



**Air Traffic Services Safety Regulation Advisory Committee**  
33rd Meeting – Briefing Pack

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# Air Traffic Services Safety Regulation Advisory Committee

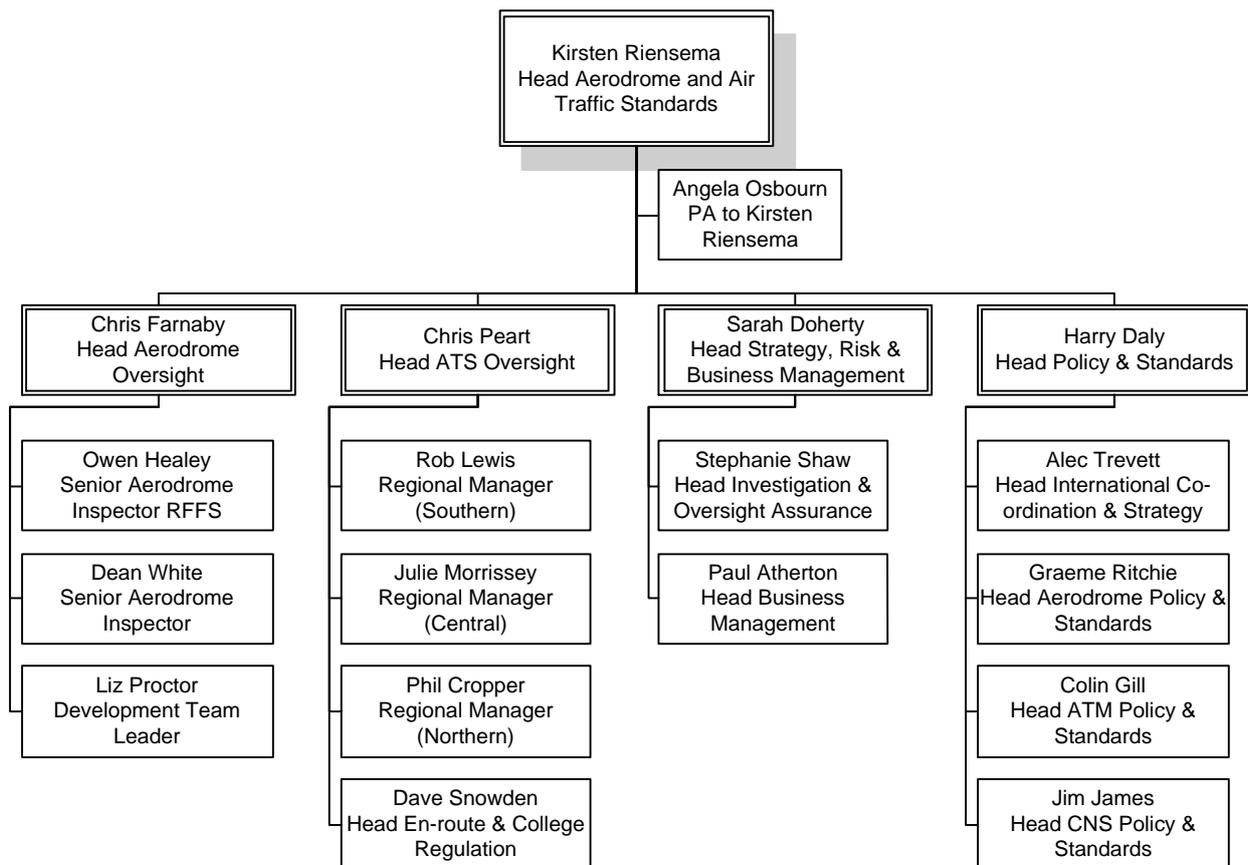
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### Agenda Item 4

#### AATSD Update

In July 2011, the CAA published Information Notice IN-2011/073 informing all Aerodrome Licence Holders and Air Traffic Service providers (including Air Ground Communication Service Providers) of the formation of the Aerodrome and Air Traffic Standards Division (AATSD) from the previously separate Aerodrome Standards Department and Air Traffic Standards Division.

