-up,

- developing, conducting and evaluating auditor training courses,

- developing, conducting and evaluating safety oversight seminars/workshops for Contracting,

- developing guidance material on safety oversight-related subjects,

- analysing safety oversight findings and proposing solutions,

- reporting to the ICAO Council on global safety oversight issues,

- representing ICAO in international and regional safety oversight-related conferences and meetings.

ICAO Universal Safety Oversight Audit Programme

At the 32nd Assembly in 1998 (Resolution A32-11) decided that a universal safety oversight audit programme be established comprising regular, mandatory, systematic and harmonised safety oversight audits to be carried out by ICAO. The audit will encompass only verification of compliance with ICAO Annex 1 – Personnel Licensing, ICAO Annex 6 – Operation of Aircraft and ICAO Annex 8 – Airworthiness of aircraft.

At the 33rd Assembly in 2001 ICAO decided that IUSOAP should be extended to ATS and aerodromes that means to Annex 11 – Air Traffic Services and Annex 14 – Aerodromes as of 2004 onwards. The Assembly requested the Council to ensure the long-term financial sustainability of the USOAP, phasing in all of its activities into the Regular Programme Budget and the Secretary General to continue to develop safety oversight-related guidance material to be used by Contracting States as reference manuals. Also, the Assembly urged Contracting States to accept and respect the primacy of USOAP audit results as meeting the established international Standards, Recommended Practices and Procedures, when considering the need for additional or supplementary safety oversight audits by States.

EUROCONTROL Position Regarding the IUSOAP.

EUROCONTROL through the Safety Regulation Commission have developed a number of ESARRs establishing safety regulatory requirements in the area of ATM. EUROCONTROL has provided a definition for ATM as "The aggregation of ground based (comprising variously ATS, ASM, ATFM) and airborne functions required to ensure the safe and efficient movement of aircraft during all appropriate phases of operations".

Within the new amendment to Annex 11, ICAO provisions require that any change which could have an impact on the safety of ATS operations be subject to a safety assessment. That is to say that for the time being ICAO is considering only the changes which affect the safety of ATS operations and not ATM operations. ICAO also mentions that if changes to the airspace management (ASM), aeronautical information services (AIS) or air traffic flow management (ATFM) affect safety of ATS operations than a safety assessment is required.

EUROCONTROL SRC has developed the safety regulatory requirements as means to complement ICAO standards and recommended practices even sometimes might exceptionally and necessarily differ from ICAO SARPs. The differences form ICAO SARPs are always provided with a strong rationale and very well documented. Having said these, SRC provided the means by which States can be compliant with ICAO provision and even more to have sometimes more requirements than the one in ICAO to ensure safety of ATM and not only the ATS operations. Therefore at the 33rd ICAO Assembly EUROCONTROL has forwarded ICAO with a proposal to support the expansion of IUSOAP to ATS and aerodromes, as follows;

❑   The SRC has developed a number of relevant EUROCONTROL Safety Regulatory Requirements (and the Agency has also developed standards and guidance material in areas of relevance to Annexes 11 and 14), the use of which could be proposed in the development of related ICAO auditing protocols in those areas of interest,

❑   ICAO audits, if developed according to protocols which are made consistent with EUROCONTROL ESARR's, would avoid other reference materials, potentially inconsistent with the ESARRs (and additional consistent guidance material), being used and therefore promoted by ICAO,

❑   ICAO audits, if developed according to protocols which are made consistent with ESARRs (and additional consistent guidance material) would also enable the monitoring of the level of States' implementation not only of ICAO Annexes but also of EUROCONTROL safety regulatory requirements and standards. This would help States to assess to which extend they comply with both ICAO and EUROCONTROL safety requirements,

❑   SRC member States could also contribute experts to the ICAO Safety Oversight Programme, at least when audits of ECAC States are concerned, in order to facilitate the use of common good practices.

The EUROCONTROL proposal was consistent with one conclusion of the Fourth meeting of ICAO Air Navigation Commission consultation with industry on the Global Aviation Safety Plan (16/17 May 2000), as follows: *"Consideration should be given to making audits from different sources complementary. For example ICAO should take into account the results of the JAA safety audit system as well as use the ECAC and SAFA audit information".*

Questions from participants

No questions from participants were raised.

3.5 States Experience in Implementing ESARR 5 and Associated Best Practices

This section represent States' or organisations contribution to the workshop on their difficulties, achievements and status of implementation of ESARR 5 requirements and associated best practices.

3.5.1 Norway

Presentation by Bjorn RAMFJORD, Civil Aviation Authority of Norway

Introduction

CAA – Norway started the work on implementation of ESARR 5 early autumn 2000 by establishing a preparatory task force with representatives from CAA and NATAM (Norwegian Air Traffic and Airports Management) that at present is the only provider of ATC in Norway. The main objective of this Task Force (TF1) was to define and describe all necessary work to be done and to propose the timeframe for this work in order to enable CAA – Norway to implement ESARR 5 in due time. The Task Force (TF1) also advised a second Task Force (TF2) to be established to take care of the detailed work.

Task Force 2 (TF2) will exist until the implementation is finalised by the end of 2003. TF2 has a wider representation as for example both the ATCOs Association (operational ATCO) and regional ATS are represented in addition to CAA and the NATAM Headquarter. By inviting such a broad representation from the market to join us in the implementation process, it is expected to meet minor resistance when the draft regulations will be presented to the same market in the public consultation.

Terms of reference for TF2 are to;

❑ Identify any legal problems,

❑ Determine status on existing ATCO Training,

❑ Identify differences between national regulations and ESARR 5/European Manual of Personnel Licensing – Air Traffic Controllers,

❑   Make drafts on 3 (three) different sets of regulations,

- *ATCO Licensing*

- *Training Organisations*

- *Operational ATS Units*

❑   Review and consider existing licensing and examination arrangements,

❑   Analyse consequences, both financially and administrative for CAA and for the market,

❑   Propose a licence lay-out,

❑   Prepare and maintain progress and implementation plan,

❑   To make sure that the above mentioned is all in place no later than 1 January 2004.

Three Sets of Regulations

Attention should particularly be made to the fact that TF2 considers it not to be sufficient with regulations on licensing only. TF2 considers the relation between the different areas to be of such importance that 3 (three) different regulations are necessary. The ambition is to have all the regulations to enter into force at the same time, i.e. from 1 January 2004.

Regulation – ATCO Licensing

CAA – Norway has developed a general regulation model that all regulations should be based upon. As example, all regulations must contain provisions regarding the scope and purpose, definitions, withdrawal, complaints, exemptions and penalties. In addition the ATCO Licensing regulation in particular will contain provisions on general requirements to obtain a license, students licence, ratings and endorsements, trainees, OJT Instructors, the training required and requirements for maintenance of a license. It is worth mentioning also that we have specific focus on the need for transitional provisions for all the ATCOs who already are operational ATCOs when the new regulation and the license requirements enter into force 1 January 2004.

A draft ATCO Licensing regulation is almost finished and will according to the timeframe be finalized by 1st October 2002 for subsequent internal and public consultation.

Regulation – Training organizations

Areas of specific focus are that the regulation will distinguish between institutional training and unit specific training. The regulation will further contain provisions, for example, on approval of the institutions, requirements to be met by the personnel, required equipment, quality system, education manuals and theoretical and practical tests. The work with a draft regulation on this subject is approx. 75 % finished for the time being and Norway is in line with the scheduled timeframe.

Regulation – Operational ATS-units

The ATS-units regulation, in addition to the one for ATC personnel, will include both AFIS and HFIS units. The content of the regulation will, among others, cover the following subjects: identification of the airports required to establish ATC, organizational requirements, operational requirements (procedures, air space classification etc), requirements for the infrastructure, operational manuals etc.

While we are able to use fragments from existing regulations to form new ESARR 5 adjusted regulations on Licensing and training units, this is unfortunately not the situation for ATS units as we for the time being do not have any such regulations. Of the 3 sets of regulations mentioned, the ATS-units regulation is thus the one where the remaining work is most extensive. We do however consider ourselves to comply with the timeframe also on this part.

Nordic Co-operation on the ESARR 5 implementation

Sweden, Finland, Denmark and Norway have established a Nordic co-operation in order to ensure that the national ESARR 5 implementation is as uniform as possible. The Nordic co-operation also works as a forum for discussion of "core questions" such as the role of the regulator, age requirements, language requirements, examiners issue etc. So far, 2 meetings have been arranged and the 3rd is coming up in the beginning of September 2002.

3.5.2 United Kingdom

Presentation by Harry DALY, Civil Aviation Authority, Safety Regulation Group

Implementation of the Harmonised European Air Traffic Controller Licence in the United Kingdom

Introduction

Firstly a short explanation of the structure of licensing in the United Kingdom. The UK Civil Aviation Act is the primary legislation which requires the formation of the CAA, allows for the implementation of the Chicago Convention and gives the CAA powers to licence personnel.

The law relating to the licensing of air traffic controllers is contained in secondary legislation which is published as Articles and associated Annexes in the UK Air Navigation Order.

The CAA's licensing requirements which are the practical day to day licensing processes are published in CAP 670, ATS Safety Requirements, Section D Human Resources.

The existing United Kingdom air traffic controller licence can be traced back to its introduction in the 1950's. It changed little until the formation of the Air Traffic Services Safety Department in 1988 when it was used as an instrument to introduce additional safety regulation procedures. As the rest of the air traffic control industry has developed, the basic ATC licence structure has proved inadequate to deal with new and specialised air traffic services, to compensate for which the UK has had to develop additional complex local licensing procedures. The UK CAA view the introduction of the Harmonised ATC Licence as an opportunity to more appropriately regulate the ATC services being provided by air traffic controllers and to identify the competencies required by them to undertake these controlling tasks.

Issues Identified

When considering the introduction of the Harmonised ATC licence there are a number of constraints we had to recognise. All the air traffic services in the UK are privatised, including the National Air Traffic Services which provides the en-route services. Any proposed changes to the Air Navigation Order or to CAP 670, our licensing procedures document, are subject to consultation with industry. If we are to change the ATC licence we have to convince industry of the benefit of changes or at the very least that the changes will not be an excessive financial burden.

Air traffic controllers are as a whole conservative in nature and they have an irrational attachment to their existing licences. Our first decision was therefore to retain the existing licence cover, to issue a lifetime licence page and to issue and reissue rating and endorsement pages as changes are required.

On the safety side we were concerned that if we changed the licensing procedures radically this could lead units to make administrative errors that could have a direct impact on safety. For example, inappropriately qualified controllers or those whose competence had not been tested or whose competence was in doubt being permitted to provide air traffic control services. So we have gone for the conservative approach, retaining as many of the existing procedures as possible while changing the terminology to recognise the new ratings and rating endorsements.

