

2017 Airprox Barrier Assessment Guide

Entity	Barrier	Availability				Functionality			
		Fully (3)	Partially (2)	Not Available (1)	Not Present	Fully (3)	Partially (2)	Non Functional (1)	Not Used
ANSP	Regulations, Processes, Procedures and Compliance	Appropriate regulations, processes & procedures were available	Regulations, processes & procedures were available but were lacking in some respects	Regulations, processes & procedures were either not available or were not appropriate	The Barrier was not present in this incident (e.g. no electronic warning system present, Note: U/S equipment is Not Available)	Regulations, processes & procedures were fully complied with	Regulations, processes & procedures were only partially complied with	Regulations, processes & procedures were not complied with	The Barrier was present but not used in this incident (e.g. Class G airspace radar service available but not used by the pilots)
	Manning & Equipment	Manning & equipment resources were appropriate	Manning and/or equipment resources were lacking in some respects	Manning and/or equipment resources were not appropriate		Shift manning was optimum and the equipment was fully functional	Shift manning was sub-optimal and/or the relevant equipment was partially serviceable (e.g. SSR only)	Shift manning was inadequate/ overtasked and/or the relevant equipment was unserviceable	
	Situational Awareness & Action	Specific situational awareness was available	Only generic situational awareness was available	Situational awareness relevant to the scenario was not available		The conflict was recognised and dealt with in a timely and effective manner	The conflict was recognised but only partially resolved or resolved late	The conflict was not identified or the actions did not resolve the incident	
	Warning System Operation and Compliance	Appropriate warning systems were available	Warning systems were available but not optimally configured	Warning systems were unserviceable		Warning system operated correctly and actions were appropriate	Warning system alerted late/ambiguously or was not acted upon until closer than desirable, or only partially acted upon	Warning system did not alert as expected, or was not acted upon	
Flight Crew	Regulations, Processes, Instructions, Procedures and Compliance	Appropriate regulations, processes, instructions & procedures were available	Regulations, processes, instructions or procedures were lacking in some respects	Regulations, processes, instructions or procedures were either not available or were not appropriate	The Barrier was not present in this incident (e.g. no electronic warning system present, Note: U/S equipment is Not Available)	Regulations, processes, instructions & procedures were fully complied with	Regulations, processes, instructions or procedures were only partially complied with	Regulations, processes, instructions or procedures were not complied with	The Barrier was present but not used in this incident (e.g. Class G airspace radar service available but not used by the pilots)
	Tactical Planning	Relevant information was available	Limited information was available (e.g. site not marked on maps)	Relevant information was not available or was not appropriate		Execution was fully effective	Execution was partially effective	Execution was not effective	
	Situational Awareness & Action	Specific SA/TI from either external or onboard systems was available	Only generic SA/TI was available	Flight crew had no SA/TI relevant to the scenario		Flight Crew acted accordingly with the available SA/TI	Flight Crew only partially acted or did not fully use the available SA/TI	Flight Crew did not use the available SA/TI	
	Warning System Operation and Compliance	Both aircraft were equipped with electronic warning systems that were compatible, selected and serviceable	One aircraft was equipped with an electronic warning system that was compatible, selected, serviceable and able to detect the other aircraft	At least one aircraft was equipped with an electronic warning system that was selected and serviceable but incompatible or unable to detect the other aircraft (e.g. other aircraft not transponding)		Warning system operated correctly and instructions were followed	Warning system alerted late/ambiguously or was not acted upon until closer than desirable, or only partially acted upon	Warning system did not alert or was not acted upon	
	See & Avoid	Both pilots were able to see the other aircraft (e.g. both were clear of cloud)	One pilot's visibility was uninhibited, one pilot's visibility was impaired (e.g. one in cloud one clear of cloud)	Both pilots were unable to see the other aircraft (e.g. both in cloud)	At least one pilot takes timely and appropriate action/ inaction	Both pilots or one pilot sees the other late and one or both are only able to take emergency avoiding action	Neither pilot sees the other in time to take effective avoiding action (i.e. the non-sighting scenario)		

Causal Factors are any behaviour, omission, or deficiency that if corrected, eliminated, or avoided would probably have prevented the Airprox.

Contributing Factors are any behaviour, omission, or deficiency that sets the stage for the Airprox.