| Grou  | nd Elements   |   |
|-------|---|---|
| Regu  | lations, Processes, Procedures and Compliance       |   |
| 1a    | Any other event                                     |   |
| 1b    | ATM Information Provision                           | Inadequate regulations or procedures                          |
| 1c    | ATM Regulatory Deviation                            | Regulations and/or procedures not complied with               |
| Man   | ning and Equipment                                  |   |
| 2a    | Any other event                                     |   |
| 2b    | ATM Staffing and Scheduling                         | Sub-Optimal establishment or scheduling of staff              |
| 2c    | Aerodrome and ATM Equipment                         | Non-functional or unavailable equipment                       |
| 2d    | Leadership and Supervision                          |   |
| 2e    | Mentoring   |   |
| Situa | tional Awareness and Action                         |   |
| 3a    | Any other event                                     |   |
| 3b    | ANS Flight Information Provision                    | Not required to monitor the aircraft under the agreed service |
| 3c    | Situational Awareness and Sensory Events            | The controller had generic, late or no Situational Awareness  |
| 3d    | Conflict Detection - Not Detected                   |   |
| 3e    | Conflict Detection - Detected Late                  |   |
| 3f    | Conflict Resolution – Not provided                  |   |
| 3g    | Conflict Resolution- Inadequate                     |   |
| 3h    | Conflict Resolution - Provided Late                 |   |
| 3i    | Inappropriate Clearance                             | The ANS clearance contributed to the Airprox                  |
| 3j    | ANS Flight Information Provision                    | Controller not able to provide requested ATS                  |
| 3k    | ANS Traffic Information Provision                   | TI not provided, inaccurate, inadequate, or late              |
| 31    | Callsign Confusion                                  |   |
| 3m    | Separation Provision                                | The ANS instructions contributed to the Airprox               |
| 3n    | Distraction - Job Related                           | Controller engaged in other tasks                             |
| 30    | ATM Personnel Hear back                             |   |
| 3р    | ATM Personnel Read back                             |   |
| 3q    | Monitoring of Equipment/Instruments                 | Equipment misinterpreted                                      |
| 3r    | Personnel Perception Events                         | Concerned by the proximity of the aircraft                    |
| 3s    | ATM Coordination                                    |   |
| Elect | ronic Warning System Operation and Compliance       |   |
| 4a    | Any other event                                     |   |
| 4b    | Conflict Alert System Failure                       |   |
| 4c    | ATM personnel operation/interpretation of equipment | Controller did not adequately act on the EWS indications      |
| 4d    | STCA Warning  |   |

| Flight  | Elements   |  |
|---------|--|--|
| Regu    | lations, Processes, Procedures and Compliance    |  |
| 5a      | Any other event                                  |  |
| 5b      | Flight Operations Documentation and Publications | Inadequate regulations or procedures                             |
| 5c      | Flight Operations Documentation and Publications | Regulations and/or procedures not complied with                  |
| 5d      | Flight Crew ATM Procedure Deviation              |  |
| 5e      | Flight Crew ATC Clearance Deviation              |  |
| Taction | cal Planning and Execution                       |  |
| 6a      | Any other event                                  |  |
| 6b      | Flight Planning Information Sources              | Inadequate planning material                                     |
| 6c      | Pre-flight briefing and flight preparation       |  |
| 6d      | Flight Planning and Preparation                  |  |
| 6e      | No Decision/Plan                                 |  |
| 6f      | Insufficient Decision/Plan                       | Inadequate plan adaption   |
| 6g      | Action Performed Incorrectly                     | Incorrect or ineffective execution                               |
| 6h      | Late Decision/Plan                               |  |
| 6i      | Transponder Selection and Usage                  | Selected off or incorrect selection                              |
| 6j      | Operation with Incorrect Altimeter Setting       |  |
| 6k      | Flight Level/Altitude Deviation (Level Bust)     |  |
| 6l      | Airspace Infringement                            |  |
| 6m      | Aircraft Navigation                              | Flew through promulgated and active airspace                     |
| 6n      | Monitoring of Other Aircraft                     | Did not avoid/conform with the pattern of traffic already formed |
| 60      | Accuracy of Communication                        | Ineffective communication of intentions                          |
| 6р      | Communications by Flight Crew with ANS           | Appropriate ATS not requested by pilot                           |
| 6q      | Communications by Flight Crew with ANS           | Pilot did not communicate with appropriate ATS provider          |

| 7a   | nal      |
|--|----------|
