

Annex III to ED Decision 2022/004/R**‘AMC and GM to Part-ATM/ANS.OR — Issue 1, Amendment 3’**

The text of the amendment is arranged to show deleted, new or amended text as shown below:

- (a) deleted text is ~~struck through~~;
- (b) new or amended text is highlighted in **blue**;
- (c) an ellipsis ‘[...]’ indicates that the rest of the text is unchanged.

Note to the reader

In amended, and in particular in existing (that is, unchanged) text, ‘Agency’ is used interchangeably with ‘EASA’. The interchangeable use of these two terms is more apparent in the consolidated versions. Therefore, please note that both terms refer to the ‘European Union Aviation Safety Agency (EASA)’.

Annex III to Decision 2017/001/R is amended as follows:

GM1 ATM/ANS.OR.B.005(a)(6) Management system**TRAINING AND COMPETENCIES— MET PROVIDERS**

Information and guidance concerning the qualifications, competencies, education and training of meteorological personnel in aeronautical meteorology are given in the Technical Regulations (WMO No 49), Volume I *General Meteorological Standards and Recommended Practices*, Part V *Qualifications and Competencies of Personnel Involved in the Provision of Meteorological (Weather and Climate) and Hydrological Services*; Part VI *Education and Training of Meteorological Personnel*, Appendix A *Basic Instruction Packages*, WMO 1083 *Guide to the Implementation of Education and Training Standards in Meteorology and Hydrology*, Volume I, and WMO 1205 *Guide to Competency*.

AMC1 ATM/ANS.OR.A.065 Occurrence reporting**REPORTING RESPONSIBILITIES AND REPORTING PROCEDURES**

- (a) The ATM/ANS provider should assign one or more suitably qualified persons that has or have clearly defined authority and responsibility to coordinate actions on occurrences and to initiate any necessary further investigation and follow-up activity.
- (b) If more than one person is assigned such responsibility, the ATM/ANS provider should identify a single person to act as the main focal point for ensuring a single reporting channel is established to the accountable manager. This should in particular apply to ATM/ANS providers that hold one or more additional organisation certificates within the scope of Regulation (EU) 2018/1139 and its delegated and implementing acts where the occurrence-reporting system is fully integrated with that required under the additional certificate(s) held.

- (c) The ~~service~~ ATM/ANS provider should establish procedures to be used for reporting to the competent authority and to any other organisation required, which include as a minimum:
- (1) a description of the applicable requirements for reporting;
 - (2) the scope of reporting to other organisations, considering the service provider's interfaces with other organisations, including organisations contracted in accordance with point ATM/ANS.OR.B.015;
 - (3) a description of the reporting mechanism, including reporting forms, means and deadlines;
 - (4) safeguards to ensure the protection of the reporter's confidentiality and the protection of personal data;
 - ~~(c) — personnel responsible for reporting; and~~
 - (5) responsibilities of the organisation and personnel involved in the reporting; and
 - ~~(e)~~(6) a description of the mechanism and personnel responsibilities for identifying root causes, and the actions that may be needed to be taken to prevent similar occurrences in the future, as appropriate.

Such procedures should be included in the organisation's management system documentation.

[...]

AMC2 ATM/ANS.OR.A.065 Occurrence reporting

MANDATORY REPORTING — GENERAL

- (a) For ATM/ANS providers that have their principal place of operation and, if any, their registered office located in a Member State, Commission Implementing Regulation (EU) 2015/1018 of 29 June 2015 lays down a list classifying occurrences in civil aviation to be mandatorily reported according to Regulation (EU) No 376/2014. This list should not be understood as being an exhaustive collection of all issues that may pose a significant risk to aviation safety and, therefore, reporting should not be limited to the items listed in that Regulation and the additional items referred to in point ATM/ANS.OR.A.065(c).
- (b) In addition to the reports referred to in point (a), ATM/ANS providers should report volcanic ash clouds, encountered by aircraft operators, of which they have become aware.

