

**EUROCONTROL SAFETY REGULATORY REQUIREMENT
(ESARR)**

ESARR 5

ATM SERVICES' PERSONNEL

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

DOCUMENT IDENTIFICATION SHEET

DOCUMENT DESCRIPTION

Document Title
Safety Regulatory Requirement - ESARR 5
ATM Services' Personnel

REFERENCE :	EDITION :	2.0
ESARR 5	EDITION DATE :	11-04-2002

Abstract

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

Keywords

ATM	Licence	Certificate of competence	Designated Authority
Rating	Endorsement	ICAO	ECAC
CONTACT PERSON :	Bogdan BRAGUTA	TEL:+32 2 729 9167	DIVISION :
	Antonio LICU	TEL:+32 2 729 3480	DGOF/SRU

DOCUMENT STATUS AND TYPE

STATUS	CATEGORY	CLASSIFICATION
Working Draft <input type="checkbox"/>	Safety Requirement <input checked="" type="checkbox"/>	General Public <input checked="" type="checkbox"/>
Draft <input type="checkbox"/>	Comment Response Document <input type="checkbox"/>	Restricted EUROCONTROL <input type="checkbox"/>
Proposed Issue <input type="checkbox"/>	Policy Document <input type="checkbox"/>	Restricted SRC <input type="checkbox"/>
Released Issue <input checked="" type="checkbox"/>	Document <input type="checkbox"/>	Restricted SRU <input type="checkbox"/>

ELECTRONIC BACKUP

INTERNAL REFERENCE NAME :	P:\SRCREGULATIONS\OFF.PUBLIC.\ESARR5\esarr5ed2 Ori.doc	
HOST SYSTEM	MEDIA	SOFTWARE(S)
EUROCONTROL Network	Type : Hard disk	MS Office Word 7.0/6.0
Printing date:18/04/02	Media Identification :	MS WINDOWS NT4.0

SOFTCOPIES OF SRC DELIVERABLES CAN BE DOWNLOADED FROM:

www.eurocontrol.int/src

EUROPEAN ORGANISATION FOR THE SAFETY OF AIR NAVIGATION

EUROCONTROL

- Decisions of the Permanent Commission -

DECISION No. 91

approving the EUROCONTROL Safety Regulatory Requirement (ESARR 5), Edition 2.0, entitled “ATM Services’ Personnel”

The PERMANENT COMMISSION FOR THE SAFETY OF AIR NAVIGATION,

Having regard to the EUROCONTROL International Convention relating to Co-operation for the Safety of Air Navigation, amended by the Protocol signed at Brussels on 12 February 1981, and in particular Articles 1 (c), 2.1 (j), 6.1 and 7.1 thereof;

Having regard to the Protocol consolidating the EUROCONTROL International Convention relating to Co-operation for the Safety of Air Navigation, which was opened for signature on 27 June 1997, and in particular Article 2.1(i) of the consolidated version of the Convention annexed thereto;

Having regard to Decisions No. 71 and No. 72 of 9 December 1997 on early implementation of certain provisions in the revised Convention, and in particular paragraph 5 of Decision No. 72;

On the proposal of the Provisional Council;

HEREBY TAKES THE FOLLOWING DECISION:

The Commission approves, for incorporation and implementation in national ATM regulatory frameworks of EUROCONTROL Member States, the EUROCONTROL Safety Regulatory Requirement (ESARR 5), Edition 2.0, entitled “ATM Services’ Personnel”, as developed by the Safety Regulation Commission.

The present Decision will come into effect on the day of its signature.

Done at Brussels on 11 th April 2002.



