

Supplementary Instruction

CAP 493 MATS Part 1

Safety and Airspace Regulation Group
Airspace, ATM and Aerodromes



Number: CAP493/SI/2025/02

Issued: 15 August 2025

Effective: 14 October 2025

Introduction of ICAO's four levels of disruptive passenger behaviour and update of section 6 and appendix H

1. Introduction

1.1 The purpose of this Supplementary Instruction (SI) to the Manual of Air Traffic Services (MATS) Part 1 (CAP 493) is to:

- introduce the four levels of disruptive passenger behaviour outlined in ICAO Doc 8973 into section 5, chapter 5;
- update section 6 to reflect current regulatory references and align the processes with existing practices; and
- update the directory in appendix H.

2. Background

2.1 Following a review by the CAA ATM team it was identified that the current text within Section 6 of the MATS Part 1 (CAP 493) required to be updated in order to:

- Ensure the language it contains is in line with current nomenclature.
- Ensure the roles and titles of referenced agencies are accurate.
- Ensure the processes it describes better aligns with current regulatory responsibilities.
- Ensure regulatory references and definitions are consistent with source materials where applicable.
- Amend the language and text to enhance clarity where it was deemed necessary.

2.2 As part of the review, a dependency to include ICAO's four levels of disruptive passenger behaviour into section 5, and an update to appendix H was also required.

2.3 An impact analysis for the amendment is included at [Appendix A](#).

3. Amendment to the MATS Pt 1 (CAP 493)

3.1 With effect from 14 October 2025, the MATS Part 1 is amended as shown at [Appendix B](#) and [Appendix C](#). This change will be incorporated into the MATS Part 1 at the next amendment.

3.2 In addition, to assist industry in assessing the change, [Appendix D](#) includes the text of the appendix B arranged to show new, deleted or amended text. At relevant points, the CAA has

recorded its rationale for specific changes that it considered important to highlight for industry and to record for audit purposes.

4. Queries

- 4.1 Any queries or further guidance required on the content of this SI should be marked for the attention of Airspace & ATM Policy and sent to ats.enquiries@caa.co.uk
- 4.2 Any queries relating to the availability of this SI should be marked for the attention of Safety & Airspace Regulation and sent to ats.documents@caa.co.uk

5. Cancellation

- 5.1 This SI shall remain in force until it is incorporated into CAP 493 or is cancelled, suspended or amended.

Appendix A**Impact Analysis in Relation to CAP493/SI/2025/02****1 Introduction**

1.1 CAP 493/SI/2025/02 is intended to:

- introduce the four levels of disruptive passenger behaviour described in ICAO Doc 8973 into section 5, chapter 5;
- update section 6 to reflect current regulatory references and align the processes with existing practices; and
- update the directory in appendix H

2 Impact Analysis

2.1 **Safety Impact. Positive / Negligible / No / Negative**

2.1.1 This amendment improves safety.

2.2 **Financial Impact. Positive / Negligible / No / Negative**

2.2.1 This amendment might result in the amendment to local ATSU documentation.

2.3 **Security Impact. Positive / Negligible / No / Negative**

2.3.1 This amendment improves security.

2.4 **Environmental Impact. Positive / Negligible / No / Negative**

2.4.1 This amendment does not affect the environment.

2.5 **Efficiency Impact. Positive / Negligible / No / Negative**

2.5.1 This amendment improves efficiency.

2.6 **Equality Impact. Positive / Negligible / No / Negative**

2.6.1 This amendment does not affect people who are protected under the Equality Act 2010.

Appendix B

Section 5: Aircraft Emergencies

Chapter 5: Unlawful Interference and Hijacking

1. Introduction

- 1.1 Instances may occur when aircraft operate unlawfully or without proper authorisation within the Scottish and London FIRs, including:
- (1) the unlawful seizure, or exercise of control, of an aircraft by force or threats (hijacking);
 - (2) the unauthorised removal of an aircraft and its subsequent flight;
 - (3) flight of an aircraft with intent to defect;
 - (4) illegal use of an aircraft to effect the escape of prisoners or special hospital patients;
 - (5) the use of aircraft in the furtherance of a crime, including terrorism.

2. Safety

- 2.1 At all times the safety of the aircraft and its occupants is of prime importance. Unless otherwise specifically directed by a responsible higher authority, the policy within UK airspace is for hijacked aircraft to land as soon as possible. Requests from the lawful commander, which the commander states are essential for flight safety, are to be complied with and no attempt shall be made to influence the course of events without their concurrence.

3. Direction

- 3.1 The Watch Supervisor at the parent ACC shall act as ATC Co-ordinating Authority for the incident until, if required, responsibility is assumed by the UK Air Defence Authority under standing procedures. Thereafter, the Watch Supervisor shall support the actions required by the UK Air Defence Authority and co-ordinate actions with civil/military ATSUs as agreed tactically.
- 3.2 Responsibility for overall direction of the incident will rest with Government officials acting through the DfT or MoD and the ATC Co-ordinating Authority. Controllers should be aware that their communications with these aircraft may be subject to Government instruction in

accordance with contingency plans not detailed here. Such contingency plans may result in requests to issue instructions which, whilst not prejudicing safety in any way, controllers would not otherwise consider suitable.

4. ATC Operations

4A. General

- 4A.1 When an occurrence of unlawful interference with an aircraft takes place or is suspected, controllers shall attend promptly to requests by the aircraft.
- 4A.2 The aircraft concerned shall be given priority where possible and necessary action shall be taken to expedite all phases of the flight, especially the safe landing of the aircraft. Any reference to the special situation is to be avoided in air-ground communications with other aircraft unless it has first been referred to in communications from the aircraft involved and it is reasonable to assume that such reference will not aggravate the situation. Where more than one aircraft is involved in the incident, reduced separation may be allowed between the aircraft involved at the request of a lawful commander.
- 4A.3 An aircraft known or believed to be the subject of unlawful interference, which includes disruptive passengers, or which for other reasons needs isolation from normal aerodrome activities shall be cleared to the designated isolated parking position in accordance with local instructions. Where such an isolated parking position has not been designated, or if the designated position is not available, the aircraft shall be cleared to a position within the area or areas selected by prior agreement with the Aerodrome Operator. The taxi clearance shall specify the taxi route to be followed to the parking position. This route shall be selected with a view to minimising any security risks to the public, other aircraft and installations at the aerodrome.

4B. Disruptive Passengers

- 4B.1 Four levels of disruptive passenger behaviour have been defined internationally for reference between pilots and ATC that characterise an ongoing incident based on the seriousness of disruptive behaviour; these are:

Level 1: Disruptive (suspicious or verbally threatening) behaviour;

Level 2: Physically abusive behaviour;

Level 3: Life threatening behaviour, and;

Level 4: Attempted or actual breach of the flight crew compartment.

- 4B.2 Pilots declaring that their aircraft is being subjected to disruptive passenger behaviour should also include their intentions. In the event that a pilot does not state their intention, controllers should seek clarification and act accordingly.

4C. ATS Surveillance Systems

- 4C.1 Whenever possible the flight paths of the aircraft are to be monitored; appropriate adjacent ATC units are to be provided with information to enable them to assist with flight path monitoring.
- 4C.2 Whenever it has been established that the aircraft is transponding on A7500 the controller shall attempt to verify by RTF with the aircraft concerned that the code selection is intentional. The phraseology to be used is:
- “(Callsign) confirm you are squawking assigned code (code assigned by ATC that it would otherwise be squawking).”
- 4C.3 The RTF message must exclude specific mention of A7500. Whenever it has been verified that the code has been intentionally selected, or when no verification can be obtained, it shall be assumed that the aircraft has suffered unlawful interference.
- 4C.4 The phraseology above may also be used to provide a discreet check, or prompt, when information, such as is described in paragraph 6B below, indicates that the aircraft might be subject to a potential security threat, and the pilot has not selected A7500. If able, the pilot might select A7500 in response.

4D. Clearances

- 4D.1 Normal ATC clearances and provision of information pertinent to the safe conduct of the flight shall continue to be transmitted unless otherwise directed by the appropriate higher authority.
- 4D.2 It may be considered expedient by HM Government to withhold an ATC clearance to aircraft. This may include an aircraft that is planning to enter, land or depart UK airspace or is already in UK airspace in breach of UK sanctions. When authorised by HM Government through the parent ACC or Aerodrome Authority, the following RTF phraseology is to be used:
- (1) “(Callsign) I am instructed by His Majesty’s Government to refuse entry into United Kingdom airspace. What are your intentions?”;
 - (2) “(Callsign) I am instructed by His Majesty’s Government to inform you that landing clearance has been refused for any airfield within the United Kingdom. What are your intentions?”;

- (3) “(Callsign) I am instructed by His Majesty’s Government that you are to hold at (e.g. location on the aerodrome, exact reporting point, or latitude/longitude) at (level). Acknowledge.”.

Note: If the aircraft is on the ground, the Aerodrome Authority will be the coordinating authority with HM Government.

- 4D.3 If an adjacent ATC agency is required to relay a message on behalf of the UK they should be requested to pass the text verbatim.
- 4C.4 The aircraft’s intentions or observed non-compliance with HM Government instructions are to be reported to the parent ACC or Aerodrome Authority as appropriate as soon as practicable.
- 4D.5 ATC units are to make provision for normal separation should the aircraft ignore the lack of clearance and the parent ACC should be advised of the situation.
- 4D.6 Should the aircraft declare an emergency, then all assistance must be given including direct routings and landing if required. The MoD, acting on advice from DfT, NATS or the Police, may select a diversion destination if necessary.

5. Reporting Action

- 5.1 If the subject aircraft is within, or is planned to enter, UK airspace, or the interests of the UK are in any way likely to be affected, the civil Watch Supervisor at the parent ACC must be informed immediately. It has been agreed that hijack incidents and subsequent relevant changes, occurring in European airspace, will be signalled by the affected State to all other States. The reporting action to be taken by ATC units is detailed in Section 6.

6. Identification of Unlawful Interference and Hijack Situations

6A. Verified Hijack Status

- 6A.1 Aircraft subject to hijacking are identified to ATC staff by the selection of A7500 on the aircraft’s transponder and/or declaration on the RTF frequency, including the declaration of disruptive passenger behaviour level 4. Pilots are not to be instructed to squawk A7500, see paragraph 4C above for further information.
- 6A.2 When completing the reporting action as prescribed in Section 6, Chapter 3, Tables 2 and 3, ATS personnel must ensure the content of the pilot’s declaration is accurately conveyed and recorded.

6B. Unverified Hijack Status/Potential Renegade Aircraft

6B.1 Suspected hijacks or airborne security situations, where selection of A7500 has not been made or a definitive RTF call received by ATC, may be indicated by various means. Due to the infinite variety of possible situations, a complete and comprehensive list of suspicious aircraft/pilot activities cannot be prescribed. The following examples are situations that may represent an unusual event:

- (1) Unauthorised deviation from cleared flight profile;
- (2) Refusal or inability to comply with ATC instructions (including vectoring) with no good reason;
- (3) Loss of RTF contact, particularly associated with flight profile deviation;
- (4) Unauthorised SSR code changes or extended use of IDENT;
- (5) Use of non-standard phraseology by the crew, or other covert attempt to highlight the situation (marked change in voice characteristics, etc.);
- (6) Selection of A7600 (RTF failure) or A7700 (emergency), particularly associated with flight profile deviation;
- (7) Notification from non-official sources (e.g. news agencies, etc.);
- (8) Open RTF transmitter from the cockpit;
- (9) Non-ATC related RTF transmission (e.g. political statement);
- (10) Non-specific threat passed via third party.

6B.2 In the case of the latter three bullet points, these would normally mean that the identity of the aircraft is unknown until other factors become apparent. Individual events may not constitute suspicious aircraft/pilot activity alone; however a combination of such events should be considered as an unusual occurrence and the appropriate alerting action undertaken.

