

**ESARR ADVISORY MATERIAL/ACCEPTABLE MEANS OF  
COMPLIANCE  
(EAM/AMC)**

**ACCEPTABLE MEANS OF  
COMPLIANCE WITH  
ESARR 3**

Edition Number	:	1.0
Edition Date	:	26.02.2002
Status	:	Released Issue
Intended for	:	General Public
Category	:	ESARR Advisory Material

## DOCUMENT CHARACTERISTICS

TITLE															
ACCEPTABLE MEANS OF COMPLIANCE WITH ESARR 3															
<b>Document Identifier</b>		<b>Reference :</b>	EAM 3/AMC												
		<b>Edition Number:</b>	1.0												
		<b>Edition Date:</b>	26.02.2002												
<p><b>Abstract</b></p> <p>This document has been produced by the Safety Regulation Commission. It presents the acceptable means of compliance (AMC) recognised by SRC as possible harmonised ways to meet ESARR 3 provisions within the ECAC region.</p> <p>This document will include a Statement of Compliance for each means of compliance recognised by SRC as an AMC to meet ESARR 3 provisions. The Statement of Compliance defines the SRC position about the acceptability of the AMC, and identifies the scope, terms and conditions under which that acceptability applies.</p>															
<p><b>Keywords</b></p> <table border="1"> <tr> <td>Statement of Compliance</td> <td>Acceptable Means of Compliance (AMC)</td> <td>Safety Regulation Commission (SRC)</td> <td>EUROCONTROL Safety Regulatory Requirement (ESARR)</td> </tr> <tr> <td><b>Contact Person(s)</b></td> <td><b>Tel</b></td> <td><b>Unit</b></td> <td></td> </tr> <tr> <td>Juan Vazquez Sanz</td> <td>+32 2 729 4681</td> <td>DGOF/SRU</td> <td></td> </tr> </table>				Statement of Compliance	Acceptable Means of Compliance (AMC)	Safety Regulation Commission (SRC)	EUROCONTROL Safety Regulatory Requirement (ESARR)	<b>Contact Person(s)</b>	<b>Tel</b>	<b>Unit</b>		Juan Vazquez Sanz	+32 2 729 4681	DGOF/SRU	
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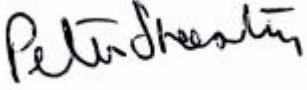
DOCUMENT STATUS AND TYPE			
<b>Status:</b>	<b>Intended for</b>	<b>Category:</b>	
Working Draft	<input type="checkbox"/> General Public	<input checked="" type="checkbox"/> Safety Regulatory Requirement	<input type="checkbox"/>
Draft	<input type="checkbox"/> Restricted EUROCONTROL	<input type="checkbox"/> ESARR Advisory Material	<input checked="" type="checkbox"/>
Proposed Issue	<input type="checkbox"/> Restricted SRC	<input type="checkbox"/> Comment/Response Document	<input type="checkbox"/>
Released Issue	<input checked="" type="checkbox"/> Restricted SRU	<input type="checkbox"/> Policy Document	<input type="checkbox"/>
		Document	<input type="checkbox"/>

ELECTRONIC SOURCE		
<b>Path:</b>	P:\SRC\REGULATIONS\SRC OFFICIAL PUBLICATIONS\EAM - ESARR Advisory Material\AMC - Acceptable Means of Compliance\EAM 3	
<b>Host System:</b>	<b>Software:</b>	<b>Size:</b>
Windows_NT	Microsoft Word 8.0b	1744 Kb

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## DOCUMENT APPROVAL

The following table identifies all management authorities who have successively approved the present issue of this document.

AUTHORITY	NAME AND SIGNATURE	DATE
Head Safety Regulation Unit (SRU)	 (Peter STASTNY)	26.02.2002
Chairman of the SRC Expert Panel	 (Thomas V. REGAN)	26.02.2002
Chairman Safety Regulation Commission (SRC)	 (Philip S. GRIFFITH)	26.02.2002

## DOCUMENT CHANGE RECORD

The following table records the complete history of the successive editions of the present document.

EDITION NUMBER	EDITION DATE	REASON FOR CHANGE	PAGES AFFECTED
1.0	26.02.2002	Creation of Document after assessment by SRC Expert Panel	All

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## EXECUTIVE SUMMARY

This document is intended to present the acceptable means of compliance (AMC) recognised by SRC as possible harmonised ways to meet ESARR 3 provisions within the ECAC region.

These AMC recognised by SRC are not mandatory. They represent means, or alternative means, but not necessarily the only possible means, by which mandatory provisions established by ESARR 3 can be met under certain identified conditions. Their acceptability has successfully been demonstrated at SRC level as a result of a formal assessment.

This document will include a Statement of Compliance for each means of compliance recognised by SRC as an AMC to meet ESARR 3 provisions.