L. REKKE
President of the Commission

DOCUMENT CHANGE RECORD

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

EDITION	DATE	REASON FOR CHANGE	SECTIONS PAGES AFFECTED
0.01 Draft G	20.09.1999	Document renumbered – request from all Licensing WG members	All
0.01 Draft G	20.09.1999	IAA, DNA – DGAC, Swedish Flight Safety, LVNL – The Netherlands, SRU comments	INTRODUCTION 5.1, 5.2, 5.2.1.;5.2.2
0.02 Draft H	03.11.1999	Comments received after SRC and HRT consultation	
0.03	14.12.1999	EMEU comments	Chapter 3 Applicability
0.04	14.02.2000	Comments after second SRC/HRT consultation	All
0.05	07.03.2000	To solve DNA issues	5.2.1.11 modified, new para 5.2.1.12 inserted and section 5.2.1. renumbered, new para inserted 5.2.1.17; 5.2.2.11; 5.2.2.12; 5.2.2.13
0.06	31.03.2000	Comments received during 0.05 consultation with SRC Licensing Working Group	Section 3 5.2.1.11, 5.2.1.12, 5.2.1.16, 5.2.1.17, 5.2.2.8, 5.2.2.12 , 5.2.2.13 – Note
0.07	17.07.2000	Comments received during EUROCONTROL wide consultation when circulating the draft 0.06 issue and after SRC8 and CMIC8 meetings	Introduction, Scope, Applicability, 5.1.1., 5.2.1.1., 5.2.1.6., 5.2.1.14., 5.2.1.16., 5.2.1.17., 5.2.2.2., 5.2.2.3., 5.2.2.4., 5.2.2.7., 5.2.2.8., 5.2.2.10., 5.2.2.13., 5.2.3.1.f. and g. 5.2.3.2. d., Implementation, Exemptions., Additional Material, new Definitions
0.10	18.07.2000	Comment Review Meeting on 17 th of July 2000	Introduction, 5.1.1., 5.1.2.,5.2.1.1.,5.2.1.12., Exemptions, 8.1, 8.3
0.11	15.09.2000	Comments received during second EUROCONTROL wide consultation	Section 3, 5.1.2., 5.2.1.1, 5.2.1.3., 5.2.1.6., 5.2.1.7., 5.2.1.12, 5.2.1.17, 5.2.2.1., 5.2.2.2., 5.2.2.4., 5.2.2.5, 5.2.2.9, 5.2.2.11, 5.2.2.13, 5.2.3.1., 5.2.3.2., section 7
1.0	09.10.2000	Creation Proposed Issue	All
1.0	10.11.2000	Approval by EUROCONTROL Commission - released issue	All
1.1	01.02.2002	Inclusion of Requirements for Engineering and Technical Personnel undertaking operational safety related tasks.	Executive Summary, Section 1 - Scope, Section 3 - Applicability. Section 5.3 Requirements for Engineering and Technical Personnel undertaking operational safety related tasks, & Appendix A.
2.0	11.04.2002	Creation of Released Issue following Adoption by Provisional Council and approval by EUROCONTROL Commission	All

TABLE OF CONTENTS

DOCUMENT IDENTIFICATION SHEET	2
DOCUMENT APPROVAL	3
DOCUMENT CHANGE RECORD	4
TABLE OF CONTENTS	5
EXECUTIVE SUMMARY	6

DOCUMENT STRUCTURE

ATM SERVICES' PERSONNEL

ATM SERVICES' personnel.....	7
1. Scope	7
2. Rationale	7
3. Applicability	8
3.1 Applicability of General Requirements	8
3.2 Applicability of Requirements for Air Traffic Controllers	8
3.3 Applicability of Requirements for Engineering and Technical Personnel Undertaking Operational Safety Related Tasks	8
4. Safety Objective.....	8
5. Safety Requirements.....	9
5.1 General Requirements	9
5.2 Requirements for Air Traffic Controllers	10
5.2.1 Requirements to be applied by the Designated Authority	10
5.2.2 Requirements to be applied by the Provider of Air Traffic Services	12
5.2.3 Requirements to be applied by the Individual Personnel	14
5.3 Requirements for Engineering and Technical Personnel Undertaking Operational Safety Related Tasks	15
5.3.1 Requirements to be applied by the Designated Authority	16
5.3.2 Requirements to be applied by the Operating Organisation	16
5.3.3 Requirements to be applied by the Individual Personnel	17
6. Implementation.....	18
7. Exemptions	18
8. Additional Material	18
8.1 Acceptable Means of Compliance	18
8.2 Definitions.....	18
8.3 Guidance Material.....	18
APPENDIX A - Glossary and Definitions	20

EXECUTIVE SUMMARY

This document has been prepared by Safety Regulation Commission with consultation of the specialists in the domain from participating States.

This document details in its first edition 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 work on the European Manual of Personnel Licensing – Air Traffic Controllers has provided a significant input to the development of this requirement.

The basis for development of the EUROCONTROL safety regulatory requirements relating to air traffic controllers is ICAO Annex 1.

Subsequently Safety Regulation Commission has developed an inclusion to detail the safety regulatory requirements for engineering and technical personnel undertaking operational safety related tasks. It is to be noted that today, 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.

EUROCONTROL SAFETY REGULATORY REQUIREMENT

ATM SERVICES' PERSONNEL

1. SCOPE

This document 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. 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.

2. RATIONALE

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.

3. APPLICABILITY

3.1 Applicability of General Requirements

3.1.1 The general requirements shall apply to designated authorities, to providers of air traffic services and to all ATM services' personnel responsible for tasks which, within the provision of an ATM service, are identified as safety related.