Section 6: Reports

Chapter 1: General Guidance

1. Introduction

- 1.1 The immediate action that must be taken by an individual at an operational position when an AIRPROX is reported is described in Section 1. The purpose of this section is to list, for quick reference, the subsequent reporting action for accidents, incidents, alleged breaches of air navigation legislation (ABANL) or AIRPROX events. It contains detailed instructions common to all ATSU. Instructions amplifying these procedures or peculiar to a unit will be found in MATS Part 2 or local unit instructions.
- 1.2 To ensure prompt follow up action, all available information should be forwarded to the relevant authority following an incident. In particular, when a controller or nominated representative from the ATSU has a subsequent conversation with any other involved party, details of this exchange should be included as part of the reporting procedure. These should include items such as:
- (1) individual's name (if volunteered); and
 - (2) the content of the discussion.
- 1.3 It is accepted that these supplementary details may well be dispatched after the initial reporting documentation. ANSPs should have appropriate procedures for ensuring that all details are correctly forwarded to the relevant bodies.
- 1.4 When an alleged breach of air navigation legislation is involved, individuals should follow the guidance contained in Chapter 4.
- 1.5 Common telephone numbers and postal addresses used in reporting action are listed in Appendix H.
- 1.6 Units may find it useful to make copies of Appendix H, or any other part of this section, for display at suitable positions in control rooms.

2. Reports by Telephone

- 2.1 Some occurrences require a report to be made fairly promptly by telephone, e.g. malicious interference to VHF communications. Telephone numbers appear in the directory located in Appendix H.

3. Reports

3.1 All reports required from individuals about incidents and accidents are to be reported to their organisation (their ANSP employer), in line with MATS Part 2 or local unit instructions. The organisation is to collect all received reports and other related documents and send them to the appropriate address in accordance with UK Reg (EU) 2015/1018 and UK Reg (EU) No 376/2014.

Note: If there is a concern that a report may not be treated appropriately by an employer, or not passed to the CAA when it should be, it is possible to submit an occurrence report directly to the CAA. <https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation>

3.2 The following notes about compiling a report may be of assistance:

- (1) Relate the events in chronological order;
- (2) Amplify the facts with explanations but do not attempt to pre-judge or investigate;
- (3) Refer to the watch log, flight progress data or any other document for accurate details of times, dates, places, aircraft registration, etc.;
- (4) Use accepted aeronautical abbreviations (except when completing the CA939 – Alleged Breach of Air Navigation Legislation form);
- (5) Keep sentences and paragraphs as short as possible;
- (6) Include a sketch or diagram if it will simplify the description;
- (7) Write in the first person; and
- (8) If you have not heard the RTF recording endorse your report 'The events described have not been checked for accuracy against the appropriate RTF recording'.

3.3 Lack of information should not delay the distribution of reports. When there is a laid down format insert 'not known' against the item and update the report when the information becomes available.

4. ATS Records

- 4.1 All ATS records concerning occurrences reported in accordance with UK Reg (EU) 2015/1018 and UK Reg (EU) No 376/2014 shall be preserved until enquiries or investigations have been completed. In particular:
- (1) the Duty ATSEP is to be advised of occurrences immediately;
 - (2) the Meteorological Office or a qualified met. observer is to be asked to supply a copy of the weather report for the time of the occurrence;
 - (3) the original flight progress data is to be retained at the unit, or in the case of electronic strips, appropriate records secured.

5. Access to Original Records

- 5.1 Access to original records should be limited as follows, to protect from damage the very important evidence which they may contain.

5A. Accidents

- 5A.1 The integrity of the master recordings in the days and weeks following an accident is critical to ensure fair and accurate analysis of the event. To that end, replay of original RTF recordings and access to original communications logs and the contents of flight data record stores is normally permitted only on the authority of the AAIB. If the authority of the AAIB cannot be obtained in time, the authority of the senior controller available shall be accepted. Written confirmation of this authority may be required.
- 5A.2 RTF communication, flight data records, and surveillance data playback facilities, as available, will be made accessible to ATC if immediately essential to aid the safety of the subject aircraft or any other relevant aircraft (e.g. to help establish the position of the aircraft involved to facilitate search and rescue).

5B. Incidents (including AIRPROX)

- 5B.1 Replay of original RTF recordings and access to other original records may be authorised by the appropriate designated local responsible person.

6. Disclosure of Information

- 6.1 The contents of reports described in this section are to be suitably protected in accordance with UK Reg (EU) No 376/2014 Article 15. If there is any doubt about the identity of an individual requesting report details, the ATSU should take appropriate action to verify the identity of the individual and the validity of the request.

- 6.2 Members of the press and general public who make enquiries about an occurrence should be referred to the person authorised to release information. Additional instructions on relations with the press and general public may appear in MATS Part 2 or local unit instructions.
- 6.3 Controllers should not approach a pilot or any party involved if there is an alleged breach of air navigation legislation. Guidance for the occasions when the pilot contacts ATC is given in Chapter 4.
- 6.4 ATSUs may contact pilots or Aircraft Operators to obtain details for other reported events but should refrain from offering opinions as to a cause or responsibility.

7. Additional AAIB Post-Incident Investigation

- 7.1 In the interest of flight safety, the AAIB may require to investigate categories of incidents which are not normally reported to them. When the AAIB are investigating such an incident the AAIB Duty Co-ordinator will inform the appropriate ATSU that AAIB will require the normal post-incident actions to be taken.

Section 6: Reports

Chapter 2: Air Traffic Control Incident Assessment

1. Air Traffic Control Incident Assessment

- 1.1 Any ATC related occurrence reported in accordance with UK Reg (EU) 2015/1018, including accident, AIRPROX or any other incident involving safety is to be assessed as quickly as possible by nominated local unit personnel.
- 1.2 Where it is determined that a controller's action, ATC equipment and/or ATC procedures may have been contributory to the event, the nominated person at the unit is to take the following action without delay:
- (1) When circumstances dictate, the controller(s) concerned is (are) to be withdrawn from operational duty and informally interviewed to establish the basic facts;
 - (2) In situations where ATC procedures or equipment may have been contributory, the unit manager may be required to suspend or limit their use pending further investigation.
 - (3) The competence records of each of the controllers involved, and relevant replays, should be reviewed to determine whether the controller's competence is in doubt.
 - (4) Where ATC actions were contributory, and no positive evidence is available to support an immediate return to operational duty, the unit manager should seek assurance of competence via other means.
 - (5) If there is continued doubt over the controller's ability to safely exercise the privileges of their licence, service providers may declare provisional inability in accordance with UK Reg (EU) 2015/340 and agree an action plan with the appropriate CAA inspector before returning the controller to operational duties.

Note: The Principal Inspector ATM has authority under the UK Air Navigation Order article 253 to further, provisionally vary or suspend the controller's unit endorsement, rating or licence, if appropriate, and to dictate the extent, if any, of further remedial action, e.g. competence check, period of training etc. and advise the nominated unit manager accordingly.
 - (6) ANSPs are required to have principles and procedures for the determination of whether fatigue, stress or the problematic use of psychoactive substances may have

been contributory, and these elements should be considered as part of the initial assessment.

- (7) If all evidence supports the controller's competence, then, subject to positive assurance for the controller's wellbeing, the controller may be returned to duty following local support activities. In these circumstances, form SRG 1436 should be completed and submitted to postincidentactions@caa.co.uk with the name of the ATSU inserted into the subject line. The mailbox will be monitored by the appropriate CAA inspector during office hours. The CAA inspector may, subsequently, ask for further information and assurances.
- (8) In exceptional circumstances, the CAA Inspectorate may be notified outside normal working hours for events that may give rise to heightened media interest.
- (9) In all cases competence records of the individual(s) concerned should accurately describe the event, their contribution, and the actions taken/underway.

2. Occurrence Analysis (Unit investigation process)

2.1 Analysis by ANSPs in accordance with UK Reg (EU) No 376/2014 is to be undertaken to identify safety improvement opportunities and should include:

- (1) An initial investigation to determine any immediate corrective or preventative action which should be completed in a timely manner and transmitted to the CAA within 30 days of the notification of the occurrence.
- (2) A full investigation, where required, to determine the root cause and contributing factors as soon as available and transmitted to the CAA no later than 3 months from the date of notification of the occurrence.

2.2 All reports are to be submitted to the CAA Safety Data Department (SDD).

2.3 The CAA SDD acts as the focal point for receipt of all occurrence reports. ATC related incidents may form only part of the overall submission but are, nevertheless, mandatory occurrences. Other CAA departments could be involved. SDD assesses each report and may assign an appropriate CAA department for review.

3. Occurrence Analysis (CAA ATS Investigations (ATSI))

3.1 In addition to the above, and when considered necessary by the CAA, a full investigation by the CAA ATSI may be conducted.

3.2 A full field investigation may be conducted by an ATS Investigator if deemed appropriate. This usually involves interviews at the unit(s) concerned (or may involve an interview by

telephone) and may require further evidence from controllers who have already been informally interviewed. Other relevant evidence, where available, is taken into account, e.g. pilots' reports, RTF transcripts and surveillance recordings.

- 3.3 CAA ATSI may analyse the evidence and seek to identify the causes of the occurrence in their report conclusion. Where appropriate, recommendations can be made.
- 3.4 The subsequent report and recommendations from the CAA ATS Investigator is submitted to the appropriate Principal Inspector ATM.
- 3.5 The Principal Inspector ATM will oversee the implementation of any adopted recommendation that ATSI may make.

Section 6: Reports

Chapter 3: Aircraft Accident, Incident and AIRPROX Reports

1. Explanation of Terms

1.1 UK Reg (EU) No 376/2014 (article 4 (5)) requires that a list classifying the type of occurrences that require report action is created. This list is detailed within UK Reg (EU) 2015/1018, which is not reproduced within this document. However, the following information gives guidance on the types of occurrence and the action to follow at unit level. It is also recognised that some units may have additional reporting action as detailed in local unit instructions.

1.2 In this section the term 'incident' means any of the occurrences, involving aircraft, which are tabulated below.

Table 1:

Event	Explanation
<p style="text-align: center;">Accident (UK Reg (EU) No 996/2010)</p>	<p>An occurrence associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards an aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down, in which:</p> <p>(1) a person is fatally or seriously injured as a result of:</p> <ul style="list-style-type: none"> (a) being in the aircraft, or (b) direct contact with any part of the aircraft, including parts which have become detached from the aircraft, or (c) direct exposure to jet blast, except when the injuries are from natural causes, self-inflicted or inflicted by other persons, or when the injuries are to stowaways hiding outside the areas normally available to the passengers and crew. <p>(2) aircraft sustains damage or structural failure which adversely affects the structural strength, performance or flight characteristics of the aircraft, and would normally require major repair or replacement of the affected component, except for engine failure or damage, when the damage is limited to a single engine, (including its cowlings or accessories), to propellers, wing tips, antennas, probes, vanes, tyres, brakes, wheels, fairings, panels, landing gear doors, windscreens, the aircraft skin (such as small dents or puncture holes), or for minor damage to main rotor blades, tail</p>

Event	Explanation
	rotor blades, landing gear, and those resulting from hail or bird strike (including holes in the radome); or (3) the aircraft is missing or is completely inaccessible.
Serious Incident (UK Reg (EU) No 996/2010)	An incident involving circumstances indicating that there was a high probability of an accident and is associated with the operation of an aircraft, which in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time it comes to rest at the end of the flight and the primary propulsion system is shut down. Examples can be found in MATS Part 1, Section 6, Chapter 3, paragraph 6
AIRPROX (CAP1430)	A situation in which, in the opinion of the pilot or a controller, the distance between aircraft as well as their relative positions and speeds have been such that the safety of the aircraft involved was or may have been compromised.
Incident (UK Reg (EU) No 996/2010)	An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation.
Incident onboard an aircraft in flight (Civil Aviation Act 1982)	A commander of an aircraft in flight, in pursuance of the powers bestowed on the commander under the Civil Aviation Act 1982, section 94, finds it necessary to restrain a person on board.
Hijacking (Aviation Security Act 1982)	The unlawful seizure, or exercise of control, of an aircraft in flight by use of force or threats of any kind.
Unlawful interference (ICAO Annex 17)	Acts or attempted acts such as to jeopardize the safety of civil aviation and air transport, e.g. hostage-taking on board aircraft or on aerodromes, forcible intrusion on board an aircraft, at an airport or on the premises of an aeronautical facility, introduction on board an aircraft or at an airport of a weapon or hazardous device or material intended for criminal purposes, communication of false information such as to jeopardize the safety of an aircraft in flight or on the ground, of passengers, crew, ground personnel or the general public, at an airport or on the premises of a civil aviation facility.
Disruptive Passenger Behaviour	Four levels of disruptive passenger behaviour have been defined for use internationally. For further information see Section 5, Chapter 5, paragraph 4B.
Aircraft Ground Incident (CAP168)	Where an aircraft on the ground is known to have an emergency situation other than an accident, requiring the attendance of emergency services.

