

| Ground Elements |   |
|-----------------|---|
| <b>1</b>        | <b>• Regulations, Processes, Procedures and Compliance</b>  |
| 1a              | • Any other event   |
| 1b              | • Organisational Documentation and Publications<br>Inadequate regulations or procedures                     |
| 1c              | • ATM Regulatory Deviation<br>Regulations and/or procedures not complied with                               |
| <b>2</b>        | <b>• Manning and Equipment</b>  |
| 2a              | • Any other event   |
| 2b              | • ATM Staffing and Scheduling<br>Sub-Optimal establishment or scheduling of staff                           |
| 2c              | • Aerodrome and ATM Equipment<br>Inadequate or unavailable equipment  |
| 2d              | • Aerodrome and ATM Equipment<br>Non-Functional equipment   |
| 2e              | • Leadership and Supervision<br>Sub-Optimal   |
| 2f              | • Mentoring<br>Sub-Optimal  |
| <b>3</b>        | <b>• Situational Awareness and Action</b>   |
| 3a              | • Any other event   |
| 3b              | • Situational Awareness and Sensory Events<br>Not required to monitor the aircraft under the agreed service |
| 3c              | • Situational Awareness and Sensory Events<br>Only generic, late or no Situational Awareness                |
| 3d              | • Conflict Detection - Not Detected   |
| 3e              | • Conflict Detection - Detected Late  |
| 3f              | • Conflict Resolution- Inadequate   |
| 3g              | • Conflict Resolution - Provided Late   |
| 3h              | • Inappropriate Clearance<br>Controller instructions contributed to the conflict                            |
| 3i              | • Traffic Management Information Provision<br>Not provided, inaccurate, inadequate, or late                 |
| 3j              | • Callsign Confusion  |
| 3k              | • Separation Provision<br>Not Achieved  |
| 3l              | • Distraction - Job Related   |
| 3m              | • ATM Personnel Hear back<br>Incorrect readback not detected/corrected                                      |
| 3n              | • ATM Personnel Hear back<br>Flight crew transmission misinterpreted  |
| 3o              | • Monitoring of Equipment/Instruments<br>Equipment misinterpreted   |
| 3p              | • Personnel Perception Events<br>Concerned by the proximity of the aircraft                                 |
| 3q              | • ATM Coordination<br>Inadequate or ineffective   |
| <b>4</b>        | <b>• Electronic Warning System Operation and Compliance</b>   |
| 4a              | • Any other event   |
| 4b              | • Conflict Alert System Failure<br>The system did not function as expected                                  |
| 4c              | • Conflict Alert System Failure<br>Controller did not adequately act on the conflict alert                  |

| Flight Elements  |   |
|--|---|
| <b>• Regulations, Processes, Procedures and Compliance</b> |   |
| 5a   | • Any other event   |
| 5b   | • Flight Operations Documentation and Publications<br>Inadequate regulations or procedures          |
| 5c   | • Flight Crew ATM Procedure Deviation<br>Regulations/procedures not complied with                   |
| <b>6</b>   | <b>• Tactical Planning and Execution</b>  |
| 6a   | • Any other event   |
| 6b   | • Flight Planning Information Sources<br>Inadequate planning material                               |
| 6c   | • Aeronautical Information Not Updated<br>Pilot did not file a suitable notification of the flight  |
| 6d   | • No Decision/Plan<br>Inadequate planning   |
| 6e   | • Insufficient Decision/Plan<br>Inadequate plan adaption  |
| 6f   | • Action Performed Incorrectly<br>Incorrect or ineffective execution                                |
| 6g   | • Action Performed Incorrectly<br>Did not follow instructions                                       |
| 6h   | • Transponder Selection and Usage<br>Not correctly selected   |
| 6i   | • Operation with Incorrect Altimeter Setting  |
| 6j   | • Flight Level/Altitude Deviation (Level Bust)  |
| 6k   | • Airspace Infringement   |
| 6l   | • Aircraft Navigation<br>Flew through promulgated and active airspace                               |
| 6m   | • Aircraft Navigation<br>Did not avoid/conform with the pattern of traffic already formed           |
| 6n   | • Accuracy of Communication<br>Ineffective communication of intentions                              |
| 6o   | • Communications by Flight Crew with ANS<br>Appropriate ATS not requested by pilot                  |
| 6p   | • Communications by Flight Crew with ANS<br>Controller not able to provide requested ATS            |
| 6q   | • Communications by Flight Crew with ANS<br>Pilot did not communicate with appropriate ATS provider |