3.2 Applicability of Requirements for Air Traffic Controllers

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.

3.3 Applicability of Requirements for Engineering and Technical Personnel Undertaking Operational Safety Related Tasks

3.3.1 The requirements for engineering and technical personnel undertaking operational safety related tasks shall apply to:

- civil designated authorities, operating organisations and individual personnel, ensuring services for ATM equipment approved for operational use;
- military authorities and their personnel ensuring services for ATM equipment approved for operational use in a mixed civil-military environment, except where an equivalent military engineering regulatory framework exists.

4. SAFETY OBJECTIVE

The overall safety objective is to ensure the competency and, where applicable, the satisfaction of medical requirements, of ATM services' personnel responsible for safety related tasks within the provision of ATM services.

5. SAFETY REQUIREMENTS

5.1 General Requirements

- 5.1.1 A 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.
- 5.1.2 An air traffic services provider at an ATS 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.
- 5.1.3 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 initiate¹, appropriate measures to ensure ongoing competence;
 - c) meet medical requirements, if any appropriate, to the task.

5.2 Requirements for Air Traffic Controllers

In addition to those requirements mentioned in section 5.1 the following requirements apply to Air Traffic Controllers.

5.2.1 *Requirements to be Applied by the Designated Authority*

A Designated Authority for the safety regulation of Air Traffic Control personnel shall:

¹ The term "initiate" refers to the actions taken by the individual to ensure that he/she meets the medical requirements. For Air Traffic Controllers see requirements laid down in 5.2.3.1. e), f) and g)

- 5.2.1.1. issue an ATC licence or certificate of competence to any applicant who complies with the obligatory provisions of ICAO Annex 1 section 4.3² and of ESARR 5 section 5.2;
- 5.2.1.2. issue a Student Air Traffic Controller licence or certificate of competence to persons who do not hold an Air Traffic Controller Licence or a certificate of competence to enable them to provide an ATC service under the supervision of a suitably qualified on the job training instructor;
- 5.2.1.3. issue On-the-Job Training Instructor (OJTI) licence/certificate of competence endorsements to suitably qualified air traffic controllers to enable them to supervise student air traffic controller licence or certificate of competence holders, or trainee air traffic controllers, while they provide an operational air traffic control service during on the job training;
- 5.2.1.4. approve such personnel, as it sees fit, to conduct examinations or assessments, as it requires, to ensure that applicants for an ATC licence or certificate of competence are competent and meet the appropriate requirements;
- 5.2.1.5. ensure that an air traffic controller licence or certificate of competence issued shall contain one or more of the ratings of the classes notified below:
- Aerodrome control visual
 - Aerodrome control instrument
 - Approach control procedural
 - Approach control surveillance
 - Area control procedural
 - Area control surveillance;
- NOTE: to be valid, a rating shall be associated with one or more endorsements detailing the air traffic control unit and, where applicable, the operational positions or sectors on which the air traffic controller is competent to provide an air traffic control service, and/or the specific types of services the holder of the air traffic controller licence may provide, including any type of surveillance equipment.*
- 5.2.1.6. before granting an air traffic controller licence or certificate of competence and the associated rating(s), rating endorsement(s) and unit endorsement(s), ensure that the applicant has:
- a) undertaken the appropriate initial training and has passed any associated examinations or assessments;
 - b) successfully completed the elements of the unit training plan appropriate to the rating discipline being undertaken;
 - c) been assessed as competent;
 - d) holds a valid medical certificate of the appropriate class;

² Specifically for unlicensed State employees who may operate as air traffic controllers on condition that they meet the same requirements, recognised by the issue of an equivalent certificate of competence

- 5.2.1.7. before granting a Student air traffic controller licence or certificate of competence, ensure that the applicant:
- a) has undertaken the appropriate initial training and passed any associated examinations or assessments in the rating discipline in which he/she will be authorised to undergo on the job training to be suitable for training under supervision of an authorised OJT instructor to be an Air Traffic Controller;
 - b) holds a valid medical certificate of the appropriate class;
- 5.2.1.8. before granting an air traffic controller authorisation to provide operational training as an OJT Instructor, ensure that the applicant has:
- a) a minimum of two years experience in the rating discipline in which he/she will instruct;
 - b) a minimum of six months experience in the rating on the specific sector or operational position on which the instruction will be given;
 - c) completed an appropriate OJT Instructor course and passed any associated assessments required;
- 5.2.1.9. require initial ATC training courses to satisfy, as a minimum, the ECAC guidelines for Common Core Content training;
- 5.2.1.10. require operational ATC units to have approved unit training plans;
- 5.2.1.11. implement procedures, or require operational ATC units to have approved procedures to ensure the ongoing competence of their air traffic controllers, including a mechanism, based on operational experience or a competence checking system, or a combination of both, whereby controllers are monitored or regularly tested to ensure they maintain their competence. The scheme shall be fully documented indicating:
- a) the process by which controllers will be assessed;
 - b) the operational objectives they will be required to meet;
 - c) the person/persons who are responsible for formally accepting that the process has been correctly conducted;
 - d) the formal mechanism by which the designated authority will notify the controller and service provider organisation of the result of any competence assessment;
 - e) the method by which controller competence records are to be retained;
- 5.2.1.12. ensure that the procedures in section 5.2.1.11, by which controller competence is assessed, are subject to audit;