Thirdly we were concerned about cost in the post September the eleventh economic climate. An analysis of the resources available to the CAA indicated that the issue of new licences and the production of regulatory documentation could be contained in house with our existing staff at minimal cost. In respect of the providers of air traffic services a number will have to bear the cost of developing unit training plans, but on the whole the cost to the UK air traffic control industry of the introduction of the new licence will be negligible.

Additional Issues

The UK CAA has done its utmost to comply with all the requirements of the Harmonised European ATC licence, however, we must own up to having made a few changes.

To retain the present system of assessing controllers annually to ensure they are competent to provide the air traffic control services indicated by their ATC licences, the unit endorsement will be issued annually and renewed by an assessment of the controllers competence. The unit endorsement will detail the unit and the sectors or operational positions at which the controller is competent to provide an air traffic control service.

In the UK there are a number of units that provide very specialist air traffic control services. berdeen for example provides a service to helicopters servicing the North Sea gas and oil rigs and, following a analysis of the controllers task, it has been decided that controllers who will be providing this service must undertake special training and will be issued with an offshore rating endorsement to their Area Surveillance or Approach Surveillance ratings. We have developed two further rating endorsements: the Special Tasks which will be issued at aerodromes involved in research and development of military aircraft and their associated weapons systems, and; the Oceanic endorsement for UK controllers providing a service to aircraft in the Shanwick Oceanic Control Area.

The UK CAA cannot comply with the Harmonised European Licence requirement which permits the providers of air traffic services to vary the air traffic controller licence of a controller who is implicated as having been involved in an incident or accident. In the UK only the CAA can vary an ATC licence and it is not thought appropriate in a competitive economic environment to give units powers to alter an ATC licence.

Regulatory Aspects

So where are we with the implementation of the Harmonised European ATC licence.

The legislation that supports the licensing of air traffic controllers has been entirely rewritten and has been subjected to internal consultation with all CAA staff involved in the licensing process.

CAP 670 has also been rewritten and has been subject to internal consultation. As far as possible we have retained the format of the European Manual but in addition we have indicated the responsibilities of the personnel and organisations involved in the licensing process. A copy of CAP 670 will be available on the CAA web site by the end of May 2002.

Licensing administration has taken the opportunity to amend the licensing administration procedures to make them more efficient. These changes have been agreed with safety regulation operations and in particular with the air traffic control inspectors for the aerodromes and area control centres.

Actions to be Taken

In the UK there will be two levels of unit training plans. Level 1 will be a basic plan meeting the European Licensing Requirements. Level 2 plans will be more comprehensive, requiring the inclusion of assessment plans and the training of assessors and verifiers. The development of level 2 training plans is more onerous but brings with it the privileges of units being able to conduct their own extension validations.

The changes to legislation and changes to CAA requirements published in civil aviation publications are subject to external consultation with industry. This involves persuading the aviation industry as a whole, and the air traffic services providers and controllers representative bodies in particular, that the changes to legislation and the new CAP 670 requirements are reasonable. This process involves sending the new proposals and an explanation of why we wish to make changes to industry. External consultation takes about 2 months but can be prolonged if changes are requested and there are reasonable grounds for these changes.

If we succeed at external consultation with industry, the proposed changes to the law must be put before Parliament. These changes will not be debated, this is a procedural process which allows members of Parliament to object to written proposals if they so wish. If no objections are recorded the Air Navigation Order will be amended and we can go ahead with the introduction of the new licence. The time scale for this process is out of our hands and we can only put proposals for changes before Parliament at particular times determined by Parliament.

On the day the legislation is published all controllers must possess a new format licence with the correct equivalent qualifications.

On the Administrative side we will retain the basic format of our multiple use form but there will be changes in terminology.

Changes to be Carried Out

When we change the licence controllers will find the names of their ratings have changed and that there are associated rating endorsements, some of which are unique to the UK. The annual certificate of competence, which lasts for 13 months and is renewed by a check of the controllers competence, will be replaced by unit endorsements that will expire after 12 months unless renewed.

Providers will be required to advise the CAA of the minimum time a controller must spend on each operational position or sector to maintain currency. Watch lists must enable the controllers to meet this requirement and there must also be arrangements for the monitoring of controllers returning from extended periods of leave or sickness.

One of the peculiarities of the UK was that an ATC licence holder could undertake On the Job Training in a rating discipline in which he had undertaken no training, for example the holder of a UK ATC licence with an aerodrome control rating could legally undertake OJT on approach radar. Under the Harmonised European ATC licence this is no longer an option.

Implementation Aspects

When will we introduce the Harmonised European ATC Licence?

There are a number of stages over which we have only a limited influence. We restrict the external consultation to eight weeks but we have no control over the responses and sometimes, if major changes are agreed, a second round of consultation is required.

The Parliamentary timetable for changes in legislation is entirely out of our control but there should be at least one opportunity towards the end of this year.

So if things go to plan we will introduce the new licence at the end of 2002 or early 2003.

We hope by the time the new licence is issued all providers of air traffic services and controllers will be well informed about what to expect.

We have kept the providers and the controllers representative bodies advised on progress during the development of the European Licence. They will have the opportunity to study the proposed new licence and its associated requirements during consultation and we intend to take a road-show around the area control centres and to the regions to brief providers and controllers on what to expect.

3.5.3 Belgium / BELGOCONTROL

Presentation by Johan DELAURE, BELGOCONTROL

BELGOCONTROL, the civil service provider in the Belgian airspace, has inserted the implementation of the ESARR5 requirements in a much wider context: a review of all related aspects aiming at establishing a European licensing manual compatible license system. Since last year, the ISO9000 certification became added to this main focus.

Recruitment Aspect

The starting point of the review was the re-organisation of the recruitment aspect, through the planning of the implementation of the FEAST test battery as soon as it will be available, as well as the introduction of the European Medical Class 3 requirements, which will be applied from a single testing centre.

Training aspect

All rating courses are Common Core Content compatible and provided at the renewed Training Centre which possesses the latest technology in terms of simulators. All instructors possess multiple EUROCONTROL compatible certificates. A much higher course rate was one of the main objectives to overcome the planned shortage of ATCO's due to a high retirement rate expected from 2005 onwards.

OJT aspect

The OJT plans are identical to EUROCONTROL OJTI procedures and the OJT refresher courses is planned to be aligned with IANS published one in 2003.

Operational Competency Aspect

The Operational Competency Assessment (OCA) uses the EUROCONTROL OCA course as basis to which a ISO9000 internal audit system is added.

Social Aspect

The whole plan was agreed with unions and is constantly reviewed in a specific discussion group.

Manpower and Organisational Aspect

The main problems encountered were the transition towards the new system, mainly in terms of manpower and organisation. Almost every item mentioned above required an investment in terms of staff, which caused sometimes a reduction to the minimum of operational needs, but the 11th of September events and consequences allowed the necessary changes to be made.

Financial Aspect

The increase in staff needs and the investment in infrastructure at the TRG Centre resulted in a financial increased cost figure, but the BELGOCONTROL management decided to maintain the investment in training issues to prepare for the future.

Further Planning

The planning of the 2002-2003 period covers the implementation of the national law and finalising the social and administrative aspects.

Risks and Mitigation

The main risks that were recognised in the plan, were a delay in the legislative aspect and implementation of FEAST, as well as a shortage of staff. BELGOCONTROL will act as if on the legal aspect and continues to use its present recruitment system. As mentioned before, present conditions solved the third risk for the time being.

3.5.4 Germany / DFS

Presentation by Edwin STAMM, DFS

DFS presentation was about the special situation DFS is having with regard to the future licensing scheme which have to be introduced by November 2003.

Germany has besides a lot of uncontrolled airfields and a serious number of military aerodromes operated by the armed forces in Germany, 17 international and 20 regional aerodromes. Only the international airports are run by the DFS with respect to Air Traffic Services, the regional aerodromes are operated either by the airport authorities or by other companies dealing with air traffic control. In any case, the responsibility with regard to the conduct of ATS rests with the DFS in a kind of supervisory-function. All aerodromes in Germany can be divided in five groups with respect to operational concepts, working positions, complexity, amount of traffic etc. .This is a division on working level with some influence on operational allowances, actual working times of the controllers involved etc.. Within the next slides you will see the DFS run aerodromes and the regional aerodromes in Germany.

Presently, DFS have three different Training concepts for the training of Tower controllers in Germany which does not reflect the situation of the military controllers. According to the DFS ATM Training Concept (DATS), a common basis of all controllers have been agreed for the DFS, regardless whether the controllers will be employed later on as Center or Tower controllers. More than half of the training period (38 weeks) is the same for both categories, Center or Tower controllers. This has been decided at the time where not a strict division between Business Units Tower and Center was in place as it is since January 2001. Regional Aerodrome controllers are trained in a different way due to some political decisions made which restrict the time available for training. The outcome is that we divide between several grades of licenses, the lowest one being a restricted Tower license for special aerodromes only, which is still in line with the minimum requirements of ICAO, and the highest one is for the DFS-Towers including Radar training and allowing the Tower controllers to use Radar for control purposes.

The DFS ATM Training Concept (DATS) foresees certain modules to be done during Institutional Training. The BASIC and the ATC courses (each 19 weeks of training, practical and theory) are to a high degree according to European Common Core Content, but covering as well subjects not necessarily needed for Tower or vice versa for Center Control. DFS deems it necessary to have this knowledge and skills available for all controllers, at least as useful background information.

Training for the Regional Aerodromes is tailored to the absolute requirements and is in line with the minimum requirements stated by ICAO.

Within the last two slides DFS want to present;

❑ The concept for the transfer to the new licensing scheme which should be in force after November 2003. It covers all the actual aspects like the different groups of aerodromes, the operational concepts, the different number of working positions etc..

❑ The Training-Modules which are necessary to fulfill the requirements of the individual groups of customers. Presently it is not quite clear which influence the new concept could have with respect to the policy of common training of all the DFS-controllers. A decision is expected within the next month. Depending on the internal DFS-company decisions, the different training modules might have to be adapted according to the new schemes and concepts.

4. CLOSING PLENARY SESSION – REPORTS OF THE SYNDICATE GROUPS

Following the presentations made in the Opening Plenary Sessions, delegates convened in their assigned Syndicate Groups. The 'ideas-generating' sessions were guided by Facilitators provided by the Institute and Rapporteurs selected by each Syndicate Group from among its members. At the end of these sessions, the Rapporteur and Facilitator(s) prepared presentations summarising the main topics and findings discussed within the groups, for delivery to the closing Plenary Session.

The slides associated with the Work Group reports are in **Annex 2** to the report.

4.1 REGULATION SYNDICATE GROUP

This report has been presented to the workshop by HARRY DALY, the rapporteur of the syndicate group - regulation.

4.1.1 Composition of the Group

There were 32 participants from 20 countries in this group, with a mixture of regulators and service providers both from civil and military domains. Facilitator for this group was Eoin McInerney from the Institute of Air Navigation Services.