Event	Explanation
Runway Excursion (ICAO)	A veer off or over-run of the runway surface.
Unintentional use of unpaved areas	An aircraft leaves the paved surfaces of the manoeuvring area.
Radio Frequency Interference (UK Reg (EU) 2015/1018)	Significant external interference with Air Navigation Services (for example radio broadcast stations transmitting in the FM band, interfering with ILS (instrument landing system), VOR (VHF Omni Directional Radio Range) and communication).
Ground Fault Report (UK Reg (EU) 2015/1018)	Loss or failure of communication with aircraft, vehicle, air traffic services unit or apron management service unit.

2. Reporting Action

2.1 Reporting action will depend upon the circumstances of the incident. The actions to be taken at aerodromes and ACCs are listed in the respective tables below. If more than one circumstance applies to a particular incident, then the actions applicable to all appropriate circumstances must be taken; e.g. an accident in the vicinity of an aerodrome is also one that is reportable. The combined reporting action is to telephone the ACC and the Aerodrome Operator. Subsequent action is to submit written reports from all concerned to SDD. Additional reporting action may be specified in MATS Part 2 or local unit instructions.

Note: Where the posts described in the tables below are not the job titles used locally, the reporting action to be used shall be detailed in MATS Part 2 or local unit instructions.

3. Reporting Action at Aerodromes

3.1 The senior controller at an air traffic control unit at an aerodrome is responsible for ensuring that the reporting action described below is taken.

Table 2:

Circumstances of an Event	Reporting Action (by telephone to)	Subsequent Action
Aircraft Accident in the vicinity of the aerodrome.	AAIB ACC Watch Manager Aerodrome Operator (but see local emergency orders)	Submit an MOR

Circumstances of an Event	Reporting Action (by telephone to)	Subsequent Action
Involves any of approach, navigation or communications facilities	Duty ATSEP at the aerodrome	Submit an MOR
Unintentional use of unpaved areas	Aerodrome Operator	Submit an MOR
AIRPROX Report	ACC Watch Manager Aircraft Operators Other ATSUs involved	Submit an MOR
AIRPROX Report involving small UA	Civil Police: Provide location of AIRPROX as soon as practicable to initiate tracing action ACC Ops Supervisor Aircraft Operator Other ATSUs as necessary	Submit an MOR
Serious Incident	AAIB ACC Watch Manager Aerodrome Operator	Submit an MOR
MAYDAY and PAN messages	ACC may assist. Aerodrome Operator	Submit an MOR
Air Traffic Services may be subject to criticism	ACC may assist. Head of ATSU	Submit an MOR
Likely to give rise to public interest	ACC Watch Manager Head of ATSU	
Unlawful interference and Hijacking (including disruptive passenger level 4)	ACC Watch Manager Aerodrome Operator (according to local unit instructions)	Submit an MOR
Bomb Warning involving an aircraft is received	Aircraft Operators ACC Watch Manager (See local emergency orders) Next ATSU concerned with flight (if aircraft is airborne)	Submit an MOR

Circumstances of an Event	Reporting Action (by telephone to)	Subsequent Action
Incident on-board an aircraft in flight (aircraft intends to land)	Aerodrome Operator Aircraft Operators	Submit an MOR indicating that a CA939 has been raised and Submit CA939 to Investigation and Enforcement Team via: https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation
Aircraft Radio Equipment Fault	Duty ATSEP	Submit an MOR
Ground Fault Report (Telecommunications Service)	Duty ATSEP at aerodrome (see Section 7 for successive reports of the same fault)	Submit an MOR
Radio Frequency Interference Report	Duty ATSEP	Submit an MOR
Alleged Breach of Air Navigation Legislation		Submit an MOR indicating that a CA939 has been raised and Submit CA939 to Investigation and Enforcement Team via: https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation
See also Chapter 1 – GENERAL GUIDANCE		
A LIST OF TELEPHONE NUMBERS AND LOCATIONS IS SHOWN IN THE DIRECTORY AT APPENDIX H		

4. Reporting Action at ACCs

4.1 The Operational Supervisor at an ACC is responsible for taking action upon receipt of reports from:

- (1) aircraft with the London or Scottish FIR, as applicable;
- (2) ATSU's situated within the London or Scottish FIR, as applicable;
- (3) other ACCs;

- (4) military units associated with the ACC;
- (5) civilian police or HMRC.

4.2 Reporting action is shown in the table below.

Note: More than one circumstance may be appropriate to an incident. Operational Supervisors should also ensure that actions taken include those described in Section 5, Chapter 6, 'Alerting Action'.

Table 3:

Circumstances of an Event	Reporting Action (by telephone to)	Subsequent Action
Accident (if reporting action not taken at an aerodrome)	AAIB Civil Police	Submit an MOR
Serious Incident (this may include some MAYDAY and PAN messages)	AAIB	Submit an MOR
AIRPROX Report	Aircraft Operators Other ATSU's involved	Submit an MOR
AIRPROX Report involving small UA	Civil Police: Provide location of AIRPROX as soon as practicable to initiate tracing action ACC Ops Supervisor Aircraft Operator Other ATSU's as necessary	Submit an MOR
Air Traffic Services may be subject to criticism	ACC General Manager	
Likely to give rise to public interest	ACC General Manager CAA Press Officer DfT Duty Officer	
May involve NATS enroute navigational or communications facilities	Duty ATSEP at the ACC	Submit an MOR
May involve any of approach, navigational or communication facilities at non-NATS aerodromes	Duty ATSEP at the ACC	Submit an MOR

Circumstances of an Event	Reporting Action (by telephone to)	Subsequent Action
Unlawful interference and Hijacking (including disruptive passenger level 4)	DfT Duty Officer ACC Military Supervisor Next ATSU concerned with the flight	Submit an MOR
BOMB Warning involving an aircraft is received	Aircraft Operators (if action not already taken at ATSU) DfT Duty Officer Next ATSU concerned with flight, and ACC Military Supervisor (if aircraft airborne)	Submit an MOR
Incident on-board an aircraft in flight	Aerodrome of intended landing Next ACC concerned with flight Aircraft Operator DfT Threats Office Duty Officer	Submit an MOR
Aircraft radio equipment fault	Duty ATSEP at the ACC	Submit an MOR
Ground Fault Report (Telecommunications Service)	Duty ATSEP at aerodrome (see Section 7 for successive reports of the same fault)	Submit an MOR
Radio Frequency Interference Report	Technical services at the ACC	In accordance with local reporting procedures
Alleged Breach of Air Navigation Legislation		Submit an MOR Alleged Breach of Air Navigation Legislation. Submit CA939 to Investigation and Enforcement Team via: https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation
See also Chapter 1 – GENERAL GUIDANCE		
A LIST OF TELEPHONE NUMBERS AND LOCATIONS IS SHOWN IN THE DIRECTORY AT APPENDIX H		

5. Accident Reports

5A. Telephone

5A.1 When telephone action is required pass as much of the following information as is available:

- (1) Type, nationality and registration of the aircraft;
- (2) Owner or operator;
- (3) Date and time of the accident;
- (4) Nature of the flight;
- (5) Location of the accident site;
- (6) Number of crew and passengers;
- (7) Casualties;
- (8) Circumstances of the accident;
- (9) Lighting facilities, navigational and/or landing aids in use (as appropriate) and any known unserviceabilities.

5B. Written Reports

5B.1 General advice on writing reports is given in Chapter 1. The following details are to be included in the report when an accident at an aerodrome is, by definition, reportable:

- (1) Runway in use;
- (2) Approach aids and Lighting facilities in use and their serviceability;
- (3) Relevant information on the serviceability of the aerodrome facilities and surface;
- (4) Any damage to aerodrome or third-party property.

6. Serious Incident Reports

6.1 A serious incident (fully defined in UK Reg (EU) No 996/2010) is one involving circumstances which indicate that an accident nearly occurred. The purpose of this

reporting action is to provide an early degree of awareness to the AAIB that a serious incident may have occurred.

6.2 The following list provides a number of typical examples of those incidents likely to be considered serious. The list is not exhaustive and serves only as guidance to the definition of a serious incident. The AAIB are the final arbitrators in deciding whether the incident will be considered serious. If doubt exists, an incident should be reported rather than excluded:

- (1) Near collisions requiring an avoidance manoeuvre to avoid a collision or an unsafe situation or when avoidance action would have been appropriate;
- (2) Controlled flight into terrain only marginally avoided;
- (3) Aborted take-offs on a closed or occupied runway;
- (4) Take-offs from a closed or occupied runway with marginal clearance from obstacle(s);
- (5) Landings or attempted landings on a closed or occupied runway;
- (6) Gross failures to achieve predicted performance during take-off or initial climb;
- (7) Fires and smoke in the passenger compartment, in cargo compartments or engine fires, even though such fires were extinguished by the use of extinguishing agents;
- (8) Events requiring the emergency use of oxygen by the flight crew;
- (9) Aircraft structural failures or engine disintegrations not classified as an accident;
- (10) Multiple malfunctions of one or more aircraft systems seriously affecting the operation of the aircraft;
- (11) Flight crew incapacitation in flight;
- (12) Fuel quantity requiring the declaration of an emergency by the pilot;
- (13) Take-off or landing incidents (incidents such as under-shooting, over-running or running off the side of runways);
- (14) System failures, weather phenomena, operations outside the approved flight envelope or other occurrence which could have caused difficulties controlling the aircraft; and

- (15) Failure of more than one system in a reduced system mandatory for flight guidance and navigation.

6.3 Where an AIRPROX is filed there is no need to follow the serious incident reporting procedures as the details will be sent by the normal reporting systems to AAIB. Reporting procedures shall commence as soon as practicable after the incident and, in all cases, no later than 72-hours after the occurrence. It is accepted that all details may not be available soon after the incident in which case the available information should be sent within the required timescale and the additional details forwarded on as soon as possible thereafter. If a serious incident occurs and ATC are not informed by the crew then the onus rests with the flight crew to ensure that reporting action is taken.

6A. Telephone

6A.1 When telephone action is required pass as much of the following information as available:

- (1) Type, nationality and registration of the aircraft;
- (2) Owner or operator;
- (3) Date and time of the serious incident;
- (4) Nature of the flight;
- (5) Location where the serious incident took place;
- (6) Number of crew and passengers;
- (7) Casualties;
- (8) Circumstances of the serious incident; and
- (9) Where appropriate, lighting facilities, navigation and/or landing aids in use and any known unserviceabilities.

7. AIRPROX Reports

7.1 AIRPROX reports are processed and handled by the UK AIRPROX Board (UKAB). ATSI review all initial Airprox reports, and all follow up Airprox investigation reports submitted by an ANSP, and may on occasion conduct an independent investigation. During the ATSI review or investigation, any ATM contributory factors to the event will be confirmed or established and missing or failed safety barriers identified, where appropriate. This

information will then be supplied to UKAB to enable them to include it in their full assessment processes.

- 7.2 In order to comply with MOR procedures, the report from the originating ATSU shall clearly state 'AIRPROX' in the narrative and contain as much information as possible. SDD will then forward the report to UKAB.
- 7.3 A pilot may file an AIRPROX report on the RTF or, after landing, by telephone or in person. Following a pilot's declaration that they will file an AIRPROX, controllers should complete their own incident report. This should ensure that any action, such as recovery of RTF or surveillance data, can be initiated at the earliest opportunity.
- 7.4 Any completed AIRPROX reports, initiated by pilots, (including from non-UK ACCs) received at an ATC unit are to be sent without delay to the UKAB.
- 7.5 Pilots of aircraft involved in an AIRPROX that is reported by a controller should be informed by the controller or their unit management, as soon as reasonably practicable, that an AIRPROX is being submitted by ATC.