The Statement of Compliance:

- a) Defines the SRC position about the acceptability of the AMC;
- b) Summarises the conclusions of the SRC assessment as captured in a more detailed Assessment Document, developed in form of SRC DOC. The associated Assessment Document provides for a comprehensive rationale to support the SRC position;
- c) Identifies the scope, terms and conditions under which the acceptability applies.

Only some means of compliance will be assessed by SRC at EUROCONTROL level. The SRC is to assess those proposed means of compliance needing a harmonised recognition due to their significance. If the assessment demonstrates compliance, those means will be declared as harmonised ways to meet, fully or partially, and under defined conditions, the requirements of ESARR within the ECAC region.

Recognition at national level will normally apply in the case of means of compliance with local significance.

## **EAM 3/AMC 1**

### **ASSESSMENT OF THE PMC “EATMP SAFETY POLICY AND RELATED IMPLEMENTATION GUIDANCE MATERIAL” AS A MEANS OF COMPLIANCE WITH ESARR 3**

#### **STATEMENT OF COMPLIANCE**

(Ref. EAM 3/AMC 1)

#### **SUMMARY**

ESARR 3 already recognised the EATMP Safety Policy when implemented in accordance with its related Implementation Guidance Material as valuable reference documents in implementing SMS<sup>1</sup>. Besides, the Requirement established that both documents would be formally assessed to determine whether they might be declared as acceptable means of compliance with the provisions of ESARR 3

Accordingly, SRC established an Expert Panel to assess the acceptability of the “EATMP Safety Policy” (SAF. ET1.ST01.1000-POL-01-00, Edition 1.1, August 1999) when implemented in accordance with its related “EATMP Safety Policy: Implementation Guidance Material” (SAF.ET1.ST01.1000-GUI-01-00, Edition 1.2, August 1999). Both documents constituted the Proposed Means of Compliance (PMC) under consideration.

This “Statement of Compliance”, proposed by the Expert Panel and agreed by SRC, summarises the results of that assessment and defines the SRC position about the acceptability of the PMC «EATMP Safety Policy and related Implementation Guidance Material».

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<sup>1</sup> See ESARR 3, Section 8.3 b)

## **STATEMENT OF COMPLIANCE<sup>2</sup>**

(Ref. EAM 3/AMC 1)

**The implementation of the Proposed Means of Compliance « EATMP Safety Policy and related Implementation Guidance Material »<sup>3</sup> meets the mandatory provisions of ESARR 3, Edition 1.0, when completed with the following features:**

- a) The implementation of the PMC by ATM service providers makes clear, preferably at policy level, that the Safety Management System operates in respect of all ATM services and supporting services (as defined<sup>4</sup> in ESARR 3) that are under the managerial control of the organisation, and
- b) The PMC is effectively implemented in accordance with that clarification.
- c) In the case of small organisations developing their SMS under the specific provisions of ESARR 3, Section 5.2.2 c, the PMC is completed with the implementation of additional independent means for safety assurance, identified and implemented in an acceptable manner to the ATM Safety Regulator<sup>5</sup>.
- d) Where the “EATMP Air Navigation System Safety Assessment Methodology” is used, the Statement of Compliance issued by SRC on that ESARR 4 PMC will apply to the use of this ESARR 3 PMC to meet ESARR 3 Sections 5.2.4 and 5.3.4.
- e) Additional arrangements and processes complement the PMC and are implemented to deal, specifically and in an acceptable manner<sup>6</sup>, with the following subjects:
  - EXTERNAL SERVICES: To ensure adequate and satisfactory justification of the safety of externally provided services, as defined by ESARR 3, and having regard to their safety significance within the provision of the ATM service.
  - SAFETY RECORDS: To ensure that safety records are maintained throughout the SMS as a basis for providing safety assurance to all associated with, responsible for or dependent upon the services provided, and to the safety regulatory authority.
- f) The Lesson Dissemination Principle is implemented in accordance with the PMC Implementation Guidance Material without limiting its input to the results of safety occurrence investigations.

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<sup>2</sup> As included in Section 7 of SRC DOC 11, Edition 1.0, Released Issue, “Assessment of the EATMP Safety Policy as a Means of Compliance with ESARR 3”

<sup>3</sup> EATMP Safety Policy, Edition 1.1, August 1999 and EATMP Safety Policy: Implementation Guidance Material, Edition 1.2, August 1999

<sup>4</sup> Applicable definitions for Air Navigation Services, ATM services and supporting services are included in Appendix B to this document. ATM is considered as part of ANS in accordance with common ICAO terminology.

<sup>5</sup> SRC is to develop specific guidance material for ATM safety regulators about the implementation of ESARR 3 in small organisations.

<sup>6</sup> ESARR 3 Guidance Material for ATM Safety Regulators “Explanatory Material to ESARR 3 Requirements” (Edition 1.0, July 2001) provides guidance for considering the acceptability of those arrangements and processes.