

ESARR 5 Requirements

*SASI Workshop 4 / 2008
ATSEP COMPETENCE
22nd – 24th October 2008,
Zagreb, Croatia*

**Bogdan BRAGUTA
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CONTENTS

1. Why ESARR 5?
2. ESARR 5 - APPLICABILITY
3. ESARR 5 - THE OBJECTIVES
4. ESARR 5 - THE REQUIREMENTS
5. ESARR 5 - CONSISTENCY WITH OTHER LEGISLATION



COMPETENCE ?

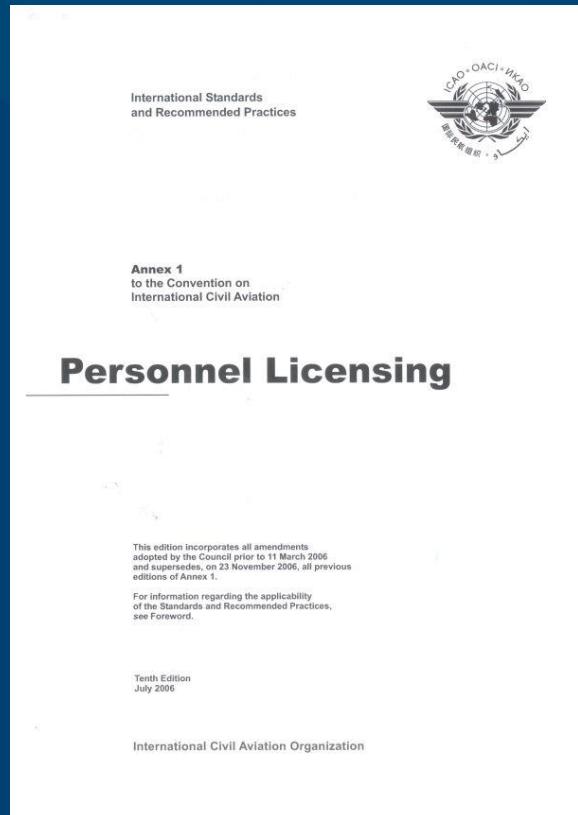


WHY ESARR 5 ?



World wide – ICAO

ANNEX 1 – Personnel Licensing



- 1948
- Last amendment: 168
- Date of applicability: 22 November 2007

Competence is a combination of

- **skills**
- **knowledge** and
- **attitudes**

required to perform a task to a
prescribed standard



WHY ESARR 5 ? (2)

... significant impact on safety needs, particularly expertise requirements

Means of recognising personnel competence need to more closely match the services being developed

Initially ESARR 5 contained safety regulatory requirements for ONLY air traffic controllers

...additionally safety regulatory requirements for engineers and technical personnel undertaking operational safety related tasks have been added

APPLICABILITY

ESARR 5 shall apply to ...

Member States of EUROCONTROL.

**ECAC States NOT members of
EUROCONTROL are encouraged to
apply ESARR 5.**

APPLICABILITY

Aircraft Provider	Civil	Military
Civil	Mandatory	Mandatory
Military	Mandatory/ Equivalent	Equivalent