7A. Search Action

- 7A.1 The following action is to be taken at ACCs to trace a reported aircraft if its identity is not known:
- (1) If the unidentified aircraft is suspected to be military (of any nationality) or not positively identified as civil, telephone Radar Analysis Cell (RAC), 78 Squadron, Swanwick Military and request a search;
 - (2) If the search for a civil aircraft (especially light aircraft outside controlled airspace) is unsuccessful, telephone RAC, 78 Squadron, Swanwick Military and seek assistance. In particular, ask if any military unit has any knowledge of the reported civil aircraft.
- 7A.2 In both cases confirm the request by including RAC, 78 Squadron, Swanwick Military in the list of addresses of the signal.
- 7A.3 Where ACC trace action is taken entirely by RAC, 78 Squadron, Swanwick Military and, final signal action will be taken by RAC.
- 7A.4 If a military aircraft, not in communication with a civil ATC unit, reports an AIRPROX with a civil aircraft the ACC will be requested by RAC, 78 Squadron, Swanwick Military to attempt to trace the reported aircraft.

- 7A.5 RAC, 78 Squadron, Swanwick Military is responsible for all trace action undertaken at the Swanwick and Prestwick ACCs.

8. Mandatory Occurrence Reports (MOR)

- 8.1 The holder of an ATCO or FISO licence is to report, within 72 hours, any occurrence which has, or if not corrected would have, endangered an aircraft, its occupants, or any other person. The CAA Website contains guidance on what is a reportable occurrence but ultimately the individual licence holder involved will have to use their own judgement. UK Reg (EU) 2015/1018 contains details.
- 8.2 To enable other reports to be completed without delay licence holders should, if possible, inform operators and other ATS units involved as soon as practicable.
- 8.3 If telecommunications services and facilities are involved, the systems controller or the Duty ATSEP should be advised of the circumstances of the occurrence without delay.
- 8.4 Licence holders are to report all occurrences regardless of the category or nationality of the aircraft.

8A. Reporting Procedure

- 8A.1 Occurrence Reports are treated confidentially to maintain full and free reporting from the aviation community and to protect the identity of the individual in accordance with UK legislation.
- 8A.2 If the controller considers that the event they are reporting may have involved an alleged breach of air navigation legislation they are advised to seek the views of local management. If after consultation it is decided that CA939 action is appropriate a completed form CA939 should be sent to the Investigation and Enforcement Team (IET) accompanied by a MOR which indicates that CA939 action has been requested.
- 8A.3 If a reporter encounters a situation where a mandatory report is not appropriate but has an allegation about an individual or organisation that may affect safety, then a Voluntary Occurrence Report (VOR) reported in accordance with local procedures, or a Whistleblower report may be filed. Details of the whistleblowing process can be found on the CAA website; <https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation>

9. Incidents on Board an Aircraft in Flight (Disruptive passengers)

- 9.1 When in receipt of a message from a pilot that indicates a level of disruptive passenger behaviour has occurred, the ATCO should, where possible, ascertain the level of

disruption, and subsequently submit an MOR. See Section 5, Chapter 5 for information on the levels of disruptive passenger behaviour.

10. Matter Allegedly Dropped by Aircraft

- 10.1 A complaint alleging that matter has fallen from an aircraft is to be treated as an incident involving safety. All reasonable efforts are to be made as soon as possible to identify any aircraft that might have been responsible. The aid of the Watch Manager at the ACC may be enlisted. It should be remembered that military aircraft, often beyond civil control or means of identification, may have been responsible. Controllers must not express opinions as to the likely source of the falling matter to the person reporting the incident.

Section 6: Reports

Chapter 4: Alleged Breaches of Air Navigation Legislation

1. Introduction

- 1.1 Aviation offences can be found in the Civil Aviation Act 1982, the ANO 2016 and its supporting Regulations (e.g., The Rules of the Air) and UK SERA. Controllers should report apparent offences using form CA939.

2. Tracing Action

- 2.1 If the offending aircraft has not been identified but is seen on a situation display, it is to be tracked, if possible, until it appears to be landing. Correlation of the track and time with the movements at the appropriate aerodrome should be attempted so that identification can be made.
- 2.2 If the pilot's name is volunteered it should be noted in the report. There is no requirement to speak directly to the pilot concerned. If contact is made, the pilot shall not be invited or persuaded to give an explanation but if they do voluntarily, it shall be written down in their exact words and not paraphrased or interpreted. This does not constitute a statement under caution, but it does form a very important link in the chain of information upon which to decide whether to prosecute. The reporter should endorse the form with the date and time of completion.
- 2.3 If the pilot states that special circumstances existed, e.g. that service was being provided by another ATSU, efforts should be made to corroborate the statement.
- 2.4 If the pilot asks what action is going to be taken, the controller should say that they will endeavour to trace the identity of an aircraft involved in an incident and that the circumstances of the flight are being reported to the CAA for consideration of action to be taken.
- 2.5 Individuals should not, in conversation with pilots:
- (1) Specify the Article, Rule or Regulation apparently infringed;
 - (2) Give any form of admonition.

To do so may inhibit action by CAA Investigation Officers.

3. Written Reports

- 3.1 Alleged breaches of Air Navigation Legislation (ABANL) are to be reported on form CA939. A link to this form is available on the CAA website under Aviation Industry Related Issues via the 'Make a report' quick link. (<https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation>). Details under the heading 'General Information' should be inserted if they are known. Copies of statements and relevant supplementary evidence, such as watch log extracts and flight plans, should be attached.
- 3.2 Staff having first-hand knowledge of the incident are to type their statements in a MOR report. It should be noted that on this occasion code groups and aeronautical abbreviations are not to be used. RTF recordings should be preserved in case a transcript is required.

4. Forwarding Reports

- 4.1 Reports on CA939 are to be sent to the CAA IET. Reports may be submitted by post or by email as detailed on the form. It is essential that any report which may merit prosecution is dealt with expeditiously. If delays occur in the preparation of supporting documents, the CA939 is to be forwarded at once and endorsed 'additional documents to follow'.
- 4.2 Controllers are reminded that the event should be described with as much detail as possible. The report should include the following where appropriate:
- (1) The identification of all aircraft involved together with relative tracks and times;
 - (2) Any loss of separation associated with the ABANL; and
 - (3) A statement as to the degree of actual impact the event had on ATC operations including any tactical avoiding or delaying action taken by ATC.

5. Military Aircraft

- 5.1 Although air navigation legislation does not normally apply to military aircraft (of any nationality) all apparent contraventions are to be reported.
- 5.2 When an unidentified aircraft (suspected as being military) has apparently contravened regulations, the RAC, 78 Squadron, Swanwick Military should be requested to take search action to establish its identity. The reason for requesting the search must be clearly stated to distinguish it from the search action following an AIRPROX report.

Section 6: Reports

Chapter 5: Miscellaneous Reports

1. Wildlife Strikes

- 1.1 Pilots are required to report all bird strikes (and other wildlife related events) in UK airspace whether or not damage is caused. A controller receiving such a report should obtain as much information as possible and complete an MOR clearly stating the nature of the report.

2. Maritime Incidents

2A. Disasters at Sea

- 2A.1 Pilots witnessing a disaster at sea, or seeing a disaster not previously notified, have been requested to report the incident to any ATC unit as quickly as possible.

2B. Maritime Pollution

- 2B.1 Pilots sighting substantial patches of oil or possible harmful substances have been asked to make reports to the ATC unit with whom they are in communication, or to the appropriate personnel providing a FIS at an ACC. Reports on RTF will be prefixed 'Oil Pollution Report', or '... Pollution Report' if a harmful substance other than oil is suspected.

- 2B.2 A controller receiving a report should obtain as much information as possible to complete a report in the format shown below:

A Date and time pollution observed and identity of aircraft reporting.

B Position and extent of pollution.

C Tide, windspeed and direction.

D Weather conditions and sea state.

E Characteristics of pollution.

F Name and nationality, or description, including any distinctive markings, of any vessel seen discharging oil or other harmful substances; also assessment of course

and speed of vessel and whether any pollution observed ahead of the discharging ship and the estimated length of pollution in her wake.

G The identity of any other vessels in the immediate vicinity.

H Whether or not photographs have been taken.

2C. ATC Action

2C.1 Any ATC unit receiving a report of a maritime incident should pass it without delay to an ACC. The ACC Watch Manager receiving such a report should pass this as soon as possible to the appropriate Maritime Rescue Coordination Centre (MRCC) or the Joint Rescue Coordination Centre (JRCC). (Contact information is held at each ACC.)

2C.2 Similar procedure should be followed if a pilot makes such a report by telephone after landing.

A LIST OF TELEPHONE NUMBERS AND LOCATIONS IS SHOWN IN THE DIRECTORY AT APPENDIX H
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3. Sonic Boom

3.1 An ATSU receiving a report of a boom alleged to have been caused by an aircraft in supersonic flight should obtain as much information as possible, including:

- (1) Name and address of reporter;
- (2) Time boom was heard;
- (3) Description of sound (e.g. single or double crack, dull boom or rumble, etc.);
- (4) Details of any alleged effects on persons, property, or livestock.

3.2 The report should be passed immediately to the parent ACC, whose MATS Part 2 or local unit instructions shall contain procedures for processing such reports.

4. Malicious Interference to VHF Communications

4.1 The malicious use of the aeronautical VHF mobile band involves persons who deliberately impersonate controllers and the types of message they broadcast. When such transmissions are made, they may sometimes be identified by:

- (1) a change in the individuality of the transmissions, i.e. the controller's voice characteristics are not those previously experienced;
- (2) the message transmitted is out of context with the expected next message; it is obviously in error or uses incorrect phraseology;
- (3) the messages are usually transmitted for a short time only and not repeated when queried;
- (4) the signal is sometimes received only by the pilot or controller, not both.

4.2 When illegal transmissions are suspected controllers should ensure that either the Duty ATSEP or ATC contacts Ofcom's Spectrum Management Centre (SMC) who will seek to track down the source of the transmissions and take appropriate legal action. For this process to work, it is essential that the SMC is informed as soon as practicable providing the following information:

- (1) radio interference category (malicious interference is category 1);
- (2) frequency or channel on which the interference occurs, or the identification of the navigational aid affected;
- (3) description of interference (details of speech, description of noise etc.);
- (4) location of the aircraft and/or ATSU transceiver receiving the interference;
- (5) station receiving the interference (this can be the aircraft and/or ATSU callsign); and
- (6) any other relevant details.

4.3 The SMC should be informed in the first instance via telephone using the following telephone number:

Tel: 01462 428540

The SMC may require a written report to be submitted subsequently using the following:

Email: interference.report@ofcom.org.uk

- 4.4 It is important that the best possible evidence is made available for any potential prosecution. Original records of communications received must be preserved where possible. Advice from CAA Investigation and Enforcement Team (IET) can be obtained if ANSPs are unclear on what action to take or what to preserve when cases arise.
- 4.5 In all cases of interference, controllers shall complete an MOR form and a CA939.
- 4.6 Additional procedures may be found in MATS Pt 2.

