

ESARR ADVISORY MATERIAL/GUIDANCE MATERIAL
(EAM/GUI)

EAM 2 / GUI 10

**GUIDANCE FOR THE COMPLETION OF
THE ANNUAL SUMMARY TEMPLATE**

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F.2 DOCUMENT CHARACTERISTICS

TITLE		
EAM 2 / GUI 10 – Guidance for the Completion of the Annual Summary Template		
Document Identifier	Edition Number	3.0
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Abstract		
<p>This document provides guidance on how to capture the safety data related to the reported occurrences in the AST. Each year States are required to send the following AST reports:</p> <ul style="list-style-type: none"> • A report containing the consolidated data of the previous year, including updated data for the first six months of that previous year by the end of March of each year; • A report containing initial data covering the first six months (January-June inclusive) of the respective year by the end of September and an updated report for the full previous year (if applicable); • A report containing updates of any previously submitted reports; <p>Updates of AST reports older than 2 years not captured in previous submissions or other updated AST reports are welcomed at any time.</p>		
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Causes	AST	Incidents
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F.3 DOCUMENT APPROVAL

The following table identifies all management authorities who have approved this document.

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F.4 AMENDMENT RECORD

The following table records the complete history of this document.

Edition No.	Date	Reason for change	Pages Affected
0.01	11-Nov-05	In accordance with SRC Action A-22/11, EAM 2 / COD 2, Edition 2.0 has been re-issued as EAM 2 / GUI 10, Edition 0.01 with changes as noted.	All
0.02	23-Jun-10	Update to include the reporting requirements for the altitude deviation in the RVSM airspace.	All
0.1	23-Sep-10	Document sent to SRC for approval following AST-FP consultation.	-
1.0	24-Mar-11	Document approved by SRC and formally released.	-
1.1	17-Oct-11	Update to include the indication of the application of the RAT Methodology.	All
2.0	13-Mar-12	Document released following AST-FP and SRC approval (RFC No. 1124).	-
2.1	11-Jun-15	Update of the RAT Methodology to reflect changes in the scope of applicability in RP2. Document sent to SRC for consultation and approval.	All
3.0	22-Sep-15	Document formally released following SRC consultation and approval (RFC No. 1502).	-

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F.5 CONTENTS

<u>Section</u>	<u>Title</u>	<u>Page</u>
Foreword		
F.1	Title Page	1
F.2	Document Characteristics	2
F.3	Document Approval	3
F.4	Amendment Record	4
F.5	Contents	5
F.6	Executive Summary	6
EAM 2 / GUI 10 – Guidance for the Completion of the Annual Summary Template		
1.	Introduction	7
2.	General	7
3.	AST Format and Common Features of the Data Sheets	9
4.	Categories of Safety Occurrences	10
	4.1 Accidents	10
	4.2 Reports Not Investigated	17
	4.3 Incidents (ATM-Related)	20
	4.4 Reduced Vertical Separation Minima (RVSM)	29
	4.5 ATM Specific Occurrences (Provision of ATM Services and Related Support Functions)	41
5.	Sending Reports	46
6.	Coding Guidelines	47
Appendices		
A.	Summary of Data Requirements	48
B.	ECCAIRS / ADREP Coding Guidelines	51
C.	AST / HEIDI Guidelines	55

F.6 EXECUTIVE SUMMARY

This document has been prepared by the Safety Regulation Commission (SRC) to provide guidance to States for reporting safety data statistics in the form of an Annual Summary Template (AST). It has evolved from a companion document to ESARR 2 (EAM 2 / COD 2) into guidance material for the completion of the AST following the SRC's decision to simplifying the structure of the SRC's deliverables

The AST Report is designed to capture information on Air Traffic Management (ATM) related occurrences in the form of a report that should be submitted to the SRC bi-annually, by the end of March and September. ESARR 2 - Reporting and Assessment of Safety Occurrences in ATM - Attachment B, details the minimum information to be included in the summary report to be provided to EUROCONTROL.

Each State shall ensure that any ATM operational or technical occurrence, which is considered to have significant safety implication, is investigated immediately and any necessary corrective action taken.

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1. INTRODUCTION

- 1.1 This document has been prepared by the Safety Regulation Commission (SRC) to provide guidance to States for reporting safety data statistics in the form of an Annual Summary Template (AST).
- 1.2 This document has evolved from a companion document to ESARR 2 (EAM 2 / COD 2) for the completion of the AST following the SRC's decision to simplifying the structure of the SRC's deliverables (refer to SRC22, Action A-22/11).
- 1.3 Version 2.0 of the AST included a new sheet (B-RVSM) for recording the altitude deviations in the RVSM airspace of a EUROCONTROL Member State. AST version 2.0 is formalised in the corresponding version of EAM 2 / GUI 9.
- 1.4 The latest update of the AST (version 4.0) includes the indication of the application of the Risk Analysis Tool (RAT) Methodology for the severity assessment of Separation Minima Infringements, Runway Incursions and ATM specific occurrences (i.e. worksheets B-Incidents and C-ATM specific) and is formalised in the latest version of EAM 2 / GUI 9.

2. GENERAL

- 2.1 The AST is designed to capture information on Air Traffic Management (ATM) occurrences in the form of a report that should be submitted to the SRC twice-yearly; at the end of March and September.
- 2.2 The format of this report is presented in the SRC's guidance material to ESARR 2 – EAM 2 / GUI 9 'Annual Summary Template'.
- 2.3 By definition, ATM occurrences include:
 - accidents;
 - (serious) incidents:
 - **Near collision** (encompassing specific situations where one aircraft and another aircraft/the ground/a vehicle/person or object is perceived to be too close to each other);
 - **Potential for collision or near collision** (encompassing specific situations having the potential to be an accident or near collision, if another aircraft is in the vicinity).
 - altitude deviations reported within the EUR RVSM airspace (above FL285);
 - **ATM-specific occurrences** (encompassing those situations where the ability to provide safe ATM services is affected, including situations where, by chance, the safe operations of aircraft has not been jeopardised);
 - **Other** defects or malfunctioning of an aircraft, its equipment and any element of the Air Navigation System which is used, or intended to be used, for the purpose or in connection with the operation of an aircraft, or with the provision of an air traffic management service or navigational aid to an aircraft.

- 2.4 Each State shall ensure that any ATM operational or technical occurrence, which is considered to have significant safety implication, is investigated immediately and any necessary corrective action taken.
- 2.5 Data captured in the AST must reflect all safety occurrences. Use the ‘*Status*’ column in each page to indicate those occurrences which are either ‘*under investigation*’ or ‘*not investigated*’.
- 2.6 ESARR 2 - Reporting and Assessment of Safety Occurrences in ATM”, Attachment B, details the minimum information to be included in the summary report to be provided to EUROCONTROL.
- 2.7 It is to be noted that the “State’s annual traffic volume” in section B-1 is **no longer needed** as the data for IFR GAT commercial flights will be collected directly from EUROCONTROL’s Central Flow Management Unit (CFMU).
- 2.8 EAM 2 / GUI 9 is available in the following formats:
- PDF – mainly for those who wants to have a printed form,
 - Excel 97 (or any newer version).
- 2.9 EUROCONTROL has also developed the TOKAI (Tool Kit for ATM Occurrence Investigation) tool, consisting of several applications to support the complete investigation process. Additionally, it provides a means for occurrence notification and enables a harmonised application of relevant safety regulations (ICAO Annex 13, ESARRs and relevant EC Directives). Furthermore, TOKAI enables the user to transfer data to an ECCAIRS system (European Coordination Centre for Accidents and Incidents Reporting System), or to produce reports in different formats, including the AST, needed for the exchange of safety information with EUROCONTROL.
- 2.10 The European Commission (EC) through the Joint Research Centre (JRC) has developed ECCAIRS as required by the Directive 2003/42/EC and enables data collection, integration and exchange network for safety occurrence information. This tool allows the user to automatically generate the AST by using the EASTER (ESARR2 **AST** Generator for an **ECCAIRS** Repository) application.
- 2.11 It is to be noted that the SRC does not mandate the use of any tool for the gathering of occurrence data, investigation or the completion of the AST. It is left to Member States to decide what system or tool best suites their national environment.
- 2.12 To help the collection process, the information has been divided into five categories:
- A – Accidents ;
 - B – Reports not investigated;
 - B – Incidents (ATM related);
 - B – RVSM;
 - C – ATM Specific Occurrences having an impact on the ability to provide safe ATM services.

- 2.13 The Excel version has the following worksheets to allow AST Focal Points (AST-FP) to report the safety data (hereafter referred to as “**data sheets**”):
- “FrontPage” - captures the details of the sender;
 - “A-Accidents” - to record data related to accidents;
 - “B-Reports” - to record data related to reports not investigated;
 - “B-Incidents” - to record data about ATM related incidents;
 - “B-RVSM” - to record data about altitude deviations reported in the RVSM airspace (above FL285);
 - “C-ATM Specific” – to record data related to ATM Specific occurrences;
 - Two other worksheets – Lists and Causes contain only reference data used to populate consistently the AST (hereafter called “reference sheets”):
- 2.14 The AST can also be generated in **Adobe Acrobat (PDF format)** starting from the **Excel** version.
- 2.15 Additional comments are available in the **Excel** version for some boxes to assist in completing the AST. These boxes that contain guidance are highlighted by a red triangle positioned in the upper right corner. Keep the mouse cursor over the field without clicking and the text will pop-up automatically.
- 2.16 To identify ATM safety occurrences, please use the glossary of definitions available in ESARR 2 and the EUROCONTROL HEIDI Taxonomy.
- 2.17 The following abbreviations are used in the AST:
- **AFL** – Actual Flight Level
 - **AST** – Annual Summary Template
 - **CA** – Commercial Air Traffic
 - **CFL** – Cleared Flight Level
 - **IFR** – Instrument Flight Rules
 - **GA** – General Aviation
 - **GAT** – General Air Traffic
 - **OAT** – Operational Air Traffic
 - **VFR** – Visual Flight Rules

3. AST FORMAT AND COMMON FEATURES OF THE DATA SHEETS

- 3.1 Safety occurrences should be added one by one, in a sequential manner.
- 3.2 One occurrence may require more than one row in order to complete all the related data. In such cases, the AST-FP should always record the dis-identified “OCC Reference Number” on the first line. In doing so, they will facilitate the automatic processing of the received AST reports by EUROCONTROL.

- 3.3 Each column is used to record a different type of information, e.g. type of occurrence, flight rules, severity or causes.
- 3.4 When entering information, a drop down menu is available for most of the columns, allowing you to choose from a pre-defined list of options. All these lists are presented in the Reference Sheets of the AST.
- 3.5 When entering data in a certain column and when there is more than one choice (e.g. type of the occurrence, phase of flight - when there is more than 1 aircraft involved, and causes), please record all applicable options one-by-one in adjacent rows.
- 3.6 In order to ensure that all data entered is based on the pre-defined rules, the worksheets are “protected”, so as to only allow pre-defined data to be entered into designated boxes.
- 3.7 In cases requiring the export of the contents of a national occurrence database into the AST report, the AST-FP should contact EUROCONTROL (ast@eurocontrol.int) for an unprotected version of the document. For more details please see Section 5.3 below.

4. CATEGORIES OF SAFETY OCCURRENCES

4.1 Accidents

- 4.1.1 Accidents taking place in the airspace of a Member State should be included in the appropriate sheet of the AST report submitted to the SRC.
- 4.1.2 This sheet contains the following fields:

No:	1			
Field Name:	OCC Reference Number			
Field Type:	Free text			
Rationale:	Required to differentiate between two adjacent occurrences (to know exactly when a new occurrence is recorded).			
Comment:	If you use the "real" Reference Number when you populate the AST, you may want to dis-identify this field before sending the report to EUROCONTROL.			
	OCC Reference Number	Date	Type	ATM Contribution
	ACCID 001		Collisions on the ground between a/c and vehicle/person/obstruction(s)	Indirect
				Under investigation
	<p>▶ FrontPage / A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes</p>			

No: 2

Field Name: Date

Field Type: Free text

Rationale: This field will allow to the AST-FP to:

- identify/match an accident;
- enter/update the safety data in the AST Report.