4.1.2 Clarification Issues

The workshop and also discussion carried out within the Regulation Syndicate Group were focused on the subject of clarification of ESARR 5 edition 1.0, and not edition 2.0 for the same approach by EUROCONTROL will be followed in due time, which specifically addresses the requirements for Air Traffic Controllers. The discussions were focused on edition 1.0 because this edition has priority within the implementation programme of ESARR 5, November 2003, while edition 2.0 has the implementation date within April 2005. As a result discussions were focused on implementation issues and acceptable means of compliance when implementing requirements for Air Traffic Controllers and not for engineering and technical personnel.

4.1.3 Proceedings Within the Group

All participant within the Regulation Syndicate Group introduced themselves and listed at least one issue regarding ESARR 5 national implementation. All issues were grouped as follows within the next section.

An exercise was proposed to the participants in order to deal with more practical issues and to allow discussion in small groups about how they will proceed with the practical aspects proposed by the exercise's subject. Solutions proposed by the each group of participants (participants were split in 4 small groups) showed that the level of understanding ESARR 5 requirements was almost harmonised. It also provided the clear indication that all solutions were according in line with ESARR 5 but also in the light of the flexibility a regulation is required to have when accepting different means of compliance.

4.1.4 Main Concerns with Regards ESARR 5

The main concerns within the Regulation Syndicate group were around the following topics;

❑ Acceptable Means of Compliance

❑ Implementation issues

❑ General issues

Acceptable Means of Compliance

Participants have shown interest in the subject of Acceptable Means of Compliance when implementing ESARR at national level. The major topics under this item were as follows:

❑ Who should propose means of compliance ?

❑ How do we measure compliance?

❑ Which are the means to comply with ESARR 5?

To support the arguments and discussion within the group, the SRU representative provided the audience with a presentation on Acceptable Means of Compliance, mainly underlying the process for the assessment of a means of compliance and which are the results of the assessment of the EATMP deliverables: European Manual on Personnel Licensing Air Traffic Controllers and its Guidance on Implementation.

The means of compliance are proposed by service provider[3] (this statement is valid for all ESARRs) because the requirements set-up within ESARR are high-level objective, do not provide specific indications about how to meet the requirements and also allow enough flexibility to have multiple means to meet ESARRs requirements. Having said these, national service provider could consider the European Manual on Personnel Licensing - Air Traffic Controllers together with its guidance on implementation as one means of compliance to meet ESARR 5 requirements, but should carefully consider their application at national level due the limitations listed within the Statement of Compliance (EAM 5 / AMC). When limitations within EAM 5 / AMC have been considered addressed at national level only then it could be possible to say that ESARR 5 requirements are fully met.

With regard to how do we measure compliance the answer for that was around the new guidance material SRU/SRC will develop to help regulators to check the compliance with ESARR 5 regulations put in place at national level. The main document to support this job will be named ESARR 5 Safety Oversight related aspects and will help regulators to implement a mechanism to measure the level of compliance at national level. Within ESARR implementation and monitoring programme SRU/SRC will have the means by which ESARR's compliance and degree of implementation at national level can be checked and used as a tool to help States with their national processes for implementation.

As it was mentioned previously, the European Manual on Personnel Licensing-Air Traffic Controllers and its guidance on implementation is one means to show compliance with ESARR 5. States can propose other means to comply with ESARR 5 requirements which could be assessed at national level by the ATM Safety Regulator or could be proposed for the assessment of the SRC expert panel. This allow us to say that within the ECAC States there could be more means to comply with ESARR 5 but the one already assessed by SRC represents a harmonised and consistent way of compliance with the requirements of ESARR 5.

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[3] Acceptable Means of Compliance can be proposed by any appropriate stakeholder from the industry including the ATM Safety Regulator. The AMC proposed by the regulator shall not limit in any way the other proponents of AMCs and should only be given as example. To be noted that an AMC is not the AMC and several such AMC s could be accepted by ATM Safety Regulator if adequate demonstration of compliance is given.

Implementation Issues

The second topic participants have shown interest were issues regarding implementation of ESARR rat national level. The major topics under this item were as follows;

❑ National regulation vs ESARR 5

❑ Legal aspects of implementing ESARR 5

❑ Regulation of ESARR within the regional ATC Centres

❑ Who will implement and what has to be implemented

❑ Transitional issues

❑ Administrative issues

To support the arguments and discussion within the group, the SRU representative provided the audience with a presentation on Implementation issues, mainly underlying the process established at EUROCONTROL level through the ECIP/LCIP mechanism. Through this process SRU/SRC provided States with a harmonised action plan for implementation and a monitoring tool for the national level of implementation of ESARR 5 and not only. The proposed action plan was extensively explained and provided with supplementary information with States can use when implementing ESARR 5.

ESARRs are binding requirements to the EUROCONTROL members through the EUROCONTROL Convention which emphasis on the States' obligation to implement standards, requirements and regulations issued and approved through the mechanisms of EUROCONTROL Organisation, namely approved by EUROCONTROL Commission.

The method of implementing such provision within at national level is through the national regulatory frameworks. States legal structure is set-up to fit national purposes but the base for regulation is still ESARR 5 and States should allow a transition period and a phased approach from ESARR to national regulation, enacting and transposing the requirements of ESARR 5 into the national framework.

Transitional provisions could be also envisaged by states allowing a phased or stepped approach to the implementation of ESARR 5 making a smooth transition from previous requirements to the new ones. This subject is relevant not only for ESARR 5 implementation but also for implementation of other ESARRs within the national regulatory framework and therefore to mention ESARR 1 would be appropriate now.

SRC started the work for the development of ESARR 1 which intends to provide a national regulatory framework for rulemaking and safety oversight.

Legal aspects related to the ESARR 5 implementation at national level raised a lot of concern from the participants due to the lengthy processes which have to be undertaken by the national bodies to have ESARR 5 requirements stated in the national legislation (Parliament approval, Royal Decree, etc.). This aspects make very difficult the following up actions which normally derive from the application of national regulation and also slow down the pace and effectiveness of implementation process.

The regulation of regional multinational ATC Centres with respect to ESARR 5 is not the subject of this workshop and discussions within this forum will not bring the adequate solution. Although, we do see a possible way forward with this issue we do think that issues could be solved by the regulators of the countries involved in conducting ATM operations at those multinational regional centres by concluding what type of agreement should be in place in order to satisfy the requirements of national legislation of all countries.

States are faced with administrative problems and usually these are represented by the management and maintenance of a licensing database(s). ESARR 5 does not require specifically a licence, a certificate of competence is also acceptable. The database for licensed ATCOs has been developed by the EATMP HUM Domain with the support of IANS and SRU and represents a possible way to deal with records of the processes to verify the competence of air traffic controllers. The responsible body for the management and maintenance of that database is a decision to be taken at national level by the Designated Authority.

General Issues

For the third topic we have put all the issues raised by participants under the name of General issues. Some of them are addressing indeed generalities about ESARRs and some of them were regular questions raised within the Regulation Syndicate Group. The major topics under this item were as follows;

❑　　Ratings for non-operational staff having safety related tasks

❑　　Acceptance of other States licence

❑　　Assessment of assessors – competency assessment ;

❑　　Complementarily of ESARR 5 with ICAO Annex provisions

❑　　ESARRs and ESARR 5 legal status

❑　　Prescriptive regulations vs. goal objective regulation

Within ESARR 5, section5, General Requirements, there are two paragraphs 5.1.1. and 5.1.2 underlining very well the extend to which the provision of ESARR can be applied and to whom. That is to say that for the time being ESARR is applicable only to ATCOs and engineering and technical personnel undertaking operational safety related tasks. However, the definition of the safety related tasks within a service provider should be carried out in co-operation with the Designated Authority. The Designated Authority shall ensure through the application of appropriate regulatory principles and processes, that organisations and personnel responsible for tasks in the provision of ATS or supporting the provision of ATS, which are considered to be related to safety of air traffic, are competent to carry those tasks.

Meanwhile, the ATS provider at an ATS units unit shall ensure, as part of its overall safety responsibilities, that all ATM services' personnel responsible for tasks in the provision of air traffic services or supporting the provision of air traffic services, which are considered to be related to the safety of air traffic, are competent to carry out those tasks and satisfy applicable medical fitness requirements.

ESARRs have been developed as objective based regulation allowing States who implement them, enough flexibility to propose means to comply with the safety regulatory requirements. That is to say that within ESARR framework the means of compliance are not mandated as that will lead to prescriptive regulation and/or over regulation.

The acceptance by States of the licence issued by one State is an issue which has to be carefully considered by each of them. There should be enough evidence which should allow the Designated Authority together with the ATS service provider to accept the license issued by another State. States have the liberty to decide what mechanism have to put in place to adequately consider licences issued in different other countries.

Within ESARR 5 it is required that units have approved competence schemes to ensure that controllers maintain their operational competence and experience. That means there will be persons designated to carry out this task. The question addressed is who will assess those persons? Both the Designated Authority and the ATC service provider could agree upon a procedure to put in place that will require the assessor to be assessed periodically following the criteria described within the procedure.

The EUROCONTROL Safety Regulatory Requirement – ATM Services' Personnel stemmed, *inter alia*, from the need to complement the ICAO Annex 1 Standard and Recommended Practices - SARPs and to enable the safety aspects of the licence/certificate of competence qualifications to more closely match the air traffic services being provided within ECAC region. This will also permit the recognition of additional ATC skills associated with the evolution of air traffic control systems and their related controlling procedures.

ESARRs are objective based safety regulatory requirements which are adopted by the Provisional Council and approved by the EUROCONTROL Commission. That means that ESARR once approved by the EUROCONTROL Commission are binding to the EUROCONTROL member States according to the provisions of EUROCONTROL Convention. The remaining ECAC States which are not EUROCONTROL member states are encouraged to apply ESARRs provisions to ensure appropriate harmonisation.

The above statements define ESARRs legal status with respect to the EUROCONTROL and ECAC States non-EUROCONTROL member States.

4.2   LICENSING SYNDICATE GROUP

This report has been presented to the workshop by Per Hanson, the Rapporteur of the syndicate group.

4.2.1   Composition of the Group

There were 37 participants with a mixture of operational personnel, administrative personnel, licensing authority and military ATC. The facilitators for this group were Pat O'Doherty and Adrian Enright from Institute of Air Navigation Services.

4.2.2   Proceedings within the Group

All participants within the Licensing Syndicate Group introduced themselves and listed which were their expectations by the end of the day. This provided the subjects for discussions and facilitators helped in grouping all expectation into main areas of concern as follows within the next section.