| 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 Situation Awareness 7g Flight crew response to communications Incorrect action following communications 7h Flight crew callsign confusion 7i Flight Crew hear back 7j Mentoring 7k Distraction - Job Related Pilot engaged in other tasks 7l Situational Awareness and Sensory Events Pilot was concerned by the proximity of the other aircraft Information Pilot was concerned by the proximity of the other aircraft Pilot did not sufficiently integrate with the other aircraft Electronic Warning System Operation and Compliance 8a Any other event 8b ACAS/TCAS RA 8c ACAS/TCAS TA 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 or inaptly 8g Other warning system operation Pilot Deck Information CRWS sighting report 8i Interpretation of Automation or Flight Deck CWS sighting report  | nal      |
| 7c Understanding/Comprehension 7d Lack of Communication 7e Lack of Communication 7f Lack of Action 7f Lack of Action 7f Lack of Action 7f Lack of Action 7f Pilot filew into conflict despite Situational Awareness 7f Pilot flew close enough to cause concern despite Situation Awareness 7f Flight crew response to communications 7f Flight crew callsign confusion 7f Flight Crew hear back 7f Mentoring 7k Distraction - Job Related 7f Situational Awareness and Sensory Events 7f Interpretation of Automation or Flight Deck Information 7n Monitoring of Other Aircraft 7m Monitoring of Other Aircraft 7m Monitoring of Other Aircraft 7m Avaring System Operation and Compliance 8a Any other event 8b ACAS/TCAS RA 8c ACAS/TCAS RA 8c ACAS/TCAS System Failure 8d ACAS/TCAS Nuisance Alarm 8d CWS alerted spuriously or inaptly 8d Other warning system operation 8d Interpretation of Automation or Flight Deck 10c Marning from a system other than TCAS or TAS 8d Interpretation of Automation or Flight Deck 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning from a system other than TCAS or TAS 10c Marning f | nal      |
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| Pilot flew close enough to cause concern despite Situation Awareness   | nal      |
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| Interpretation of Automation or Flight Deck Information  | t        |
| Pilot did not sufficiently integrate with the other aircraft   |          |
| Electronic Warning System Operation and Compliance   |          |
| 8a Any other event  8b ACAS/TCAS RA  8c ACAS/TCAS TA  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 or inaptly  8g Other warning system operation Warning from a system other than TCAS or TAS  8h Interpretation of Automation or Flight Deck Information CWS misinterpreted or not optimally actioned  8i Interpretation of Automation or Flight Deck CWS sighting report  |          |
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| 8e       ACAS/TCAS System Failure       CWS did not alert as expected         8f       ACAS/TCAS Nuisance Alarm       CWS alerted spuriously or inaptly         8g       Other warning system operation       Warning from a system other than TCAS or TAS         8h       Interpretation of Automation or Flight Deck Information       CWS misinterpreted or not optimally actioned         8i       Interpretation of Automation or Flight Deck       CWS sighting report  |          |
| 8e     ACAS/TCAS System Failure     CWS did not alert as expected       8f     ACAS/TCAS Nuisance Alarm     CWS alerted spuriously or inaptly       8g     Other warning system operation     Warning from a system other than TCAS or TAS       8h     Interpretation of Automation or Flight Deck Information     CWS misinterpreted or not optimally actioned       8i     Interpretation of Automation or Flight Deck     CWS sighting report  |          |
| 8g   Other warning system operation   Warning from a system other than TCAS or TAS     8h   Interpretation of Automation or Flight Deck   Information     8i   Interpretation of Automation or Flight Deck     8i   CWS sighting report  |          |
| 8h Interpretation of Automation or Flight Deck Information  8i Interpretation of Automation or Flight Deck CWS misinterpreted or not optimally actioned  8i CWS sighting report  |          |
| Information  Interpretation of Automation or Flight Deck  Si   |          |
| I XI I - I I WY SIGNTING PENALT  |          |
| , , , , , , , , , , , , , , , , , , ,  |          |
| 8j Interpretation of Automation or Flight Deck Information   CWS alert expected but none reported  |          |
| See and Avoid  |          |
| 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 Loss of Separation A conflict in the FIR  |          |
| 9e Near Airborne Collision with Aircraft, Balloon, Dirigible or Other Piloted Air Vehicle  |          |
| 9f Near Airborne Collision with Other Airborne Object Unpiloted air vehicle  |          |
| 9g Near Airborne Collision with RPAS Remotely piloted air vehicle  |          |
| 9h Monitoring of Other Aircraft Non-sighting or effectively a non-sighting by one or both  | pilots   |
| 9i Monitoring of Other Aircraft Late-sighting by one or both pilots  |          |
| 9j Monitoring of Other Aircraft Sighting report  |          |
| 9k Perception of Visual Information Pilot perceived there was no conflict  |          |
| 9l Perception of Visual Information Pilot was concerned by the proximity of the other aircraf  |          |
| 9m Lack of Individual Risk Perception Pilot flew close enough to cause concern   | <u> </u> |
| 9n Lack of Action Pilot flew close enough to cause concern   | t        |
| 90 Lack of Action Pilot flew into conflict   | t        |