

# ESARR 5 Requirements

*SASI Workshop 4 / 2008*

*ATSEP COMPETENCE*

*22<sup>nd</sup> – 24<sup>th</sup> October 2008,*

*Zagreb, Croatia*

**Bogdan BRAGUTA**

**Safety Regulation Unit**

**EUROCONTROL**



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# COMPETENCE ?



Duram

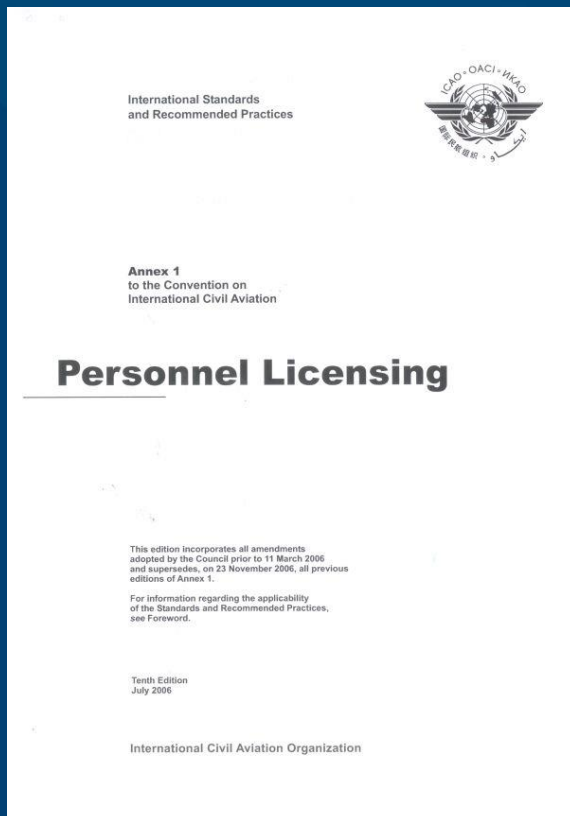
# WHY ESARR 5 ?



## 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

**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**

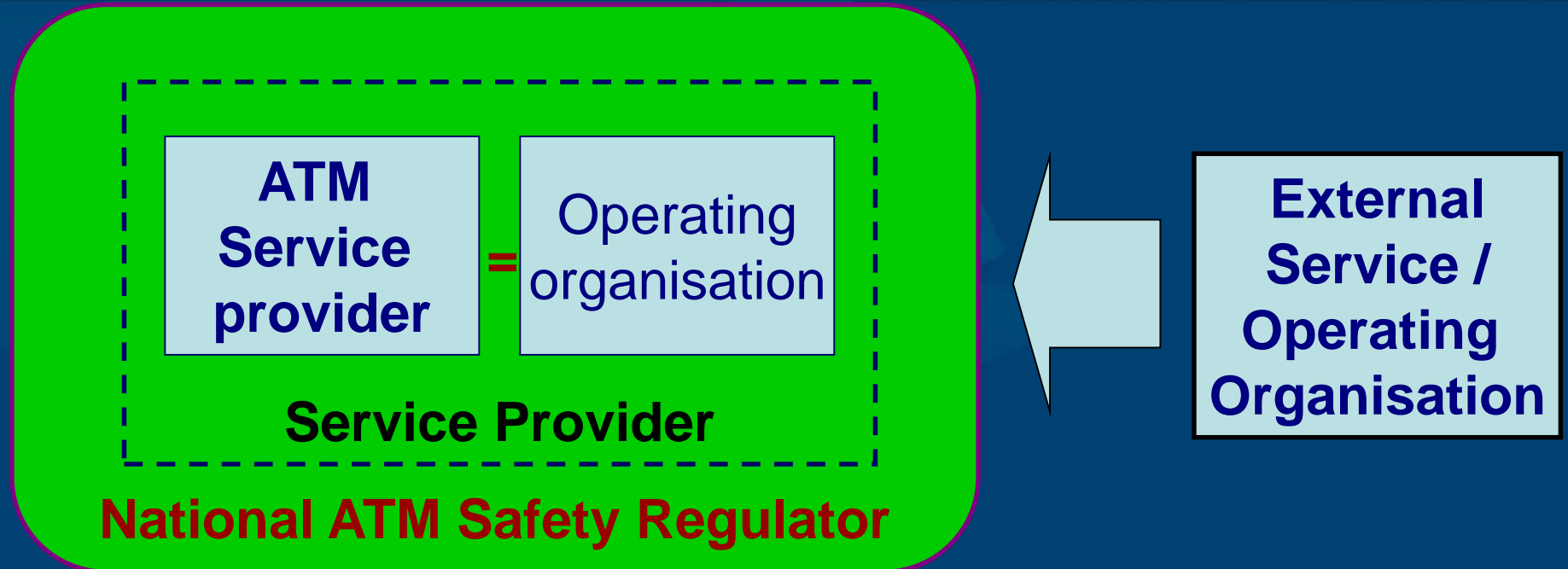
- **ATS Providers**

- **Operating organisation**

- **Individuals**



## Operating Organisation - Meaning



### *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

EUROPEAN ORGANISATION FOR THE SAFETY OF  
AIR NAVIGATION



EUROCONTROL SAFETY REGULATORY REQUIREMENT  
(ESARR)

### ESARR 5

ATM SERVICES' PERSONNEL

Edition	: 2.0
Edition Date	: 11-04-2002
Status	: Released Issue
Class	: General Public

# 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 REGENCY, ARRANGEMENTS FOR SUPERVISION OF NON-QUALIFIED PERSONNEL.

TRAINING / RECORDS

QUALIFICATION

COMPETENCE

P  
R  
O  
C  
E  
D  
U  
R  
E  
S

## 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.
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# 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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