AMC3 ATM/ANS.OR.A.065 Occurrence reporting

GENERAL

Where the ATM/ANS provider holds one or more additional organisation certificates within the scope of Regulation (EU) 2018/1139 and its delegated and implementing acts:

- (a) the ATM/ANS provider may establish an integrated occurrence-reporting system covering all certificate(s) held; and
- (b) single occurrence reports should only be provided if all the following conditions are met:

- (1) the report includes all relevant information from the perspective of the different organisation certificates held;
- (2) the report addresses all relevant and specific mandatory data fields and clearly identifies all certificate holders for which the report is made;
- (3) the competent authority for all certificates is the same and such single reporting was agreed with that competent authority.

~~GM1 ATM/ANS.OR.A.065 Occurrence reporting~~

~~GENERAL~~

~~The reporting to the organisations defined in the ATM/ANS.OR.A.065 does not affect the need to report to other organisations with which the service provider interfaces, and which might be involved in or be affected by the reported event (e.g. other service providers involved in an occurrence, aerodrome operators, etc.).~~

~~AMC1 ATM/ANS.OR.A.065(a) Occurrence reporting~~

~~GENERAL~~

- ~~(a) The service provider should submit all reportable occurrences as defined in Regulation (EU) No 2015/1018⁴.~~
- ~~(b) In addition to the reports required by (a), the service provider should report volcanic ash clouds, encountered by aircraft operators, for which it has become aware of.~~

AMC1 ATM/ANS.OR.A.065(c) Occurrence reporting

REPORTING BETWEEN ORGANISATIONS

- (a) The reporting to the organisations defined in point ATM/ANS.OR.A.065 does not affect the need to report to other organisations with which the ATM/ANS provider interfaces, and which might be involved in or be affected by the reported event (e.g. other service providers, including contracted parties in accordance with point ATM/ANS.OR.B.015, involved in an occurrence, aerodrome operators, etc.).
- (b) Any ATM/ANS provider that reports to the organisation responsible for the design of the air traffic management (ATM)/air navigation services (ANS) systems and ATM/ANS constituents should actively support any investigations that may be initiated by that organisation. Support should be provided by a timely response to information requests and by making available affected system components or constituents, for the purpose of the investigation, subject to an agreement with the respective system component or constituent owners.
- (c) In addition to reporting to the organisation responsible for the design of the ATM/ANS systems and ATM/ANS constituents, if different from the ATM/ANS provider, the ATM/ANS provider

⁴— Commission Implementing Regulation (EU) 2015/1018 of 29 June 2015 laying down a list classifying occurrences in civil aviation to be mandatorily reported according to Regulation (EU) No 376/2014 of the European Parliament and of the Council (OJ L 163, 30.6.2015, p. 1).

may be required to report to the aerodrome operator, to other ATM/ANS providers or air operators.

(d) To ensure effective reporting between organisations, it is important that:

- (1) an interface is established between the organisations to ensure that there is an effective and timely exchange of occurrence-related information; and
- (2) any relevant safety issue is identified, and it is clearly established which party is responsible for taking further action, if required.

GM1 ATM/ANS.OR.A.065(b,c) Occurrence reporting

[...]

AMC1 ATM/ANS.OR.A.065(e) Occurrence reporting

ORGANISATIONS THAT REPORT TO THE AGENCY

(a) Mandatory reports and, where possible, voluntary reports, should include the information below:

- (1) when: UTC date;
- (2) where: State/area of occurrence — location of occurrence;
- (3) aircraft-related information: aircraft identification: State of registry, make–model–series, aircraft category, propulsion type, mass group, aircraft serial number, aircraft registration number, and call sign;
- (4) aircraft operation and history of flight: operator, type of operation, last departure point, planned destination, flight phase;
- (5) weather: relevant weather;
- (6) where relevant, ANS-related information: ATM contribution, service(s) affected, ATS unit name;
- (7) where relevant, aerodrome-related information: location indicator (ICAO airport code), location at the aerodrome; and
- (8) information on aircraft damage or on injuries to persons: severity in terms of highest damage and injury level, number of injured persons, and type of injuries to them, on the ground and in the aircraft.