- 5.2.1.13. set a period from the time a controller last exercised the privileges of a previously held rating within which a controller must exercise the privileges of that rating, or be required to be assessed for pre-entry training before commencing OJT in that rating;
- 5.2.1.14. require air traffic controllers who are providing an air traffic control service, and student air traffic controllers who are providing an air traffic control service under supervision, to hold a valid medical certificate;
- 5.2.1.15. require providers of air traffic services to have procedures at units to monitor controllers for psychoactive substance abuse and to provide advice to controllers taking medicines;
- 5.2.1.16. require providers of air traffic services to have procedures at units to prevent the holder exercising the privileges of his/her licence or certificate of competence when there is any decrease in his/her medical fitness, or when the holder is under the influence of any psychoactive substance which might render the holder unable to safely and properly exercise those privileges.³
- 5.2.1.17. require providers of air traffic services to have procedures at units to prevent the holder exercising the privileges of his/her licence or certificate of competence when there is any case or occurrence which could question the level of the holder's competence. The Designated Authority shall, on sufficient grounds being shown to its satisfaction after due inquiry, revoke, suspend or vary any such licence or certificate of competence.

5.2.2 *Requirements to be Applied by the Provider of Air Traffic Services*

The provider of air traffic services at its ATC unit(s) shall ensure that:

- 5.2.2.1 an air traffic controller providing an air traffic control service:
 - a) holds valid rating(s), rating endorsement(s) and unit endorsement(s) appropriate to the ATC service being provided;
 - b) holds a valid medical certificate of the appropriate class;
 - c) is competent to provide the ATC services notified in his/her air traffic controller licence or certificate of competence;
- 5.2.2.2 a student air traffic controller:
 - a) holds a current student air traffic controller licence or certificate of competence which authorises him/her to provide the ATC service for which he/she is undertaking OJT;
 - b) holds a valid medical certificate of the appropriate class;

³ *Guidance on suitable methods of identification (which may include biochemical testing on such occasions as pre-employment, upon reasonable suspicion, after accidents/incidents, at intervals, and at random) and on other prevention topics is contained in the Manual of Prevention of Problematic Use of Substances in the Aviation Workplace (Doc 9654).*

- 5.2.2.3 unit(s) have approved unit training plans by the Designated Authority, which detail the processes by which a student and/or a trainee air traffic controller is trained to meet the required standards to meet the objective of providing a safe air traffic control service;
- 5.2.2.4 a student and/or trainee air traffic controller is adequately prepared for OJT by Transitional Training and Pre-OJT;
- 5.2.2.5 an air traffic controller, before being permitted to provide operational training as an OJT Instructor, shall :
- a) holds the appropriate valid rating(s), rating endorsement(s) and unit endorsement(s) appropriate to the ATC service being instructed/trained;
 - b) holds a valid OJT instructor licence/certificate of competence endorsement issued by the Designated Authority pursuant to the provisions and conditions set forth in paragraph 5.2.1.8 above;
 - c) prove his/her competency to provide the ATC services notified in his/her air traffic controller licence or certificate of competence;
 - d) holds a valid medical certificate of the appropriate class;
- 5.2.2.6 unit(s) have approved competence schemes to satisfy the requirement that controllers must maintain operational competence and experience. These procedures shall include requirements for controllers to:
- a) complete a specified minimum number of controlling hours within a specified period on the sectors or operational positions for which they hold valid ratings;
 - b) be subject to an assessment of their continuing competence;
 - c) undertake periodical refresher and emergency training;
 - d) ensure operational competence after returning from extended periods of absence;
- 5.2.2.7 unit(s) have procedures for monitoring controllers for psychoactive substance abuse and to provide advice to controllers taking medicines;
- 5.2.2.8 unit(s) have procedures to prevent the holder exercising the privileges of his/her licence or certificate of competence when there is any decrease in his/her medical fitness, or when the holder is under the influence of any psychoactive substance which might render the holder unable to safely and properly exercise these privileges;
- 5.2.2.9 the designated authority is notified when:
- a) an air traffic controller's competence is in doubt⁴, or

