EUROPEAN ORGANISATION
FOR THE SAFETY OF AIR NAVIGATION

EUROCONTROL

ESARR ADVISORY MATERIAL/GUIDANCE DOCUMENT
(EAM/GUI)

EAM 2 / GUI 3

MAPPING BETWEEN THE EUROCONTROL SEVERITY CLASSIFICATION SCHEME & THE ICAO AIRPROX SEVERITY SCHEME

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SAFETY REGULATION COMMISSION

F.2 DOCUMENT CHARACTERISTICS

TITLE			
EAM 2/GUI 3 **Mapping between the EUROCONTROL Severity Classification Scheme & the ICAO AIRPROX Severity Scheme**			
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Abstract :			
The Safety Regulation Commission has developed a harmonised EUROCONTROL Safety Regulatory Requirement for ATM related occurrence reporting (ESARR 2). This safety regulatory requirement (ESARR 2) specifies that each State shall ensure "that the severity of occurrences is determined, the risk posed by occurrences classified, and the results recorded.“ To reinforce the ICAO consistency, and to clarify further the Companion Document ESARR 2 – COD 1 “Severity Classification Scheme”, the attached mapping with the ICAO AIRPROX scheme, has been elaborated by SRU			
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F.3 DOCUMENT APPROVAL

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

AUTHORITY	NAME AND SIGNATURE *	DATE
Quality Control (SRU)	***signed by Daniel Hartin*** (Daniel HARTIN)	31-Oct-02
Head Safety Regulation Unit (SRU)	***signed by Peter Stastny*** (Peter STASTNY)	07-Nov-02
Chairman Safety Regulation Commission (SRC)	***signed by Philip S. Griffith*** (Philip S. GRIFFITH)	07-Nov-02

* In order to reduce the size of files, all documents placed on the SRC Website do not contain signatures. However, please note that all management authorities have signed the master copies held by the SRU. Requests for copies of master documents should be emailed to: sru@eurocontrol.int.

F.4 DOCUMENT CHANGE RECORD

The following table records the complete history of this document.

EDITION NUMBER	EDITION DATE	REASON FOR CHANGE	PAGES AFFECTED
0.01	26-Jul-02	Conversion of Working Paper SRC13.16 into EAM 2/GUI 3	All
1.0	07-Nov-02	Following approval at SRC 13, document updated to Released Issue 1.0. Additional changes to formatting.	All

F.5 CONTENTS

F.6 EXECUTIVE SUMMARY

The implementation of ESARR 2, “Reporting and Assessment of Safety Occurrences in ATM”, is being progressed with stakeholders. Further clarification was required of SRU to ensure that the applicability of the Severity Classification scheme is achieved in a harmonised way, and that past-history safety data are not in danger of being lost.

The ESARR2 Implementation Programme foresees, as necessary, the development of additional Guidance Material for Regulators to support the harmonised interpretation of the requirements, and to ensure consistency with related ICAO SARPs and best practices (Doc. 4444).

To reinforce the ICAO consistency, and to clarify further the Companion Document ESARR 2 – COD 1 “Severity Classification Scheme”, the attached mapping with the ICAO AIRPROX scheme, has been elaborated by SRU.

1. INTRODUCTION

The Safety Regulation Commission has developed a harmonised EUROCONTROL Safety Regulatory Requirement for ATM related occurrence reporting (ESARR 2). This safety regulatory requirement (ESARR 2) specifies that each State shall ensure "that the severity of occurrences is determined, the risk posed by occurrences classified, and the results recorded."

A companion document to ESARR 2 has been developed and approved by EUROCONTROL Commission at the time of ESARR 2 approval. This Material defines two **Severity Classification Schemes for safety occurrences in ATM:**

- One that allows the classification of occurrences according to the severity of their effect on the safe operations of aircraft and occupants; it enables to determine the actual level of risk that existed for aircraft and occupants (Refer to Attachment A); and

- One that allows the classification of occurrences according to the severity of their effect on the ability to provide safe Air Traffic Management Services (Refer to Attachment B).

These two classification schemes shall be applied generally to the Safety Measurement of ATM, as part of the assessment or investigation of safety occurrences in ATM.

Both Severity Classification Schemes consider as well the actual frequency of each of these occurrences to enable national organisations to determine the level of efforts to be placed into the assessment/investigation of the occurrence as well as to potentially support the development of trends in safety.

Since Annual Summary Template collection has started, the AST Focal Points have reported a number of issues in their effort of harmonising the occurrences severity assessment.

The definition and examples presented in the ESARR 2 companion document have certain limitations and cannot be easily applied to different specific occurrences having different aviation actors contributing to the event.

AST FPs at their 2nd meeting and SRC at its 14th meeting have requested SRU to provide additional guidance material and a better structured approach in assessing the safety occurrences severity.

The mapping with ICAO Airprox severity is a step forward and was developed by SRU to demonstrate the consistency with ICAO existing best practice severity in PANS-ATM. Other deliverables on the severity scheme subject will follow..

APPENDIX

Mapping between the EUROCONTROL Severity Classification Scheme & ICAO AIRPROX Severity Scheme;

SEVERITY Classification As per ESARR 2	**ICAO AIRPROX Classification**
Accident	Accident as per ICAO Annex 13
Serious Incident (A)	**AIRPROX CAT A** **ICAO Doc 4444 : AIRPROX - Risk Of Collision:** “The risk classification of an aircraft proximity in which serious risk of collision has existed”.
Major Incident (B)	**AIRPROX CAT B** **ICAO Doc 4444 : AIRPROX - Safety Not Assured:** “The risk classification of an aircraft proximity in which the safety of the aircraft may have been compromised”.
Significant Incident (C)	**AIRPROX CAT C** **ICAO Doc 4444 : AIRPROX- No risk Of Collision:** “The risk classification of an aircraft proximity in which no risk of Collision has existed”.
No safety effect (E)	Occurrences which have no safety significance. No direct mapping existing in ICAO.
Not determined (D)	**ICAO Doc 4444 : AIRPROX - Risk Not determined:** “The risk Classification of an aircraft proximity in which insufficient information was available to determine the risk involved or inconclusive or conflicting evidence precluded such determination”.

APPENDIX continuation

SEVERITY As Per ESARR 2	**A**	Serious incident	**A**	AIRPROX - Cat A	**SEVERITY As Per ICAO AIRPROX**
	B	Major incident	**B**	AIRPROX - Cat B	
	C	Significant incident	**C**	AIRPROX - Cat C	
	E	No safety effect	**-**	-	
	D	Not determined	**D**	AIRPROX - Cat D	