Appendix C

MATS Part 1 Appendix H Directory

Appendix H: Directory

AAIB (Air Accidents Investigation Branch)

Berkshire Copse Road

Aldershot

Hants

GU11 2HH

Reporting an accident or serious incident:

Tel: 01252 512 299

General enquiries only:

Tel: 01252 510 300**Email:** investigations@aaib.gov.uk**Aeronautical Information Service (AIS)**

NATS Swanwick

Sopwith Way

Southampton

Hampshire

SO317AY

UK NOTAM Office (NOF/INO):

Tel: (H24) 01489 612 488**Tel:** (H24) 01489 612 489

General enquiries:

Email: aissupervisor@nats.co.uk

NOTAM enquiries and proposals:

Email: notam.proposal@nats.co.uk

AIS Information Line UK:

Tel: (H24) 08085 354 802**Tel:** (H24) 01489 887 515

UK AIS Publication Section (AIP/SUP/AIC etc.):

Tel: (Mon to Fri 08:00-16:00) 01489 887462**Email:** aissupervisor@nats.co.uk

UK Charting Section:

Tel: (Mon to Fri 08:00-16:00) 01489 887463

Foreign AIP Library

Enquiries and self-briefing visits. (Visits subject to prior arrangement)

Email: aissupervisor@nats.co.uk**URL:** www.nats.aero/ais

Civil Aviation Authority

Aviation House
Beehive Ring Road
Crawley
West Sussex
RH6 0YR

Switchboard:
Tel: 0330 0221500

CAA – MATS Part 1 Policy

Aviation House
Civil Aviation Authority
Safety and Airspace Regulation Group
Beehive Ring Road
Crawley
West Sussex
RH6 0YR

ATM Policy enquiries:
Email: ats.enquiries@caa.co.uk

CAA – Safety Oversight

Southern Region
Aviation House
Civil Aviation Authority
Safety and Airspace Regulation Group
Beehive Ring Road
Crawley
West Sussex
RH6 0YR

Southern region enquiries:
Email: atssouthern.regionaloffice@caa.co.uk

Northern Region
Laurehill Business Park
Stirling
FK7 9JQ

CAA ATM Post incident actions:
Email: ATMpostincidentactions@caa.co.uk

ATS Investigations:
Email: atsiadmin@caa.co.uk

En-Route and College Regulation enquiries:
Email: atssouthern.regionaloffice@caa.co.uk

Northern region enquiries:
Email: atsnorthern.regionaloffice@caa.co.uk

CAA - Safety Data

Shared Service Centre
 GNE
 Civil Aviation Authority
 Beehive Ring Road
 Crawley
 West Sussex
 RH6 0YR

General enquiries:
Email: sdd@caa.co.uk

CAA – Investigations and Enforcement Team

Westferry
 11 Westferry Circus
 Canary Wharf
 London
 E14 4HD

General enquiries:
Email: iet@caa.co.uk

CAA – Press Office

Westferry
 11 Westferry Circus
 Canary Wharf
 London
 E14 4HD

General enquiries:
Tel: (Office Hours) 0333 103 6000
Tel: (Outside Office Hours) 07789 745 636
Email: content@caa.co.uk

DfT - Transport Security

TSOC
 Great Minster House
 33 Horseferry Road
 London
 SW1P 4DR

Tel: (H24) 0207 944 3111 or 0207 944 3777
 If call is connected with a 'BOMB threat' or other security issue ask for the "Threats Office Duty Officer"
Email: tsoc@dft.gov.uk

Military

D&D Cell
 Swanwick (Mil) West Supervisor
 Swanwick (Mil) East Supervisor
 Swanwick (Mil) North Supervisor
 78 Sqn RAC

Tel: 01489 612 406
Tel: 01489 612 417
Tel: 01489 612 408
Tel: 01489 612 943
Tel: 01489 612 172

NATS**London ACC**

NATS En-Route Ltd
Sopwith Way
Swanwick
Hants
SO31 7AY

Operational Supervisor:

Tel: 01489 612 420**Flow Management Unit**

PO Box 23
Hants
SO31 7AY

Tel: 01489 612 427**Fax:** 01489 612 437**Email:** tactical.fmp@~nats.co.uk**Scottish ACC and
Shanwick OACC**

Fresson Avenue
Prestwick
Ayrshire
KA9 2TR

Operational Supervisor:

Tel: 01294 655 300**Ofcom**

Spectrum Management Centre

Reporting malicious interference:

Tel: (H24) 01462 428 540**Email:** interference.report@ofcom.org.uk**UKAB (United Kingdom AIRPROX Board)**

Building 59
First Floor
RAF Northolt
West End Road
Ruislip
Middlesex
HA4 6NG

Tel: 0208 842 6051**Fax:** 0208 842 6056**Email:** info@airproxboard.org.uk

Appendix D

Section 5: Aircraft Emergencies

Chapter 5: Unlawful Interference and Hijacking and Unlawful Interference

1. Introduction

- 1.1 Instances may occur when ~~civil and military~~ aircraft operate unlawfully or without proper authorisation within ~~UK airspace~~ the Scottish and London FIRs, including:
- (1) the unlawful seizure, or exercise of control, of an aircraft by force or threats (hijacking);
 - (2) the unauthorised removal of an aircraft and its subsequent flight;
 - (3) flight of an aircraft with intent to defect;
 - (4) illegal use of an aircraft to effect the escape of prisoners or special hospital patients;
 - (5) the use of aircraft in the furtherance of a crime, including terrorism.

2. Safety

- 2.1 At all times the safety of the aircraft and its occupants is of prime importance. Unless otherwise specifically directed by a responsible higher authority, the policy within UK airspace is for hijacked aircraft to land as soon as possible. Requests from the lawful commander, which the commander states are essential for flight safety, are to be complied with and no attempt shall be made to influence the course of events without their concurrence.

3. Direction

- 3.1 The Watch Supervisor at the parent ACC shall act as ATC Co-ordinating Authority for the incident until, if required, responsibility is assumed by the UK Air Defence Authority under standing procedures. Thereafter, the Watch Supervisor shall support the actions required by the UK Air Defence Authority and co-ordinate actions with civil/military ATSUs as agreed tactically.
- 3.2 Responsibility for overall direction of the incident will rest with Government officials acting through the DfT or MoD and the ATC Co-ordinating Authority. Controllers should be aware that their communications with these aircraft may be subject to Government instruction in

accordance with contingency plans not detailed here. Such contingency plans may result in requests to issue instructions which, whilst not prejudicing safety in any way, controllers would not otherwise consider suitable.

4. ATC Operations

4A. General

- 4A.1 When an occurrence of unlawful interference with an aircraft takes place or is suspected, controllers shall attend promptly to requests by the aircraft.
- 4A.2 The aircraft concerned shall be given priority where possible and necessary action shall be taken to expedite all phases of the flight, especially the safe landing of the aircraft. Any reference to the special situation is to be avoided in air-ground communications with other aircraft unless it has first been referred to in communications from the aircraft involved and it is reasonable to assume that such reference will not aggravate the situation. Where more than one aircraft is involved in the incident, reduced separation may be allowed between the aircraft involved at the request of a lawful commander.
- 4A.3 An aircraft known or believed to be the subject of unlawful interference, which includes disruptive passengers, or which for other reasons needs isolation from normal aerodrome activities shall be cleared to the designated isolated parking position in accordance with local instructions. Where such an isolated parking position has not been designated, or if the designated position is not available, the aircraft shall be cleared to a position within the area or areas selected by prior agreement with the Aerodrome Operator. The taxi clearance shall specify the taxi route to be followed to the parking position. This route shall be selected with a view to minimising any security risks to the public, other aircraft and installations at the aerodrome.

4B. Disruptive Passengers

- 4B.1 Four levels of disruptive passenger behaviour have been defined internationally for reference between pilots and ATC that characterise an ongoing incident based on the seriousness of disruptive behaviour; these are:

Level 1: Disruptive (suspicious or verbally threatening) behaviour;

Level 2: Physically abusive behaviour;

Level 3: Life threatening behaviour, and;

Level 4: Attempted or actual breach of the flight crew compartment.

- 4B.2 Pilots declaring that their aircraft is being subjected to disruptive passenger behaviour should also include their intentions. In the event that a pilot does not state their intention, controllers should seek clarification and act accordingly.

4C. ATS Surveillance Systems

- 4C.1 Whenever possible the flight paths of the aircraft are to be monitored; appropriate adjacent ATC units are to be provided with information to enable them to assist with flight path monitoring.
- 4C.2 Whenever it has been established that the aircraft is transponding on A7500 the controller shall attempt to verify by RTF with the aircraft concerned that the code selection is intentional. The phraseology to be used is:
- “(Callsign) confirm you are squawking assigned code (code assigned by ATC that it would otherwise be squawking).”
- 4C.3 The RTF message must exclude specific mention of A7500. Whenever it has been verified that the code has been intentionally selected, or when no verification can be obtained, it shall be assumed that the aircraft has suffered unlawful interference.
- 4C.4 The phraseology above may also be used to provide a ~~discreet~~ **discreet** check, or prompt, to pilots if A7500 is not being displayed when information, such as is described in paragraph 6B below, indicates that the aircraft might be subject to a potential security threat, and the pilot has not selected A7500. ~~If able, the pilot might~~ **may then, if able,** select A7500 in response.

4D. Clearances

- 4D.1 Normal ATC clearances and provision of information pertinent to the safe conduct of the flight shall continue to be transmitted unless otherwise directed by the appropriate higher authority.
- 4D.2 It may be considered expedient by HM Government to withhold an ATC clearance to aircraft. This may include an aircraft that is planning to enter, land or depart UK airspace or is already in UK airspace in breach of UK sanctions. When authorised by HM Government through the parent ACC or Aerodrome Authority, the following RTF phraseology is to be used:
- (1) “(Callsign) I am instructed by ~~Her~~ **His** Majesty’s Government to refuse entry into United Kingdom airspace. What are your intentions?”;

- (2) “(Callsign) I am instructed by Her/His Majesty’s Government to inform you that landing clearance has been refused for any airfield within the United Kingdom. What are your intentions?”;
- (3) “(Callsign) I am instructed by Her/His Majesty’s Government that you are to hold at (e.g. location on the aerodrome, exact reporting point, or latitude/longitude) at (level). Acknowledge.”.

Note: If the aircraft is on the ground, the Aerodrome Authority will be the coordinating authority with HM Government.

- 4D.3 If an adjacent ATC agency is required to relay a message on behalf of the UK they should be requested to pass the text verbatim.
- 4C.4 The aircraft’s intentions or observed non-compliance with HM Government instructions are to be reported to the parent ACC or Aerodrome Authority as appropriate as soon as practicable.
- 4D.5 ATC units are to make provision for normal separation should the aircraft ignore the lack of clearance and the parent ACC should be advised of the situation.
- 4D.6 Should the aircraft declare an emergency, then all assistance must be given including direct routings and landing if required. The MoD, acting on advice from DfT, NATS or the Police, may select a diversion destination if necessary.

5. Reporting Action

- 5.1 If the subject aircraft is within, or is planned to enter, UK airspace, or the interests of the UK are in any way likely to be affected, the civil Watch Supervisor at the parent ACC must be informed immediately. It has been agreed that hijack incidents and subsequent relevant changes, occurring in European airspace, will be signalled by the affected State to all other States. The reporting action to be taken by ATC units is detailed in Section 6.

6. Identification of Unlawful Interference and Hijacks/Unlawful Interference Situations

6A. Verified Hijack Status

- 6A.1 Aircraft subject to hijacking are identified to ATC staff by the selection of A7500 on the aircraft’s transponder and/or declaration on the RTF frequency, including the declaration of disruptive passenger behaviour level 4. Pilots are not to be instructed to squawk A7500, see paragraph 4C above for further information.

6A.2 When completing the reporting action as prescribed in Section 6, Chapter 3, Tables 2 and 3, ATS personnel must ensure the content of the pilot's declaration is accurately conveyed and recorded.

6B. Unverified Hijack Status/Potential Renegade Aircraft

6B.1 Suspected hijacks or airborne security situations, where selection of A7500 has not been made or a definitive RTF call received by ATC, may be indicated by various means. Due to the infinite variety of possible situations, a complete and comprehensive list of suspicious aircraft/pilot activities cannot be prescribed. The following examples are situations that may represent an unusual event:

- (1) Unauthorised deviation from cleared flight profile;
- (2) Refusal or inability to comply with ATC instructions (including vectoring) with no good reason;
- (3) Loss of RTF contact, particularly associated with flight profile deviation;
- (4) Unauthorised SSR code changes or extended use of IDENT;
- (5) Use of non-standard phraseology by the crew, or other covert attempt to highlight the situation (marked change in voice characteristics, etc.);
- (6) Selection of A7600 (RTF failure) or A7700 (emergency), particularly associated with flight profile deviation;
- (7) Notification from non-official sources (e.g. news agencies, etc.);
- (8) Open RTF transmitter from the cockpit;
- (9) Non-ATC related RTF transmission (e.g. political statement);
- (10) Non-specific threat passed via third party.

6B.2 In the case of the latter three bullet points, these would normally mean that the identity of the aircraft is unknown until other factors become apparent. Individual events may not constitute suspicious aircraft/pilot activity alone; however a combination of such events should be considered as an unusual occurrence and the appropriate alerting action undertaken.

Origin.	Rationale.
ATM Review – Section 5 Chapter 5	Text changes in Section 5, Chapter 5 implement ICAO's four levels of disruptive passenger behaviour described in ICAO's Aviation Security Manual (Doc 8973).