⁴ See definition in Appendix A

- b) an air traffic controller is no longer judged competent to provide the ATC service associated with a valid rating, or;
- c) an air traffic controller or student air traffic controller has been assessed as medically unfit to provide an ATC service;
- d) an OJT instructor is no longer judged competent to provide operational training;

5.2.2.10 an air traffic controller at his/her unit(s) whose competence is in doubt, complies with any conditions imposed upon him/her by the designated authority;

5.2.2.11 when a controller fails to satisfy a unit's procedure for ongoing experience, the unit shall deal internally with this matter and shall notify the Designated Authority without delay;

5.2.2.12 the process by which competence is to be assessed is fully documented, indicating the method by which the competence will be judged, this being by continuous assessment or by examination or by a combination of both means;

5.2.2.13 in cases where the Designated Authority has considered, or can be expected to consider, suspension, revocation or variation of an ATC licence or certificate of competence and/or associated rating(s) and/or endorsement(s), air traffic controllers are not assigned by the unit to operational positions without appropriate supervision.

5.2.3 *Requirements to be Applied by the Individual Personnel*

5.2.3.1 Licensed/certificated air traffic controller

A licensed/certificated air traffic controller shall ensure that he/she:

- a) holds valid rating(s), rating endorsement(s) and unit endorsements appropriate to the ATC service(s) he/she is providing;
- b) complies with the unit competency scheme and is competent to provide the ATC services notified in his/her air traffic controllers' licence or certificate of competence;
- c) complies with any conditions that may be required by the designated authority when his/her competence is in doubt;
- d) holds a valid medical certificate of the appropriate class;
- e) informs⁵ the management of the unit if he/she is no longer medically fit to provide an air traffic control service;
- f) does not provide an ATC service while under the influence of psychoactive substances;

⁵ Requirements in 5.2.3.1. e), f) and g) applies also to the more generic requirements laid down in 5.1.3. b)

- g) does not exercise the privileges of his/her license or certificate of competence, when there is any decrease in his/her medical fitness which might render the holder unable to safely and properly exercise these privileges.

5.2.3.2 Student air traffic controller

A student air traffic controller shall ensure that he/she:

- a) holds a current student air traffic controller's licence or certificate of competence;
- b) complies with the unit competency scheme and is competent to undertake on the job training;
- c) holds a valid medical certificate of the appropriate class;
- d) informs the management of the unit if he/she is no longer medically fit to provide an air traffic control service(s);
- e) does not undertake on the job training while under the influence of psychoactive substances;.
- f) does not undertake on-the-job training, when there is any decrease in his/her medical fitness or is under the influence of any psychoactive substance, which might render the holder unable to safely and properly exercise these privileges.

5.3 Requirements for Engineering and Technical Personnel Undertaking Operational Safety Related Tasks

In addition to those requirements mentioned in section 5.1 the following requirements apply to ATM engineering and technical personnel undertaking operational safety related tasks.

NOTE: For the purposes of these requirements :

- *ATM engineering and technical personnel undertaking operational safety related tasks are defined in Appendix A, and hereafter referred to as "engineering and technical personnel";*
- *Any Organisation that fall within the jurisdiction of the National ATM safety regulatory body and responsible for the provision of engineering and technical services supporting Air Traffic Management services is hereafter referred to as the "Operating Organisation".*

Under this definition, therefore the ATM service provider itself would be the Operating Organisation when providing its own technical support. If engineering and technical supporting services are not provided by the ATM service provider, the Operating Organisation would be a separate entity.

- *Third party individual personnel refers to personnel not employed by the Operating Organisation but undertaking duties via other assigned arrangements such as sub-contract.*

5.3.1 Requirements to be Applied by the Designated Authority

The Designated Authority for the safety regulation of engineering and technical personnel shall:

- a) issue appropriate safety regulations for engineering and technical personnel who undertake operational safety related tasks;
- b) ensure adequate and appropriate safety regulatory oversight of the engineering and technical personnel assigned by any Operating Organisation to undertake operational safety related tasks;
- c) on reasonable grounds after due enquiry, take appropriate regulatory action in respect of the Operating Organisation and/or its technical and engineering personnel who do not meet the provisions of this Requirement Document;
- d) verify that, from a safety viewpoint, appropriate methods are in place to ensure that third party individuals assigned to operational safety related tasks meet the applicable provisions of this Requirement Document.