Comment: Date field is used only to do statistics on months/half years/years, etc.

OCC Reference Number	Date	Type	ATM Contribution	Status
ACCID 001	12.10.2009	Collisions on the ground between a/c and vehicle/person/obstruction(s)	Indirect	Under investigation

FrontPage > A-Accidents > B-Reports > B-Incidents > C-ATM Specific > Lists > Causes

No: 3

Field Name: Type of accident

Field Type: Drop-down list

Rationale: All accidents should be reported through the AST. The following specific categories of accidents are of interest in particular:

- Mid-Air Collisions;
- Controlled Flights Into Terrain – CFITs;
- Collisions on the ground between Aircraft;
- Collisions between an airborne Aircraft and Vehicle /another Aircraft on the Ground;
- Collisions on the ground between Aircraft and Vehicle/ Person(s) / Obstructions(s).

Comment: Please use the drop down menu available in the template to record any accident that falls within the above listed categories. For accidents that do not fall into the five predefined categories, please chose 'Other'.

Note: the list containing the available types of accidents is to be found in the worksheet 'Lists' under the header 'Categories of Accidents'.

OCC Reference Number	Date	Type	ATM Contribution	Status
ACCID 001		Collisions on the ground between a/c and vehicle/person/obstruction(s)	Indirect	Under investigation

FrontPage > A-Accidents > B-Reports > B-Incidents > B-RVSM > C-ATM Specific > Lists > Causes

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No: 4

Field Name: ATM Contribution

Field Type: Drop-down list

Rationale: Please select 'Direct', 'Indirect' or 'No contribution', in accordance with ESARR 2 terminology.

Comment: Record "Not assessed" if the assessment was not done or if there is no information available.

OCC Reference Number	Date	Type	ATM Contribution	Status
ACCID 001		Collisions on the ground between a/c and vehicle/person/obstruction(s)	Indirect	Under investigation

[FrontPage](#) / [A-Accidents](#) / [B-Reports](#) / [B-Incidents](#) / [B-RVSM](#) / [C-ATM Specific](#) / [Lists](#) / [Causes](#)

No: 5

Field Name: Status

Field Type: Drop-down list

Rationale: Record the status of the investigation.

Comment: It should be either 'Investigated' or 'Under investigation'.

OCC Reference Number	Date	Type	ATM Contribution	Status
ACCID 001		Collisions on the ground between a/c and vehicle/person/obstruction(s)	Indirect	Under investigation

[FrontPage](#) / [A-Accidents](#) / [B-Reports](#) / [B-Incidents](#) / [B-RVSM](#) / [C-ATM Specific](#) / [Lists](#) / [Causes](#)

No: 6

Field Name: Damage

Field Type: Drop-down list

Rationale: Record the level of damage of the aircraft involved in the accident. When the information is known, group the standard ICAO categories either in 'Destroyed', 'Substantially damaged', 'Minor' or 'None'.

Comment: Use the other options to capture the situation when this information is missing: 'Unknown' or 'Not collected'.

Damage	Fatal accident?	Aircraft involved	Fatalities (crew)	Fatalities (passangers)	Fatalities (third parties)
Destroyed or substantially damaged	Yes	a/c 1	1	0	0

[A-Accidents](#) / [B-Reports](#) / [B-Incidents](#) / [B-RVSM](#) / [C-ATM Specific](#) / [Lists](#) / [Causes](#)

No:	7												
Field Name:	Fatal Accident												
Field Type:	Drop-down list												
Rationale:	Record 'Yes' or 'No' as applicable												
Comment:	<table border="1"> <thead> <tr> <th>Damage</th> <th>Fatal accident?</th> <th>Aircraft involved</th> <th>Fatalities (crew)</th> <th>Fatalities (passangers)</th> <th>Fatalities (third parties)</th> </tr> </thead> <tbody> <tr> <td>Destroyed or substantially damaged</td> <td>Yes</td> <td>a/c 1</td> <td>1</td> <td>0</td> <td>0</td> </tr> </tbody> </table> <p>A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes</p>	Damage	Fatal accident?	Aircraft involved	Fatalities (crew)	Fatalities (passangers)	Fatalities (third parties)	Destroyed or substantially damaged	Yes	a/c 1	1	0	0
Damage	Fatal accident?	Aircraft involved	Fatalities (crew)	Fatalities (passangers)	Fatalities (third parties)								
Destroyed or substantially damaged	Yes	a/c 1	1	0	0								

No:	8												
Field Name:	Aircraft involved												
Field Type:	Free text												
Rationale:	Record the number of aircraft involved in the accident. This column is used to differentiate the data related to the aircraft involved in the accident (when there is more than one aircraft involved).												
Comment:	Record a line for each aircraft involved; e.g. if two aircraft were involved, record a/c1 in the first line and a/c2 in the second line. Keep consistency when filling in the following 8 fields; data for the same aircraft should be on the same line.												
	<table border="1"> <thead> <tr> <th>Damage</th> <th>Fatal accident?</th> <th>Aircraft involved</th> <th>Fatalities (crew)</th> <th>Fatalities (passangers)</th> <th>Fatalities (third parties)</th> </tr> </thead> <tbody> <tr> <td>Destroyed or substantially damaged</td> <td>Yes</td> <td>a/c 1</td> <td>1</td> <td>0</td> <td>0</td> </tr> </tbody> </table> <p>A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes</p>	Damage	Fatal accident?	Aircraft involved	Fatalities (crew)	Fatalities (passangers)	Fatalities (third parties)	Destroyed or substantially damaged	Yes	a/c 1	1	0	0
Damage	Fatal accident?	Aircraft involved	Fatalities (crew)	Fatalities (passangers)	Fatalities (third parties)								
Destroyed or substantially damaged	Yes	a/c 1	1	0	0								

No:	9												
Field Name:	Fatalities (crew)												
Field Type:	Number												
Rationale:	Number of fatalities – crew												
	<table border="1"> <thead> <tr> <th>Damage</th> <th>Fatal accident?</th> <th>Aircraft involved</th> <th>Fatalities (crew)</th> <th>Fatalities (passangers)</th> <th>Fatalities (third parties)</th> </tr> </thead> <tbody> <tr> <td>Destroyed or substantially damaged</td> <td>Yes</td> <td>a/c 1</td> <td>1</td> <td>0</td> <td>0</td> </tr> </tbody> </table> <p>A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes</p>	Damage	Fatal accident?	Aircraft involved	Fatalities (crew)	Fatalities (passangers)	Fatalities (third parties)	Destroyed or substantially damaged	Yes	a/c 1	1	0	0
Damage	Fatal accident?	Aircraft involved	Fatalities (crew)	Fatalities (passangers)	Fatalities (third parties)								
Destroyed or substantially damaged	Yes	a/c 1	1	0	0								

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No: 10
 Field Name: Fatalities (passengers)
 Field Type: Number
 Rationale: Number of fatalities – passengers

Damage	Fatal accident?	Aircraft involved	Fatalities (crew)	Fatalities (passangers)	Fatalities (third parties)
Destroyed or substantially damaged	Yes	a/c 1	1	0	0

A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes

No: 11
 Field Name: Fatalities (third parties)
 Field Type: Number
 Rationale: Number of fatalities third parties
 Comment: The third parties casualties are to be recorded as a total, not per aircraft involved.

Damage	Fatal accident?	Aircraft involved	Fatalities (crew)	Fatalities (passangers)	Fatalities (third parties)
Destroyed or substantially damaged	Yes	a/c 1	1	0	0

A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes

No: 12
 Field Name: Class of Airspace
 Field Type: Drop down list
 Rationale: Record A, B, C, D, E, F and G as appropriate.
 Comment: Use the other options to capture the situation when this information is missing. When the two aircraft were in the same class of airspace (as it is almost always the case) record it just once.

Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
C	Taxiing	IFR	GAT	CA

A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific

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No: 13

Field Name: Phase of Flight

Field Type: Drop down list

Rationale: Record a line for each a/c involved;
e.g. if two a/c were involved, one taxiing and one departing, then the outcome will be:

- Taxiing
- Take-off.

Comment: Keep consistency with the other columns; data regarding the same aircraft should be on the same line.

Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
C	Taxiing	IFR	GAT	CA
A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific				

No: 14

Field Name: Flight Rules

Field Type: Drop down list

Rationale: Select 'IFR' for 'Instrumental Flight Rules', 'VFR' for 'Visual Flight Rules' and 'Other' for unlisted types of flights (e.g. Aerial Work, Military and Instruction Flights, etc.). Use the other available options to capture the situation when this information is not applicable or missing: 'Not applicable', 'Unknown', 'Not collected', 'Not available'.

Comment: Keep consistency with the other columns; data regarding the same aircraft should be on the same line.

Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
C	Taxiing	IFR	GAT	CA
A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific				

No: 15

Field Name: Type of Operations

Field Type: Drop down list

Rationale: Select 'GAT' for 'General Air Traffic', 'OAT' for 'Operational Air Traffic' and 'Other' for unlisted types of operations. Use the other available options to capture the situation when this information is not applicable or missing: 'Not applicable', 'Unknown', 'Not collected', 'Not available'.

Comment: Keep consistency with the other columns; data regarding the same aircraft should be on the same line.

Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
C	Taxiing	IFR	GAT	CA
A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific				

No: 16

Field Name: Type of Flight

Field Type: Drop down list

Rationale: Select 'CA' for 'Commercial Air Transport', 'GA' for 'General Aviation Operation', 'Military' for Military flights (being GAT or OAT) and 'Other' for unlisted types of flights (e.g. Aerial Work, Instruction Flights). Use the other options to capture the situation when this information is not applicable or missing: 'Not applicable', 'Unknown', 'Not collected', 'Not available'.

Comment: Keep consistency with the other columns; data regarding the same aircraft should be on the same line.

Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
C	Taxiing	IFR	GAT	CA

A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific

No: 17

Field Name: Category of causes

Field Type: Drop down list

Rationale: Insert the category of causes assigned to this occurrence following the conduction of the national investigation

Comment: Group your causes in the pre-defined categories as per ESARR 2, Appendix A, §A-3.3.1. When entering data in the Causes related columns, in addition to the drop down menu and because these lists are quite long, by pressing simultaneously CTRL+L keys, the information is presented to you in a more user-friendly way where you can pick the right options (multiple choices can be made).
For your reference, you can find the complete option list in the "Lists" worksheet, under the "List of Category of Causes" header.