Section 6: Reports

Chapter 1: General Guidance

1. Introduction

- 1.1 The immediate action that must be taken by an individual controller at an operational position when an AIRPROX is reported, is described in Section 1. The purpose of this section is to list, for quick reference, the subsequent reporting action for accidents, incidents, alleged breaches of air navigation legislation (ABANL) or AIRPROX events. It contains detailed instructions common to all ATSUs. Instructions amplifying these procedures or peculiar to a unit will be found in MATS Part 2 or local unit instructions.
- 1.2 To ensure prompt follow up action, all available information should be forwarded to the relevant authority following an incident. In particular, when a controller or nominated representative from the ATSU has a subsequent conversation with the pilot any other involved party, concerned, details of this exchange should be included as part of the reporting procedure. These should include items such as:
- (1) individual's pilot's name (if volunteered); and
 - (2) the content of the discussion;
 - ~~(3) whether or not the controller considers the matter closed from a flight safety viewpoint.~~
- 1.3 It is accepted that these supplementary details may well be dispatched after the initial reporting documentation. ANSPs should have appropriate procedures for ensuring that all details are correctly forwarded to the relevant bodies.
- 1.4 When a possible an alleged breach of air navigation infringement of legislation is involved, controllers individuals should follow the guidance contained in Chapter 4.
- 1.5 Common telephone numbers and postal addresses used in reporting action are listed in Appendix H.
- 1.6 Units may find it useful to make copies of Appendix H, or any other part of this section, for display at suitable positions in control rooms.
- ~~1.7 ANSPs that have an ECCAIRS/ADREP UK (EU) 376/2014 complaint format, containing the appropriate mandatory data fields, may submit an MOR via this format. Other ANSPs~~

~~who do not operate a system capable of producing a compliant format are to use the EU Reporting Portal for MOR submissions.~~

2. Reports by Telephone

- 2.1 Some occurrences require a report to be made fairly promptly by telephone, e.g. malicious interference to VHF communications. Telephone numbers appear in the directory located in Appendix H.

3. Reports

- 3.1 All reports required from ~~individuals~~ ~~controllers~~ about incidents and accidents are to be reported to their organisation (their ANSP employer), in line with MATS Part 2 or local unit instructions. The organisation is to collect all ~~received~~ reports and other related documents and send them to the appropriate address in accordance with UK Reg (EU) 2015/1018 and UK Reg (EU) No 376/2014.

Note: ~~If there is a concern that a report may not be treated appropriately by an employer, or not passed to the CAA when it should be, it is possible to submit an occurrence report directly to the CAA. <https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation> Submission of a completed report, provided it contains all information required by law, constitutes compliance with UK Reg (EU) 2015/1018 Annex 3, and UK Reg (EU) No. 376/2014. The required information is set out in these Regulations, which is available on the CAA website, click here.~~

- 3.2 The following notes about compiling a report may be of assistance:

- (1) Relate the events in chronological order;
- (2) Amplify the facts with explanations but do not attempt to pre-judge or investigate;
- (3) Refer to the watch log, flight progress ~~strips (FPS)~~ ~~data~~ or any other document for accurate details of times, dates, places, aircraft registration, etc.;
- (4) Use accepted aeronautical abbreviations (except ~~when completing the CA939 – Alleged Infringement Breach of Air Navigation of Legislation form~~);
- (5) Keep sentences and paragraphs as short as possible;
- (6) Include a sketch or diagram if it will simplify the description;
- (7) Write in the first person; and

- (8) If you have not heard the RTF recording endorse your report 'The events described have not been checked for accuracy against the appropriate RTF recording'.

3.3 Lack of information should not delay the distribution of reports. When there is a laid down format insert 'not known' against the item and update the report when the information becomes available.

4. **ATS Records**

4.1 All ATS records concerning ~~unusual~~ occurrences reported in accordance with UK Reg (EU) 2015/1018 and UK Reg (EU) No 376/2014 shall be preserved until enquiries or investigations have been completed. In particular:

- (1) the ~~DEO~~ Duty ATSEP is to be advised of occurrences immediately;
- (2) the Meteorological Office or a qualified met. observer is to be asked to supply a copy of the weather report for the time of the occurrence;
- (3) the original flight progress data is ~~FPS~~ are to be retained at the unit, or in the case of electronic strips, appropriate records secured.

5. **Access to Original Records**

5.1 Access to original records should be limited as follows, to protect from damage the very important evidence which they may contain.

5A. **Accidents**

5A.1 The integrity of the master recordings in the days and weeks following an accident is critical to ensure fair and accurate analysis of the event. To that end, replay of original RTF recordings and access to original communications logs and the contents of ~~FPS~~ flight data record stores is normally permitted only on the authority of the AAIB. ~~These facilities will be made available to ATC if immediately essential to the safety of the subject aircraft or any others. (e.g. to help establish the position of the aircraft involved to facilitate search and rescue)~~ If the authority of the AAIB cannot be obtained in time, the authority of the senior controller available shall be accepted. Written confirmation of this authority may be required.

5A.2 RTF communication, flight data records, and surveillance data playback facilities, as available, will be made accessible to ATC if immediately essential to aid the safety of the subject aircraft or any other relevant aircraft (e.g. to help establish the position of the aircraft involved to facilitate search and rescue).

5B. Incidents (including AIRPROX)

5B.1 Replay of original RTF recordings and access to other original records may be authorised by the appropriate designated local responsible person.

~~5B.2 Occasions may arise when replays of RTF recordings are requested in circumstances not associated with accidents, incidents or AIRPROX. Such requests may originate from ATC or from outside organisations (e.g. airline representatives) but, in all such cases, the written authority of the responsible person will be required to release the information.~~

6. Disclosure of Information

6.1 The contents of reports described in this section are to be suitably protected in accordance with UK Reg (EU) No 376/2014 Article 15. If there is any doubt about the identity of an individual requesting report details, ~~the controller should ask for the telephone number, check that it is authentic and return the call.~~ **ATSU should take appropriate action to verify the identity of the individual and the validity of the request.**

6.2 Members of the press and general public who make enquiries about an occurrence should be referred to the person authorised to release information. ~~UK Reg (EU) No. 376/2014 and its Guidance Material offers guidance on the release of information.~~ Additional instructions on relations with the press and general public may appear in MATS Part 2 or local unit instructions.-

6.3 Controllers should not approach a pilot or **any party involved** if there is an alleged **breach-infringement of air navigation** legislation. Guidance for the occasions when the pilot contacts ATC is given in Chapter 4.

6.4 ATSUs may contact pilots or Aircraft Operators to obtain details for other reported events but should refrain from offering opinions as to a cause or responsibility.

~~6.4 Controllers may contact the Aircraft Operator by telephone to obtain details for other reports, but they are neither to discuss the occurrence further nor offer opinions as to cause or responsibility. If aircraft operators require further information they are to be told from which authority they will, in due course, hear. These are:-~~

~~(1) for serious accidents — DfT (AAIB);~~

~~(2) for serious incidents — DfT (AAIB);~~

~~(3) for AIRPROX and incidents — CAA (Safety and Airspace Regulation Group) or United Kingdom Airprox Board (UKAB).~~

7. Additional AAIB Post-Incident Investigation

- 7.1 In the interest of flight safety, the AAIB may require to investigate categories of incidents which are not normally reported to them. When the AAIB are investigating such an incident the AAIB Duty Co-ordinator will inform the appropriate ~~Area Control Centre (ACC)~~. ~~The appropriate ACC shall then inform the appropriate~~ ATSU that AAIB will require the normal post-incident actions to be taken.

Origin.	Rationale.
ATM Review – Section 6 Chapter 1	Text changes throughout Section 6, Chapter 1 are primarily editorial in nature that modernise language and update role titles and regulatory references. Some sentences are amended for clarity.

Section 6: Reports

Chapter 2: Air Traffic Control Incident Assessment

1. Air Traffic Control Incident Assessment

1.1 Any ATC related occurrence reported in accordance with UK (EU) Reg 2015/1018, such as an including accident, AIRPROX or any other incident involving safety, where a controller's actions, inadequate ATC procedures or faulty equipment may have been a contributing factor, is to be assessed as quickly as possible by nominated local unit managers personnel.

1.2 The assessment procedure, following the reporting action at an aerodrome or ACC described in this section falls into two phases:-

(1) Initial action at the unit;

(2) Full investigation by the CAA (ATS Investigation)

1A. Phase 1 – Initial Action

1.2 Where it is determined that a controller's actions, ATS equipment and/or ATS procedures may have been contributory to the event, the nominated Unit person at the unit is to take the following action without delay:

(1) When circumstances dictate, the controller(s) concerned is (are) to be withdrawn from operational duty and informally interviewed to establish the basic facts;

(2) if it is likely that controller(s), ATC procedures or equipment are implicated, telephone the appropriate Principal ATS Inspector (or nominated deputy), giving immediately available details of the incident. It is useful if, prior to contacting the Principal Inspector and subject to the guidance in Section 5 above, appropriate RTF and telephone recordings have been reviewed to better inform the conversation.

(2) In situations where ATC procedures or equipment may have been contributory, the unit manager may be required to suspend or limit their use pending further investigation.

(3) The competence records of each of the controllers involved, and relevant replays, should be reviewed to determine whether the controller's competence is in doubt.

- (4) Where ATC actions were contributory, and no positive evidence is available to support an immediate return to operational duty, the unit manager should seek assurance of competence via other means.

~~1A.2 The Principal Inspector will decide whether or not to provisionally vary the controller's unit endorsement, rating or licence, if appropriate and the extent, if any, of further remedial action, e.g. competence check, period of training etc. and advise the nominated unit manager accordingly.~~

- (5) If there is continued doubt over the controller's ability to safely exercise the privileges of their licence, service providers may declare provisional inability in accordance with UK Reg (EU) 2015/340 and agree an action plan with the appropriate CAA inspector before returning the controller to operational duties.

Note: The Principal Inspector ATM has authority under the UK Air Navigation Order Article 253 to further, provisionally vary or suspend the controller's unit endorsement, rating or licence, if appropriate, and to dictate the extent, if any, of further remedial action, e.g. competence check, period of training etc. and advise the nominated unit manager accordingly. ~~The act of withdrawing the controller from duty pending the conclusion of this work is likely to be sufficient to address any immediate safety concerns and will provide time for further assessments to be made where the controller's competence is in doubt, ATC procedures are suspected of being unsafe or the equipment might be at fault.~~

- (6) ANSPs are required to have principles and procedures for the determination of whether fatigue, stress or the problematic use of psychoactive substances may have been contributory, and these elements should be considered as part of the initial assessment.
- (7) If all evidence supports the controller's competence, then, subject to positive assurance for the controller's wellbeing, the controller may be returned to duty following local support activities. In these circumstances, form SRG 1436 should be completed and submitted to postincidentactions@caa.co.uk with the name of the ATSU inserted into the subject line. The mailbox will be monitored by the appropriate CAA inspector during office hours. The CAA inspector may, subsequently, ask for further information and assurances.
- (8) In exceptional circumstances, the CAA Inspectorate may be notified outside normal working hours for events that may give rise to heightened media interest.
- (9) In all cases competence records of the individual(s) concerned should accurately describe the event, their contribution, and the actions taken/underway.

2. Occurrence Analysis (Unit investigation process)

2.1 Analysis by ANSPs in accordance with UK Reg (EU) No 376/2014 is to be undertaken to identify safety improvement opportunities and should include:

- (1) An initial investigation to determine any immediate corrective or preventative action which should be completed in a timely manner and transmitted to the CAA within 30 days of the notification of the occurrence.
- (2) A full investigation, where required, to determine the root cause and contributing factors as soon as available and transmitted to the CAA no later than 3 months from the date of notification of the occurrence.

2.2 All reports are to be submitted to the CAA Safety Data Department (SDD).

2.3 The CAA SDD acts as the focal point for receipt of all occurrence reports. ATC related incidents may form only part of the overall submission but are, nevertheless, mandatory occurrences. Other CAA departments could be involved. SDD assesses each report and may assign an appropriate CAA department for review.

3. Occurrence Analysis (CAA ATSI Investigations (ATSI))

3.1 In addition to the above, and when considered necessary by the CAA, a full investigation by the CAA ATSI may be conducted.