5.3.2 Requirements to be Applied by the Operating Organisation

The Operating Organisation shall:

- a) ensure that technical and engineering personnel are properly trained and qualified to perform the assigned tasks;
- b) ensure that technical and engineering personnel :
 - i) have and maintain sufficient knowledge to ensure a sound understanding of the ATM service(s) they are supporting, and the actual and potential effects of their work on the safety of those service(s); and
 - ii) have and maintain sufficient knowledge of the appropriate working limits to be applied when performing safety related tasks;
- c) ensure that, in relation to engineering and technical personnel, evidence exists, is documented by the Operating Organisation, and is available to the Designated Authority on request, of the adequacy of personnel arrangements, and of personnel qualifications to perform their safety related tasks, with particular regard to:-
 - i) the availability of sufficient personnel competence assigned to operational safety related tasks, and conformance with regulatory provisions invoked by section 5.3.1. para. b above;
 - ii) the Operating Organisation's personnel qualification schemes and policy;

- iii) the competence, specialisation and recency of the Operating Organisation's personnel;
 - iv) the Operating Organisation's personnel training policy and plans;
 - v) the Operating Organisation's personnel training records;
 - vi) the Operating Organisation's arrangements for the supervision of non-qualified personnel;
- d) ensure that individual technical and engineering personnel must not undertake the assigned operational safety related tasks if the Operating Organisation knows or suspects that the physical or mental condition of the individual renders them unfit to undertake such tasks;
 - e) ensure that, from a safety viewpoint, appropriate methods are in place to ensure that individuals assigned with operational safety related tasks meet the applicable provisions of this Requirement Document;
 - f) report to the Designated Authority all safety events involving engineering and technical personnel and air traffic management equipment approved for operational use; the level of reporting detail to be agreed between the Operating Organisation and Designated Authority;
 - g) ensure that evidence exists, and is provided to the Designated Authority as required, of the qualification and competence of engineering and technical personnel to perform their operational safety related tasks.

5.3.3 Requirements to be Applied by the Individual Personnel

5.3.3.1 Individuals undertaking operational safety related tasks shall:

- a) comply with requirements and schemes of the Operating Organisation to ensure current and ongoing competence;
- b) comply with additional conditions that may be applied by the Designated Authority in accordance with section 5.3.1. para. b above;
- c) not undertake safety related tasks if they know or suspect that their physical or mental condition renders them unfit to undertake such tasks;
- d) ensure that they have sufficient knowledge to enable a sound understanding of:
 - i) the ATM service(s) they are supporting, and the actual and potential effects of their work on the safety of those service(s);
 - ii) the appropriate working limits to be applied when performing operational safety related tasks;
- e) systematically and consistently report safety occurrences in accordance with the provisions laid down in ESARR 2 para. 5.1.2. and 5.1.3.

- 5.3.3.2. engineering and technical operational personnel shall initiate appropriate remedial measures, if the requirements laid down in ESARR 5 para. 5.3.3.1.above, are not met.

6. IMPLEMENTATION

The provisions of this requirement are to become effective within three years from the date of their approval by the EUROCONTROL Commission. Accordingly:-

- General Requirements for ATM services personnel laid down in section 5.1, with applicability as stated in section 3.1, shall be implemented by 10.11.2003;
- Requirements for Air Traffic Controllers laid down in section 5.2, with applicability as stated in section 3.2, shall be implemented by 10.11.2003;
- Requirements for Engineering and Technical personnel laid down in section 5.3, with applicability as stated in section 3.3, shall be implemented by 11.04.2005.

7. EXEMPTIONS

With reference to sections 5.2.1.8 a) and 5.2.1.8 b), it is appreciated that there may be circumstances whereby these requirements of ESARR 5 cannot be met. These circumstances shall be evaluated by the Designated Authority, after which a documented exemption may be issued. The exemption shall ensure an equivalent level of safety.

8. ADDITIONAL MATERIAL

8.1 Acceptable Means of Compliance

Acceptable Means of Compliance for ESARR 5 are published in EUROCONTROL Advisory Material 5 (EAM5).

8.2 Definitions

Definitions for certain specific terms used in this requirement document are given in the SRC document SRC DOC 4, and are repeated for ease of reference in Appendix A to this document.