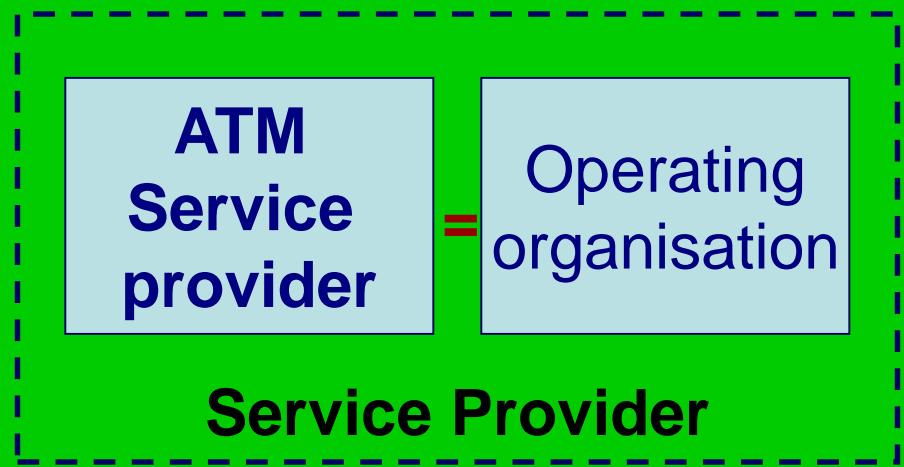
ACCOUNTABILITIES

- Designated authorities
- NSA

- ATS Providers
- Operating organisation

- Individuals

Operating Organisation - Meaning



**External
Service /
Operating
Organisation**

Operating Organisation

Any organisation that fall within the jurisdiction of the National ATM safety regulatory body and is responsible for the provision of engineering and technical services supporting ATM services.

More on Definitions / Meaning

Engineering and technical personnel undertaking operational safety related tasks

=

Personnel who operate and maintain ATM equipment approved for operational use

ATM equipment approved for operational use

=

All engineering systems, facilities or devices that have been operationally released to be used either by airspace users directly (e.g. ground navigation facilities), or are used in the provision of operational air traffic management services.

THE OBJECTIVES

ESARR 5 aims

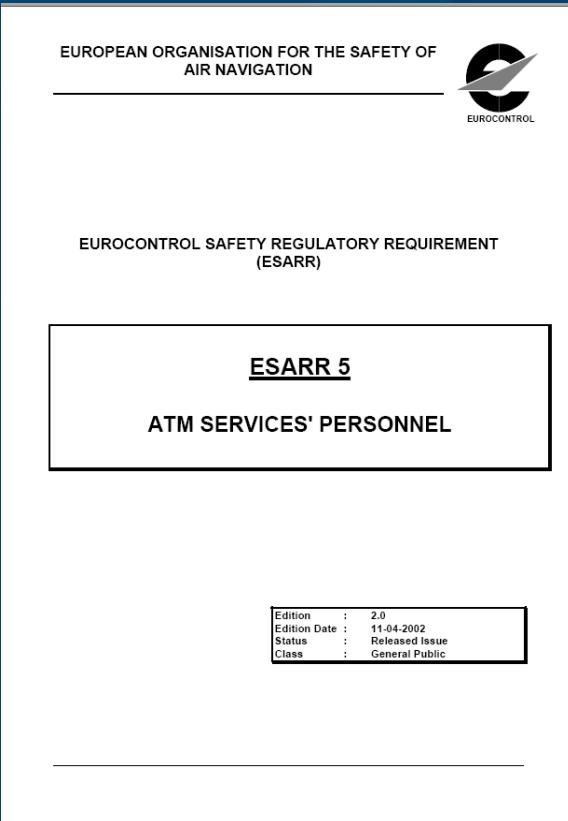
- ✓ to ensure the competency of ATM services' personnel and
- ✓ where applicable the satisfaction of medical requirements of ATM services' personnel responsible for safety related tasks within the provisions of ATM services

What is Competence?

Possession of the required level

- Knowledge
- Skills
- Experience
- Proficiency in English, where required

to permit the safe and efficient provision of ATM services



THE REQUIREMENTS

(3) General requirements

Specific requirements for
air traffic controllers

(4) Specific requirements for
engineering & technical pers.

Used for other categories
of ATM personnel

GENERAL REQUIREMENTS

DESIGNATED AUTHORITY

SHALL ENSURE:

through the application of appropriate regulatory principles and processes, that organisations and 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. The designated authority shall assist the ATM service provider in identifying those tasks which, in providing or supporting the provision of air traffic services, are considered to be safety related.



APPROPRIATE REGULATIONS

IDENTIFY THOSE TASKS ARE CONSIDERED **SAFETY RELATED** (DA + ANSP)



IN PROVIDING OR SUPPORTING THE PROVISION OF ATS

GENERAL REQUIREMENTS

ATS PROVIDER AT AN ATS UNIT

SHALL ENSURE THAT :