3.2 A full field investigation may be conducted by an ATSI Investigator if deemed appropriate. This usually involves interviews at the unit(s) concerned (or may involve an interview by telephone) and may require further evidence from controllers who have already been informally interviewed. Other relevant evidence, where available, is taken into account, e.g. pilots' reports, RTF transcripts and surveillance recordings.

3.3 CAA ATSI may analyse the evidence and seek to identify the causes of the occurrence in their report conclusion. Where appropriate, recommendations can be made.

3.4 The subsequent report and recommendations from the CAA ATSI Investigator is submitted to the appropriate Principal Inspector ATM.

3.5 The Principal Inspector ATM will oversee the implementation of any adopted recommendation that ATSI may make.

1A.3 The local management assessment is to:-

- ~~(1) Following the initial assessment, a nominated unit investigator will determine where an actual or potential aviation safety risk is identified through the initial analysis following its initial analysis, enable immediate action to be taken locally to prevent a recurrence, e.g. cease using a particular procedure, withdraw suspect equipment etc;~~
- ~~(2) include evidence which will form the basis of the in-depth investigation of the incident. It is to be discussed with the appropriate Principal ATS Inspector at the earliest opportunity. Internal procedures ensure that relevant incident material is transferred between CAA departments as required.~~

~~1A.4 Whether or not the Principal ATS Inspector requires a local assessment, the unit manager should carry out a local assessment for the purposes of 1A.3(1) above.~~

~~1A.5 The Unit Manager should ensure that any local unit investigation is conducted in accordance with local unit procedures.~~

1B. Phase 2 – Full Investigation (CAA ATSI)

~~1B.1 A full field investigation will be conducted by an ATS Investigator if deemed appropriate. This usually involves interviews at the unit(s) concerned (or may involve an interview by telephone) and may require further evidence from controllers who have already been informally interviewed. Other relevant evidence, where available, is taken into account, e.g. pilots' reports, RTF transcripts and surveillance recordings.~~

~~1B.2 ATSI will analyse the evidence and seek to identify the causes of the occurrence in their report conclusion. Where appropriate, recommendations can be made.~~

~~1B.3 The subsequent report from the ATS Investigator is submitted to the appropriate Principal ATS Inspector.~~

1C. Remedial Action

~~1C.1 The Principal ATS Inspector oversees implementation and audit of any adopted recommendation that ATSI may make.~~

~~1C.2 Whether or not ATC is implicated in the cause of the incident, reports are submitted as MORs to the CAA and in the case of an accident also to the AAIB. The diagram on the following page illustrates the routing for an AIRPROX report. Provided AIRPROX is clearly mentioned or annotated on the original MOR then the report is forwarded to UKAB by SDD~~

~~DIAGRAM – Section 6, Chapter 2: General guidance – page 3 delete.~~

1D. Mandatory Occurrence Report

~~1D.1 — A safety related incident, which does not fall into the above categories, is to be filed as a Mandatory Occurrence Report and submitted to the CAA for initial evaluation and processing. It should be noted that if, during the local assessment, the competence of a controller is in doubt the unit manager should withdraw the individual from operational duty and telephone the appropriate Principal Inspector as for AIRPROX.~~

~~1E. — The Role of Safety Data Department (SDD)~~

~~1E.1 — SDD acts as the focal point for receipt of all occurrence reports. ATC related incidents form only part of the overall input but are, nevertheless, mandatory occurrences. Other CAA departments could be involved. SDD assesses each report and assigns an appropriate CAA department for investigation.~~

~~2. — Controller Overload~~

~~2.1 — Controllers who consider that they were involved in an ATC situation during which they experienced excessive workload to the point where the safety of aircraft under their control was, or could have been, compromised, shall file an MOR. When completing the report, controllers shall commence the narrative with ‘Overload Report’. The Unit Manager shall ensure that a unit investigation is carried out into the alleged overload and shall submit a follow up in line with UK Reg (EU) No 376/2014 timelines.~~

~~2.2 — The Unit Manager shall include in the report the effect the overload had on the controller’s ability to safely handle aircraft under their control and, if appropriate, details of the remedial action the unit has decided to take.~~

Origin.	Rationale.
ATM Review – Section 6, Chapter 2	Almost a complete rewrite of the text to reflect <ul style="list-style-type: none"> a) The responsibility on the ANSP for the assessment and management of an incident b) The changes in responsibilities for ATSI, and c) A streamlined approach for notifying the CAA, ATM team following an incident The updated text better reflects practices currently in place across the UK and offers guidance to ANSPs

Section 6: Reports

Chapter 3: Aircraft Accident, Incident and AIRPROX Reports

1. Explanation of Terms

- 1.1 UK Reg (EU) No 376/2014 (article 4 (5)) requires that a list classifying the type of occurrences that require report action is created. This list is detailed within UK Reg (EU) 2015/1018, which is not reproduced within this document. However, the following information gives guidance on the types of occurrence and the action to follow at unit level. It is also recognised that some units may have additional reporting action as detailed in local unit instructions.
- 1.2 In this section the term 'incident/event' means any of the unusual occurrences, involving aircraft, which are tabulated below.

Table 1:

Incident/Event	Explanation
Aircraft Accident	An aircraft, manned or unmanned, receives substantial damage or causes death or serious injury or damage to property
Reportable Accident (UK Reg (EU) No 996/2010)	<p>An occurrence associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards an aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down, in which:</p> <p>(1) a person is fatally or seriously injured as a result of:</p> <ul style="list-style-type: none"> (a) being in the aircraft, or (b) direct contact with any part of the aircraft, including parts which have become detached from the aircraft, or (c) direct exposure to jet blast, except when the injuries are from natural causes, self-inflicted or inflicted by other persons, or when the injuries are to stowaways hiding outside the areas normally available to the passengers and crew. <p>(2) aircraft sustains damage or structural failure which adversely affects the structural strength, performance or flight characteristics of the aircraft, and would normally require major repair or replacement of the affected component, except for engine failure or damage, when the damage is limited to a single engine, (including its cowlings or accessories), to propellers, wing tips, antennas, probes, vanes, tyres, brakes, wheels, fairings, panels, landing gear doors, windscreens, the aircraft skin (such as small dents or puncture holes), or for</p>

Incident/Event	Explanation
	<p>minor damage to main rotor blades, tail rotor blades, landing gear, and those resulting from hail or bird strike (including holes in the radome); or</p> <p>(3) the aircraft is missing or is completely inaccessible.</p>
<p>Serious Incident (UK Reg (EU) No 996/2010)</p>	<p>An occurrence involving circumstances indicating that an accident nearly occurred.</p> <p>An incident involving circumstances indicating that there was a high probability of an accident and is associated with the operation of an aircraft, which in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time it comes to rest at the end of the flight and the primary propulsion system is shut down.</p> <p>Examples can be found in MATS Part 1, Section 6, Chapter 3, paragraph 6</p>
<p>AIRPROX (CAP1430)</p>	<p>A situation in which, in the opinion of the pilot or a controller, the distance between aircraft as well as their relative positions and speeds have been such that the safety of the aircraft involved was or may have been compromised.</p>
<p>Incident involving safety (UK Reg (EU) No 996/2010)</p>	<p>An occurrence which has endangered, or if not corrected would have endangered an aircraft, its occupants or any other person.</p> <p>An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation.</p>
<p>Wildlife or Birdstrike</p>	<p>An occurrence either witnessed by ATC or advised by a pilot where an aircraft has come in to contact with one or more birds or other wildlife.</p>
<p>Incident onboard an aircraft in flight (Civil Aviation Act 1982)</p>	<p>A commander of an aircraft in flight, in pursuance of the powers bestowed on the commander under the Civil Aviation Act 1982, section 94 by the Tokyo Convention Act 1967, finds it necessary to restrain a person on board.</p>
<p>Hijacking (Aviation Security Act 1982)</p>	<p>The unlawful seizure, or exercise of control, of an aircraft in flight by use of force or threats of any kind. Unlawful use of aircraft Movement on the ground and flight of an aircraft by an unauthorised person or for an illegal purpose.</p>
<p>Unlawful use/interference of aircraft (ICAO Annex 17)</p>	<p>Movement on the ground and flight of an aircraft by an unauthorised person or for illegal purposes.</p> <p>Acts or attempted acts such as to jeopardize the safety of civil aviation and air transport, e.g. hostage-taking on board aircraft or on aerodromes, forcible intrusion on board an aircraft, at an airport or on the premises of an aeronautical facility, introduction on board an aircraft or at an airport of a weapon or hazardous device or material intended for criminal purposes, communication of false information such as to jeopardize the safety of an aircraft in flight or on the</p>

Incident/Event	Explanation
	ground, of passengers, crew, ground personnel or the general public, at an airport or on the premises of a civil aviation facility.
Disruptive Passenger Behaviour	Four levels of disruptive passenger behaviour have been defined for use internationally. For further information see Section 5, Chapter 5, paragraph 4B.
Aircraft Ground Incident (CAP168)	An aircraft on the ground is in an emergency situation, other than an accident, and requires the attendance of the emergency services. Where an aircraft on the ground is known to have an emergency situation other than an accident, requiring the attendance of emergency services.
Runway Excursion (ICAO)	A veer off or over-run of the runway surface.
Unintentional use of unpaved areas	An aircraft of 2300 kilogrammes or more all-up-weight touches down short of the recognised landing area, overruns on landing or otherwise leaves the paved surfaces of the manoeuvring area.
Aircraft Radio-Equipment Fault	Aircraft Radio Equipment Fault
Radio Frequency Interference (UK Reg (EU) 2015/1018)	Interruption of reception on ATC RTF frequencies by unwanted signals or atmospherics Significant external interference with Air Navigation Services (for example radio broadcast stations transmitting in the FM band, interfering with ILS (instrument landing system), VOR (VHF Omni Directional Radio Range) and communication).
Ground Fault Report (UK Reg (EU) 2015/1018)	A report by an aircrew member alleging that a telecommunications facility is not operating correctly. Loss or failure of communication with aircraft, vehicle, air traffic services unit or apron management service unit.

2. Reporting Action

2.1 Reporting action will depend upon the circumstances of the incident. The actions to be taken at aerodromes and ACCs are listed in the respective tables below. If more than one circumstance applies to a particular incident, then the actions applicable to all appropriate circumstances must be taken; e.g. an accident in the vicinity of an aerodrome is also one that is reportable. The combined reporting action is to telephone the ACC and the Aerodrome Operator. Subsequent action is to submit written reports from all concerned to SDD. Additional reporting action may be specified in MATS Part 2 or local unit instructions.

Note: Where the posts described in the tables below are not the job titles used locally, the reporting action to be used shall be detailed in MATS Part 2 or local unit instructions.

3. Reporting Action at Aerodromes

3.1 The senior controller at an air traffic control unit at an aerodrome is responsible for ensuring that the reporting action described below is taken.