(b) Where the organisation identifies an actual or potential aviation safety risk as a result of its analysis of occurrences or a group of occurrences reported to the Agency, it should:

- (1) transmit the following information to the Agency within 30 days from the date of notification of the occurrence to the Agency:
 - (i) the preliminary results of the risk assessment performed; and

- (ii) any preliminary mitigation action to be taken;
- (2) where required, transmit the final results of the risk analysis to the Agency as soon as they are available and, in principle, no later than 3 months from the date of initial notification of the occurrence to the Agency.
- (c) The following list provides examples of what needs to be mandatorily reported in addition to those required by point ATM/ANS.OR.A.065(c). This list should not be understood as being an exhaustive collection of all the issues that may pose a significant risk to aviation safety and, therefore, reporting should not be limited to the items listed therein.

1. AIRCRAFT-RELATED OCCURRENCES

- (1) A collision or a near collision on the ground or in the air, between an aircraft and another aircraft, terrain or obstacle ⁽¹⁾, including near-controlled flight into terrain (near CFIT)
- (2) Separation minima infringement (2)
- (3) Inadequate separation (3)
- (4) ACAS RAs
- (5) Wildlife strike, including bird strike
- (6) Taxiway or runway excursion
- (7) Actual or potential taxiway or runway incursion
- (8) Final approach and take-off area (FATO) incursion
- (9) Aircraft deviation from ATC clearance
- (10) Aircraft deviation from applicable ATM regulations:
 - (a) aircraft deviation from applicable published ATM procedures
 - (b) airspace infringement, including unauthorised penetration of airspace
 - (c) deviation from aircraft ATM-related equipment carriage and operations, as mandated by the applicable regulations
- (11) Occurrences related to call-sign confusion

2. DEGRADATION OR A TOTAL LOSS OF SERVICES OR FUNCTIONS

- (1) Inability to provide ATM services or to execute ATM functions:
 - (a) inability to provide ATS or to execute ATS functions
 - (b) inability to provide airspace management services or to execute airspace management functions
 - (c) inability to provide air traffic flow management and capacity services or to execute air traffic flow management and capacity functions
- (2) Missing or significantly incorrect, corrupted, inadequate or misleading information from any support service ⁽⁴⁾, including relating to poor runway surface conditions

- (3) Failure of communication service
- (4) Failure of surveillance service
- (5) Failure of data processing and distribution function or service
- (6) Failure of navigation service
- (7) Failure of the ATM system security which had or could have a direct negative impact on the safe provision of the service
- (8) Significant ATS sector/position overload leading to a potential deterioration in the provision of the service
- (9) Incorrect receipt or incorrect interpretation of significant communications, including lack of understanding of the language used, when this had or could have a direct negative impact on the safe provision of the service
- (10) Prolonged loss of communication with an aircraft or with other ATS units

3. OTHER OCCURRENCES

- (1) Declaration of an emergency ('Mayday' or 'PAN' call)
- (2) Significant external interference with ANS (for example, radio broadcast stations transmitting in the FM band, interfering with the instrument landing system (ILS), VHF omnidirectional radio range (VOR) and communication)
- (3) Interference with an aircraft, an ATS unit or a radio communication transmission including by firearms, fireworks, flying kites, laser illumination, high-powered lights lasers, remotely piloted aircraft systems, model aircraft, or by similar means
- (4) Fuel dumping
- (5) Bomb threat or hijack
- (6) Fatigue impacting or potentially impacting on the ability of related staff to perform safely their air navigation or air traffic duties
- (7) Any occurrence where the human performance has directly contributed to or could have contributed to an accident or a serious incident

⁽¹⁾ Obstacle includes vehicles.

⁽²⁾ This refers to a situation in which prescribed separation minima were not maintained between aircraft or between aircraft and airspace to which separation minima are prescribed.

⁽³⁾ In the absence of prescribed separation minima, a situation in which aircraft were perceived to pass too close to each other for pilots to ensure safe separation.

⁽⁴⁾ For example, air traffic service (ATS), automatic terminal information service (ATIS), meteorological services, navigation databases, aeronautical information service (AIS).