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 requirement

**OVERALL
RESPONSIBILITIES**

**PERSONNEL
HAVING SAFETY
RELATED TASKS**

**IS
COMPETENT**

**MEDICAL
FITNESS**

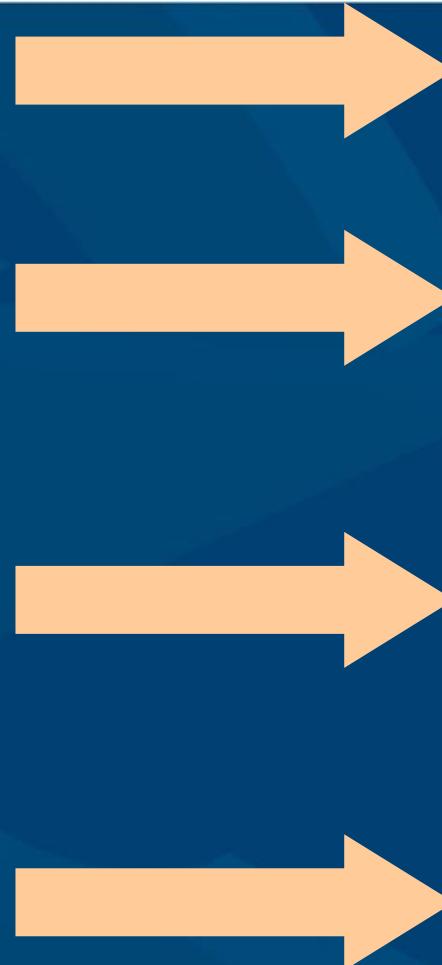
GENERAL REQUIREMENTS

INDIVIDUALS

SHALL ENSURE THAT THEY :

A person 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, shall:

- a) not carry out such tasks unless he /she has been declared to be competent and has been duly authorised to do so;
- b) be subject to, or initiate, appropriate measures to ensure ongoing competence;
- c) meet medical requirements, if any appropriate, to the task



**TO BE
COMPETENT**

**TO BE
AUTHORISED**

**ON GOING
COMPETENCE**

**MEDICAL
FITNESS**

REQUIREMENTS FOR ATSEPs

DESIGNATED AUTHORITY SHALL PUT IN PLACE
APPROPRIATE REGULATIONS

DESIGNATED AUTHORITY
SHALL :

- TAKE APPROPRIATE REGULATORY ACTION , ON REASONABLE GROUNDS AFTER DUE INQUIRY, IN RESPECT OF THE OPERATING ORGANISATION AND/OR ITS PERSONNEL WHO DO NOT MEET THE SAFETY REGULATORY REQUIREMENTS.

EMPOWERMENT

DESIGNATED AUTHORITY
SHALL :

- VERIFY THAT APPROPRIATE METHODS ARE IN PLACE TO ENSURE THAT THIRD PARTY INDIVIDUALS ASSIGNED TO OPERATIONAL SAFETY RELATED TASKS MEET THE APPLICABLE SAFETY REGULATORY REQUIREMENTS.

THIRD PARTIES THROUGH
VERIFICATION / SAFETY
OVERSIGHT

DESIGNATED AUTHORITY SHALL ENSURE
ADEQUATE AND APPROPRIATE SAFETY OVERSIGHT

REQUIREMENTS FOR ATSEPs

OPERATING ORGANISATION

SHALL ENSURE THAT :

- SUCH PERSONNEL IS PROPERLY TRAINED AND QUALIFIED TO PERFORM THE TASKS.
- SUCH PERSONNEL HAVE AND MAINTAIN SUFFICIENT KNOWLEDGE TO ENSURE A SOUND UNDERSTANDING OF THE ATM SERVICES.
- SUCH PERSONNEL HAVE AND MAINTAIN SUFFICIENT KNOWLEDGE OF THE APPROPRIATE WORKING LIMITS.
- DOCUMENTED EVIDENCE EXISTS REGARDING PERSONNEL QUALIFICATION SCHEMES & POLICY, TRAINING POLICY AND PLANS, TRAINING RECORDS, COMPETENCE, SPECIALISATION AND RECENCY, ARRANGEMENTS FOR SUPERVISION OF NON-QUALIFIED PERSONNEL.