Category of Causes	List of Causes (HEIDI)	List of Causes (National)
Operational ATC procedures		
Aerodrome layout and infrastructure		

A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes

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No:	18																										
Field Name:	List of causes																										
Field Type:	Drop down list																										
Rationale:	Select one or more causes that led to the occurrence, as identified by the investigation conducted at national level.																										
Comment:	<p>The AST will present two columns where you can fill in the detailed causes related to the occurrence. If you use a EUROCONTROL HEIDI compatible taxonomy, select causes from the “<i>List of Causes (HEIDI)</i>”. This list of detailed causes has been pre-populated by EUROCONTROL so you can pick up the right values from the list.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #cccccc;"> <th style="width: 33%;">Category of Causes</th> <th style="width: 33%;">List of Causes (HEIDI)</th> <th style="width: 33%;">List of Causes (National)</th> </tr> </thead> <tbody> <tr> <td>Operational ATC procedures</td> <td></td> <td></td> </tr> <tr> <td>Aerodrome layout and infrastructure</td> <td></td> <td></td> </tr> </tbody> </table> <p style="font-size: small;">\A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes /</p> <p>If you use another taxonomy, record the causes related to the occurrence in the column “<i>List of Causes (National)</i>”.</p> <p>This list from where you can choose could not be populated in advance by EUROCONTROL. To create such a list, please select the “<i>Causes</i>” worksheet (the last one) and under the heading “<i>List of Causes (National)</i>” start filling in your own causes. The green cells are the only one that allows you to record information. Once this is done, all the causes that you have introduced will become available in the data worksheet in the drop down menu or in the list which opens up when pressing CTRL+L.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #cccccc;"> <th style="width: 100%;">List of Causes (National)</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">5</td> </tr> <tr style="background-color: #e0ffe0;"> <td>Cause 1 (replace with your own national cause)</td> </tr> <tr style="background-color: #e0ffe0;"> <td>Cause 2 ...</td> </tr> <tr style="background-color: #e0ffe0;"> <td>Cause 3</td> </tr> <tr style="background-color: #e0ffe0;"> <td>Cause 4</td> </tr> <tr style="background-color: #e0ffe0;"> <td>Cause 5</td> </tr> <tr style="background-color: #e0ffe0;"> <td>Cause 6</td> </tr> </tbody> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #cccccc;"> <th style="width: 33%;">Category of Causes</th> <th style="width: 33%;">List of Causes (HEIDI)</th> <th style="width: 33%;">List of Causes (National)</th> </tr> </thead> <tbody> <tr> <td>Operational ATC procedures</td> <td></td> <td></td> </tr> <tr> <td>Aerodrome layout and infrastructure</td> <td></td> <td></td> </tr> </tbody> </table> <p style="font-size: small;">\A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes /</p>	Category of Causes	List of Causes (HEIDI)	List of Causes (National)	Operational ATC procedures			Aerodrome layout and infrastructure			List of Causes (National)	5	Cause 1 (replace with your own national cause)	Cause 2 ...	Cause 3	Cause 4	Cause 5	Cause 6	Category of Causes	List of Causes (HEIDI)	List of Causes (National)	Operational ATC procedures			Aerodrome layout and infrastructure		
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Cause 6																											
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Aerodrome layout and infrastructure																											

4.2 Reports Not Investigated

- 4.2.1 This sheet records only those reports which were not investigated (e.g. because of lack of data or insufficient resources). To list the investigated reports, use the page "B-Incidents", under the column "Notification Reports", linked to the relevant incident.
- 4.2.2 Usually when a report is not investigated, less data is available and as such, less data is required to be filled in.
- 4.2.3 **Part of the AST Template ‘Report’ refers to a “Notification report” filled out by a controller, pilot, technician, etc. or generated by an automated safety monitoring tool using, or not, a notification form. Note that this notification report is not the investigation report.** Please record one report on one line.

4.2.4 This sheet contains the following fields:

No: 1

Field Name: REP Reference Number

Field Type: Free text

Rationale: Individual occurrence number stored for tracking purposes only.

Comment: If you use the "real" Reference Number when you populate the AST, you may want to dis-identify this field before sending the report to EUROCONTROL.

B1. Notifications Reports not investigated		
REP reference number	Date	Type
REP 0C1		AIRPROX
REP 0C2		AIRPROX
REP 0C3		Human ATC
REP 0C4		Human ATC
REP 0C5		Human ATC
REP 0C6		Human ATC
REP 0C7		Human ATC

FrontPage / A-Accidents / **B-Reports** / B-Incidents / B-RVSM / C-ATM Specific

No: 2

Field Name: Date

Field Type: Free text

Rationale: To allow to the AST Focal Point to:

- identify/match an occurrence;
- enter more data or to edit existing data (e.g. from the moment of the initial record of the data new/updated information is available for a particular occurrence; then this information has to be recorded in the AST in the right place).

Comment: Date field is used only to do statistics on months/half years/years etc.

B1. Notifications Reports not investigated		
REP reference number	Date	Type
REP 001		AIRPROX
REP 002		AIRPROX
REP 003		Human ATC
REP 004		Human ATC
REP 005		Human ATC
REP 006		Human ATC
REP 007		Human ATC

FrontPage / A-Accidents / **B-Reports** / B-Incidents / B-RVSM / C-ATM Specific

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No: 3

Field Name: Type of report

Field Type: Drop-down list

Rationale: There are predefined values in the "Lists" worksheet under the heading "Type of reports".

B1. Notifications Reports not investigated		
REP reference number	Date	Type
REP 001		AIRPROX
REP 002		AIRPROX
REP 003		Human ATC
REP 004		Human ATC
REP 005		Human ATC
REP 006		Human ATC
REP 007		Human ATC

FrontPage / A-Accidents / **B-Reports** / B-Incidents / B-RVSM / C-ATM Specific / L

No: 4

Field Name: Status

Field Type: Drop-down list

Rationale: There are predefined values in the "Lists" worksheet under the heading "Status".

Comment: Record always 'Not investigated'.

B1. Notifications Reports not investigated		
Type	Status	Flight Rules
AIRPROX	Not investigated	VFR
AIRPROX	Not investigated	VFR
Human ATC	Not investigated	IFR/VFR
Human ATC	Not investigated	IFR/VFR
Human ATC	Not investigated	IFR/VFR
Human ATC	Not investigated	IFR/VFR
Human ATC	Not investigated	IFR/VFR
Human ATC	Not investigated	VFR/VFR

To list the investigated reports, use the column "Notification Reports", in the incident.

B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes /

No: 5

Field Name: Flight Rules

Field Type: Drop-down list

Rationale: The field provides all possible combinations of flight rules for occurrences involving one or multiple aircraft.

Comment: Select the appropriate available type of flight rules.

B1. Notifications Reports not investigated		
Type	Status	Flight Rules
AIRPROX	Not investigated	VFR
AIRPROX	Not investigated	VFR
Human ATC	Not investigated	IFR/VFR
Human ATC	Not investigated	IFR/VFR
Human ATC	Not investigated	IFR/VFR
Human ATC	Not investigated	IFR/VFR
Human ATC	Not investigated	VFR/VFR

To list the investigated reports, use the column "Notification Reports", in the incident.

B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes /

No: 6

Field Name: Type of Operations

Field Type: Drop-down list

Rationale: The field provides all possible types of operations for occurrences involving one or multiple aircraft.

Comment: Select the appropriate available type of operations.

B1. Notifications Reports not investigated			
Type	Status	Flight Rules	Type of Operations
AIRPROX	Not investigated	VFR	GAT
AIRPROX	Not investigated	VFR	OAT
Human ATC	Not investigated	IFR/VFR	GAT/GAT
Human ATC	Not investigated	IFR/VFR	GAT/OAT
Human ATC	Not investigated	IFR/VFR	GAT/OAT
Human ATC	Not investigated	IFR/VFR	OAT/OAT
Human ATC	Not investigated	VFR/VFR	OAT/OAT

To list the investigated reports, use the page "B-Incidents" column "Notification Reports", in the line corresponding to the incident.

B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes

4.3 Incidents (ATM-Related)

4.3.1 This sheet contains the following fields:

No: 1

Field Name: OCC Reference Number

Field Type: Free text

Rationale: Required to differentiate between two adjacent occurrences (to know exactly when a new occurrence is recorded).

Comment: If you use the "real" Reference Number when you populate the AST, you may want to dis-identify this field before sending the report to EUROCONTROL.

B. ATM Related Incidents				
OCC Reference Number	Date	Type of ATM Incident	Notification Reports	ATM Contribution
INCID 001		Inadequate separation	AIRPROX	Indirect
		Runway Incursion	Human ATC	
		Runway Incursion where no avoiding action was necessary	Human ATC	

FrontPage / A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists

(Space Left Intentionally Blank)

No: 2

Field Name: Date

Field Type: Free text

Rationale: To allow to the AST Focal Point to:

- identify/match an occurrence;
- enter more data or to edit existing data (e.g. from the moment of the initial record of the data new/updated information is available for a particular occurrence; then this information has to be recorded in the AST in the right place).

Comment: Date field is used only to do statistics on months/half years/years, etc.

OCC Reference Number	Date	Type of ATM Incident	Notification Reports	ATM Contribution
INCID 001	14.10.2009	Inadequate separation	AIRPROX	Indirect
		Runway Incursion	Human ATC	
		Runway Incursion where no avoiding action was necessary	Human ATC	

Navigation: FrontPage / A-Accidents / B-Reports / **B-Incidents** / C-ATM Specific / Lists / Causes

No: 3

Field Name: Type of ATM Related Incidents

Field Type: Drop-down list

Rationale: All ATM-related incidents should be reported through the AST. The following specific categories of accidents are of interest in particular and can be found in the "Lists" worksheet, under the "Type of ATM Related Incidents" header:

- Separation minima infringement;
- Inadequate separation;
- Near Controlled Flight Into Terrain (CFIT);
- Runway excursion by aircraft;
- Aircraft deviation from applicable ATM regulation;
- Aircraft deviations from applicable published ATM procedures;
- Aircraft deviation from ATC clearance;
- Level Bust (LB);
- Unauthorised penetration of airspace;
- Deviations from aircraft ATM-related equipment carriage and operations, as mandated in applicable regulation(s);
- Runway Incursion;
- Runway Incursion where avoiding action was necessary;
- Runway Incursion where no avoiding action was necessary;
- Prolonged Loss of Communication (PLOC).

Comment: Please use the drop down menu available in the template to record any ATM related incident that falls within the above listed categories. For accidents that do not fall in the predefined categories please chose 'Other'.

B. ATM Related Incidents				
OCC Reference Number	Date	Type of ATM Incident	Notification Reports	ATM Contribution
INCID 001		Inadequate separation	AIRPROX	Indirect
		Runway Incursion	Human ATC	
		Runway Incursion where no avoiding action was necessary	Human ATC	

Navigation: FrontPage / A-Accidents / B-Reports / **B-Incidents** / B-RVSM / C-ATM Specific / Lists / C

No: 4

Field Name: Notification Reports

Field Type: Drop-down list

Rationale: This field indicates the type of report(s) received for each reported occurrence.

Comment: More than one entry could be applicable for this field. If the case please add each entry on a separate line. In principle at least a 'Human ATC' report should be received for each reported ATM related incident. If the type of report received is not one of the 5 predefined categories, please choose 'Other'.

B. ATM Related Incidents				
OCC Reference Number	Date	Type of ATM Incident	Notification Reports	ATM Contribution
INCID 001		Inadequate separation	AIRPROX	Indirect
		Runway Incursion	Human ATC	
		Runway Incursion where no avoiding action was necessary	Human ATC	

FrontPage / A-Accidents / B-Reports / **B-Incidents** / B-RVSM / C-ATM Specific / Lists / C

No: 5

Field Name: ATM Contribution

Field Type: Drop-down list

Rationale: This field provides information on the ATM system impact on the occurrence.

Comment: This data is only available following the conduction of the national investigation. Please select 'Direct', 'Indirect' or 'No contribution' as applicable. If there is no information available or no assessment was conducted, please choose 'Not assessed'.

B. ATM Related Incidents				
OCC Reference Number	Date	Type of ATM Incident	Notification Reports	ATM Contribution
INCID 001		Inadequate separation	AIRPROX	Indirect
		Runway Incursion	Human ATC	
		Runway Incursion where no avoiding action was necessary	Human ATC	

FrontPage / A-Accidents / B-Reports / **B-Incidents** / B-RVSM / C-ATM Specific / Lists / C

No: 6

Field Name: Status

Field Type: Drop-down list

Rationale: Record the status of the investigation.

Comment: Normally for this field you should select either 'Investigated' or 'Under Investigation'. Please use the option 'Not investigated' as applicable.

Status	Airspace Restriction	Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
Investigated	Not applicable	A	Taxiing	IFR	GAT	GA
			Take-off	IFR	GAT	CA

reports / **B-Incidents** / B-RVSM / C-ATM Specific / Lists / Causes /

No: 7

Field Name: Airspace Restriction

Field Type: Drop-down list

Rationale: Please select the appropriate entry from the drop-down list to record the type of restriction in place at the time of the occurrence.

Comment: You should only consider the restriction(s) that had an impact on the occurrence. If not the case please select 'Not applicable'. Use the other options to capture the situation when this information is missing.

Status	Airspace Restriction	Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
Investigated	Not applicable	A	Taxiing	IFR	GAT	GA
			Take-off	IFR	GAT	CA

Reports > B-Incidents > B-RVSM > C-ATM Specific > Lists > Causes

Note that for the following fields (columns 8 to 12) you need to use a line for each aircraft involved (e.g. if two aircraft were involved, record data related to the aircraft 1 in the first line and aircraft 2 in the second line).

No: 8

Field Name: Class of Airspace

Field Type: Drop-down list

Rationale: Record A, B, C, D, E, F and G as appropriate. Please use the other options to capture the situation when this information is missing.

Comment: When the two aircraft were in the same class of airspace (as it is almost always the case) record it just once.