4.2.3   Areas of Concern

The main areas of concern discussed within the Licensing Syndicate Group were;

❑   Standardisation

❑   Application of ESARR 5 to ATC staff

❑   ESARR 5 and military ATC

❑   Implementing ESARR 5 – CAA versus service providers

❑   Social issues

Standardisation

Under this topic several aspects have been considered by participants;

❑   Licence format

❑   Maintenance of licence

❑   Licence withdrawal and suspension

The European Licensing manual proposes a licence format for those who wants to adopt it. The use of a common format for a licence will help the free labour movement of ATC personnel within ECAC countries.

Many and different opinions were expressed by participants with regard to the maintenance of a licence. To maintain a licence there are several requirements to be fulfilled by any ATCO which are required by ESARR 5 and detailed within the European Manual on Personnel Licensing.

If there is no possibility to maintain a licence than this will be withdrawn and the controller will be suspended from exercising his duties. The debate which took place around this subject was focused on the issue of who's responsibility to suspend a licence and who's responsibility to withdraw a controller exercising his duties.

For any reasons which may clear indicate that a controller is not able to carry on his duties than the ATC service provider will take the measures to withdraw him from assigned operational positions. But the service provider can not (temporary) suspend or vary the licence of that controller, because this is the attribute of the Designated Authority who granted and issued the licence for that controller.

Application to ATC staff

Under this topic several aspects have been considered by participants:

❑ Instructors: OJTI, simulator or classroom instructors

All persons working as instructors, either they are OJTI, simulator or classroom instructor, they need additional training and skills to perform their duties as instructors. Only the OJTI instructors have a direct responsibility as they are responsible for handling the traffic when working as instructor together with the student who is undertaking training at operational units.

Simulator instructors and instructors working in the training institutes or in dedicated units with simulation facilities, need special training and special qualifications, but the responsibilities on these categories of personnel is not the same as for the OJTI persons. Therefore no licence endorsement is European widely required. It is left to States to decide if they wish to formally recognised these endorsements at national level together with other endorsements.

ESARR 5 and Military ATC

Under this topic several aspects have been considered by participants:

❑ To what extent ESARR 5 can be applied to military ATC?

ESARR 5 within section 3 - Applicability clearly mention that

> *"3.2.1 The requirements for air traffic controllers shall apply to:*
>
> • *civil designated authorities, civil service providers and civil personnel providing air traffic services to military and civil air traffic;*
>
> • ***military authorities and their personnel*** *providing air traffic services to civil and military air traffic in a mixed civil-military environment, except where an equivalent military licensing scheme exists.*
>
> *3.2.2 Equivalent national regulations shall apply to military authorities and their personnel providing air traffic services to military air traffic in a segregated military airspace environment."*

That is to say that if the military controllers are controlling civil and military traffic within a mixed civil-military environment than ESARR 5 requirements are applicable. When they provide control to military traffic the military rules for licensing military controllers apply.

Implementing ESARR 5 – CAA vs ATC Service Provider

Under this topic several aspects have been considered by participants:

❑ Responsibilities

❑ Problems and solutions

❑ Changes to the existing system

❑ Application of licence to non-national "contract" controllers

The same issues where identified also within the Regulation Syndicate Group, however the possibility that the Designated Authority to delegate some responsibilities to the service provider were considered by the group. This could be realised but careful consideration should be given to all the aspects involved when delegating responsibilities. Close attention should be paid to the legal aspects before delegating any responsibilities from the Designated Authority to the ANSP.

The responsible body for ESARR 5 implementation remains the Designated Authority even in the case of delegating some of their responsibilities to the service provider. In the same time the Designated Authority shall be assured that all tasks delegated to the service provider are carried out in a proper manner and that is effective through the safety oversight function performed by the Designated Authority.

Changes to the existing system shall be carried out by each party involved in the implementation of ESARR 5 requirements. During the first day we have seen that there are countries which are ahead or have in place a licensing system but also we have learned that there are countries which do not have anything in place and have to start the work from scratch.

Social Issues

Under this topic several aspects have been considered by participants;

❑ Licence versus certificate of competence

❑ Loss of licence

❑ Maximum age for controllers

❑ Mobility

Among participants within this group there were persons from the European Commission and also persons representing unions who expressed their interest on social issues. The first point of interest was the difference between a licence and a certificate of competence. For many ATCOs a licence is similar with having a job and losing licence is similar with losing their job.

Also, for the time being for ATCO the maximum age for which they can perform their duties has been considered only nationally but not wider at ECAC level. There is no harmonisation with respect to age limits for operational ATCOs and maybe further actions have to considered to address this issue form a safety viewpoint.

Conclusions

The group ended with some conclusions which can be listed as follows;

❑ The need for additional meetings on regional basis, where clarification to different issues can be debated extensively by the participants. The number of participants at this event allowed to cover partially all subjects for discussion participants may raise and therefore the regional meeting could be an opportunity for clarification for other issues.

❑ The European Manual of Personnel Licensing- Air Traffic Controllers is a living document and the analysis of this document together with its guidance on implementation have shown that there is a need to update both documents. Issues raised within the group have also shown the need for reviewing the document to put additional provisions within it.

❑ There were opinions expressed for including provisions for language proficiency and that is a valid point for the various ratings were native language is used in different cases like distress, search and rescue and local co-ordination with other units when native language is used.

❑ ESARR 5 has developed and action plan for implementation which is monitored via the ECIP/LCIP mechanism and most of the participants have raised the concern that the table shown by the SRU staff regarding ESARR 5 implementation in ECAC States do not reflect in total the reality. The additional question raised is what happens if ESARR 5 is not implemented in all EUROCONTROL countries. The mechanism within the EUROCONTROL Convention binds States to implement all ESARRs within the timeframe allocated to each of them and therefore States have committed themselves to implementing ESARR at national level.

❑ The delegation of responsibilities between the Designated Authority and service provider should be carefully consider at national level and as well processes should be in place to ensure that the new responsibilities for the service provider are carried out in a proper manner.

❑ On the top of all conclusions the exchange of information and the marketing of ESARR 5 and the European Manual of Personnel Licensing-Air Traffic Controllers should be improved by everyone, EUROCONTROL and States. This will allow for solutions and ways in which EUROCONTROL can support States' implementation process. For this reason, persons involved in the implementation process of ESARR 5 and of the European Manual of personnel Licensing were kindly requested to used the web site address from the SRU-HUM web site as a forum for discussion and feedback.

For all of these bullets listed within the conclusion section there is a need for further clarification and discussion on the possible ways forward.

4.3 TRAINING SYNDICATE GROUP

This report has been presented to the workshop by Derek RAINEY, the Rapporteur of the syndicate group.

4.3.1 Composition of the Group

There were 35 participants with a mixture of air traffic controllers, training establishments both civil and military experts, members from flow management control, the aviation industry, university professor engaged not only in ATC training but also in other forms of training for universities.

4.3.2 Proceedings Within the Group

All participants within the Training Syndicate Group introduced themselves and listed which were their expectations from the discussions within the group. These provided the subjects for discussions and SRU has provided support in various subjects for debate.

Also, comprehensive presentations about ESARR 5 and AMC and implementation and monitoring plan for ESARR 5 were given by SRU. Main areas of concern which have been identified from the beginning are within the next section.

4.3.3 Areas of Concern

Guidelines for Refresher and Emergency Training

Participants expressed that it is a need for guidelines for refresher and emergency training because of the requirements within ESARR 5. Additionally ESARR 5 is very generic on this subject and States would like to have guidelines on how this training should be conducted (where and how, what is the content of this training, and the duration of the training)

How it is possible to ensure the objectivity in the assesement process to a standard acceptable to a Regulatory Authority?

The answer to this question is along the bullet point listed below;

❑ By introducing a Safety Management Systems which complies with ESARR 3 safety regulatory requirements

❑ By separating the instructional and the examination function within the initial training

❑ By including an assessment procedure within the training guidelines.

Can the syllabus of the Common Core Content be revised?

Effectively local training plans may be developed but only to a higher standard than content within the Common Core Content (CCC) which is assessed and approved by the National Regulator. Also the question implies the revision of the process based on which the CCC works. For further elaboration, every two years the CCC is revised and a lot of the revisions came form the request of the users groups or in the normal process of the Task Force establishment as directed by Human Resources Team (HRT).

It is possible to have a guideline for checking compliance?

States are overwhelmed by the amount of information and documents available and were in great difficulty in finding a process by which they could check the compliance.

The suggestion was to use the process that some States already have used in the initial process. That means to use an Excel spreadsheet to check each objective and to ensure that is correctly covered in the syllabus. The use of an Excel spreadsheet does not mean that it is the case for only ticking the box exercise which give you the indication that is covered or not, but also means that training institutes will verify the content of their training to some auditing process.

There will be not only internal auditing processes but also external processes. The regulatory authority will have to verify that the objectives are covered within the training material. So the information have to be verified to the extent possible to ensure that everything is in place. Within this process SRC will ask national ATM Safety Regulators to verify the process by which they check compliance.

How to Assess That Training Carried Out is Compliant With the Common Core Content?

The checking method will be;

❑ To check CCC objectives against local training objectives

❑ To check the CCC local training plans against the local training plans

How to Review and Upgrade the Implemented Training in Accordance with the Approved Revisions to CCC?

The question will also included how this information be made available to the member States? To answer these questions solutions discussed within the group were;

❑ All changes within the documentation should be marked as per Aeronautical Information Publication convention to better underline where these changes appear

❑ To insert an applicability date for the changes in order that everyone is made aware about the changes and the effective day of applicability

❑ To have a statement of compliance impact assessment which makes everyone aware about the impact of those changes

Audit Courses

SRU will develop audit courses and will hold audit courses in order to train persons on auditing techniques to verify ESARRs implementation at national level. From this will benefit also training institutes which will be able to conduct internal audits to verify if the training is ESARR 5 compliant (i.e. CCC compliant).

A lot of information is provided within ISO 10011 which describes the auditing procedures and the minimum qualifications required for that.

Is There Any Practical Element in the Basic Syllabus of the CCC?

In the Basic syllabus performance objectives have been included at taxonomy level 3 which does require practical application. As a feedback from users, training plans are now being developed to include practical exercises with terminal objectives which can be conducted in PTT or in simulator.

Is the Whole CCC Mandatory?

This question generated a lot discussions within the group and the members of the group were referred to ESARR 5 paragraph 5.2.1.9 which states:

> "… require initial ATC training courses to satisfy, as a minimum, the ECAC guidelines for Common Core Content Training."

So, that is to say that CCC is the standard mandated by ESARR 5.

The content of the CCC is mandatory in the place where the content lists are not prefixed with the term e.g. (for example) because this is not used as guideline of how to achieve a training objective. Elements prefixed with e.g. are optional.

Training of Foreign Student by Training Establishment?

States are selling courses to other States and can accommodate students from other countries within local training establishments. This could be practical to States which do not have resources to put training in place. The link between this external training which sometimes could be found ESARR 5 non compliant and the ATC license was the subject of discussion within the group.

