UK Civil Aviation Authority

CAA Occurrence Number

ATS OCCURRENCE REPORT

NOTES: (i) See Instructions and Explanatory Notes.

(ii) When completed, please send to: Safety Data, Civil Aviation Authority, Safety Regulation Group, Aviation House, Gatwick Airport South, West Sussex, RH6 0YR.
e-mail: sdd@caa.co.uk
Fax: 01293 573972 Tel: 01293 573220

(iii) Fill in boxes 1-56 as required.

Please complete this form online or print and send it to the above address.

CATEGORIES OF OCCURRENCE

1 ACCIDENT ☐ AIRPROX ☐ INCIDENT ☐ ABANL ☐ (CA939 Action ☐ YES ☐ NO) INFRINGEMENT ☐

NB Signal action is required for Accident and AIRPROX as per MATS Part 1 Section 6.

2 Occurrence Position	3 FL ☐ ALT/HT (FT) ☐	4 Date (dd/mm/yyyy)	5 Time - UTC (HH:MM) 00:00	6 Day ☐ Night ☐

OPERATOR	CALLSIGN/REGN	TYPE	FROM	TO	SSR CODE	MODE C DISPLAYED	IFR/VFR/SVFR
7	8	9	10	11	12	13 ☐ YES ☐ NO	14 Please select
15	16	17	18	19	20	21 ☐ YES ☐ NO	22 Please select
23	24	25	26	27	28	29 ☐ YES ☐ NO	30 Please select

31 RTF Frequencies	32 Radar Equipment	33 Equipment Unserviceabilities	34 QNH	35 Runway in use

36 CLASS & TYPE OF AIRSPACE	37 ATS PROVIDED	38 SID/STAR/ROUTE
Please Select Please Select	Please Select	

39 Was prescribed separation lost?	40 Min Separation	41 Alert Activation	42 Traffic info given by ATC?	43 Avoiding action given by ATC?
☐ YES ☐ NO	Horizontal .....NM Vertical .....ft	Collision ☐ Conflict Alert ☐ TCAS ☐ STCA ☐ SMF ☐	☐ YES ☐ NO	☐ YES ☐ NO

44 BRIEF TITLE
Summary

45 NARRATIVE - use a diagram if necessary (Aerodromes submit weather report including local and regional QNH).

continue on a separate sheet if necessary.

46 Name	47 On duty as	48 ATS Unit	49 Time since last break	50 Start time of shift (UTC)	51 Radar recordings held
.....	.....	.....	00:00	00:00	☐ YES ☑ NO

52 RTF recordings held	53 List other agencies advised	54 Date (dd/mm/yyyy)
☐ YES ☐ NO	.... SRG 1603 (CA 1262) action? ☐	.....

55 Address .....

56 Email Address ..... Telephone .....

Submit

ADVICE ON THE COMPLETION OF THE CAA OCCURRENCE REPORT FORM SRG1602

USE AND EXPLANATION OF TERMS IN BOX 1

ACCIDENT:	A UK reportable accident.
AIRPROX:	A situation in which, in the opinion of a pilot or a controller, 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.
INCIDENT:	Any Occurrence not appropriate to the other categories.
ABANL:	An Alleged Breach of Air Navigation Legislation, as a Supplementary Report whenever CA939 action is taken.
INFRINGEMENT:	An alleged unauthorised infringement of regulated airspace.

EXPLANATORY NOTES *(Please also refer to MATS Part 1, Section 6)*

GENERAL:	*Try to complete **ALL** boxes. If NOT APPLICABLE use N/A, or if NOT KNOWN use N/K. Avoid use of technical jargon, hieroglyphics and abbreviations.*
BOX 1:	Should the Occurrence involve more than one category (e.g. an ABANL could arise from an INFRINGEMENT), tick both categories.
BOXES 7 TO 14 }	
BOXES 15 TO 22}	These boxes cater for up to three involved aircraft. Use the narrative for additional aircraft.
BOXES 23 TO 30}	
BOX 39:	**Must** be completed if prescribed separation was required to be achieved in accordance with MATS Part 1 or 2.
BOX 40:	Should contain your estimate, where possible, of the minimum separation achieved and must be completed for an AIRPROX. This will be coded for computer input purposes and amended if necessary after investigation.
BOX 44:	This box should contain a simple, one-line statement summarising the Occurrence, i.e. 'Co-ordination problems', 'Level bust', 'Overload' etc.
BOX 51/52:	Relevant RTF and Radar recordings can be vitally important to subsequent investigations. Retention action should be considered for all reports and is to be in accordance with MATS Part 1 and any local procedures.
BOX 53:	It is important to ensure that any **involved** agency (e.g. Pilot, Operator, ATSU) is informed of the reporting action. This box should also indicate those organisations required by MATS Part 1 to be informed (e.g. AAIB for an aircraft accident).

REPORTING TIME

Reports must be despatched within 96 hours of the event unless exceptional circumstances prevent this.

ACKNOWLEDGEMENT OF REPORTS

Acknowledgement of reports (other than CONFIDENTIAL – see below) is normally given via Safety Data's monthly list of 'ATC Reported Occurrences'. If, exceptionally, individual acknowledgement is required, please contact Safety Data direct.

UNIT MANAGEMENT ACTION

Reporters are requested to send a copy to the Unit Management. This is for local assessment and any immediate follow-up action. Additional input and/or covering comment from Unit Management is highly desirable for both Safety Data evaluation and any follow-up investigation.

CONFIDENTIAL REPORTS

A report may be submitted confidentially. Please clearly annotate the top of the form 'CONFIDENTIAL'. The second copy need not be forwarded to local management. BOXES 46 to 56 should be completed. The CAA will respect the confidentiality and the Head of Safety Data will contact you personally.