Status	Airspace Restriction	Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
Investigated	Not applicable	A	Taxiing	IFR	GAT	GA
			Take-off	IFR	GAT	CA

Reports > B-Incidents > B-RVSM > C-ATM Specific > Lists > Causes

No: 9

Field Name: Phase of Flight

Field Type: Drop down list

Rationale: Record a line for each a/c involved. If two a/c were involved, one taxiing and one departing then the outcome will be:

- Taxiing
- Take-off.

Comment: Keep consistency with the other columns; data regarding the same aircraft should be on the same line.

Status	Airspace Restriction	Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
Investigated	Not applicable	A	Taxiing	IFR	GAT	GA
			Take-off	IFR	GAT	CA

Reports > B-Incidents > B-RVSM > C-ATM Specific > Lists > Causes

No: 10

Field Name: Flight Rules

Field Type: Drop down list

Rationale: Select 'IFR' for 'Instrumental Flight Rules', 'VFR' for 'Visual Flight Rules' and 'Other' for unlisted types of flights (e.g. Aerial Work, Military and Instruction Flights etc). Use the other available options to capture the situation when this information is not applicable or missing: 'Not applicable', 'Unknown', 'Not collected', 'Not available'.

Comment: Keep consistence with the other columns; data regarding the same aircraft should be on the same line.

Status	Airspace Restriction	Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
Investigated	Not applicable	A	Taxiing	IFR	GAT	GA
			Take-off	IFR	GAT	CA

Reports > B-Incidents > B-RVSM > C-ATM Specific > Lists > Causes

No: 11

Field Name: Type of Operations

Field Type: Drop down list

Rationale: Select 'GAT' for 'General Air Traffic', 'OAT' for 'Operational Air Traffic' and 'Other' for unlisted types of operations. Use the other available options to capture the situation when this information is not applicable or missing: 'Not applicable', 'Unknown', 'Not collected', 'Not available'.

Comment: Keep consistence with the other columns; data regarding the same aircraft should be on the same line.

Status	Airspace Restriction	Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
Investigated	Not applicable	A	Taxiing	IFR	GAT	GA
			Take-off	IFR	GAT	CA

Reports > B-Incidents > B-RVSM > C-ATM Specific > Lists > Causes

No: 12

Field Name: Type of Flight

Field Type: Drop down list

Rationale: Select 'CA' for 'Commercial Air Transport' and 'GA' for 'General Aviation Operation', 'Military' for Military flights and 'Other' for unlisted types of flights (e.g. Aerial Work, Instruction Flights). Use the following options, as applicable, to capture the situation when this information is either not applicable or missing: 'Not applicable', 'Unknown', 'Not collected', 'Not available'.

Comment: Keep consistence with the other columns; data regarding the same aircraft should be on the same line.

Status	Airspace Restriction	Class of airspace	Phase of Flight	Flight Rules	Type of Operations	Type of Flight
Investigated	Not applicable	A	Taxiing	IFR	GAT	GA
			Take-off	IFR	GAT	CA

Reports > B-Incidents > B-RVSM > C-ATM Specific > Lists > Causes

No:	13																
Field Name:	RAT applied for ATM Ground																
Field Type:	Drop down list																
Rationale:	This field provides information on the application of the Risk Analysis Tool (RAT) methodology for the severity assessment of the ATM Ground component of the occurrence (in support to the verification of the implementation of the second Safety Key Performance Indicator in Commission Implementing Regulation (EU) No. 390/2013).																
Comment:	<p>Record:</p> <ul style="list-style-type: none"> - Yes; for occurrences which have been severity assessed with the RAT methodology, and are in the scope of the Performance Scheme Regulation. - No; for occurrences which have NOT been severity assessed with the RAT methodology, but are in the scope of the Performance Scheme Regulation. - Unknown; no information was available to the AST Focal Point. - Not applicable; for occurrences which do not fall under the scope of the Performance Scheme Regulation. 																
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RAT Applied ATM Ground?	ATM Ground Severity (RAT/Other)	RAT Applied ATM Overall ?	ATM Overall Severity (RAT/Other)														
Yes	C	Yes	C														

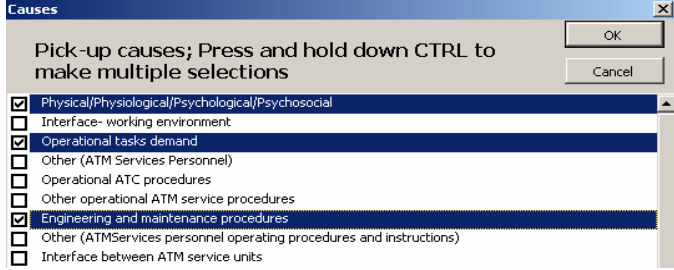
No:	14																
Field Name:	ATM Ground Severity (RAT/Other)																
Field Type:	Drop down list																
Rationale:	This field provides information on the severity of the occurrence, derived from the RAT methodology (in case the occurrence is within the scope of the Performance Scheme Regulation).																
Comment:	Record A, B, C, E or D as appropriate. If the severity was assessed and not communicated to the Focal Point choose " <i>Not available</i> ".																
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Yes	C	Yes	C														

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No:	15																				
Field Name:	RAT applied for ATM Overall																				
Field Type:	Drop down list																				
Rationale:	This field provides information on the application of the Risk Analysis Tool (RAT) methodology for the severity assessment of the ATM Overall component of the occurrence (in support to the verification of the implementation of the second Safety Key Performance Indicator in Commission Implementing Regulation (EU) No. 390/2013).																				
Comment:	<p>Record:</p> <ul style="list-style-type: none"> - Yes; for occurrences which have been severity assessed with the RAT methodology, and are in the scope of the Performance Scheme Regulation. - No; for occurrences which have NOT been severity assessed with the RAT methodology, but are in the scope of the Performance Scheme Regulation. - Unknown; no information was available to the AST Focal Point. - Not applicable; for occurrences which do not fall under the scope of the Performance Scheme Regulation. 																				
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Yes	C	Yes	C																		

No:	16																				
Field Name:	ATM Overall Severity (RAT/Other)																				
Field Type:	Drop down list																				
Rationale:	This field provides information on the severity of the occurrence, derived from the RAT methodology (in case the occurrence is within the scope of the Performance Scheme Regulation).																				
Comment:	Record A, B, C, E or D as appropriate. If the severity was assessed and not communicated to the Focal Point choose " <i>Not available</i> ".																				
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RAT Applied ATM Ground?	ATM Ground Severity (RAT/Other)	RAT Applied ATM Overall ?	ATM Overall Severity (RAT/Other)																		
Yes	C	Yes	C																		

(Space Left Intentionally Blank)

No:	17
Field Name:	Category of causes
Field Type:	Drop down list
Rationale:	Insert the category of causes assigned to this occurrence following the conduction of national investigation.
Comment:	<p>Group your causes in the pre-defined categories as per ESARR 2, Appendix A, §A-3.3.1. When entering data in the Causes-related columns, in addition to the drop down menu and as these lists are quite long, by simultaneously pressing CTRL+L keys, the information is presented to you in a more friendly way from where you can pick up the right options (multiple choices can be made). For your reference, you can find the complete option list in the “Lists” worksheet, under the “List of Category of Causes” header.</p> 

No:	18									
Field Name:	List of causes - HEIDI									
Field Type:	Drop down list									
Rationale:	Select one or more causes that led to the occurrence, as identified by the investigation conducted at national level.									
Comment:	<p>The AST will present two columns where you can fill in the detailed causes related to the occurrence. If you use a EUROCONTROL HEIDI compatible taxonomy, select causes from the “List of Causes (HEIDI)”. This list of detailed causes has been pre-populated by EUROCONTROL so you can pick up the right values from the list. The same procedure as in point 17 above applies.</p> <table border="1" data-bbox="491 1442 1168 1662"> <thead> <tr> <th>Category of Causes</th> <th>List of Causes (HEIDI)</th> <th>List of Causes (National)</th> </tr> </thead> <tbody> <tr> <td>Aerodrome layout and infrastructure</td> <td>Ground/ground -> Phraseology</td> <td>Cause 1 (replace with your own national cause)</td> </tr> <tr> <td>Operational ATC procedures</td> <td>Aerodrome layout and infrastructure LAHSO</td> <td></td> </tr> </tbody> </table>	Category of Causes	List of Causes (HEIDI)	List of Causes (National)	Aerodrome layout and infrastructure	Ground/ground -> Phraseology	Cause 1 (replace with your own national cause)	Operational ATC procedures	Aerodrome layout and infrastructure LAHSO	
Category of Causes	List of Causes (HEIDI)	List of Causes (National)								
Aerodrome layout and infrastructure	Ground/ground -> Phraseology	Cause 1 (replace with your own national cause)								
Operational ATC procedures	Aerodrome layout and infrastructure LAHSO									

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No:	19																									
Field Name:	List of causes - National																									
Field Type:	Drop down list																									
Rationale:	Select one or more causes that led to the occurrence, as identified by the investigation conducted at national level.																									
Comment:	<p>If you <u>do not</u> use the HEIDI taxonomy, record the causes related to the occurrence in the column “<i>List of Causes (National)</i>”. This list from where you can choose could not be populated in advance by EUROCONTROL. To create such a list, please select the “<i>Causes</i>” worksheet (the last one) and under the heading “<i>List of Causes (National)</i>” start filling in your own causes. The green cells are the only one that allows you to record information. Once this is done, all the causes that you have introduced will become available in the data worksheet in the drop down menu or in the list which opens up when pressing CTRL+L.</p> <table border="1" data-bbox="491 696 1166 1064"> <thead> <tr> <th>Category of Causes</th> <th>List of Causes (HEIDI)</th> <th>List of Causes (National)</th> </tr> </thead> <tbody> <tr> <td>Aerodrome layout and infrastructure</td> <td>Ground/ground -> Phraseology</td> <td>Cause 1 (replace with your own national cause)</td> </tr> <tr> <td>Operational ATC procedures</td> <td>Aerodrome layout and infrastructure LAHSO</td> <td></td> </tr> </tbody> </table> <p>accidents / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes /</p> <table border="1" data-bbox="491 896 1166 1064"> <thead> <tr> <th colspan="2">5</th> </tr> <tr> <th colspan="2">List of Causes (National)</th> </tr> </thead> <tbody> <tr> <td>Cause 1 (replace with your own national cause)</td> <td></td> </tr> <tr> <td>Cause 2 ...</td> <td></td> </tr> <tr> <td>Cause 3</td> <td></td> </tr> <tr> <td>Cause 4</td> <td></td> </tr> <tr> <td>Cause 5</td> <td></td> </tr> <tr> <td>Cause 6</td> <td></td> </tr> </tbody> </table>	Category of Causes	List of Causes (HEIDI)	List of Causes (National)	Aerodrome layout and infrastructure	Ground/ground -> Phraseology	Cause 1 (replace with your own national cause)	Operational ATC procedures	Aerodrome layout and infrastructure LAHSO		5		List of Causes (National)		Cause 1 (replace with your own national cause)		Cause 2 ...		Cause 3		Cause 4		Cause 5		Cause 6	
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Cause 3																										
Cause 4																										
Cause 5																										
Cause 6																										

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4.4 Reduced Vertical Separation Minima (RVSM)

- 4.4.1 In order to comply with the provisions of ICAO Annex 11 concerning the safety objectives within RVSM airspace, it is necessary to collect data on altitude deviations by aircraft in designated RVSM airspace (above FL285). This information enables the calculation of the Operational Risk which has to meet the defined safety objectives. This is then combined with the Technical Risk obtained from Height Monitoring Units to provide a measure of the overall risk.
- 4.4.2 The collected data should also enable the early identification of recurring problems and trends which might otherwise not be noted.
- 4.4.3 The SRC agreed to incorporate the RVSM reporting data, for monitoring purposes, into the ESARR 2 AST reporting mechanism. The subsequent amendment to ESARR 2 was approved by the EUROCONTROL Provisional Council and Permanent Commission (CN Decision No. 115) and is part of ESARR 2, Edition 3.0.
- 4.4.4 RVSM reporting data for monitoring purposes refers to specific types of ATM-related occurrences that are included in the calculation of the overall risk for operations in RVSM airspace, such as level busts / deviations from the cleared flight level. **In addition to recording it in the 'B-RVSM' sheet, these events should be incorporated in the 'B-Incidents' sheet of the AST report, as described in paragraph 4.3 above.**
- 4.4.5 Please note how the Altitude Deviations should be recorded in the (B-RVSM) sheet of the AST Template:

No: Field Name: Field Type: Rationale: Comment:	1 OCC Reference Number Free text Required to differentiate between two adjacent occurrences (to know exactly when a new occurrence is recorded). If you use the "real" Reference Number when you populate the AST, you may want to dis-identify this field before sending the report to EUROCONTROL.
-------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

B. ATM Related Incidents				
OCC Reference Number	Date	Type of ATM Incident	Notification Reports	ATM Contribution
LB 001	02.08.2009	Level Bust (LB)	Human ATC	No contribution
		Aircraft deviation from ATC clearance		
LB 002	02.11.2009	Level Bust (LB)	Human ATC	No contribution
		Aircraft deviation from ATC clearance	AIRPROX	
		Separation minima infringement		

[FrontPage](#) /
 [A-Accidents](#) /
 [B-Reports](#) /
 [B-Incidents](#) /
 [B-RVSM](#) /
 [C-ATM Specific](#)

No:	2																														
Field Name:	Date																														
Field Type:	Free text																														
Rationale:	<p>To allow to the AST Focal Point to:</p> <ul style="list-style-type: none"> • identify/match an altitude deviation report; • enter more data or to edit existing data (e.g. from the moment of the initial record of the data new/updated information is available for a particular occurrence; then this information has to be recorded in the AST in the right place). 																														
Comment:	<p>Date field is used only to do statistics on months/half years/years, etc.</p> <table border="1"> <thead> <tr> <th>OCC Reference Number</th> <th>Date</th> <th>Type of ATM Incident</th> <th>Notification Reports</th> <th>ATM Contribution</th> </tr> </thead> <tbody> <tr> <td>LB 001</td> <td>02.08.2009</td> <td>Level Bust (LB)</td> <td>Human ATC</td> <td>No contribution</td> </tr> <tr> <td></td> <td></td> <td>Aircraft deviation from ATC clearance</td> <td></td> <td></td> </tr> <tr> <td>LB 002</td> <td>02.11.2009</td> <td>Level Bust (LB)</td> <td>Human ATC</td> <td>No contribution</td> </tr> <tr> <td></td> <td></td> <td>Aircraft deviation from ATC clearance</td> <td>AIRPROX</td> <td></td> </tr> <tr> <td></td> <td></td> <td>Separation minima infringement</td> <td></td> <td></td> </tr> </tbody> </table>	OCC Reference Number	Date	Type of ATM Incident	Notification Reports	ATM Contribution	LB 001	02.08.2009	Level Bust (LB)	Human ATC	No contribution			Aircraft deviation from ATC clearance			LB 002	02.11.2009	Level Bust (LB)	Human ATC	No contribution			Aircraft deviation from ATC clearance	AIRPROX				Separation minima infringement		
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		Aircraft deviation from ATC clearance	AIRPROX																												
		Separation minima infringement																													

No:	3																														
Field Name:	Type of ATM Related Incidents																														
Field Type:	Drop-down list																														
Rationale:	All altitude deviations by aircraft in designated RVSM airspace (above FL285) should be reported through the AST.																														
Comment:	Please use the drop down menu available in the template to record any ATM related incident that falls within the above listed categories.																														
	<table border="1"> <thead> <tr> <th>OCC Reference Number</th> <th>Date</th> <th>Type of ATM Incident</th> <th>Notification Reports</th> <th>ATM Contribution</th> </tr> </thead> <tbody> <tr> <td>LB 001</td> <td>02.08.2009</td> <td>Level Bust (LB)</td> <td>Human ATC</td> <td>No contribution</td> </tr> <tr> <td></td> <td></td> <td>Aircraft deviation from ATC clearance</td> <td></td> <td></td> </tr> <tr> <td>LB 002</td> <td>02.11.2009</td> <td>Level Bust (LB)</td> <td>Human ATC</td> <td>No contribution</td> </tr> <tr> <td></td> <td></td> <td>Aircraft deviation from ATC clearance</td> <td>AIRPROX</td> <td></td> </tr> <tr> <td></td> <td></td> <td>Separation minima infringement</td> <td></td> <td></td> </tr> </tbody> </table>	OCC Reference Number	Date	Type of ATM Incident	Notification Reports	ATM Contribution	LB 001	02.08.2009	Level Bust (LB)	Human ATC	No contribution			Aircraft deviation from ATC clearance			LB 002	02.11.2009	Level Bust (LB)	Human ATC	No contribution			Aircraft deviation from ATC clearance	AIRPROX				Separation minima infringement		
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		Separation minima infringement																													

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No:	4
Field Name:	Notification Reports
Field Type:	Drop-down list
Rationale:	This field indicates the type of report(s) received for each reported occurrence.
Comment:	More than one entry could be applicable for this field. If the case please add each entry on a separate line. In principle at least a ' <i>Human ATC</i> ' report should be received for each reported ATM related incident. If the type of report received is not one of the 5 predefined categories, please choose ' <i>Other</i> '.

OCC Reference Number	Date	Type of ATM Incident	Notification Reports	ATM Contribution
LB 001	02.08.2009	Level Bust (LB)	Human ATC	No contribution
		Aircraft deviation from ATC clearance		
LB 002	02.11.2009	Level Bust (LB)	Human ATC	No contribution
		Aircraft deviation from ATC clearance	AIRPROX	
		Separation minima infringement		

FrontPage < A-Accidents < B-Reports < B-Incidents < **B-RVSM** < C-ATM Specific

No:	5
Field Name:	ATM Contribution
Field Type:	Drop-down list
Rationale:	This field provides information on the ATM system impact on the occurrence.
Comment:	This data is only available following the conduction of the national investigation. Please select ' <i>Direct</i> ', ' <i>Indirect</i> ' or ' <i>No contribution</i> ' as applicable. If there is no information available or no assessment was conducted, please choose ' <i>Not assessed</i> '.

ATM Contribution	Status	Airspace Restriction	Class of airspace
No contribution	Investigated	Not applicable	A
No contribution	Investigated	Not applicable	A

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No:	6																
Field Name:	Status																
Field Type:	Drop-down list																
Rationale:	Record the status of the investigation.																
Comment:	It should be either ' <i>Investigated</i> ' or ' <i>Under investigation</i> '.																
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ATM Contribution	Status	Airspace Restriction	Class of airspace														
No contribution	Investigated	Not applicable	A														
No contribution	Investigated	Not applicable	A														

No:	7																				
Field Name:	Airspace Restrictions																				
Field Type:	Drop-down list																				
Rationale:	Please select the appropriate entry from the drop-down list to record the type of restriction in place at the time of the occurrence.																				
Comment:	You should only consider the restriction(s) that had an impact on the occurrence. If not the case, please select ' <i>Not applicable</i> '. Use the other options to capture the situation when this information is missing.																				
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No contribution	Investigated	Not applicable	A	En-route																	
No contribution	Investigated	Not applicable	A	En-route																	

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No:	8																									
Field Name:	Class of Airspace																									
Field Type:	Drop-down list																									
Rationale:	Record A, B, C, D, E, F and G as appropriate.																									
Comment:	Use the other options to capture the situation when this information is missing. When the two aircraft were in the same class of airspace (as it is almost always the case) record it just once.																									
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No contribution	Investigated	Not applicable	A	En-route																						
No contribution	Investigated	Not applicable	A	En-route																						

No:	9																									
Field Name:	Phase of Flight																									
Field Type:	Drop-down list																									
Rationale:	Record a line for each a/c involved. If two a/c were involved, both in the en-route phase of flight then the outcome will be: <ul style="list-style-type: none"> • En-route • En-route 																									
Comment:	Keep consistence with the other columns; data regarding the same aircraft should be on the same line.																									
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No contribution	Investigated	Not applicable	A	En-route																						
No contribution	Investigated	Not applicable	A	En-route																						

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No:	10
Field Name:	Flight Rules
Field Type:	Drop-down list
Rationale:	Select ' <i>IFR</i> ' for 'Instrumental Flight Rules', ' <i>VFR</i> ' for 'Visual Flight Rules' and ' <i>Other</i> ' for unlisted types of flights (e.g. Aerial Work, Military and Instruction Flights, etc.). Use the other available options to capture the situation when this information is not applicable or missing: ' <i>Not applicable</i> ', ' <i>Unknown</i> ', ' <i>Not collected</i> ', ' <i>Not available</i> '.
Comment:	Keep consistence with the other columns; data regarding the same aircraft should be on the same line.

Flight Rules	Type of Operations	Type of Flight	Aircraft type	CFL	AFL	CFL after deviation	Time spent deviating from CFL	Separation horizontal (ft)	Separation vertical (ft)	Severity
IFR	GAT	CA	B733	330	335	350	20			C
IFR	GAT	CA	B733	330	335	330		3,4	600	B
IFR	GAT	CA	A320	340	342	340				

No:	11
Field Name:	Type of Operations
Field Type:	Drop-down list
Rationale:	Select ' <i>GAT</i> ' for 'General Air Traffic', ' <i>OAT</i> ' for 'Operational Air Traffic' and ' <i>Other</i> ' for unlisted types of operations. Use the other available options to capture the situation when this information is not applicable or missing: ' <i>Not applicable</i> ', ' <i>Unknown</i> ', ' <i>Not collected</i> ', ' <i>Not available</i> '.
Comment:	Keep consistence with the other columns; data regarding the same aircraft should be on the same line.

Flight Rules	Type of Operations	Type of Flight	Aircraft type	CFL	AFL	CFL after deviation	Time spent deviating from CFL	Separation horizontal (ft)	Separation vertical (ft)	Severity
IFR	GAT	CA	B733	330	335	350	20			C
IFR	GAT	CA	B733	330	335	330		3,4	600	B
IFR	GAT	CA	A320	340	342	340				

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No: 12

Field Name: Type of Flight

Field Type: Drop-down list

Rationale: Select 'CA' for 'Commercial Air Transport' and 'GA' for 'General Aviation Operation', 'Military' for Military flights and 'Other' for unlisted types of flights (e.g. Aerial Work, Instruction Flights). Use the following options, as applicable, to capture the situation when this information is either not applicable or missing: 'Not applicable', 'Unknown', 'Not collected', 'Not available'.

Comment: Keep consistency with the other columns; data regarding the same aircraft should be on the same line.

Flight Rules	Type of Operations	Type of Flight	Aircraft type	CFL	AFL	CFL after deviation	Time spent deviating from CFL	Separation horizontal (ft)	Separation vertical (ft)
IFR	GAT	CA	B733	330	335	350	20		
IFR	GAT	CA	B733	330	335	330		3,4	600
IFR	GAT	CA	A320	340	342	340			

No: 13

Field Name: Aircraft type

Field Type: Free text

Rationale: Provides the type of aircraft involved in the occurrence.

Comment: Keep consistency with the other columns; data regarding the same aircraft should be on the same line.

Flight Rules	Type of Operations	Type of Flight	Aircraft type	CFL	AFL	CFL after deviation	Time spent deviating from CFL	Separation horizontal (ft)	Separation vertical (ft)
IFR	GAT	CA	B733	330	335	350	20		
IFR	GAT	CA	B733	330	335	330		3,4	600
IFR	GAT	CA	A320	340	342	340			

No: 14

Field Name: CFL – Cleared Flight Level

Field Type: Free text

Rationale: Provides the FL to which the aircraft involved were cleared by air traffic control at the time of the occurrence.

Comment: Keep consistency with the other columns; data regarding the same aircraft should be on the same line.

Flight Rules	Type of Operations	Type of Flight	Aircraft type	CFL	AFL	CFL after deviation	Time spent deviating from CFL	Separation horizontal (ft)	Separation vertical (ft)
IFR	GAT	CA	B733	330	335	350	20		
IFR	GAT	CA	B733	330	335	330		3,4	600
IFR	GAT	CA	A320	340	342	340			

No:	15
Field Name:	AFL – Actual Flight Level
Field Type:	Free text
Rationale:	It contains the FL reached by the aircraft involved in the occurrence. It is expected that the AFL would differ from the CFL with at least 300ft.
Comment:	Keep consistency with the other columns; data regarding the same aircraft should be on the same line.