[IN-2012/103](#) provided an update on the review of these two functions and the results of the review, which has included a change to the organisational structure of the Division, outlined below:



The main purpose of the four structures is as described below:

#### ATS Oversight

The role of the ATS Oversight team is to provide effective, risk-based and proportionate, oversight of all ATS provider and related activities undertaken within the UK to meet international, European, State and other obligations and requirements. This is achieved through direct Pre-Approval Inspection and oversight of Management Systems to ensure relevant sector aviation risks are controlled adequately; wherever appropriate, such regulatory oversight will facilitate the industry's need to evolve continuously, adopting new concepts and technologies, in a safe and efficient manner. We work closely with the Aerodrome Oversight team to ensure that UK ANSPs develop effective and integrated SMS processes to facilitate safe operations within their environs. Our team will also provide appropriate operational input to the Strategy, Risk and Business Management, and Policy and Standards teams who in turn provide the more detailed technical and expert where and when required.

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In order to be able to respond more efficiently to the needs of the industry, our team operates from Gatwick, Manchester and Stirling, together with a stand-alone Principal Inspector for the Prestwick Centre who is 'parented' for support purposes by the Northern Regional Office.

### **Aerodrome Oversight**

The role of the Aerodrome Oversight team is to provide effective, risk-based and proportionate, oversight of the safety of aviation activities at licensed aerodromes in the UK to meet international, European, State and other obligations and requirements. This is achieved through the initial licensing process and inspections, on-aerodrome development process and periodic aerodrome audits to ensure that risks are appropriately addressed. All aspects of the aerodrome safety system and its management which can have an impact on safety are considered and evaluated. We work closely with the Air Traffic Standards Oversight team to ensure that UK aerodromes develop effective and integrated/dovetailed Safety Management Systems to facilitate safe aerodrome and air traffic operations within their environs. Our team will also provide appropriate technical input to the Strategy, Risk and Business Management, and Policy and Standards teams, who in turn provide the more detailed technical and expert support where and when required.

In order to be able to respond more efficiently to the needs of the aerodrome operators, our team operates from Gatwick, Manchester and Stirling.

### **Policy and Standards**

The role and purpose of the AATSD Policy and Standards team is to research, develop, consult on and establish safety regulatory policy and standards for civil aerodromes, Communication Navigation & Surveillance (CNS) and Air Traffic Service operations which are subject to safety regulation in the UK by the CAA.

AATSD Policy and Standards provides the focal point, leadership and specialist inputs when interfacing with and influencing EU institutions, ICAO, EUROCONTROL, SESAR JU and other relevant organisations (including European Standards Setting Bodies) in the development of International legislation, principles, policy and action plans for aerodromes and air traffic.

The team also provides the AATSD function to consult and promulgate safety regulatory policy, requirements, standards and other material in line with better regulation principles and to provide expert advice and leadership primarily to UK stakeholders, including specialist support to oversight processes.

### **Strategy, Risk and Business Management**

The role of the Strategy, Risk and Business Management team is to act as the Division's focal point on current and future safety and business risks and the provision of support to the management and technical teams. The team will act as the Division's 'Risk Engine', interfacing with the Oversight and Policy teams and the Enhanced Safety Performance (ESP) Safety Action Group, using data derived from within and from outside of the Division. It will provide a centralised collation of the risk picture, which in turn will result in a Divisional Business Plan, safety analysis and inputs to the SRG Safety Plan, risk-based oversight, requirements and policy.

### Agenda Item 5

#### DAP Update

##### UK Transition Altitude Update

The aim of the first UK Transition Altitude (TA) consultation was to provide the necessary background to enable stakeholders to begin assessment of the merits of the policy to harmonise the TA in London and Scottish FIRs. The first consultation document, published on 1 February 2012, provided much of the necessary detail; however, as work on the development of altimeter setting procedures and a review of the UK Altimeter Setting Regions had not been finalised, the draft Concept of Operations (CONOPS) for the proposed higher harmonised TA could not be made available to stakeholders for comment. It was acknowledged at that stage that there was the likelihood of the consultation being extended, and the subsequent Consultation Feedback Report, published on 11 July 2011, confirmed that a second period of aviation stakeholder consultation would be necessary.

Since the launch of the first consultation, a considerable amount of work (including an extensive series of workshops) has been, and continues to be undertaken by the CAA, NATS and MoD under the Maturity of Cross Organisational Relationships (MOCOR) joint interface and co-ordination banner. This work is supported by feedback from the first consultation and wide-ranging engagement with national organisations and industry; the Irish Aviation Authority (IAA)<sup>1</sup> and other national authorities will determine the preferred level for the UK harmonised TA and the CONOPS to be employed. Although the first consultation proposed 18,000 ft as the preferred level, the subsequent work and feedback may revise this preference - the favoured level will be known by the end of 2012.