The ATC licence will be issued by the regulator who exercise jurisdiction within the State in which privileges of the licence will be exercised. That is to say that the regulator who will issue the licence is responsible to verify that the training provided by the external establishment meets the requirements of ESARR 5. It may be required that the Designated Authority of the State issuing licence will audit the external training establishment.

Separation of Regulator and Service Provider Function?

This question have been raised also by the Regulation and Licensing groups. Functionality of the regulator and the service provider must be separated, but they could exist under the same Agency which is the case in some countries where only one single body exits.

Will Training Stages be Identical in all States?

The answer is No they will not be. The training plan is modular in its design and flexibility is available in its application. The Basic training Phase 1 must be completed as a pre-requisite for Rating training Phase 2, but how the Rating Training is structured thereafter is flexible due to its modularity.

Will Procedural Control be Trained in the Radar Environment?

Procedural control became redundant due to the radar systems and the multi-radar tracking facilities and the answer to that question is that provided the integrity of radar facilities is assured, training providers could request approval to remove this requirement.

The national regulator will have to approve the revised training plans. Just for clarification the level to which procedural control was trained in the training plans was elaborated and it was explained that the subject of Degraded Systems is contained in the CCC which covers recovery in the event of radar degradation or failure. In most countries this is not designed as procedural training course.

Was the Rating Training Plan Driven by the Requirements of a Task Analysis?

The answer is yes, the rating training has been derived from the "Model for Task and Job Description of Air Traffic Controllers(01.1000-REP-01 March 1996).

5.   CLOSING ADDRESS

The closing address was delivered by Mr Peter STASTNY, Head Safety Regulation Unit (SRU).

Mr. Stastny thanked all concerned in EUROCONTROL for their input, assistance, for the facilities provided to hosting and conducting the Workshop proceedings. Thanks were also due to the delegates, for their many helpful and thought-provoking contributions, which will be given further consideration.

Mr. Stastny added to his speech slides which are attached in **Annex 3** to the report.

Ladies and gentlemen,

I will take a few minutes of your time and leave you with more thoughts from a safety regulatory perspective. It seem to me that we should look what we were doing over the last few days and put it in a wider context of the regulatory framework that have been established within ECAC for ATM. I want to start with a number of messages to you. Safety is a partnership.

You have heard a lot over the last days about service provisions and regulation and each of those groups of organisations/people have different jobs to do. They are complementary. If they do not complement each other safety will suffer and therefore it is encumbered to all of us to work together to make sure that regulation and safety management as discharged by service provider work fruitfully and harmoniously together. I urge all to take this message away and act upon it.

It is a fact that safety regulation is an essential part of safety related activities when we look around at various activities in aviation, regulation of airlines, flight crew, it is an established fact and it grown up that way because safety experience had led us to think that is the most effective way of safeguarding safety.

So, there is a role for the regulator to set minimum acceptable sets of standard of safety and those standards are visible to everyone, not just those in the industry ,not just the travelling public, but the general public. The citizens of every state need to know that someone is safeguarding their well being in their interest. That is the case in all modes of transports.

Within our own area we translated that into safety regulatory framework and the safety management initiatives which you now see being enacting within EUROCONTROL.

Why at European level and why harmonisation of these things? Because we put a lot of effort in harmonising activities in both fields, safety regulation and safety management. ECAC transport ministers decided in 1997 that we should have a harmonised approach to ATM safety and it is a logical decision because we now looking increasingly at ATM in Europe on a ECAC wide basis.

We've got flow control which operates on a centralise European basis and many of the programme which you have been familiar with, we talked already about RVSM as a classical example, are applied on a pan-European basis. If we are to secure safety of those kinds of ATM developments and the continuing of ATM service then we need to do so by harmonising safety levels on European basis. To harmonise safety levels we need to harmonise the mechanisms to achieve safety levels and this really why we do what we do.

So, from a safety regulatory viewpoint the Safety Regulation Commission (SRC) has constructed its work programme into 3 (three) main areas and that is the implementation and production a safety regulatory framework for implementation by states and a third element which in fact to measure the safety performance that is going on at European level.

You are no doubt aware about all the initiatives in the field of ESARR 2 and also in the voluntary reporting schemes that groups like the Safety Group within EUROCONTROL are trying to promote as well in order to get the feel of what the European safety performance is.

Where are the risk areas in European ATM, how do we address those risk areas ? Do we need to improve the regulatory framework? The regulation is not all the time the answer to those questions, but now again there is a need to put in place regulations and the States have decided that in the case of ESARRs those are the regulation, those are the areas we need to address key safety priorities.

Therefore the ESARR that exist today and the ones which will exist in the future address those priorities which are seen as key safety priorities by the safety experts within the members states of EUROCONTROL and ECAC.

We start this morning mentioning what ESARRs are and that we have high-level objective based requirements. ESARRs are intended to be as unspecific as possible to leave the maximum flexibility for different methods of implementation as possible.

We've engaged in a full consultative rule-making process to get them to the stage where they are the moment. The ESARR 5 material you have been discussing has been through the widest possible consultative mechanism within Europe. It has been to the Director General of Civil Aviation in everyone of the ECAC member states and as much as possible to all the bodies that sit below those officials: service providers, regulators and all other interested parties including representative bodies of airspace users.

How many ESARRs we are going to have and what they are going to do? We even now not quite sure the answer to that. We started with four: ESARRs 2, 3, 4 and 5 there are the greens ones on the slide and those were the key immediate priorities we would set to work on when the SRC was established in 1998. So the very first thing we did in fact in the case of measurement of safety was to put in place ESARR 2 and then we went to consider safety management systems, risk assessment and mitigation.

The three main areas that make up ATM , that is people, procedures and systems or equipment, were we foresee ESARR activity being. Quite recently though we also see a need for a requirement, a EUROCONTROL requirement to be implemented by member states, for the implementation of a harmonised regulatory framework and that is ESARR 1.

I hope this gives you some kind of feel for the inter-relationship of what is happening in term of requirements at European level and what is going to come over the next 2 to 3 years as we develop further those requirements. We are already developing ESARR 6 which is dealing with part of the system level safety regulations and ESARR 7 which will deal with procedures is at the moment pending because we have yet to discover if there is a need for a regulation in that area.

But regulation are really the beginning. We need to explain regulations far more than the regulation do for themselves. In themselves regulations can be very brief and brief as possible as I mentioned, but they do require a lot of explanations and therefore guidance material, advisory material is one of our main tasks within the SRU.

Developing guidance material for regulators and also interfacing, of course, with the appropriate guidance material for service provider through the partnership that we have in EUROCONTROL with the HUM Unit in the case of ESARR 5 and other comparable units in the case of other ESARRs. So we work very closely within EUROCONTROL at this partnership of what we have to do on one hand and on the other hand how we have to do it. Acceptable Means of Compliance forms part of that particular set-up.

We do need wherever possible to try and help the world forward if you like in terms of declaring acceptable means of compliance for each of the ESARRs. That is in no way restricts any other flexibility that states may wish to have but it does provide some basic way forward if there are no existing national mechanisms.

For every ESARR there is a very comprehensive implementation programme and they all look very much similar. They are broken down into 3(three) area: development, promotion and support, and under each of those area there are a number of proposed actions.

Some of the things you have been experiencing through the workshop in fact sit within ESARR 5 implementation programme. Within the ESARR 5 implementation programme itself, on the development side we certainly got the development of the requirement itself but also the guidance material of course, frequently asked questions, explanatory material, additional issues etc as required within the guidance material. As this is where your input to what we do it is absolutely crucial as I mentioned in the response to the question about ESARR implementation monitoring.

Why do we need to know how ESARR have been implemented at national level? Partly so we can actually develop the right guidance material in order to support the implementation more effectively. If we look at the promotion area again a number of actions looking at promotional material, web site, videos and so on with which you are familiar already with the mechanisms we are trying to put in place there.

Just few words about support area. This tends to be rather more difficult to define because we not talking mainly here about pan-European actions , we talk about bi-lateral actions with states or group of states in order to look at particular implementation issues as we go through. The scope of these does need to be very much defined by SRC both from the point of view of what the needs are from states but also what the resources are from EUROCONTROL respectively as well.

So, if can draw few conclusions. We certainly are in the final phase of implementing ESARR 5 and we have only 18 months to go now with edition 1.0 provisions. November 2003 will soon be with us and we certainly need to get on implement ESARR 5 but from your point of view that means a lot of things as you obviously been discussing.

From our point of view it means having feedback to enable us to support you in being able to implement those actions. We put some mechanism in place already. There is a help desk, web sites, support on site workshop, CDs and so on. What we do from here on in is dependent upon on what you have a need for us to do . So your feedback once again is crucial.

However, we can make it happen most definitely and we can make it happen in time.

Thank you very much indeed.

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ABBREVIATIONS AND ACRONYMS

ADS	Automatic Dependent Surveillance
AMRSG	ATCO Medical Requirements Study Group
ATCO	Air Traffic Controller
ATM	Air Traffic Management
CAA SRG	The (United Kingdom) Civil Aviation Authority Safety Regulation Group
CCC	Common Core Content
CCC-TF	Common Core Content Task Force
CIP	Convergence Implementation Programme
DGCA	Director General of Civil Aviation
EATMP	European Air Traffic Management Programme
ECAC	European Civil Aviation Conference
ECIP	European Convergence and Implementation Programme
ESARR	EUROCONTROL Safety Regulatory Requirements
ICAO	International Civil Aviation Organisation
IFATCA	International Fedearation of Air Traffic Controllers'Associations
JAR-FCL	Joint Aviation Requirements - Flight Crew Licensing
HRT	Human Resources Team
HUM	Human Resources Domain
LWG	The European ATC Licensing Working Group
OJTI	On-the-Job Training Instructor
PAR	Precision Approach Radar
SRC	Safety Regulation Commission
SRG	Safety Regulation Group
SRU	Safety Regulation Unit
TCG	Training Consultation Group
WG	Working Group

ANNEX 1 – STRUCTURE OF THE WORKSHOP

EUROCONTROL
Safety Regulation Commission
& Human Resources Team
ESARR 5 & ATCO Licensing WORKSHOP

WORKSHOP ON
ESARR 5 & ATCO LICENSING

AGENDA

DAY 1 (22.05.2002)

09h00 - 09h30	**Registration**
09h30 - 10h00	**Welcome & Introduction (Chairman of HRT)**
10h00 - 10h45	**Regulatory framework for ATCOs competency – ESARR5**
10h45 - 11h05	*Coffee Break*
11h05 - 11h50	**Implementation of best practices - European Manual of Personnel Licensing – Air Traffic Controllers**
11h50 - 12h30	**ICAO latest news on licensing & ICAO Universal Safety Oversight Audit Programme**
12h30 - 13h45	*Lunch*
13h45 - 14h30	**Training issues**
14h30 - 14h50	**States Experience in implementing ESARR 5 and European Manual of Personnel Licensing (UK)**
14h50 - 15h10	**States Experience in implementing ESARR 5 and European Manual of Personnel Licensing (Norway)**
15h10 - 15h30	*Coffee Break*
15h30 - 15h50	**States Experience in implementing ESARR 5 and European Manual of Personnel Licensing (Belgocontrol)**