TRAINING / RECORDS

QUALIFICATION

COMPETENCE

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OPERATING ORGANISATION

SHALL ENSURE THAT :

- DOCUMENTED EVIDENCE EXISTS REGARDING THE AVAILABILITY OF SUFFICIENT COMPETENT PERSONNEL.
- SUCH PERSONNEL MUST NOT UNDERTAKE THE ASSIGNED OPERATIONAL SAFETY RELATED TASKS IF IT IS KNOWN OR SUSPECTED THAT THE PHYSICAL OR MENTAL CONDITION OF THE INDIVIDUAL RENDERS HIM UNFIT.
- REPORT TO THE DESIGNATED AUTHORITY ALL SAFETY EVENTS.

AVAILABILITY / RECORDS

MEDICAL FITNESS

REPORT SAFETY EVENTS

REQUIREMENTS FOR ATSEPs

INDIVIDUALS

SHALL ENSURE THAT THEY :

- COMPLY WITH REQUIREMENTS AND SCHEMES OF THE OPERATING ORGANISATION TO ENSURE CURRENT AND ON GOING COMPETENCE.
- DO NOT UNDERTAKE SAFETY RELATED TASKS IF THEY KNOW OR SUSPECT THAT THEIR PHYSICAL OR MENTAL CONDITION RENDERS THEM UNFIT.
- HAVE SUFFICIENT KNOWLEDGE TO ENABLE A SOUND UNDERSTANDING OF THE ATM SERVICES THEY ARE SUPPORTING AND THE APPROPRIATE WORKING LIMITS TO BE APPLIED.
- SYSTEMATICALLY AND CONSISTENTLY REPORT SAFETY OCCURRENCES
- INITIATE APPROPRIATE REMEDIAL MEASURES IF THE ABOVE SAFETY REQUIREMENTS ARE NOT MET.

WHERE AND HOW ?

PROVIDER'S POLICIES

PROVIDER'S PROCEDURES

CONTRACTUAL ASPECTS

JOB DESCRIPTIONS

THE SMS PROCEDURES

INDIVIDUALS ARE LINKED WITH THE PROVIDER

DESIGNATED AUTHORITY
SHALL :

- ISSUE APPROPRIATE SAFETY REGULATIONS FOR SUCH PERSONNEL.
- ENSURE ADEQUATE AND APPROPRIATE SAFETY REGULATORY OVERSIGHT OF SUCH PERSONNEL WITHIN AN OPERATING ORGANISATION.
- TAKE APPROPRIATE REGULATORY ACTION , ON REASONABLE GROUNDS AFTER DUE INQUIRY, IN RESPECT OF THE OPERATING ORGANISATION AND/OR ITS PERSONNEL WHO DO NOT MEET THE SAFETY REGULATORY REQUIREMENTS.
- VERIFY THAT APPROPRIATE METHODS ARE IN PLACE TO ENSURE THAT THIRD PARTY INDIVIDUALS ASSIGNED TO OPERATIONAL SAFETY RELATED TASKS MEET THE APPLICABLE SAFETY REGULATORY REQUIREMENTS.

OPERATING ORGANISATION
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- DOCUMENTED EVIDENCE EXISTS REGARDING PERSONNEL QUALIFICATION SCHEMES & POLICY, TRAINING POLICY AND PLANS, TRAINING RECORDS, COMPETENCE, SPECIALISATION AND RECENCY, ARRANGEMENTS FOR SUPERVISION OF NON-QUALIFIED PERSONNEL.
- SUCH PERSONNEL MUST NOT UNDERTAKE THE ASSIGNED OPERATIONAL SAFETY RELATED TASKS IF IT IS KNOWN OR SUSPECTED THAT THE PHYSICAL OR MENTAL CONDITION OF THE INDIVIDUAL RENDERS HIM UNFIT.
- REPORT TO THE DESIGNATED AUTHORITY ALL SAFETY EVENTS.

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- INITIATE APPROPRIATE REMEDIAL MEASURES IF THE ABOVE SAFETY REQUIREMENTS ARE NOT MET.

CONSISTENCY WITH ICAO

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.

CONSISTENCY WITH EC legislation

Requirements for Designated Authority –
Common Requirements, Article 8

Requirements for Operating Organisation –
Common Requirements, Annex 2, section 3.3,
except for req.f): report to the Designated Authority all safety
events involving engineering and technical personnel and air
traffic management equipment ...

Covered by the two EC Directives on reporting and
Investigation (requirement f))

Requirements for Individuals –
Not covered by CR

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