The second consultation, which is expected to be launched in Summer 2013, will, in addition to identifying the preferred level for the harmonised TA and the CONOPS, aim to provide the high level safety principles to be applied, the generic safety risks and the planned timelines for implementation. This information will allow stakeholders to assess the impact of the new higher TA on their operations and provide feedback accordingly.

In addition to the work undertaken by the UK on a higher Harmonised TA, the European Aviation Safety Agency (EASA) undertook a consultation as part of a Regulatory Impact Assessment (RIA) for a Harmonised European Transition Altitude (HETA) highlighted the following options:

- Do nothing
- A Common Level at 18,000 ft
- Implementing at level not below 10,000 ft

The consultation, which closed in May 2012, produced a low number of consultation responses, with 25 stakeholders<sup>2</sup> providing just over 100 comments. A subsequent online questionnaire aimed at wider stakeholder group only elicited 83 responses with most from aircrew organisations. Analysis of response shows no single favoured option. The RIA has been updated and is available at: <https://www.easa.europa.eu/rulemaking/docs/crd/2012/CRD%20to%20A-NPA%202012-01.pdf>

The intention now is to initiate a HETA Rule Making Task (RMT) with the main emphasis on a comprehensive Cost Benefit Analysis to inform future rulemaking activities.

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<sup>1</sup> Harmonisation of the TA is a common objective for the UK/Ireland FAB. It is the intention of the IAA to implement a TA in Irish airspace equivalent to and coincident with the UK.

<sup>2</sup> The CAA, along with other UK stakeholders and the IAA, provided comprehensive feedback on the proposal.

### Agenda Item 6

#### European Update

##### EASA ATM Rulemaking

##### ATCO Licensing

Following the extension of the European Aviation Safety Agency (EASA) competency to the field of Air Traffic Management (ATM) and Air Navigation Services (ANS), Regulations EU No. 1034/2011 and EU No. 1035/2011 (the so called 'fast-track' regulations) and EU No. 805/2011 (ATCO Licensing) were published in the autumn of 2011. Since then, the EASA Rulemaking Directorate has been further developing these regulations and has brought them into line with the 'house-style' seen across other aviation domains such as Aerodromes and will shortly be in a position to conduct the required formal consultation on the new Implementing Rules (IR) by publishing Notices of Proposed Amendment (NPAs).

The NPA regarding the licensing and medical certification of air traffic controllers is likely to be the first to be delivered in November. This NPA will expand on the earlier work conducted in Regulation EU No. 805/2011 and will establish full compliance with the Basic Regulation.

##### Common Requirements and Oversight

Sometime before the end of 2012, EASA will publish a further NPA laying down common requirements for the provision of ATM/ANS for general air traffic and other network functions and establishing requirements to be applied to the exercise of the oversight function by competent authorities and qualified entities acting of their behalf. Key sections of this NPA will include proposed regulations relating to Air Traffic Safety Electronics Personnel (ATSEP), Meteorology and Human Factors, expanding on the earlier work conducted in Regulations EU No. 1034/2011 and EU No. 1035/2011.

EASA is organising a workshop (16 Jan 2013) focusing on the proposed set of rules in the ATCO Licensing NPA. The aim of this event will be to introduce the draft rules, to exchange views with stakeholders and to identify steps to be taken by competent authorities, Air Navigation Service Providers and ATCO training organisations to ensure compliance with the rules.

Following the EASA event, the CAA will also be holding a number of briefings for stakeholders, with the aim of highlighting key changes between the current regulations and both of the above NPAs, explaining the format of the documents, how to respond to the consultations and also, what areas within the proposed regulations will/may have implications for individual businesses. Details will be forwarded to Industry via an Information Notice.

##### Single European Rules of the Air (SERA)

The draft SERA Implementing Rule was adopted by the Commission on 26 September 2012 and was subsequently published in the Official Journal of the European Union (OJEU) on 13 October 2012 as Implementing Rule [\(EU\) No. 923/2012](#).

The UK has notified the Commission and EASA of its intention to derogate from the Rule until 4 December 2014. CAA planning for implementation by that date is under way through the medium of the CAA SERA group, which has Industry representation.

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Key changes that SERA introduces include the withdrawal of previously notified national differences to ICAO and subsequent notification of commonly agreed EU differences contained in the Regulation, the ability to fly VFR at night (when so prescribed by the competent authority), the removal of the Quadrantal cruising levels in favour the Semi-circular rule, and the requirement for air-ground communications for IFR flights in Class G airspace.

