

ENR 1.14 AIR TRAFFIC INCIDENTS

1 AIRPROX Reporting

1.1 AIRPROX Reporting - General

- 1.1.1 **An AIRPROX Report should be made whenever a pilot or a controller considers that the distance between aircraft as well as their relative positions and speed have been such that the safety of the aircraft involved was or may have been compromised.**

***Note:** To ensure comprehensive reporting within the definition of Airprox, the UK Airprox Board (UKAB) also deems a controller to include Flight Information Service Officers (FISOs). Reports from FISOs will be accepted at the discretion of the Director UKAB.*

2 AIRPROX in UK Airspace

- 2.1 AIRPROX reports may be initiated by pilots or controllers and will be co-ordinated subsequently by the UK AIRPROX Board (UKAB). Where the event occurs in controlled airspace or otherwise meets the MOR criteria, an MOR investigation will be initiated by the Safety Data Department (SDD) of the Safety Regulation Group (SRG).

3 AIRPROX Reporting Procedures

- 3.1 Investigations are sometimes made difficult because the correct reporting procedure has not been followed or those involved were not made aware at the time that an AIRPROX report was being filed. In some cases it has not been possible to trace the other aircraft involved, owing to the time taken for the initial details of the occurrence to reach the UKAB. Pilots and controllers are therefore reminded that the appropriate procedure for reporting an AIRPROX occurrence is as follows.

3.2 Initial Report - Pilots

- 3.2.1 An initial report of an AIRPROX by a pilot should be made immediately by radio to the ATS Unit with which the pilot is in communication, prefixing the message with the word AIRPROX.
- 3.2.2 If the AIRPROX cannot be reported on the radio at the time, an initial report should be made by the pilot immediately after landing by telephone or other means to any UK ATS Unit but preferably to an ACC.
- 3.2.3 The AFS may be used to make the initial report from places abroad when the AIRPROX could not be reported on radio at the time. This AFS message should be sent either to the UK ACC in whose airspace the incident took place or to the UK office of the pilot's operating company, which should without delay, telephone or use the AFS to make the initial report to the appropriate ATS Unit.

3.3 Initial Report - Controllers

- 3.3.1 Whenever a Controller operating within the UK FIRs or Shanwick OCA initiates an AIRPROX report or receives an AIRPROX from a pilot, it should be sent either by signal/fax using the Initial Report Form CA1094A in accordance with MATS Part 1, Section 6, Chapter 2. Pilots of aircraft involved in an AIRPROX initiated by a controller should be informed by the controller or his/her Unit management as soon as possible that an AIRPROX is being reported by ATC.

3.4 Confirmation Report

- 3.4.1 **Initial reports must be confirmed within seven days**, by completing the full AIRPROX reporting procedure - pilots (Form CA1094/RAF765A) and controllers (Form SRG1602). AIRPROX which occur inside controlled airspace or which are otherwise reportable under the auspices of the MOR Scheme will be subject to a MOR investigation, initiated and handled by the Safety Data Department (SDD) of the CAA. Reports should be sent to:

Post: Director UK AIRPROX Board, Building 59, RAF Northolt, West End Road, Ruislip, Middlesex, HA4 6NG.
 Phone: 020-8842-6051/5/7
 Fax: 020-8842-6056
 AFS: EGGFYFYX
 Email: contact@airproxboard.org.uk
 URL: www.airproxboard.org.uk

- 3.4.2 **A pilot leaving the UK for a period exceeding seven days must use the AFS to transmit his confirmatory AIRPROX report to his company.** The message will be accepted as Class A traffic. The operating company should complete the Form CA1094/RAF765A and send it to the UKAB without delay.

- 3.4.3 Providing that the initial reporting and confirmatory procedure has been followed, all AIRPROX reports will receive immediate and thorough investigation. The originator of the report and all aircraft operators and ATS agencies involved will be advised that the report has been received and that the investigation is under way. A request will be made by appropriate handling agency for all those involved to submit reports on their version of the AIRPROX.

4 Investigation of AIRPROX

- 4.1 The primary reason for investigation (by the appropriate authority) is to determine the cause of an AIRPROX, thereby leading to action to reduce the risk of collisions. Within the UK, those AIRPROX which occur in Controlled Airspace (CAS), or otherwise involve British operated Commercial Air Transport aircraft, or turbine powered aircraft, or any other AIRPROX where a civil pilot voluntarily reports the incident under the MOR Scheme, will be investigated by the SRG as an MOR. After investigation, such AIRPROX will be assessed by the UKAB, in common with all other AIRPROX reports. Details of AIRPROX investigated as MORs will appear in the relevant SDD Safety Occurrence 'Listing' document which is published monthly. Any enquiries regarding MOR investigation of AIRPROX are to be directed to the CAA at the following address:

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Post: Safety Data Department (SDD), Civil Aviation Authority, Aviation House, Gatwick Airport South, West Sussex, RH6 0YR.
Phone: 01293-573221
Fax: 01293-573972
AFS: EGGRYAYD

5 AIRPROX Assessment

5.1 Following appropriate investigation, the UKAB (a panel of civil and military pilots, controllers and operators from diverse aviation backgrounds) will assess each AIRPROX report submitted to determine cause, degree of collision risk and make any safety recommendations as appropriate.