8.3 Guidance Material

- a) For air traffic controllers, the European Manual of Personnel Licensing - Air Traffic Controllers (HUM.ET1.ST08), when implemented in association with the application of the EATMP Common Core Content training objectives, is considered to be valuable reference documentation for the implementation of ESARR 5.
- b) For other ATM personnel, the EATMP Safety Policy (SAF.ET1.ST01.1000-POL-01-00), with particular reference to the Competency element in the Safety Achievement Principle, when implemented in association with the application of the ECAC Common Core Content training objectives, is considered to be valuable reference documentation for the implementation of ESARR 5.
- c) The following documents may be used as a source of guidance material in the implementation of this requirement

- **EUROCONTROL / EATMP**

- i) Safety Policy Document (SAF.ET1.ST01.1000-POL-01-00)
- ii) Safety Policy Implementation Guidance Material (SAF.ET1.ST01.1000-GUI-01-00)
- iii) European Manual of Personnel Licensing – Air Traffic Controllers
- iv) EATMP Human Resources Strategy Document
- v) Policy Paper Proposing Acceptance of Basic Harmonised ATC Licensing Scheme
- vi) Guidelines for Common Core Content and Training Objectives for Air Traffic Controllers - Phases I and II
- vii) Air Traffic Controller Training at Operational Units
- viii) Controller Training in the Handling of Unusual Incidents
- ix) Common Core Content and Training Objectives for Basic AIS Training - Phase I AB Initio and Phase II Specialist
- x) Guidelines for a Common Basic Level of Technical Training for ATM Technical Staff
- xi) Specification of Training Tools and Methodology for the Development and Provision of ATC Training
- xii) Guidelines for ATS Upgrade Training
- xiii) CIP - Convergence and Implementation Programme

APPENDIX A

Glossary and Definitions

The Appendix A was introduced to ease the reading of ESARR 5. The following approach has generally been respected in relation to the origin of definitions :

- 1) where an ICAO definition exists, this definition prevails;
- 2) where no ICAO definition exists, but an appropriate EUROCONTROL definition exists, reference is made to this definition;
- 3) where no ICAO or EUROCONTROL definitions exist, reference is made to other sources;
- 4) where no definition for a term was found to exist, the Requirements' Task Force of the SRC or the SRU developed a definition.

A full reference to the below definitions is to be found in SRC DOC 4 "Glossary of Terms and Definitions and List of Acronyms".

Intentionally left blank

Accident

[Ref.: ICAO Annex 13]

An occurrence associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, in which:

a) a person is fatally or seriously injured as a result of:

- being in the aircraft, or
- direct contact with any part of the aircraft, including parts which have become detached from the aircraft, or
- direct exposure to jet blast,

except when the injuries are from natural causes, self-inflicted or inflicted by other persons, or when the injuries are to stowaways hiding outside the areas normally available to the passengers and crew; or

b) the aircraft sustains damage or structural failure which:

- adversely affect the structural strength, performance or flight characteristics of the aircraft, and

- would normally require major repair or replacement of the affected component except for engine failure or damage, when the damage is limited to the engine, its cowlings or accessories; or for damages limited to propellers, wing tips, antennas, tires, brakes, fairings, small dents or puncture holes in the aircraft skin; or

c) the aircraft is missing or is completely inaccessible.

Note 1.-For statistical uniformity only, an injury resulting in death within thirty days of the date of the accident is classified as a fatal injury by ICAO.

Note 2.- An aircraft is considered to be missing when the official search has been terminated and the wreckage has not been located.

Air Traffic Controller Licence

[Ref.: HRT Licensing Working Group]

A document that identifies a person as a qualified Air Traffic Controller and contains personal, medical and professional qualifications including details of ratings, endorsements and current competence/validity.

Air Traffic Management (ATM) [Ref.: SRC-RTF]	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.
Air Traffic Service [Ref.: ICAO Annex 2 & ICAO ODC 9569]	A generic term meaning variously flight information service, alerting service, air traffic advisory service, air traffic control service (area control service, approach control service or aerodrome control service).
Approved training	Approved training shall ensure an adequate level of personnel competency to carry out designated tasks, including the practical integration of acquired knowledge and skills where appropriate.
Assessment [Ref.: EUROCONTROL Agency]	An evaluation based on engineering, operational judgement and/or analysis methods.
ATC Service [Ref.: ICAO Annex 11 and ICAO DOC 9713]	A service provided for the purpose of: <ul style="list-style-type: none">a) preventing collisions:<ul style="list-style-type: none">1) between aircraft and2) on the manoeuvring area between aircraft and obstructions, andb) expediting and maintaining an orderly flow of air traffic.
ATM equipment approved for operational use [Ref.:ASP-SRC]	All engineering systems, facilities or devices that have been operationally released to be used either by airspace users (e.g. ground navigation facilities) directly, or are used in the provision of operational air traffic management services. <i>NOTE: These comprise the systems, facilities and devices operated or supervised by the Operating Organisation and serving the purpose of air navigation, regardless of whether the products used to fulfil the tasks involved in air traffic management are generally available on the market or have been specifically developed to air traffic management requirements.</i>
ATM Service [Ref.: SRC-RTF]	A service for the purpose of ATM.
ATM Services Personnel [Ref.: EUROCONTROL Agency – HEIDI]	Persons assigned to perform duties directly in connection with the provision of Air Traffic Management Services.