### SERA AMC and GM

In addition to the Implementing Rule, EASA has published a NPA to proposed acceptable means of compliance (AMC) and Guidance Material (GM), to be derived from ICAO Annex 2, Annex 3 and Annex 11 along with current practice in the EU and changes and comments from the Single Sky Committee. The deadline for comments is 24 December 2012 and they can be submitted by post or through the comment response tool at <http://hub.easa.europa.eu/crt/>

### SERA Part C

Development of SERA Part C is expected to follow in due course. It is anticipated that this will include at least parts of ICAO Doc 4444 (PANS-ATM), Doc 8168 (PANS-OPS) and possibly ICAO Annex 10.

### Single European Sky (SES)

The European Commission has launched a public consultation on potential changes to EASA and SES legislation for the purposes of simplification, clarification and modernisation and to ensure alignment of SES and EASA rules. The initiative is known as **SES II+**. The consultation document is available on the [European Commission website](#).

The deadline for submission of comments to the Commission is 13 December 2012 (See [CAA Information Notice 2012/170](#)).

### Performance Scheme

The European Commission is proposing changes to the Performance and Charging Scheme Regulations following its Public Consultation on Reporting Period 1 (RP1). There are a number of impacts for industry, including:

#### Safety

- a) A proposal for **automated safety data collection** (Loss of Separation and Runway Incursions direct to EASA in Reporting Period 3 (RP3) with assessment of the technical solution during RP2.
- b) Extension of Risk Assessment Tool (RAT) methodology application to cover **additional occurrence types**.
- c) Extending SMS to **mandatory implementation at airports** including:
  - i) Staff using the manoeuvring area to report safety occurrences;
  - ii) Implementing a Just Culture environment;
  - iii) Aligning AO and ANSP investigation processes; and
  - iv) Measuring and regularly assessing local runway safety programmes, including the introduction of a Runway safety programme metric.

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### Economic

- a) A change in the way the assessment is made on which airports are in scope for the purposes of the performance regulation from the current threshold of 50,000 Civil Air Transport Movements to a threshold based on 50,000 IFR movements.
- b) A proposal to increase the threshold from 50,000 IFR movements to 70,000 IFR movements.
- c) A proposal to introduce the necessary changes in Annex II of the Performance Regulation to strengthen the link between investment plans and performance targets by making it broader than simply the cost-efficiency KPA and re-drafting it to reflect the needs expressed above (e.g. existence of a cost-benefit analysis, how inter-dependencies have been considered, whether the FAB dimension has been taken into consideration, **whether the investment relates to an “essential operational change” bringing benefits to the network**, and consider inserting a commensurate assessment criterion.

### SESAR

There are three significant SESAR threads in current play, following the update of the ATM Master Plan in 2012.

The first level of activity is the formulation of an Interim Deployment Plan, which consists of essentially 7 European Single Sky ImPlementation (ESSIP) objectives which, in most areas, the UK is in a good position, with most of the objectives falling in the bailiwick of NATS (en-route), who have investment and development plans already in place. In Airspace Management and civil-military co-ordination, the UK is also well ahead of the required timelines/stakeholder lines of action (SLOA). Two areas of concern exist. The first is Military equipage and the second is in Airport-Collaborative Decision Making (A-CDM), where the geographical applicability and incentives to be applied towards wider equipage are still awaited.

The second level of effort is in the development of [Guidance Material for Common Projects](#) and the EC intend to have an IR ready for adoption on this subject soon, for implementation in mid-2013.

The third element of SESAR is in Governance of Deployment. Questions still remain as to the structure of such governance, particularly in relation to the Deployment Manager entity. The CAA and DfT are engaged with the EC to argue the interests of all aviation stakeholders in this regard.

### Agenda Item 8

#### Airborne Conflict

##### Airborne Conflict Action Group

Airborne Conflict is one of the CAA Significant 7 safety risks. The CAA Airborne Conflict Action Group (ACAG) has recently been formed to act as a new co-ordinating body for the work being undertaken to minimise the risk of airborne conflict for all types of air operations within and outside of UK airspace. This goes beyond the remit of the previous Airborne Conflict Task Force, whose recommendations were included in the CAA Safety Plan 2011 to 2013.