Flight Rules	Type of Operations	Type of Flight	Aircraft type	CFL	AFL	CFL after deviation	Time spent deviating from CFL	Separation horizontal (ft)	Separation vertical (ft)
IFR	GAT	CA	B733	330	335	350	20		
IFR	GAT	CA	B733	330	335	330		3,4	600
IFR	GAT	CA	A320	340	342	340			

No:	16
Field Name:	CFL after deviation
Field Type:	Free text
Rationale:	It contains the FL to which the aircraft were cleared by air traffic control after the deviation (it is the same as CFL if no new clearance was provided).
Comment:	Keep consistency with the other columns; data regarding the same aircraft should be on the same line. However, it is acknowledged that in some circumstances this information may not be available.

Flight Rules	Type of Operations	Type of Flight	Aircraft type	CFL	AFL	CFL after deviation	Time spent deviating from CFL	Separation horizontal (ft)	Separation vertical (ft)
IFR	GAT	CA	B733	330	335	350	20		
IFR	GAT	CA	B733	330	335	330		3,4	600
IFR	GAT	CA	A320	340	342	340			

No:	17
Field Name:	Time spent deviating from the CFL
Field Type:	Free text
Rationale:	This field provides the time expressed in seconds spent by the aircraft deviating from the CFL.
Comment:	This data should be extracted from the air traffic control unit's flight data processing system. By no means should this data be based on the information contained in the report filed by the air traffic controllers involved in the occurrence. Data regarding the same aircraft should be on the same line. It is accepted that, in some circumstances, this information may not be available.

Flight Rules	Type of Operations	Type of Flight	Aircraft type	CFL	AFL	CFL after deviation	Time spent deviating from CFL	Separation horizontal (ft)	Separation vertical (ft)
IFR	GAT	CA	B733	330	335	350	20		
IFR	GAT	CA	B733	330	335	330		3,4	600
IFR	GAT	CA	A320	340	342	340			

No: 18

Field Name: Separation horizontal

Field Type: Free text

Rationale: This field provides the horizontal separation in NM achieved between the aircraft involved in the occurrence (in cases of a loss of separation, e.g. separation minima infringement).

Comment: This information is to be provided in case that the deviation from the cleared FL by one aircraft generated an infringement of the separation minima between that aircraft and other aircraft in the vicinity.

Flight Rules	Type of Operations	Type of Flight	Aircraft type	CFL	AFL	CFL after deviation	Time spent deviating from CFL	Separation horizontal (NM)	Separation vertical (ft)
IFR	GAT	CA	B733	330	335	350	20		
IFR	GAT	CA	B733	330	335	330		3,4	600
IFR	GAT	CA	A320	340	342	340			

No: 19

Field Name: Separation Vertical

Field Type: Free text

Rationale: This field provides the vertical separation in ft achieved between the aircraft involved in the occurrence (in cases of a loss of separation, e.g. separation minima infringement).

Comment: This information is to be provided in case that the deviation from the cleared FL by one aircraft generated an infringement of the separation minima between that aircraft and other aircraft in the vicinity.

Flight Rules	Type of Operations	Type of Flight	Aircraft type	CFL	AFL	CFL after deviation	Time spent deviating from CFL	Separation horizontal (NM)	Separation vertical (ft)
IFR	GAT	CA	B733	330	335	350	20		
IFR	GAT	CA	B733	330	335	330		3,4	600
IFR	GAT	CA	A320	340	342	340			

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No:	20																
Field Name:	RAT applied for ATM Ground																
Field Type:	Drop down list																
Rationale:	This field provides information on the application of the Risk Analysis Tool (RAT) methodology for the severity assessment of the ATM Ground component of the occurrence (in support to the verification of the implementation of the second Safety Key Performance Indicator in Commission Implementing Regulation (EU) No. 390/2013).																
Comment:	<p>Record:</p> <ul style="list-style-type: none"> - Yes; for occurrences which have been severity assessed with the RAT methodology, and are in the scope of the Performance Scheme Regulation. - No; for occurrences which have NOT been severity assessed with the RAT methodology, but are in the scope of the Performance Scheme Regulation. - Unknown; no information was available to the AST Focal Point. - Not applicable; for occurrences which do not fall under the scope of the Performance Scheme Regulation. 																
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Yes	C	Yes	C														
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B-Reports	B-Incidents	B-RVSM	C-ATM Specific														

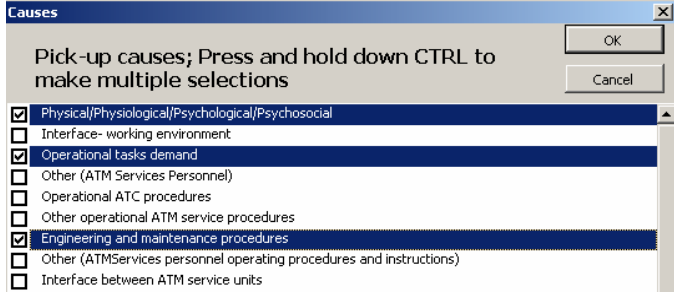
No:	21																
Field Name:	ATM Ground Severity (RAT/Other)																
Field Type:	Drop down list																
Rationale:	This field provides information on the severity of the occurrence, derived from the RAT methodology (in case the occurrence is within the scope of Commission Implementing Regulation (EU) No. 390/2013).																
Comment:	Record A, B, C, E or D as appropriate. If the severity was assessed and not communicated to the Focal Point choose "Not available".																
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B-Reports	B-Incidents	B-RVSM	C-ATM Specific														

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No:	22																				
Field Name:	RAT applied for ATM Overall																				
Field Type:	Drop down list																				
Rationale:	This field provides information on the application of the Risk Analysis Tool (RAT) methodology for the severity assessment of the ATM Overall component of the occurrence (in support to the verification of the implementation of the second Safety Key Performance Indicator in Commission Implementing Regulation (EU) No. 390/2013).																				
Comment:	<p>Record:</p> <ul style="list-style-type: none"> - Yes; for occurrences which have been severity assessed with the RAT methodology, and are in the scope of the Performance Scheme Regulation. - No; for occurrences which have NOT been severity assessed with the RAT methodology, but are in the scope of the Performance Scheme Regulation. - Unknown; no information was available to the AST Focal Point. - Not applicable; for occurrences which do not fall under the scope of the Performance Scheme Regulation. 																				
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No:	23																				
Field Name:	ATM Overall Severity (RAT/Other)																				
Field Type:	Drop down list																				
Rationale:	This field provides information on the severity of the occurrence, derived from the RAT methodology (in case the occurrence is within the scope of Commission Implementing Regulation (EU) No. 390/2013).																				
Comment:	Record A, B, C, E or D as appropriate. If the severity was assessed and not communicated to the Focal Point choose " <i>Not available</i> ".																				
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No:	24															
Field Name:	Category of causes															
Field Type:	Drop down list															
Rationale:	Insert the category of causes assigned to this occurrence following the conduction of national investigation.															
Comment:	<p>Group your causes in the pre-defined categories as per ESARR 2, Appendix A, §A-3.3.1. When entering data in the Causes related columns, in addition to the drop down menu and because these lists are quite long, by simultaneously pressing CTRL+L keys, the information is presented to you in a more friendly way from where you can pick up the right options (multiple choices can be made). For your reference, you can find the complete option list in the “Lists” worksheet, under the “List of Category of Causes” header.</p>  <table border="1" data-bbox="491 949 1168 1227"> <thead> <tr> <th>Category of Causes</th> <th>List of Causes (HEIDI)</th> <th>List of Causes (National)</th> </tr> </thead> <tbody> <tr> <td>Physical/Physiological/Psychological/Psychosocial</td> <td>positioning -> overshoot</td> <td>Cause 1 (replace with your own national cause)</td> </tr> <tr> <td>Interface- working environment</td> <td>Other HMI problems</td> <td></td> </tr> <tr> <td>Physical/Physiological/Psychological/Psychosocial</td> <td>positioning -> overshoot</td> <td>Cause 1 (replace with your own national cause)</td> </tr> <tr> <td>Interface- working environment</td> <td>Other HMI problems</td> <td></td> </tr> </tbody> </table>	Category of Causes	List of Causes (HEIDI)	List of Causes (National)	Physical/Physiological/Psychological/Psychosocial	positioning -> overshoot	Cause 1 (replace with your own national cause)	Interface- working environment	Other HMI problems		Physical/Physiological/Psychological/Psychosocial	positioning -> overshoot	Cause 1 (replace with your own national cause)	Interface- working environment	Other HMI problems	
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Interface- working environment	Other HMI problems															

No:	25															
Field Name:	List of causes – HEIDI															
Field Type:	Drop down list															
Rationale:	<p>Select one or more causes that led to the occurrence, as identified by the investigation conducted at national level.</p> <p>The AST will present two columns where you can fill in the detailed causes related to the occurrence.</p> <p>If you use a EUROCONTROL HEIDI compatible taxonomy, select causes from the “List of Causes (HEIDI)”. This list of detailed causes has been pre-populated by EUROCONTROL so you can pick up the right values from the list. The same procedure as in point 17 above applies.</p>															
Comment:	<table border="1" data-bbox="491 1680 1168 1899"> <thead> <tr> <th>Category of Causes</th> <th>List of Causes (HEIDI)</th> <th>List of Causes (National)</th> </tr> </thead> <tbody> <tr> <td>Physical/Physiological/Psychological/Psychosocial</td> <td>positioning -> overshoot</td> <td>Cause 1 (replace with your own national cause)</td> </tr> <tr> <td>Interface- working environment</td> <td>Other HMI problems</td> <td></td> </tr> <tr> <td>Physical/Physiological/Psychological/Psychosocial</td> <td>positioning -> overshoot</td> <td>Cause 1 (replace with your own national cause)</td> </tr> <tr> <td>Interface- working environment</td> <td>Other HMI problems</td> <td></td> </tr> </tbody> </table>	Category of Causes	List of Causes (HEIDI)	List of Causes (National)	Physical/Physiological/Psychological/Psychosocial	positioning -> overshoot	Cause 1 (replace with your own national cause)	Interface- working environment	Other HMI problems		Physical/Physiological/Psychological/Psychosocial	positioning -> overshoot	Cause 1 (replace with your own national cause)	Interface- working environment	Other HMI problems	
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Physical/Physiological/Psychological/Psychosocial	positioning -> overshoot	Cause 1 (replace with your own national cause)														
Interface- working environment	Other HMI problems															

No:	26																												
Field Name:	List of causes – National																												
Field Type:	Drop down list																												
Rationale:	Select one or more causes that led to the occurrence, as identified by the investigation conducted at national level.																												
Comment:	<p>If you <u>do not</u> use the HEIDI taxonomy, record the causes related to the occurrence in the column “<i>List of Causes (National)</i>”. This list from where you can choose could not be populated in advance by EUROCONTROL. To create such a list, please select the “<i>Causes</i>” worksheet (the last one) and under the heading “<i>List of Causes (National)</i>” start filling in your own causes. The green cells are the only one that allows you to record information. Once this is done, all the causes that you have introduced will become available in the data worksheet in the drop down menu or in the list which opens up when pressing CTRL+L.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="background-color: #e0e0e0;">Category of Causes</th> <th style="background-color: #e0e0e0;">List of Causes (HEIDI)</th> <th style="background-color: #e0e0e0;">List of Causes (National)</th> </tr> </thead> <tbody> <tr> <td>Physical/Physiological/Psychological</td> <td>positioning -> overshoot</td> <td>Cause 1 (replace with your own national cause)</td> </tr> <tr> <td>Psychosocial</td> <td></td> <td></td> </tr> <tr> <td>Interface- working environment</td> <td>Other HMI problems</td> <td></td> </tr> <tr> <td>Physical/Physiological/Psychological</td> <td>positioning -> overshoot</td> <td>Cause 1 (replace with your own national cause)</td> </tr> <tr> <td>Psychosocial</td> <td></td> <td></td> </tr> <tr> <td>Interface- working environment</td> <td>Other HMI problems</td> <td></td> </tr> </tbody> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="background-color: #e0e0e0;">List of Causes (National)</th> </tr> </thead> <tbody> <tr> <td style="background-color: #e0e0e0;">Cause 1 (replace with your own national cause)</td> </tr> <tr> <td style="background-color: #e0e0e0;">Cause 2 ...</td> </tr> <tr> <td style="background-color: #e0e0e0;">Cause 3</td> </tr> <tr> <td style="background-color: #e0e0e0;">Cause 4</td> </tr> <tr> <td style="background-color: #e0e0e0;">Cause 5</td> </tr> <tr> <td style="background-color: #e0e0e0;">Cause 6</td> </tr> </tbody> </table>	Category of Causes	List of Causes (HEIDI)	List of Causes (National)	Physical/Physiological/Psychological	positioning -> overshoot	Cause 1 (replace with your own national cause)	Psychosocial			Interface- working environment	Other HMI problems		Physical/Physiological/Psychological	positioning -> overshoot	Cause 1 (replace with your own national cause)	Psychosocial			Interface- working environment	Other HMI problems		List of Causes (National)	Cause 1 (replace with your own national cause)	Cause 2 ...	Cause 3	Cause 4	Cause 5	Cause 6
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Cause 4																													
Cause 5																													
Cause 6																													

