



EUROPEAN AVIATION SAFETY AGENCY
AGENCE EUROPÉENNE DE LA SÉCURITÉ AÉRIENNE
EUROPÄISCHE AGENTUR FÜR FLUGSICHERHEIT

Workshop on Reg. 1178/2011 and 290/2012
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Part 4: Part ARA.GEN & Part-ARA-ATO

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Your safety is our mission.





Part 4

- **Part-ARA.GEN**
- **Part-ARA-ATO**
- **Questions - comments**



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Rule structure Air Crew

Regulation
Air crew



Annex VI
Part-ARA

Annex VII
Part-ORA

Aligned with Air Operations

.GEN

.GEN

.FCL

.ATO

.CC

.FSTD

.ATO

.AeMC

.FSTD

.AeMC

.MED



Authority Requirements & ATOs



- **ARA.GEN** contains the general provisions that are applicable to the competent authority's organisation and management system, as well as to the initial certification and oversight of approved organisations (ATOs & AeMCs), the qualification of FSTDs and the attestation of Cabin Crew
 - Section I: GENERAL
 - Section II: MANAGEMENT SYSTEM
 - Section III: OVERSIGHT, CERTIFICATION AND ENFORCEMENT
- These are complemented with ATO specific provisions



Authority Requirements & SSP



- **ARs do not explicitly refer to State Safety Plan. Regulating SSP would require a high level regulation covering all aviation areas.**
- **ARs prepare the ground for EASP, they support implementation of the SSP, in particular by focussing on the following critical elements of an oversight system:**
 - CE-3: State civil aviation system and safety oversight functions
 - CE-4: Technical personnel qualification and training
 - CE-5: Technical guidance, tools and the provision of safety-critical information
 - CE-6: Licensing, certification, authorisation and/or approval obligations
 - CE-7: Surveillance obligations
 - CE-8: Resolution of safety concerns.



ARA.GEN Section I



Section I	General
ARA.GEN.105	Definitions
ARA.GEN.115	Oversight documentation
ARA.GEN.120	Means of compliance
ARA.GEN.125	Information to the Agency
ARA.GEN.135	Immediate reaction to a safety problem



ARs supporting SSP implementation

GENERAL



CR Article 4

MS to ensure CAs have proper oversight capabilities

ARA.GEN.115

CAs to provide staff with required oversight & technical documentation

ARA.GEN.120

transparency and standardisation regarding the **alternative means of compliance process**

ARA.GEN.125

cooperation and the exchange of information between authorities and the Agency, as well as between the authorities themselves



ARA.GEN.120 Means of compliance

- Agency shall develop AMCs. When the AMCs are complied with, the related requirements of the IRs are met
- Alternative Means of compliance may be used as well
- The CA shall establish a system of constantly evaluating these AltMC used by itself or by organisations
- When the CA find that AltMC are in accordance with IRs:
 - notify the applicant
 - notify the Agency (content, all relevant documentation)
 - inform other MS

If CA uses AltMC itself it shall make them available for organisations and notify the Agency



Organisations may use means alternative to those established in the AMC issued by the Agency:

“alternative means of compliance”

- An organisation must apply to their competent authority and demonstrate that an equivalent level of safety can be reached.
- The organisation may use such alternative means of compliance following approval by their competent authority.
- Other organisations wishing to use the same altMOC must apply to their Competent Authority.

NOTE: Authorities will notify other Member States and the Agency of the alternative means they have approved for their organisations.



ARA.GEN Section II



Section II	Management
ARA.GEN.200	Management system
ARA.GEN.205	Allocation of tasks to qualified entities
ARA.GEN.210	Changes in the management system
ARA.GEN.220	Record keeping



ARs supporting SSP implementation *MANAGEMENT SYSTEM*



ARA.GEN.200

CAs to establish management systems including compliance monitoring:
Internal audit & safety risk management

ARA.GEN.205

Procedures for allocation of tasks to qualified entities
(control of contractors)

ARA.GEN.210

Management of changes in the management system and information to the Agency

ARA.GEN.220

Record keeping requirements:
Storage, accessibility and traceability
Register of approved organisations



ARA.GEN Section III



Section III	Oversight, Certification & Enforcement
ARA.GEN.300	Oversight
ARA.GEN.305	Oversight programme
ARA.GEN.310	Initial certification - organisations
ARA.GEN.315	Procedure for issue of licences
ARA.GEN.330	Changes - organisations
ARA.GEN.350	Findings and corrective actions – org.
ARA.GEN.355	Findings and enforcement measures



ARA.GEN.300 Oversight



ARA.GEN.300(a) Oversight

CA shall verify:

compliance with the requirements before issuing a certificate, approval, certificate or licence

continued compliance of organisations or persons

Implementation of safety measures

ARA.GEN.300(b) Oversight

This verification shall:

be supported by documentation

provide the organisations and persons with the results of activity

be based on audits or inspections

provide the CA with evidence needed in case further action is required



ARs supporting SSP implementation *OVERSIGHT, CERTIFICATION, ENFORCEMENT*



ARA.GEN.300(c)