5.2 Once each AIRPROX case is finalised (ie the investigation and assessment stage has been completed), the pilots, controllers and their respective operating bodies involved in the AIRPROX will be advised of the findings. Additionally, all AIRPROX reports and assessments are published at regular intervals.

***Note:** The conclusions reached by the UKAB have no legal significance, and the anonymity of individuals and companies involved in an AIRPROX is preserved throughout the assessment and the subsequent publication process.*

5.3 Operators, pilots and controllers who seek further information on any AIRPROX are requested only to contact the UKAB or SDD and no other organisation involved.

6 AIRPROX in Foreign Airspace

6.1 Whilst the CAA has no authority to investigate any AIRPROX in foreign airspace, it is concerned about them particularly when UK public transport aircraft are involved. Accordingly, for these aircraft, copies of confirmatory reports made to foreign authorities and details of any response received from them are to be sent to SDD. This satisfies the MOR requirements. The CAA expects commanders/operators of the aircraft to initiate, confirm and follow through AIRPROX reports directly with the foreign authorities themselves in accordance with the appropriate national procedures. The Authority will, however, assist reportees where they have difficulty in following national procedures or in obtaining a response. Assistance may be obtained from the International Services Department, Civil Aviation Authority, 1E, Aviation House, Gatwick Airport South, West Sussex RH6 0YR (Tel: 01293-573374, Fax: 01293-573992). The CAA may also take action of its own accord with a foreign authority on receipt of a report or follow-up where, for instance, from its knowledge of previous occurrences, it considers this necessary.

6.2 Initial Report

6.2.1 The procedure for reporting AIRPROX, as described in the appropriate State's AIP, should be followed.

6.3 Confirmation Report

6.3.1 The State's confirmation procedure should be adhered to. In addition a copy of the AIRPROX report on the State's form, an approved Company form (ASR) or the CAA AIRPROX Report Form CA 1094/RAF765A (amended as necessary to take account of its use for foreign airspace) should be sent to SDD at the address shown at paragraph 4.1.

6.3.2 If there is likely to be an appreciable delay in the transmission of a report, or the AIRPROX is considered particularly serious, the report to SDD should be sent via fax or the AFS. The message should be prefixed AIRPROX, sent via the AFS and allocated a priority of at least 'GG' to enable the Authority to take action promptly when it considers it necessary.

6.3.3 It is essential that where the form used may apply to an AIRPROX or ATC incident, the originator clearly annotates it as an AIRPROX.

6.3.4 AIRPROX and ATC Incident occurrences involving UK public transport aircraft in foreign airspace will be published in the SDD monthly listings for the information and action, where appropriate, of other UK operators likely to use the same airspace.

6.4 Investigation of the Occurrence

6.4.1 Providing that the initial and confirmatory reporting procedure has been followed, an investigation should be carried out by the appropriate foreign authority and the commander/operator advised of the findings and any preventive action taken. When a response is received, the commander/operator should pass the details to SDD indicating whether or not they are satisfied with the outcome.

6.4.2 If the commander or operator is not satisfied and/or the CAA does not consider the outcome adequate, then further action may be taken with the authority concerned.

7 ATC Incidents in Foreign Airspace

7.1 The procedures in the State's AIP should be followed.

7.2 If a State or approved Company form for incidents is not used, CAA Form 1673 (Occurrence Report) must be used instead. CAA Form CA1094/RAF765A (AIRPROX Report) must not be employed for incidents. Forms should be clearly annotated 'ATC Incident'.

7.3 The amount of attention accorded to incidents varies from State to State and it may be advisable on occasions to seek the assistance of the CAA in follow-up.

ENR 1.14 AIR TRAFFIC INCIDENTS (continued)**8 ATC Incidents in UK Airspace - Foreign Pilots/Operators**

- 8.1 Foreign operators/pilots may submit a report, in regard to an ATC incident (which is not an AIRPROX) occurring in UK Airspace, to the Safety Data Department (SDD) of the CAA (address at paragraph 4.1). Such reports will be handled in accordance with the provisions of the Mandatory Occurrence Reporting Scheme of the CAA.

9 Military Personnel - Reporting of AIRPROX

- 9.1 Military pilots and controllers should refer to the appropriate regulations within MRP RA 1410 for AIRPROX reporting.

10 AIRPROX Report Forms CA1094/RAF765A, CA1094A and SRG1602

- 10.1 CA1094/RAF765A forms are available from the UKAB website www.airproxboard.org.uk, SDD and all ATS Units.
- 10.2 The SRG1602 form is available from SDD and all ATS Units.
- 10.3 The CA1094A form is available from the UKAB.



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