ATM Service Provider [Ref.: SRC-RTF]	An organisation responsible and authorised to provide ATM service(s).
Certificate of Competence/Competency [Ref.: SRC Licensing co-ordination - WG derived from ICAO Annex 1]	An expression used in ESARR 5 with the same meaning as the expressions “certificate of competency and license”, “licence or certificate” and “license” used in ICAO Annex 1 and the Convention on International Civil Aviation.
Competence in doubt [Ref.: SRC Licensing Co-ordination WG derived from European Manual of Personnel Licensing – Air Traffic Controllers]	A generic term covering variously situations when controller’s has been involved in an incident or accident where the safety of aircraft was compromised, or is determined by the unit’s competence scheme to be not competent or fails to comply with unit procedures relating to ongoing experience requirements.
Designated Authority [Ref.: SRC-RTF (based on JAR 21)]	<p>The competent body designated by State authority, responsible for aviation safety regulation</p> <p>NOTE: In terms of ESARR 5 it is understood that the Designated Authority definition encompass the responsibilities of the currently Licensing Authority defined in ICAO Annex 1.</p>
Endorsement [Ref.: HRT Licensing Working Group]	An entry in an ATC licence indicating the air traffic control unit and the operational positions or sectors at which a controller may exercise the privileges of the valid rating or ratings included in the ATC licence.
Engineering and technical personnel undertaking operational safety related tasks [Ref.:SRC]	<p>Personnel who operate and maintain ATM equipment approved for operational use.</p> <p><i>NOTE: this definition is not intended to cover other equipment related functions, such as design, testing, commissioning and institutional training.</i></p>
Incident [Ref.: ICAO Annex 13 & ICAO DOC 9713]	An occurrence, other than an accident, associated with the operation of an aircraft, which affects or could affect the safety of operation.
Licence endorsement [Ref.: HRT Licensing Working Group]	An authorisation entered on an air traffic controller licence and forming part thereof , stating a specialist qualification associated with the valid ratings in the licence.
Medicines [Ref.: SRC Licensing Co-ordination WG]	Term covering prescription and non-prescription drugs.

On-the-Job Training (OJT) [Ref.: EATCHIP Air Traffic Controller Training at Operational Units, HUM.ET1.ST05.400-GUI-01] modified by ICAO and SRU	The integration in practice of previously acquired job related routines and skills under the supervision of a qualified On-the-Job instructor in a live traffic situation.
Operational Training [Ref.: EATMP Specifications Of Training Tools and Methods ATC – HUM.ET1.ST07.1000-GUI-01]	Training given in the operational work situation and following institutional training. It comprises transition training, pre-OJT and OJT training.
Psychoactive substances [Ref.: ICAO – Annex 1]	Alcohol, opioids, cannabinoids, sedatives and hypnotics, cocaine, other psycho-stimulants, hallucinogens and volatile solvents, whereas coffee and tobacco are excluded.
Rating [Ref.: ICAO – Annex 1 & ICAO DOC 9569]	An authorisation entered on or associated with a licence and forming part thereof, stating special conditions, privileges or limitations pertaining to such licence.
Rating Endorsement [Ref.: HRT Licensing Working Group]	An authorisation entered or associated with a rating and forming part thereof, stating special conditions, privileges or limitations pertaining to such rating.
Safety achievement [Ref.: SRU]	The result of processes and/or methods applied to attain acceptable or tolerable safety.
Safety objective [Ref.: SRU]	A safety objective is a planned safety goal. The achievement of an objective may be demonstrated by appropriate means to be determined in agreement with the safety regulator.
Safety Requirement [Ref.: SRU]	A risk mitigation mean, defined from the risk mitigation strategy that achieves a particular Safety Objective. Safety requirements may take various forms, including organisational, operational, procedural, functional, performance, and interoperability requirements or environment characteristics.
Unit Training Plan [Ref.: SRU/SQS/HRT]	A plan required by the State, created by an operational ATC unit and approved by the Designated Authority, to provide structured objective based training so that personnel may achieve and maintain validation standard thus satisfying the requirements of the unit competence scheme.