Scope of oversight to consider safety priorities (as per SSP – EASP)

ARA.GEN.300(d)

Oversight shall not be limited to the organisations the CA has certified – link with safety priorities

ARA.GEN.300(e)

CA may agree to “share” audits when the activity of an organisation involves more than one Member State

ARA.GEN.305 (c)

24-month oversight cycle to be extended or reduced depending on the safety performance of the organisation

ARA.GEN.350 / 355

Actions in case of findings – enforcement action



General ARs for ATOs – HIGHLIGHTS



ARA.GEN.300(d) Oversight

Scope of oversight to consider activities of ATOs exercising their privileges in the territory of the MS but certified in another MS – as determined by safety priorities identified (link with SSP / EASP)

ARA.GEN.300(e) Oversight

Where the activity of an ATO involves more than one MS, competent authority responsible for oversight may agree with competent authority of MS where activity takes place to have some of the oversight performed locally



General ARs for ATOs - HIGHLIGHTS



ARA.GEN.305 Oversight programme

Standard oversight planning cycle of 24 months, may be extended to 36 months, provided that:

- risks are properly managed
- changes are controlled
- no level 1 findings have been issued
- all corrective actions have been implemented on time

Further extension to **48 months** possible provided that ATO has an established and the authority accepted effective reporting system on safety performance and regulatory compliance



General ARs for ATOs - HIGHLIGHTS



ARA.ATO.105 Oversight programme

Shall include the monitoring of course standards, including the sampling of training flights with students, if appropriate to the aircraft used.

AMC1-ARA.ATO.105

- Checking facilities for compliance
- Interviewing personnel
- Sampling relevant training courses



General ARs for ATOs - HIGHLIGHTS



ARA.GEN.310 INITIAL CERTIFICATION

Certificate to be issued for an unlimited duration.

- Action on certificate can be taken any time if safety concerns have been identified (cf. ARA.GEN.350)

Competent authority to approve the procedure submitted by the ATO defining the scope of changes not requiring prior approval and describing how such changes will be managed and notified.



General ARs for ATOs - HIGHLIGHTS



AMC1 ARA.GEN.310

Audit to focus on the following areas

- adequacy of management structure, qualifications of personnel;
- adequacy of number and qualifications, validity of licences, ratings, certificates or attestations as applicable;
- safety management and compliance monitoring with applicable requirements;
- facilities – adequacy with regard to scope of work;
- organisation's documentation as required by Part-OR, including technical manuals



General ARs for ATOs - HIGHLIGHTS



AMC1 ARA.ATO.105

Additional items to be verified:

- information on flight instructors, validity of licences, certificates, ratings, and log books;
- evidence of sufficient funding;
- training aircraft in use: registration, associated documents and maintenance records;
- aerodromes, heliports and associated facilities;
- facilities: adequacy to the courses being conducted and number of students;
- FSTDs: qualification certificates, associated documents and maintenance records;
- documentation, in particular documents related to courses, information on the updating system, and training and operations manual;
- training records and checking forms; flight instruction, including pre-briefing, actual flight and debriefing



General ARs for ATOs – HIGHLIGHTS



ARA.GEN.350 Findings and corrective actions

Standard definitions for level 1 and level 2 findings

- Level 1:
 - lowers safety or seriously hazards flight safety,
 - lack of accountable manager,
 - failure to grant access to the competent authority,
 - falsification of evidence, malpractice or fraud
- Level 2: could lower safety or hazard flight safety

Level 2 findings: corrective action implementation within 3 months, may be extended subject to satisfactory corrective action plan.



Part 4

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ARA.ATO Section I & II



Section I	General
ARA.ATO.105	Oversight Programme
ARA.ATO.120	Record-keeping



ARA.ATO.105 – already presented



ARA.ATO.105 Oversight programme

Shall include the monitoring of course standards, including the sampling of training flights with students, if appropriate to the aircraft used.

AMC1-ARA.ATO.105 (detailed)

- Checking facilities for compliance
- Interviewing personnel
- Sampling relevant training courses
- Specific audit or inspection items (see text p. 32)



ARA.ATO.120 Record keeping



ARA.ATO.120 Record keeping

In addition to the records in ARA.GEN.220, details of courses provided by the ATO

If applicable records relating to FSTDs used for training

AMC1 ARA.ATO.120

Refers to record keeping for FSTDs



EASA Form 143 – ATO certificate

- Attachment:
 - TRAINING COURSE APPROVAL
 - including list of training courses and FSTDs (“user approval”)

Member States shall replace the certificates with certificates complying with the format laid down the Air Crew Regulation by 08 April 2017 at the latest.



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Thanks a lot ! Questions – Comments ?

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