| <b>7 • Situational Awareness of the Conflicting Aircraft and Action</b> |  |  |
|---|--|--|
| 7a  | • Any other event  |  |
| 7b  | • Situational Awareness and Sensory Events   | Pilot had no, late or only generic, Situational Awareness              |
| 7c  | • Understanding/Comprehension  | Pilot did not assimilate conflict information                          |
| 7d  | • Lack of Communication  | Pilot did not request additional information                           |
| 7e  | • Lack of Action   | Pilot flew into conflict despite Situational Awareness                 |
| 7f  | • Lack of Action   | Pilot flew close enough to cause concern despite Situational Awareness |
| 7g  | • Flight Crew Callsign Confusion   |  |
| 7h  | • Mentoring  | Sub-optimal  |
| 7i  | • Distraction - Job Related  | Pilot was engaged in other tasks                                       |
| 7j  | • Interpretation of Automation or Flight Deck Information                                | Pilot was concerned by the proximity of the other aircraft             |
| 7k  | • Interpretation of Automation or Flight Deck Information                                | CWS sighting report  |
| 7l  | • Monitoring of Other Aircraft   | Pilot did not sufficiently integrate with the other aircraft           |
| <b>8 • Electronic Warning System Operation and Compliance</b>           |  |  |
| 8a  | • Any other event  |  |
| 8b  | • ACAS/TCAS RA   | TCAS RA event  |
| 8c  | • ACAS/TCAS TA   | TCAS TA / CWS indication   |
| 8d  | • ACAS/TCAS System Failure   | Incompatible CWS equipment   |
| 8e  | • ACAS/TCAS System Failure   | CWS did not alert as expected  |
| 8f  | • ACAS/TCAS Nuisance Alarm   | CWS alerted spuriously   |
| 8g  | • ACAS/TCAS Nuisance Alarm   | CWS alerted inaptly for VFR flight                                     |
| 8h  | • Interpretation of Automation or Flight Deck Information                                | CWS misinterpreted or not optimally actioned                           |
| 8i  | • Interpretation of Automation or Flight Deck Information                                | CWS alert expected but none reported                                   |
| <b>9 • See and Avoid</b>  |  |  |
| 9a  | • Any other event  |  |
| 9b  | • Poor Visibility Encounter  | One or both aircraft were obscured from the other                      |
| 9c  | • Distraction - Job Related  | Pilot looking elsewhere  |
| 9d  | • Near Airborne Collision with Aircraft, Balloon, Dirigible or Other Piloted Air Vehicle | A conflict in the FIR  |
| 9e  | • Near Airborne Collision with Other Airborne Object                                     | A conflict in the FIR  |
| 9f  | • Near Airborne Collision with RPAS  | A conflict in the FIR  |
| 9g  | • Monitoring of Other Aircraft   | Non-sighting or effectively a non-sighting by one or both pilots       |
| 9h  | • Monitoring of Other Aircraft   | Late-sighting by one or both pilots                                    |
| 9i  | • Monitoring of Other Aircraft   | Sighting report  |
| 9j  | • Perception of Visual Information   | Pilot perceived there was no conflict                                  |
| 9k  | • Perception of Visual Information   | Pilot was concerned by the proximity of the other aircraft             |
| 9l  | • Lack of Individual Risk Perception   | Pilot flew close enough to cause the other pilot concern               |
| 9m  | • Lack of Action   | Pilot flew close enough to cause the other pilot concern               |
| 9n  | • Lack of Action   | Pilot flew into conflict   |