4.5 ATM Specific Occurrences (Provision of ATM Services and Related Support Functions)

4.5.1 This sheet contains the following fields:

No:	1															
Field Name:	OCC Reference Number															
Field Type:	Free text															
Rationale:	Required to differentiate between two adjacent ATM specific occurrences.															
Comment:	If you use the "real" Reference Number when you populate the AST, you may want to dis-identify this field before sending the report to EUROCONTROL.															
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="background-color: #e0e0e0;">OCC Reference Number</th> <th style="background-color: #e0e0e0;">Date</th> <th style="background-color: #e0e0e0;">Type</th> </tr> </thead> <tbody> <tr> <td>TECH 001</td> <td></td> <td>Inability to provide Air Traffic Management Services</td> </tr> <tr> <td></td> <td></td> <td>Inability to provide Air Traffic Flow Management Services</td> </tr> <tr> <td></td> <td></td> <td>Inability to provide Airspace Management Services</td> </tr> <tr> <td>TECH 002</td> <td></td> <td>Failure of Surveillance function</td> </tr> </tbody> </table>	OCC Reference Number	Date	Type	TECH 001		Inability to provide Air Traffic Management Services			Inability to provide Air Traffic Flow Management Services			Inability to provide Airspace Management Services	TECH 002		Failure of Surveillance function
OCC Reference Number	Date	Type														
TECH 001		Inability to provide Air Traffic Management Services														
		Inability to provide Air Traffic Flow Management Services														
		Inability to provide Airspace Management Services														
TECH 002		Failure of Surveillance function														

No:	2															
Field Name:	Date															
Field Type:	Free text															
Rationale:	<p>This field will allow to the AST Focal Point to:</p> <ul style="list-style-type: none"> • identify/match an ATM specific occurrence; • enter/update the ATM specific occurrence' safety data in the AST Report. 															
Comment:	<p>Date field is used only to do statistics on months/half years/years, etc.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #d3d3d3;"> <th>OCC Reference Number</th> <th>Date</th> <th>Type</th> </tr> </thead> <tbody> <tr> <td>TECH 001</td> <td>05.06.2009</td> <td>Inability to provide Air Traffic Management Services</td> </tr> <tr> <td></td> <td></td> <td>Inability to provide Air Traffic Flow Management Services</td> </tr> <tr> <td></td> <td></td> <td>Inability to provide Airspace Management Services</td> </tr> <tr> <td>TECH 002</td> <td>15.08.2009</td> <td>Failure of Surveillance function</td> </tr> </tbody> </table> <p>FrontPage / A-Accidents / B-Reports / B-Incidents / B-RVSM / C-ATM:</p>	OCC Reference Number	Date	Type	TECH 001	05.06.2009	Inability to provide Air Traffic Management Services			Inability to provide Air Traffic Flow Management Services			Inability to provide Airspace Management Services	TECH 002	15.08.2009	Failure of Surveillance function
OCC Reference Number	Date	Type														
TECH 001	05.06.2009	Inability to provide Air Traffic Management Services														
		Inability to provide Air Traffic Flow Management Services														
		Inability to provide Airspace Management Services														
TECH 002	15.08.2009	Failure of Surveillance function														

No:	3															
Field Name:	Type of ATM Specific Occurrence															
Field Type:	Drop-down list															
Rationale:	<p>The following categories of <i>'technical occurrence'</i> are of interest and can be found in the "Lists" worksheet, under the "Type of ATM Specific Occurrences" header:</p> <ul style="list-style-type: none"> • Inability to provide Air Traffic Management Services; • Inability to provide Air Traffic Services; • Inability to provide Airspace Management Services; • Inability to provide Air Traffic Flow Management Services; • Failure of Communication function; • Failure of Surveillance function; • Failure of Data Processing and Distribution function; • Failure of Navigation function; • Failure of Support Information function; • ATM system security. 															
Comment:	<p>Please use the drop down menu available in the template to record any ATM Specific Occurrence that falls within the above listed categories. For occurrences that do not fall in the predefined categories please chose 'Other'.</p> <p>Note that for one occurrence you may choose several types.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #d3d3d3;"> <th>OCC Reference Number</th> <th>Date</th> <th>Type</th> </tr> </thead> <tbody> <tr> <td>TECH 001</td> <td></td> <td>Inability to provide Air Traffic Management Services</td> </tr> <tr> <td></td> <td></td> <td>Inability to provide Air Traffic Flow Management Services</td> </tr> <tr> <td></td> <td></td> <td>Inability to provide Airspace Management Services</td> </tr> <tr> <td>TECH 002</td> <td></td> <td>Failure of Surveillance function</td> </tr> </tbody> </table>	OCC Reference Number	Date	Type	TECH 001		Inability to provide Air Traffic Management Services			Inability to provide Air Traffic Flow Management Services			Inability to provide Airspace Management Services	TECH 002		Failure of Surveillance function
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		Inability to provide Air Traffic Flow Management Services														
		Inability to provide Airspace Management Services														
TECH 002		Failure of Surveillance function														

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No:	4						
Field Name:	RAT applied ATM Overall						
Field Type:	Drop down list						
Rationale:	This field provides information on the application of the Risk Analysis Tool (RAT) methodology for the severity assessment of the ATM Overall component of the occurrence (in support to the verification of the implementation of the second Safety Key Performance Indicator in Commission Implementing Regulation (EU) No. 390/2013).						
Comment:	<p>Record:</p> <ul style="list-style-type: none"> - Yes; for occurrences which have been severity assessed with the RAT methodology, and are in the scope of the Performance Scheme Regulation. - No; for occurrences which have NOT been severity assessed with the RAT methodology, but are in the scope of the Performance Scheme Regulation. - Unknown; no information was available to the AST Focal Point. - Not applicable; for occurrences which do not fall under the scope of the Performance Scheme Regulation. 						
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RAT Applied ATM Overall ?	ATM Overall Severity (RAT/Other)						
Yes	B						
Not applicable							
<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="background-color: #e0e0e0;">B-RVSM</td> <td style="background-color: #e0e0e0;">C-ATM Specific</td> <td style="background-color: #e0e0e0;">Li</td> </tr> </table>		B-RVSM	C-ATM Specific	Li			
B-RVSM	C-ATM Specific	Li					

No:	5						
Field Name:	ATM Overall Severity (RAT/Other)						
Field Type:	Drop down list						
Rationale:	This field provides information on the severity of the ATM specific occurrence as assessed by a designated investigation body.						
Comment:	<p>Please select AA, A, B, C, E or D as appropriate.</p> <p>If the severity was assessed by somebody else and is not communicated to the Focal Point choose "Not available".</p>						
<table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="background-color: #e0e0e0;">RAT Applied ATM Overall ?</th> <th style="background-color: #e0e0e0;">ATM Overall Severity (RAT/Other)</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">Yes</td> <td style="text-align: center;">B</td> </tr> <tr> <td colspan="2" style="text-align: center;">Not applicable</td> </tr> </tbody> </table>		RAT Applied ATM Overall ?	ATM Overall Severity (RAT/Other)	Yes	B	Not applicable	
RAT Applied ATM Overall ?	ATM Overall Severity (RAT/Other)						
Yes	B						
Not applicable							
<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="background-color: #e0e0e0;">B-RVSM</td> <td style="background-color: #e0e0e0;">C-ATM Specific</td> <td style="background-color: #e0e0e0;">Li</td> </tr> </table>		B-RVSM	C-ATM Specific	Li			
B-RVSM	C-ATM Specific	Li					

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No: 6

Field Name: Status

Field Type: Drop-down list

Rationale: Record the status of the ATM Specific Occurrence's investigation.

Comment: You should select either '*Investigated*' or '*Under investigation*'.

Status	Category of Causes	List of Causes (HEIDI)	List of Causes (National)
Investigated	Physical/Physiological/Psychological/Psychosocial	Traffic load/complexity-> Excessive load	
	Operational line management	Traffic load/complexity-> Unexpected demands	
Investigated	Hardware issues	Radar source	

s / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes /

No: 7

Field Name: Category of causes

Field Type: Drop down list

Rationale: Insert the category of causes assigned to this occurrence following the conduction of national investigation.

Comment: Group your causes in the pre-defined categories as per ESARR 2, Appendix A, §A-3.3.1. When entering data in the Causes related columns, in addition to the drop down menu and because these lists are quite long, by simultaneously pressing CTRL+L keys, the information is presented to you in a more friendly way from where you can pick up the right options (multiple choices can be made). For your reference, you can find the complete option list in the "Lists" worksheet, under the "List of Category of Causes" header.

Causes

Pick-up causes; Press and hold down CTRL to make multiple selections

OK Cancel

- Physical/Physiological/Psychological/Psychosocial
- Interface- working environment
- Operational tasks demand
- Other (ATM Services Personnel)
- Operational ATC procedures
- Other operational ATM service procedures
- Engineering and maintenance procedures
- Other (ATM Services personnel operating procedures and instructions)
- Interface between ATM service units

Status	Category of Causes	List of Causes (HEIDI)	List of Causes (National)
Investigated	Physical/Physiological/Psychological/Psychosocial	Traffic load/complexity-> Excessive load	
	Operational line management	Traffic load/complexity-> Unexpected demands	
Investigated	Hardware issues	Radar source	

s / B-Reports / B-Incidents / B-RVSM / C-ATM Specific / Lists / Causes /

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No: 8

Field Name: List of causes –HEIDI

Field Type: Drop down list

Rationale: Select one or more causes that led to the occurrence, as identified by the investigation conducted at national level.

Comment: The AST will present you two columns where you can fill in the detailed causes related to the ATM Specific Occurrence. If you use a EUROCONTROL HEIDI compatible taxonomy, select causes from the “List of Causes (HEIDI)”. This list of detailed causes has been pre-populated by EUROCONTROL so you can pick up the right values from the list.

Status	Category of Causes	List of Causes (HEIDI)	List of Causes (National)
Investigated	Physical/Physiological/Psychological/Psychosocial	Traffic load/complexity-> Excessive load	
	Operational line management	Traffic load/complexity-> Unexpected demands	
Investigated	Hardware issues	Radar source	

No: 9

Field Name: List of causes – National

Field Type: Drop down list

Rationale: Select one or more causes that led to the ATM Specific Occurrence, as identified by the investigation conducted at national level.

Comment: If you do not use the HEIDI taxonomy, record the causes related to the ATM Specific Occurrence in the column “List of Causes (National)”. This list from where you can choose could not be populated in advance by EUROCONTROL. To create such a list, please select the “Causes” worksheet and under the heading “List of Causes (National)” start filling in your own causes. The green cells are the only one that allows you to record information. Once this is done, all the causes that you have introduced will become available in the data worksheet in the drop down menu or in the list which opens up when pressing CTRL+L.