15h50 - 16h30	**Open session (questions, discussions, debate)**
16h30 – 16h45	**Clarifications of the Syndicate groups**

DAY 2 (23.05.2002)

09h30 - 09h45	**Administrative issues. Set-up of the Syndicate groups.**
09h45 - 10h45	**Syndicate groups (Regulation, Licensing, Training)**
10h45 - 11h05	*Coffee Break*
11h05 - 12h30	**Syndicate groups (Regulation, Licensing, Training)**
12h30 - 13h45	*Lunch*
13h45 - 15h00	**Syndicate groups (Regulation, Licensing, Training)**
15h00 - 15h20	*Coffee Break*
15h20 - 16h30	**Syndicate groups (Regulation, Licensing, Training)**

DAY 3 (24.05.2002)

09h30 - 10h00	**Review by Rapporteur of the Regulation group**
10h00 - 10h30	**Review by Raporteur of the Licensing group**
10h30 - 11h00	**Review by Rapporteur of the Training group**
11h00 - 11h20	*Coffee Break*
11h20 - 12h15	**Opening session (overall review, questions, discussions, debate)**
12h15 - 12h30	**Closing session (Head of SRU)**

ANNEX 2 – PRESENTATIONS (SLIDES) FROM THE SYNDICATE GROUPS

Slide 1

Slide 2

Slide 3

Participation

→ **32 participants**

→ **Mixture of regulators and service providers**
→ **Civil and military**
→ **Regulators participation was numerous**

→ **Belgium, Bulgaria, Cyprus, Denmark,**
FY Macedonia, Finland, France, Germany,
Greece, Hungary, Italy, Luxembourg, Malta,
Norway, Poland, Slovak Rep., Slovenia, Spain,
The Netherlands, United Kingdom.

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Slide 4

Clarification issue

→ **The scope of this WS and Syndicate Group was**
to clarify ESARR 5 ed. 1.0 requirements;

→ **Implementation date of ESARR 5 ed. 1.0 is**
10.11.2003;

→ **Implementation date for ESARR 5 ed. 2.0 is**
April 2005 (engineering & technical personnel)

→ **The Acceptable Means of Compliance was**
carried out against ESARR 5 ed. 1.0

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Slide 5

Introduction and
Main concerns about ESARR 5

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Background information from participants
(introduction, position within the company)

Discussions/
Debate

Main concerns raised by each participant
regarding ESARR 5 implementation.

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Slide 6

Main concerns - AMC
Presentation from SRU

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1. **INTRODUCTION**
   AMC concept

2. **ASSESSMENT**
   Process
   Issues Identified

3. **RESULTS**

Is the EATMP
European Manual of
Personnel Licensing -
Air Traffic Controllers
...

... an acceptable
means of compliance
to meet ESARR 5 ?

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Slide 7

Slide 8

Slide 9

Main concerns

✈ Implementation aspects (1):

1. National regulation vs. ESARR 5 - National regulatory framework

2. Legal aspects

3. Major concern regarding regulation for regional centres

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Slide 10

Main concerns

✈ Implementation aspects (2):

4. Who will implement and what had to be implemented

5. Transitional provisions

6. Administrative issues - database management and maintenance

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Main concerns

✈ General aspects (1);

1. Safety related tasks

2. Ratings for non-operational personnel

3. States acceptance of other licences

4. ESARR 5 (WHAT IS REQUIRED) and European Manual (HOW TO DO IT?)

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Slide 12

Main concerns

✈ General aspects (2);

4. ESARR 5 and ESARRs legal status

5. Competency assessment   (Assessment of the assessors)

6. Complement ICAO SARPs (Annex 1)

7. Prescriptive regulations, avoid over regulation - ESARR 1

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Slide 13

Exercise

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✈**Scope**

   1. Practical aspects to be considered within a scenario;

   2. What actions have to be considered by DA, ATSP and individual

✈**Details about the scenario proposed**

   1. Move from one unit to another one

   2. Training issues, Notification, Verification

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Exercise

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✈ **Discussions revealed several solutions with common parts**

✈**Proposed solution after discussions within the group**

✈**Conclusions:**

   - Consensus was achieved for most of actions to be carried out by all parties
   - Particular issues were brought by each group based on their experience

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Slide 15

Conclusions

✈ **Discussions revealed general issues regarding :**

1. ESARRs implementation by States

2. Prescriptive regulation

3. Over regulation

4. Regulation at the level of regional centres

5. Roles of Regulator and Service Provider

6. AMC general understanding

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Slide 16

Conclusions

✈ **Discussions revealed specific issues regarding ESARR 5:**

1. ESARR 5 & European Manual - AMC

2. Role of Regulator and Service Provider

3. Other categories of personnel

4. Safety related tasks

5. Relationship with other ESARRs

…………

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REGULATION SYNDICATE GROUP

QUESTIONS ?

RAPPORTEUR: HARRY DALY

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Slide 1

LICENSING SYNDICATE GROUP

23.05.2002

RAPPORTEUR: PER HANSON

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Slide 2

Licensing Syndicate Group

•Chairman - Gerry Clinton

•37 participants
•(ATCOs, Licensing, Military ATC)

Facilitators:
•Adrian Enright & Pat O'Doherty

Slide 3

Areas of concern

1.Standardisation

2.Application of ESARR to ATC staff

3. ESARR 5 and military ATC

4. Implementing ESARR 5 - CAA v ANSP

5. Social issues

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Slide 4

Standardisation

•Licence format

•Maintenance of licence

•Licence withdrawal, suspension

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Slide 5

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Application to ATC staff

• Instructors

    – OJT
    – Simulator
    – Institutional

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Slide 6

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ESARR and Military ATC

•To what extent can ESARR 5 be applied to military ATC?

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Slide 7

Implementing ESARR
CAA v ANSP

• Responsibilities

• Problems and solutions

• Changes to existing system

• Application of licence to non-national "contract" controllers

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Slide 8

Social issues

• Licence vs certificate

• Loss of licence

• Maximum age of ATCO

• Mobility

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Conclusions

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• Need for another meeting - regional basis?

• Revision to Licensing Manual

• Need to incorporate requirements for language proficiency

• Verify status of ESARR 5 implementation

• Delegation of responsibility CAA to ANSP
• What happens if ESARR 5 not implemented?

• Improve marketing and information exchange

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Slide 10

Conclusions

EUROCONTROL

• Need for another meeting - regional basis?

• Revision to Licensing Manual

• Need to incorporate requirements for language proficiency

• Verify status of ESARR 5

More clarification

• Delegation of responsibility CAA to ANSP

• What happens if ESARR 5 not implemented?

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Slide 11

Overall comment

• An effective day of discussions

• Good participation from all

• Main issues identified

• BUT:
–definite need for detailed discussion on implementation
–more areas requiring clarification
–get the message across to States, ANSPs and controllers

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Slide 12

Help!

Put your question to:

SRC website - www.eurocontrol.int/src
(if that doesn't work, call Gerry)

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Slide 13

Slide 1

TRAINING SYNDICATE GROUP

23.05.2002

RAPPORTEUR: DEREK RAINEY

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Slide 2

Guidelines needed for refresher and emergency training

♦ **Requirement is too generic**

♦ **States would like better guidelines on how this training should be conducted**
❖ Where and how
❖ Content
❖ Duration of the training

Slide 3

How is it possible to ensure objectivity in the assessment process to a standard acceptable to a Regulatory authority ?

By complying with ESARR3 and the introduction of the Safety Management System

Separation of function of instruction and examination during initial training

Include assessment procedure in training guidelines

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Slide 4

Topics which were discussed

♦ **CCC is it compulsory ?**

♦ **CCC review may require a task analysis**
 ❖task analysis should be published
 ❖amendments should be marked as per AIP convention
 ❖is there any practical training in the Basic CCC

♦ **Simulator specifications ?**

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Slide 5

Can the syllabus of Common Core Content be revised

Local training plans may be developed, but only to a higher standard, then assessed and approved by national regulator

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Slide 6

Is it possible to have a guideline for checking compliance

Use an Excel spreadsheet and check each objective and ensure it is correctly covered in the syllabus

SRC will also ask regulators to verify the process by which they checked compliance

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Slide 7

How to assess that training carried out is compliant with CCC

Check:

CCC objective against local objective

CCC training plans against local training plans

Guidelines and support may be requested from EUROCONTROL

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Slide 8

How to review and upgrade the implemented training in accordance with the approved revisions to CCC

Transparency as per Aeronautical Information Publication convention

Applicability date

Statement of compliance impact assessment

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Slide 9

Audit courses

It is planned by SRU to hold audit courses in order to train local training institutes in how audits are conducted

A lot of discussion was generated in connection with ISO10011 which describes the auditing procedure and minimum qualifications of auditors

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Slide 10

Is there any practical element in the Basic syllabus of CCC

In the Basic syllabus performance objectives have been included at taxonomy level 3 requiring practical application.

As a result of feedback from users training plans are now being developed which include practical exercises with terminal objectives - can be conducted in PTT or in simulator.

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Slide 11

Is the whole CCC mandatory

This generated much discussion and as a result of evident confusion the group were referred to ESARR5 section 5.2.1.9:

Require initial ATC training courses to satisfy, as a minimum, the ECAC guidelines for Common Core Content training.

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Slide 12

Is the content in CCC mandatory

When content lists contain the term e.g. the elements are optional

When e.g. is not included then the content is mandatory

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Slide 13

Training of foreign students by a training establishment

ATC licence will be issued by the regulator who exercises jurisdiction in the state in which the privileges of the licence will be exercised

A question was raised regarding an institute found to be ESARR5 non-compliant which had trained students - what is the impact on the ATCO license?

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Slide 14

What is the ESARR5 requirement for non-licensed personnel

When the requirements of ESARR5 do not cover personnel in safety related areas then the conditions of Annex 1 Personnel Licensing apply

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Slide 15

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Separation of regulator and ANS provider

Functionality of the regulator and the service provider must be separated but may exist under the same directorate.

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Will training stages be trained identically in all states

The training plan is modular in design but flexibility is available in application, but it is understood that the Basic training (Phase I) must be completed as a pre-requisite for Rating Training (Phase II).

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Slide 17

Will procedural control be trained in the radar environment

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It was explained that provided the integrity of the radar facilities was assured, training providers could request approval to remove this requirement.