The purpose of the ACAG is to work with relevant stakeholders and other associated working groups to review the causal factors of airborne conflict, identify the key risks within and outside of UK airspace and recommend strategies and actions for monitoring and reducing these risks for inclusion in the CAA Safety Plan. Key tasks are:

- To establish formal links with bodies engaged in activities associated with reducing the risk of a mid-air collision.
- To establish a consolidated risk assessment and mitigation document identifying the airborne conflict key risks, actions in place to mitigate these risks and desired outcomes.
- To review the work being undertaken globally in the area of airborne conflict and identify areas for CAA/UK engagement.
- To identify potential lead indicators to be used for gauging the risk of mid-air collision.
- To determine safety performance indicators to monitor the performance of the agreed actions and measure the effectiveness of the desired outcomes.
- To develop strategies and actions for reducing the key risks to be included in the CAA Safety Plan.

Membership is formed of CAA specialists and industry and airspace user stakeholder representatives. The ACAG is working to the following timescales:

- Formal links established with CAA bodies engaged in activities associated with reducing the risk of a mid-air collision. (Complete)
- Consolidated risk assessment and mitigation document approved by Sponsor. (31 Dec 2012)
- Recommendations for CAA engagement with other UK bodies, industry, MoD and international bodies regarding non-UK operator or outside UK airspace airborne conflict issues approved by Sponsor. (31 Jan 2013)
- Lead and Safety Performance Indicators agreed with Sponsor. (31 Mar 2013)
- Strategies and actions for reducing key risks submitted for inclusion in the CAA Safety Plan. (31 May 2013)

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### **Airborne Conflict – Aerodrome Visual Pattern Integration**

As a result of AAIB reports, AIRPROX and MOR data, AATSD currently believe that a significant airborne conflict risk exists with regards to the pilot conduct of aerodrome visual patterns. In response to a recent AAIB recommendation, AATSD have undertaken a review to ensure that the requirement in CAP 493 for aerodrome control to issue 'information and instructions to aircraft under its control to achieve a safe, orderly and expeditious flow of air traffic and to assist pilots in preventing collisions' is suitable, sufficient and complied with'. We are satisfied that the current content of CAP493 is appropriate, but aim to bolster this with specific identification of key potential visual pattern conflicts, and consequent advice to ATCOs on issuing instruction, advice and warning to pilots; this is likely to be published through a CAA Safety Notice. Additionally, the AATSD Ops Inspectors have been ensuring that compliance with the CAP 493 requirement is maintained through the competency checking of civil air traffic controllers and Local Competency Examiners.

However, the ATC aspects of managing this risk are only a subset of the wider risk, and it is vital that pilots' understand the potential conflict points in visual patterns, undertake appropriate joining procedures (particularly at uncontrolled aerodromes) and exercise effective airmanship and lookout. Consequently, AATSD are keen to see these significant piloting issues taken up and addressed in a dedicated project, and for this particular risk to be recorded and managed through the ACAG.

### **Applying ESP in Airborne Conflict – Oxfordshire Area of Intense Aerial Activity (AIAA) User Group**

In response to an increased number of incident reports (AIRPROX and MOR) pertaining to airborne conflict in the Oxfordshire AIAA, the CAA worked with local ATC providers and airspace users to establish a local user group under the governance of the Airspace and Safety initiative (ASI). The group is chaired by a local ATC provider or airspace user on rotation (currently RAF Brize Norton) and secretarial support is provided by the CAA. The aim of the group is to act as a collaborative forum to reduce the risk of mid-air collision by reviewing and enhancing airspace and air traffic management arrangements and interfaces in the Oxfordshire AIAA. In particular, the group will provide a holistic view of the risks in this region, and a range of solution options that could be put in place, with their advantages and disadvantages clearly assessed.

The first meeting was held in February 2012 and the immediate priority was to assess the consequential effects of Olympic airspace and to identify mitigation measures and education content to address the risk. This led to a voluntary increase in ATC provision during the period of the Olympics and a user friendly pilot education package containing advice and guidance on managing particular hot spots. This model was then replicated with other industry workshops for the other regions around the main Olympic airspace.

Medium term priorities currently underway are to:

- Create a risk based action plan which targets the causal factors and put in place lasting mitigations.
- Development and publication of a comprehensive map based local user guide.
- Identify and mitigate key safety issues and concerns for all airspace users in the area by the means of a local Observation Form and analysis of previous AIRPROX events and MOR reports.
- For incidents preceding recent airspace and ATC procedure changes, whether these changes would have had any risk mitigation effect.

The Oxfordshire AIAA User Group will be providing an interim progress report to ASI ATMSWG at the end of 2012.