Status	Category of Causes	List of Causes (HEIDI)	List of Causes (National)
Investigated	Physical/Physiological/Psychological/Psychosocial	Traffic load/complexity-> Excessive load	
	Operational line management	Traffic load/complexity-> Unexpected demands	
Investigated	Hardware issues	Radar source	

List of Causes (National)	
Cause 1	(replace with your own national cause)
Cause 2	...
Cause 3	
Cause 4	
Cause 5	
Cause 6	

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5. SENDING REPORTS

- 5.1 An AST-FP should use the 'Excel' version to compile the electronic version of the AST. Once completed, the report should either be returned to EUROCONTROL via e-mail (ast@eurocontrol.int) or uploaded onto the AST-FP OneSky Team's (OST) secure website (for access, please write to ast@eurocontrol.int).
- 5.2 The tools currently available for the reporting, storage and analysis of ATM occurrences (such as TOKAI or ECCAIRS) ensure the automatic production of the AST.
- 5.3 An AST-FP using a national database other than TOKAI or ECCAIRS should contact EUROCONTROL (ast@eurocontrol.int) for support. This will ensure the production of the AST at the required quality and with the minimum of workload.
- 5.4 Each year, the AST-FP is required to send several AST reports to the SRC (ECAC Member States who are not EUROCONTROL members are encouraged to report in a similar manner):
- A report containing the consolidated data of the previous year, including updated data for the first six months of that previous year, clearly indicating the occurrences that are still under investigation. This report should be made available to EUROCONTROL / SRC at the end of March each year (the first AST reporting session),
 - A report containing initial data covering the first six months (January-June incl.) of the respective year by the end of September of that year (the second AST reporting session) and, when/if applicable, an updated report for the full previous year,
 - A report containing updates of any previously submitted reports (e.g. in cases where on-going investigations have been completed). These updated reports should be made available to the EUROCONTROL / SRC at the end of March each year,
 - Updates of AST reports older than 2 years not captured in previous submissions or other updated AST reports are welcomed at any time.

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6. CODING GUIDELINES

- 6.1 The correct analysis of the safety occurrence data relies heavily on the correct coding of the available investigated data. Hence the need for a coding system.
- 6.2 A data coding process is the translation of the narrative text of the occurrence report into a set of categorised safety data by using a specific taxonomy.
- 6.3 The use of a specific taxonomy will guarantee the quality of the stored safety data for each reported occurrence. Thus, the quality of the occurrence investigation and the usefulness of the trend analysis are ensured.
- 6.4 The EUROCONTROL TOKAI tool available for storing and analysis of occurrence generates the AST report automatically, based on the HEIDI taxonomy.
- 6.5 The full mapping between AST and HEIDI taxonomy is available upon request (ast@eurocontrol.int). In respect of accidents the mapping is available for your reference in Annex C attached to this document.
- 6.6 The ECCAIRS system uses the ADREP. The coding of the type of occurrences required by the AST is defined in Annex B of this document.
- 6.7 The European Aviation Safety Agency (EASA) developed specific ECCAIRS coding guidelines (for all type of occurrences, not only ATM related). Annex B of this document and the EASA guidelines are fully aligned.
- 6.8 AST-FPs using the ECCAIRS system should use the EASTER tool developed by EUROCONTROL in co-operation with JRC in order to automatically generate the AST reports at the required level of quality.
- 6.9 Guidelines for coding occurrences in ECCAIRS are available in the Annex B to this document. It is to be noted that the coding guidelines will shortly be updated to contain indications on coding altitude deviations in RVSM airspace.

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APPENDIX A – SUMMARY OF DATA REQUIREMENTS

Field	A Accident	B1 Reports not investigated	B Incidents	B RVSM	C ATM Specific Occurrences	Notes	Reference data (found in “Lists” or “Causes” sheets)
Occurrence Reference Number	✓	✓	✓	✓	✓	Always on the first line Dis-identified Free text	-
Date	✓	✓	✓	✓	✓	Used only to do statistics on months/half years/years, etc.	
Type of occurrence	✓	✓	✓	-	✓	As per ESARR 2 Appendix B.	A Categories of Accidents; B1 Type of reports B Type of ATM Related Incidents C Type of ATM Specific Occurrences
Notification Reports	-	-	✓	-	-	Records the reports received related to the incident (“investigated reports”).	“Type of reports”
ATM Contribution	✓	-	✓	✓	-		“ATM Contribution”
Status	✓	✓	✓	✓	✓	Status of the investigation at the time of the AST reporting	A, B, C – “Status of investigation” B1 – “Status of investigation Reports”
RAT Applied for ATM Ground	-	-	✓	✓	✓	In the Performance Regulation, for Reference Period 2, 2015-2019 it is required only for Separation Minima Infringements, Runway Incursions and ATM specific occurrences	“RAT Applied ATM Ground”
ATM Ground Severity	-	-	✓	✓	✓		“ATM Ground Severity”

Field	A Accident	B1 Reports not investigated	B Incidents	B RVSM	C ATM Specific Occurrences	Notes	Reference data (found in “Lists” or “Causes” sheets)
RAT Applied for ATM Overall	-	-	✓	✓	✓	In the Performance Regulation, for Reference Period 2, 2015-2019 it is required only for Separation Minima Infringements, Runway Incursions and ATM specific occurrences	“RAT Applied ATM Overall”
ATM Overall Severity	-	-	✓	✓	✓		“ATM Overall Severity”
Class of airspace	✓	-	✓	✓	-		“Class of Airspace”
Phase of Flight	✓	-	✓	✓	-		“Phase of Flight”
Flight Rules	✓	✓	✓	✓	-		A, B, C - “Flight Rules” B1 – “Flight Rules Reports”
Type of Operations	✓	✓	✓	✓	-		A, B, C - “Type of Operations” B1 – “Type of Operations Reports”
Type of Flight	✓	-	✓	✓	-		“Type of Flight”
Damage	✓	-	-	-	-		“Aircraft damage”
Fatalities (crew) Fatalities (passengers) Fatalities (third parties)	✓	-	-	-	-	Only numbers allowed	-
Airspace Restrictions	-	-	✓	✓	-		“Airspace restrictions”
Category of Causes	✓	-	✓	✓	✓		“List of Category of Causes”
Aircraft type	-	-	-	✓	-	Fill in the type of aircraft involved in the altitude deviation.	-
Cleared FL (CFL)	-	-	-	✓	-	Insert the FL to which the deviating aircraft was cleared by the ATC.	-

Field	A Accident	B1 Reports not investigated	B Incidents	B RVSM	C ATM Specific Occurrences	Notes	Reference data (found in “Lists” or “Causes” sheets)
Actual FL (AFL)	-	-	-	✓	-	Insert the FL reached by the aircraft involved in the occurrence. It is expected that the AFL would differ from the CFL with at least 300ft.	-
CFL After Deviation	-	-	-	✓	-	Provide the FL to which the aircraft were cleared by air traffic control after the deviation.	-
Time spent deviating from the CFL	-	-	-	✓	-	Insert the time expressed in seconds spent by the aircraft deviating from the CFL.	-
Separation Horizontal	-	-	-	✓	-	Achieved horizontal separation (Nm) from other conflicting traffic. To be filled in only if the prescribed separation minima between the a/c involved was infringed.	-
Separation Vertical	-	-	-	✓	-	Achieved vertical separation (ft) from other conflicting traffic. To be filled in only if the prescribed separation minima between the a/c involved was infringed.	-
List of Causes HEIDI	✓	-	✓	✓	✓	To be filled in only if your ‘National’ causes are not HEIDI compatible.	“List of Causes (HEIDI)”
List of Causes National	✓	-	✓	✓	✓	To be used only if you use a HEIDI compatible taxonomy.	“List of Causes (National)”

APPENDIX B – ECCAIRS / ADREP CODING GUIDELINES

A – Accidents

AST	ADREP	ADREP
Categories of Accident	Occurrence Category	Event type
MID-AIR Collision	MAC: Midair/near midair collision	
Controlled Flight Into Terrain (CFIT)	CFIT: Controlled flight into or toward terrain	
Collision on the ground between aircraft		Collision a/c on ground
Collision between airborne a/c and vehicle/another a/c on the ground		Collision-one aircraft aloft
Collision on the ground between a/c and vehicle/person/obstruction(s)		Collision a/c-object-ground Collision a/c-structure Collision a/c-animal Collision a/c-lights Collision a/c-building Collision a/c-submerged log Collision a/c-the shore Collision a/c-other object Collision a/c-parked a/c Collision a/c-person Collision a/c-cable/wire Collision a/c-snow bank Collision a/c-tall structure Collision a/c-tall vegetation Collision a/c-vehicle Collision a/c-wave

B – Incidents

AST	ADREP	ADREP
Categories of Incident	Occurrence Category	Event type
Separation minima infringement	MAC: Midair/near midair collision MAC: AIRPROX/near miss/midair collision	Separation minima infringement
Inadequate separation	OTHR: Other	Loss of separation -aircraft- both airborne Loss of separation - one aircraft airborne Loss of separation with aircraft - both on ground
Near Controlled Flight Into Terrain (CFIT)	CFIT: Controlled flight into or toward terrain	Near collision with terrain
Runway excursion by aircraft	RE: Runway excursion	
Aircraft deviation from applicable ATM regulation	OTHR: Other	Deviation-ATM Regulation
Aircraft deviations from applicable published ATM procedures	OTHR: Other	Flight crew deviation
Aircraft deviation from ATC clearance	OTHR: Other	Deviation/ATC clearance Deviation-start-up Deviation-push-back Deviation-taxi Deviation-line-up Deviation-take-off Deviation-en-route Deviation-oceanic Deviation-approach Deviation-holding Deviation-landing Deviation-runway crossing Deviation-clearance limit Deviation-special procedure Deviation-missed approach Deviation-low approach Deviation-touch and go Deviation-flight level Deviation-assigned details Deviation-specified speed Deviation-time restriction Deviation-climb/descent Deviation-climb/desc-condl

AST	ADREP	ADREP
Categories of Incident	Occurrence Category	Event type
Level Bust (LB)	OTHR: Other	Deviation-flight level Altitude bust
Unauthorised penetration of airspace	OTHR: Other	Airspace entry Airspace infringement
Deviations from aircraft ATM-related equipment carriage and operations, as mandated in applicable regulation(s)	OTHR: Other	Deviations/ATM equipment
Runway Incursion	RI-VA: Rwy incursion-vehicle or a/c RI-VAP: Runway incursion - vehicle, a/c or person	Runway incursions
Runway Incursion where avoiding action was necessary		
Runway Incursion where no avoiding action was necessary		
Prolonged Loss of Communication (PLOC)		

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C – ATM Specific Occurrences

AST	ADREP	ADREP
Categories of ATM specific occurrences	Occurrence Category	Event type
Inability to provide Air Traffic Management Services	ATM: ATM/CNS	Failure of ATM
Inability to provide Air Traffic Services	ATM: ATM/CNS	Failure Air Traffic Services
Inability to provide Airspace Management Services	ATM: ATM/CNS	Failure ASM
Inability to provide Air Traffic Flow Management Services	ATM: ATM/CNS	Failure ATFM
Failure of Communication function	ATM: ATM/CNS	Failure of communication
Failure of Surveillance function	ATM: ATM/CNS	Failure of surveillance
Failure of Data Processing and Distribution function	ATM: ATM/CNS	Failure of data processing
Failure of Navigation function	ATM: ATM/CNS	Failure to provide navigation
Failure of Support Information function	ATM: ATM/CNS	Failure-support information
ATM system security	ATM: ATM/CNS	ATM emergency situation
Other	ATM: ATM/CNS	

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APPENDIX C – AST / HEIDI CODING GUIDELINES

A – Accidents

AST	HEIDI
Category of Accident	Event Type
MID-AIR Collision	Air-Air collision Aircraft/aircraft (Mid-air collision)
Controlled Flight Into Terrain (CFIT)	Collision with the ground
Collision on the ground between aircraft	Ground-Ground collision Aircraft/aircraft
Collision btn. airborne a/c and vehicle/another a/c on the ground	Air-Ground collision Aircraft/aircraft Aircraft/vehicle
Collision on the ground between a/c and vehicle/person/obstruction(s)	Ground-Ground collision Aircraft/vehicle Aircraft/person Aircraft/other

(***)