It was explained that the subject Degraded Systems is contained in the CCC which covers recovery in the event of radar degradation/failure

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Slide 18

Was the rating training plan driven by the requirements of a task analysis

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Rating training is derived from "Model for Task and Job Descriptions of Air Traffic Controllers (01.1000-REP-01 March 1996)"

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ANNEX 3 – PRESENTATION (SLIDES) FROM THE CLOSING ADDRESS

Slide 1

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ESARR 5 AND ATCO LICENSING WORKSHOP

Peter Stastny
Head of Safety Regulation Unit
EUROCONTROL

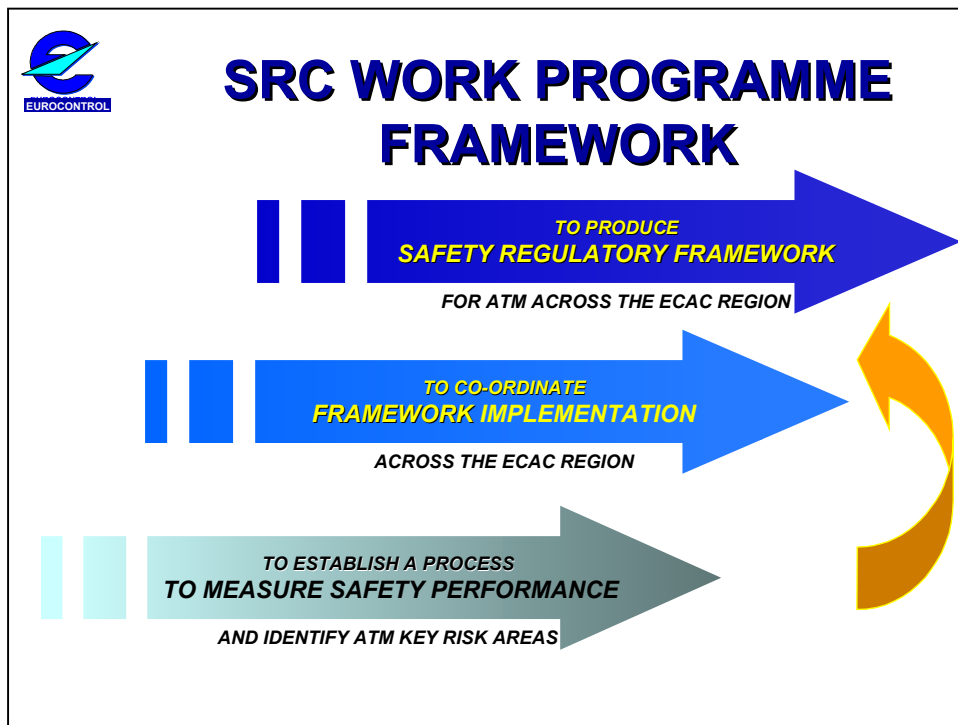### Luxembourg, 22 - 24 May 2002

Slide 2

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SAFETY ROLES

→ **Changes within the ATM industry ….**

→ **Safety Management …..**
 used by organisations providing safety
 related services or products

→ **Safety Regulation ….**
 applied by States for establishing, overseeing
 and enforcing minimum safety levels in the
 public interest.

Slide 3

SRC WORK PROGRAMME FRAMEWORK

TO PRODUCE
SAFETY REGULATORY FRAMEWORK

FOR ATM ACROSS THE ECAC REGION

TO CO-ORDINATE
FRAMEWORK IMPLEMENTATION

ACROSS THE ECAC REGION

TO ESTABLISH A PROCESS
TO MEASURE SAFETY PERFORMANCE
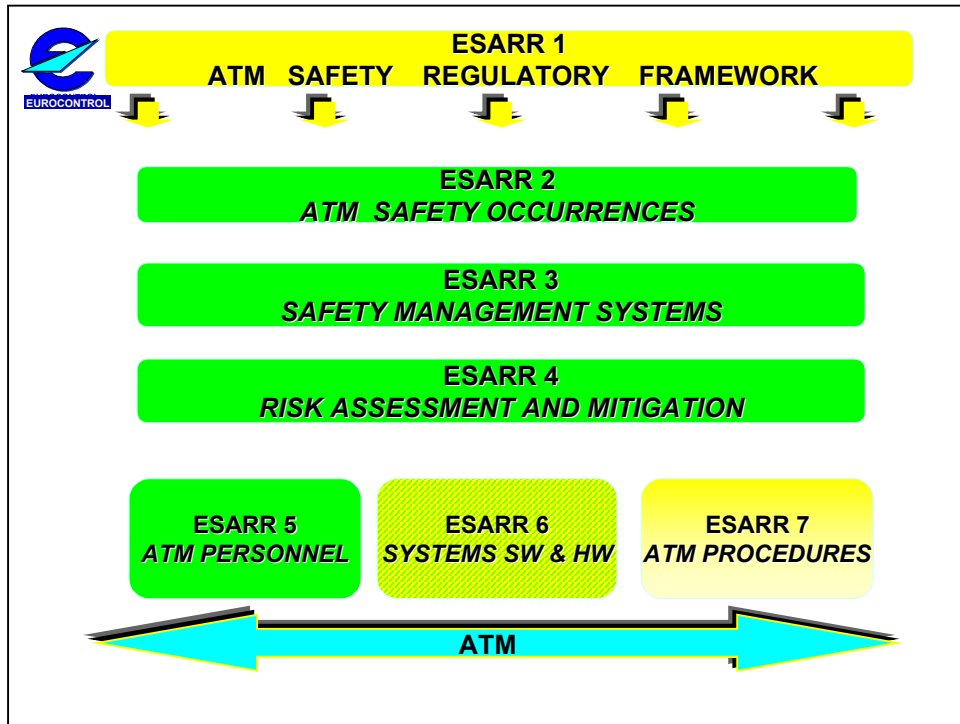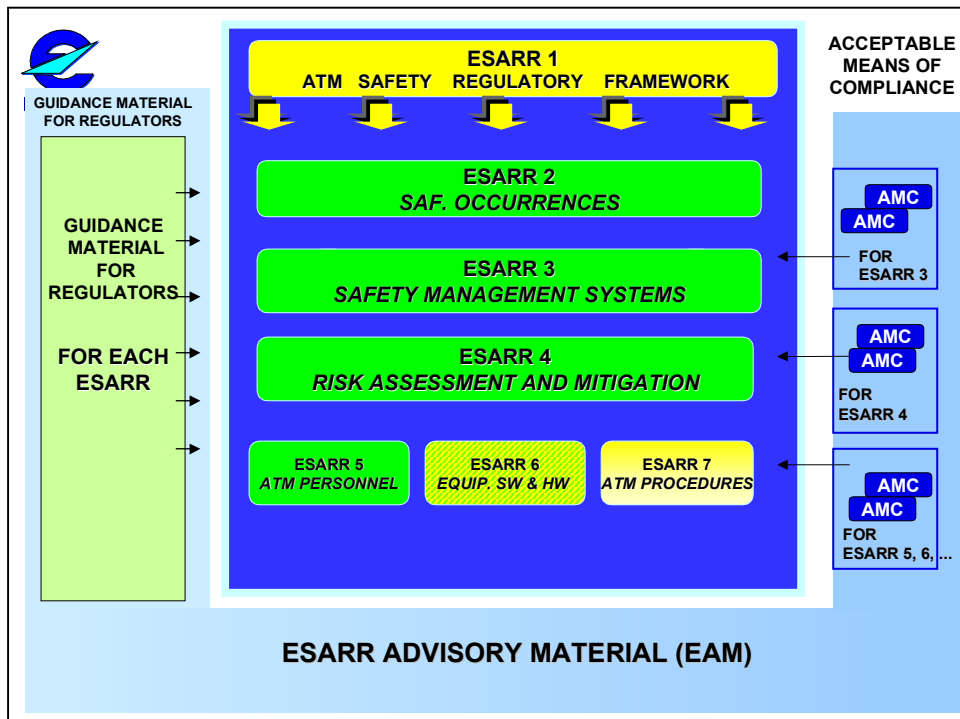
AND IDENTIFY ATM KEY RISK AREAS

Slide 4

EUROCONTROL SAFETY REGULATORY REQUIREMENTS (ESARR's)

→ **EUROCONTROL Member States obliged to implement; remaining ECAC States encouraged**

→ **Complement ICAO SARP's**

→ **High-level objective-based requirements**

→ **SRC interim rulemaking**
  → **formal 3-stage consultative process**
  → **full traceability - CRD**
  → **consistent with ENPRM /JAR 11**

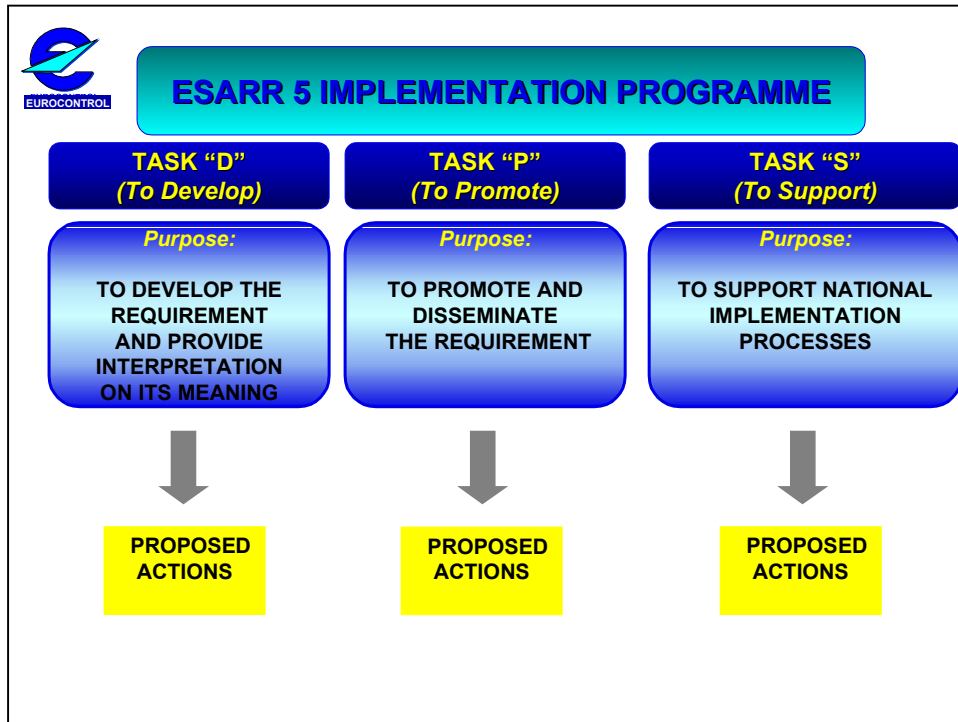→ **All documents approved or in final consultation are on the website (www.eurocontrol.int/src)**
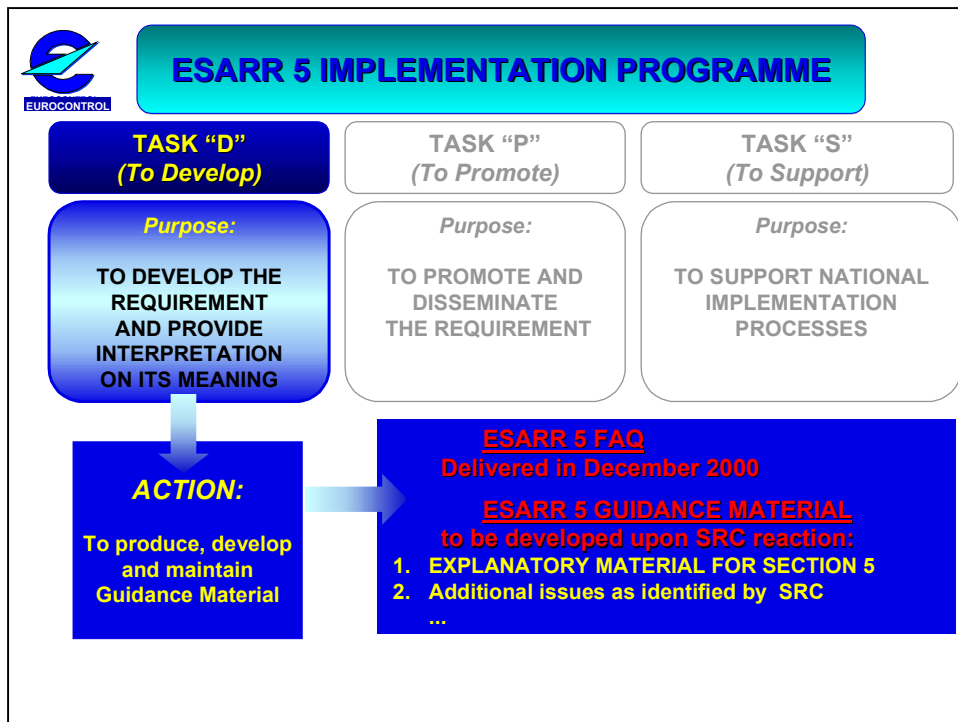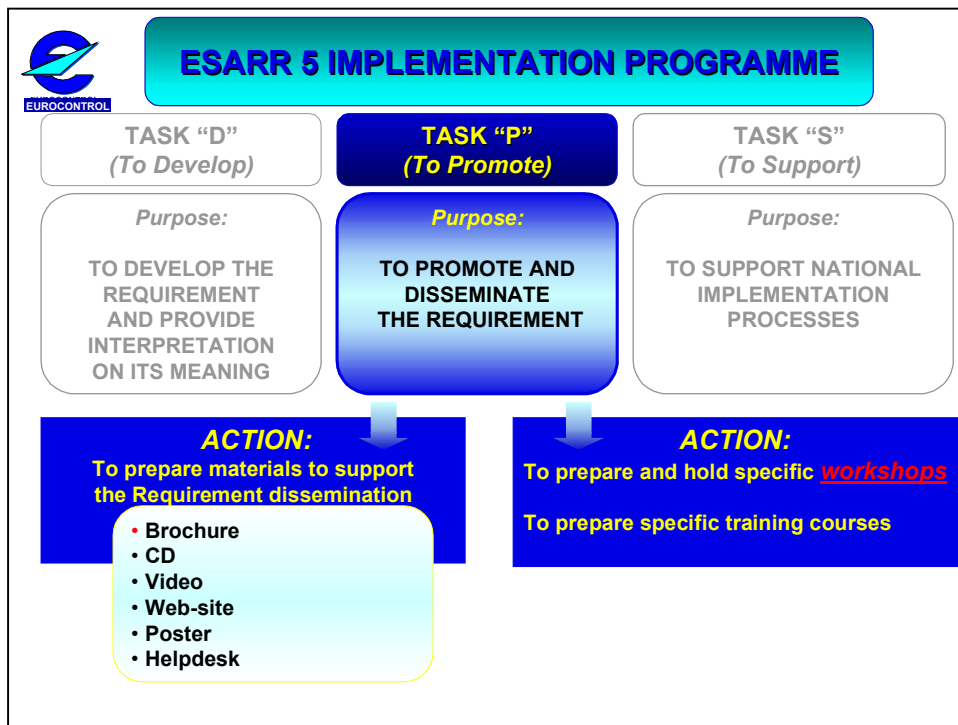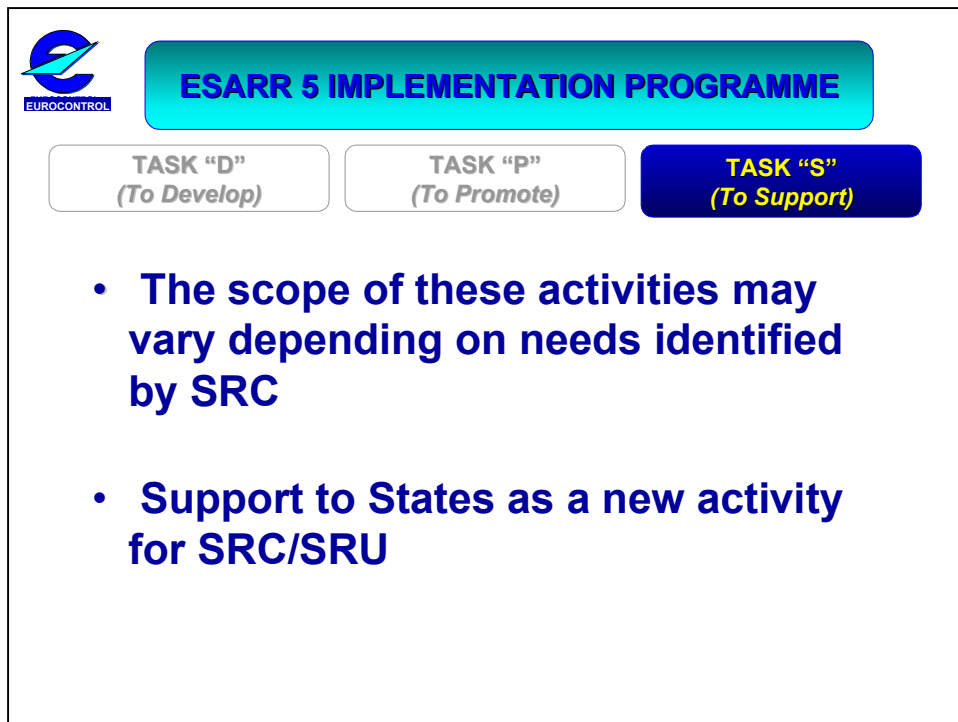
Slide 5

Slide 6

Slide 7

Slide 8

Slide 9

ESARR 5 IMPLEMENTATION PROGRAMME

TASK "D" (To Develop)	TASK "P" (To Promote)	TASK "S" (To Support)
Purpose: TO DEVELOP THE REQUIREMENT AND PROVIDE INTERPRETATION ON ITS MEANING	*Purpose:* TO PROMOTE AND DISSEMINATE THE REQUIREMENT	*Purpose:* TO SUPPORT NATIONAL IMPLEMENTATION PROCESSES

ACTION:
To prepare materials to support the Requirement dissemination
- Brochure
- CD
- Video
- Web-site
- Poster
- Helpdesk

ACTION:
To prepare and hold specific *workshops*

To prepare specific training courses

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ESARR 5 IMPLEMENTATION PROGRAMME

TASK "D" (To Develop)	TASK "P" (To Promote)	TASK "S" (To Support)

- **The scope of these activities may vary depending on needs identified by SRC**

- **Support to States as a new activity for SRC/SRU**

Slide 11

CONCLUSIONS

→ **We are in the final phase of implementing ESARR 5 and Licensing Manual**

→ **States need support achievement by Nov 2003**

→ **The support mechanisms for this are in place:**

  → **help-desk**

  → **web site**

  → **support on site**

  → **workshops, CDs etc.**

Slide 12

	Global Status
SloA State	
State 1	OT
State 2	OT
State 3	OT
State 4	Late
State 5	no data
State 6	OT
State 7	OT
State 8	OT
State 9	NFP
State 10	OT
State 11	NFP
State 12	OT
State 13	OT
State 14	OT
State 15	OT
State 16	OT
State 17	OT
State 18	P
State 19	OT
State 20	NFP
State 31	OT
State 32	OT
State 33	OT
State 34	OT
State 35	OT
State 36	Late
State 37	Late
State 38	P
State 39	No data

Legend		
C	Completed
IO	In Operation
L	Late
	On Time
P	Planned (or agreed)
PC	Partially completed
US	Under Study

WE CAN MAKE IT HAPPEN IN TIME !

Slide 13

ESARR 5 AND ATCO LICENSING WORKSHOP

QUESTIONS ?

Peter Stastny
Head of Safety Regulation Unit
EUROCONTROL

Luxembourg, 22 - 24 May 2002

ANNEX 4 – TABLE OF CONTENT FOR WORKSHOP DOCUMENTATION

TABLE OF CONTENTS

All Documents listed below are also available on the CD-ROM 'ESARR 5 and ATCO Licensing Workshop'. Documents listed below form the 'ESARR 5 and ATCO Licensing Workshop' Binder.

3. ICAO DOCUMENTATION

1. ICAO Annex 1

2. Proposal amendment for Annex 1

4. SRC DOCUMENTATION

1. ESARR 5 - ATM Services' Personnel, Ed. 1.0; 10.11.2000

2. ESARR 5 - ATM Services' Personnel, Ed. 2.0; 11.04.2002

3. SRC DOC 5 Consistency between ESARR 5 and ICAO SARPs Annex 1, Ed. 1.0; 10.11.2000

4. ESARR Advisory Material (EAM) - Acceptable Means of compliance with ESARR 5, Ed. 1.0; 26.02.2002

5. EATMP/HUM DOCUMENTATION

1. European Manual of personnel Licensing – Air Traffic Controllers
   HUM.ET1.ST08.10000-STD-01, Ed. 1.0; 08.09.200

2. European Manual of Personnel Licensing – Air Traffic Controllers Guidance on Implementation, HUM.ET1.ST08.10000-GUI-01, Ed. 1.0; 29.11.2001

6. IANS DOCUMENTATION

1. Air Traffic Controller Training at Operational Units
   HUM.ET1.ST05.4000-GUI-01, Ed. 2.0; 29.06.1999

2. Air Traffic Controller Training at Operational Units – Refresher Course, HRS/TSP-004-GUI-01, Ed. 1.0; 10.08.2001

7.   ADDITIONAL INFORMATION

The contents of this section is available only in soft copy.

1.   Acronyms

2.   Proceedings of the EUROCONTROL Implementation of European Air Traffic Controllers' Licensing Workshop 16-18 May 2000, HUR/D/LP, Ed 1.0

3.   Licensing Poster

8.   SYNDICATE GROUP: REGULATION

9.   SYNDICATE GROUP: LICENSING

10.   SYNDICATE GROUP: TRAINING