Table 2:

Circumstances of an Incident/Event	Reporting Action (by telephone to)	Subsequent Action
Aircraft Accident in the vicinity of the aerodrome. Additionally, if an accident is Reportable	AAIB ACC Watch Manager Aerodrome Operator (but see local emergency orders) ACC can assist	Submit an MOR
Involves any of approach, navigation or communications facilities	DEO Duty ATSEP at the aerodrome	Submit an MOR
Unintentional use of unpaved areas	Aerodrome Operator	Submit an MOR
AIRPROX Report	ACC Watch Manager Aircraft Operators Other ATSUs involved	Submit an MOR
AIRPROX Report involving SUA <u>small UA</u>	Civil Police: Provide location of AIRPROX as soon as practicable to initiate tracing action ACC Ops Supervisor Aircraft Operator Other ATSUs as necessary	Submit an MOR
Serious Incident	AAIB ACC Watch Manager Aerodrome Operator	Submit an MOR
MAYDAY and PAN messages	ACC Watch Manager ACC can <u>may</u> assist Aerodrome Operator	Submit an MOR
Air Traffic Services may be subject to criticism	ACC Watch Manager ACC can <u>may</u> assist Head of ATSU	Submit an MOR
Likely to give rise to public interest	ACC Watch Manager Head of ATSU	

Circumstances of an Incident/Event	Reporting Action (by telephone to)	Subsequent Action
Unlawful interference and Hijacking (including disruptive passenger level 4) and the unlawful use of aircraft	ACC Watch Manager Aerodrome Operator (according to local unit instructions)	Submit an MOR
Bomb Warning involving an aircraft is received	Aircraft Operators ACC Watch Manager (See local emergency orders) Next ATSU concerned with flight (if aircraft is airborne)	Submit an MOR
Incident on-board an aircraft in flight (aircraft intends to land)	Aerodrome Operator Aircraft Operators	Submit an MOR indicating that a CA939 has been raised and Submit CA939 to Investigation and Enforcement Team via: https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation
Aircraft Radio Equipment Fault	DEO Duty ATSEP	Submit an MOR
Ground Fault Report (Telecommunications Service)	DEO Duty ATSEP at aerodrome (see Section 7 for successive reports of the same fault)	Submit an MOR
Radio Frequency Interference Report	DEO Duty ATSEP	Submit an MOR
Alleged Breach infringement of Air Navigation Legislation		Submit an MOR indicating that a CA939 has been raised and Submit CA939 to Investigation and Enforcement Team via: https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation
See also Chapter 1 – GENERAL GUIDANCE and the flow diagram in Chapter 2		
A LIST OF TELEPHONE NUMBERS AND LOCATIONS IS SHOWN IN THE DIRECTORY AT APPENDIX H		

4. Reporting Action at ACCs

4.1 The Operational Supervisor at an ACC is responsible for taking action upon receipt of reports from:

- (1) aircraft within the London or Scottish FIR, as applicable;
- (2) ATSU's situated within the London or Scottish FIR, as applicable;
- (3) other ACCs;
- (4) military units associated with the ACC;
- (5) civilian police or HMRC.

4.2 Reporting action is shown in the table below.

Note: More than one circumstance may be appropriate to an incident. Operational Supervisors should also ensure that actions taken include those described in Section 5, Chapter 6, 'Alerting Action'.

Table 3:

Circumstances of an Incident/Event	Reporting Action (by telephone to)	Subsequent Action
Reportable Accident (if reporting action not taken at an aerodrome)	AAIB Civil Police	Submit an MOR
Serious incident (this may include some MAYDAY and PAN messages)	AAIB	Submit an MOR
AIRPROX Report	Aircraft Operators Other ATSU's involved	Submit an MOR
AIRPROX Report involving SUA-small UA	Civil Police: Provide location of AIRPROX as soon as practicable to initiate tracing action ACC Ops Supervisor Aircraft Operator Other ATSU's as necessary	Submit an MOR
Air Traffic Services may be subject to criticism	ACC General Manager	

Circumstances of an Incident/Event	Reporting Action (by telephone to)	Subsequent Action
Likely to give rise to public interest	ACC General Manager CAA Press Officer DfT Duty Officer	
May involve NATS enroute navigational or communications facilities	System Control Duty ATSEP at the ACC	Submit an MOR
May involve any of approach, navigational or communication facilities at non-NATS aerodromes	System Control Duty ATSEP at the ACC	Submit an MOR
Unlawful interference and Hijacking (including disruptive passenger level 4) and unlawful use of aircraft	DfT Duty Officer ACC Military Supervisor Next ATSU concerned with the flight	Submit an MOR
BOMB warning involving an aircraft is received	Aircraft Operators (if action not already taken at ATSU) DfT Duty Officer Next ATSU concerned with flight, and ACC Military Supervisor (if aircraft airborne)	Submit an MOR
Incident on-board an aircraft in flight	Aerodrome of intended landing Next ACC concerned with flight Aircraft Operator DfT Threats Office Duty Officer	Submit an MOR
Aircraft radio equipment fault	System Control Duty ATSEP at the ACC	Submit an MOR
Ground Fault Report (Telecommunications Service)	DEO Duty ATSEP at aerodrome (see Section 7 for successive reports of the same fault)	Submit an MOR
Radio Frequency Interference Report	System Control Technical services at the ACC	In accordance with local reporting procedures

Circumstances of an Incident/Event	Reporting Action (by telephone to)	Subsequent Action
<p>Alleged Breach infringement of Air Navigation Legislation</p>		<p>Submit an MOR Alleged Breach of Air Navigation Legislation Infringement of Legislation Submit CA939 to Investigation and Enforcement Team via: https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation</p>
<p>See also Chapter 1 – GENERAL GUIDANCE and the flow diagram in Chapter 2</p>		
<p>A LIST OF TELEPHONE NUMBERS AND LOCATIONS IS SHOWN IN THE DIRECTORY AT APPENDIX H</p>		

5. Accident Reports

5A. Telephone

5A.1 When telephone action is required pass as much of the following information as is available:

- (1) Type, nationality and registration of the aircraft;
- (2) Owner or operator;
- (3) Date and time of the accident;
- (4) Nature of the flight;
- (5) Location of the accident site;
- (6) Number of crew and passengers;
- (7) Casualties;
- (8) Circumstances of the accident;
- (9) Lighting facilities, navigational and/or landing aids in use (as appropriate) and any known unserviceabilities.

5B. Written Reports

5B.1 General advice on writing reports is given in Chapter 1. The following details are to be included in the report when an accident at an aerodrome is, by definition, reportable:

- (1) Runway in use;
- (2) Approach aids and Lighting facilities in use and their serviceability;
- (3) Relevant information on the serviceability of the aerodrome facilities and surface;
- (4) Any damage to aerodrome or third-party property.

6. Serious Incident Reports

6.1 A serious incident (fully defined in UK Reg (EU) No 996/2010) is one involving circumstances which indicate that an accident nearly occurred. The purpose of this reporting action is to provide an early degree of awareness to the AAIB that a serious incident may have occurred.

6.2 The following list provides a number of typical examples of those incidents likely to be considered serious. The list is not exhaustive and serves only as guidance to the definition of a serious incident. The AAIB are the final arbitrators in deciding whether the incident will be considered serious. If doubt exists, an incident should be reported rather than excluded:

- (1) Near collisions requiring an avoidance manoeuvre to avoid a collision or an unsafe situation or when avoidance action would have been appropriate;
- (2) Controlled flight into terrain only marginally avoided;
- (3) Aborted take-offs on a closed or occupied runway;
- (4) Take-offs from a closed or occupied runway with marginal clearance from obstacle(s);
- (5) Landings or attempted landings on a closed or occupied runway;
- (6) Gross failures to achieve predicted performance during take-off or initial climb;
- (7) Fires and smoke in the passenger compartment, in cargo compartments or engine fires, even though such fires were extinguished by the use of extinguishing agents;

- (8) Events requiring the emergency use of oxygen by the flight crew;
- (9) Aircraft structural failures or engine disintegrations not classified as an accident;
- (10) Multiple malfunctions of one or more aircraft systems seriously affecting the operation of the aircraft;
- (101) Flight crew incapacitation in flight;
- (142) Fuel quantity requiring the declaration of an emergency by the pilot;
- (123) Take-off or landing incidents (incidents such as under-shooting, over-running or running off the side of runways);
- (134) System failures, weather phenomena, operations outside the approved flight envelope or other occurrence which could have caused difficulties controlling the aircraft; and
- (145) Failure of more than one system in a reduced system mandatory for flight guidance and navigation.

6.3 Where an AIRPROX is filed there is no need to follow the serious incident reporting procedures as the details will be sent by the normal reporting systems to AAIB. Reporting procedures shall commence as soon as practicable after the incident and, in all cases, no later than 72-hours after the occurrence. It is accepted that all details may not be available soon after the incident in which case the available information should be sent within the required timescale and the additional details forwarded on as soon as possible thereafter. If a serious incident occurs and ATC are not informed by the crew then the onus rests with the flight crew to ensure that reporting action is taken.

6A. Telephone

- 6A.1 When telephone action is required pass as much of the following information as available:
- (1) Type, nationality and registration of the aircraft;
 - (2) Owner or operator;
 - (3) Date and time of the serious incident;
 - (4) Nature of the flight;
 - (5) Location where the serious incident took place;

- (6) Number of crew and passengers;
- (7) Casualties;
- (8) Circumstances of the serious incident; and
- (9) Where appropriate, lighting facilities, navigation and/or landing aids in use and any known unserviceabilities.

7. AIRPROX Reports

- 7.1 ~~AIRPROX reports are processed and handled by the UK AIRPROX Board (UKAB). ATSI review all AIRPROX reports and may carry out a full investigation. During the ATSI review the extent to which ATC were involved in the AIRPROX is assessed, and on completion of any investigation, an appropriate report is forwarded to UKAB.~~ ATSI review all initial Airprox reports, and all follow up Airprox investigation reports submitted by an ANSP, and may on occasion conduct an independent investigation. During the ATSI review or investigation, any ATM contributory factors to the event will be confirmed or established and missing or failed safety barriers identified, where appropriate. This information will then be supplied to UKAB to enable them to include it in their full assessment processes.
- 7.2 In order to comply with MOR procedures, the report from the originating ATSU shall clearly state 'AIRPROX' in the narrative and contain as much information as possible. SDD will then forward the report to UKAB.
- 7.3 A pilot may file an AIRPROX report on the RTF or, after landing, by telephone or in person. Following a pilot's declaration that they will file an AIRPROX, controllers should complete their own incident report. This should ensure that any action, such as recovery of RTF or surveillance data, can be initiated at the earliest opportunity.
- 7.4 Any completed AIRPROX reports, initiated by pilots, (including signals from foreign non-UK ACCs) received at an ATC unit are to be sent without delay to the UKAB.
- 7.5 ~~Controllers, when initiating the filing of an AIRPROX, shall file an MOR including clear reference to the status as an AIRPROX.~~ Pilots of aircraft involved in an AIRPROX that is initiated reported by a controller should be informed by the controller or their unit management, as soon as reasonably practicable possible, that an AIRPROX is being submitted by ATC.

7A. Search Action

- 7A.1 The following action is to be taken at ACCs to trace a reported aircraft if its identity is not known:
- (1) If the unidentified aircraft is suspected to be military (of any nationality) or not positively identified as civil, telephone ~~LACC (Mil)~~ Radar Analysis Cell (RAC), 78 Squadron, Swanwick Military and request a search;
 - (2) If the search for a civil aircraft (especially light aircraft outside controlled airspace) is unsuccessful, telephone ~~LACC (Mil)~~ RAC, 78 Squadron, Swanwick Military and seek assistance. In particular, ask if any military unit has any knowledge of the reported civil aircraft.
- 7A.2 In both cases confirm the request by including ~~LACC (Mil)~~ RAC, 78 Squadron, Swanwick Military in the list of addresses of the signal.
- 7A.3 Where ACC trace action is taken entirely by ~~LACC (Mil)~~ RAC, 78 Squadron, Swanwick Military and, final signal action will be taken by ~~LACC (Mil)~~ RAC.
- 7A.4 If a military aircraft, not in communication with a civil ATC unit, reports an AIRPROX with a civil aircraft the ACC will be requested by ~~LACC (Mil)~~ RAC, 78 Squadron, Swanwick Military to attempt to trace the reported aircraft.
- 7A.5 ~~LATCC (Mil)~~ RAC, 78 Squadron, Swanwick Military is responsible for all trace action undertaken at the Swanwick and Prestwick ACCs ~~London AC and LTCC and the Prestwick AC.~~

8. Mandatory Occurrence Reports (MOR)

- ~~8.1 Information and guidance on the MOR scheme is contained on the CAA website.~~
- 8.12 The holder of an ~~ATCO~~ Air Traffic Controller's licence or ~~FISO~~ Flight Information Service Officer's licence is to report, within 72 hours, any occurrence which has, or if not corrected would have, endangered an aircraft, its occupants, or any other person. The CAA Website contains guidance on what is a reportable occurrence but ultimately the individual licence holder involved will have to use their own judgement. UK Reg (EU) 2015/1018 contains details.
- 8.23 To enable other reports to be completed without delay licence holders should, if possible, inform operators and other ATS units involved as soon as practicable.

- 8.34 If telecommunications services and facilities are involved, the systems controller or the ~~DEO~~Duty ATSEP should be advised of the circumstances of the occurrence without delay.
- 8.45 Licence holders are to report all occurrences regardless of the category or nationality of the aircraft.

8A. Reporting Procedure

- ~~8A.1 All ATC initiated MORs are to be filed as detailed in paragraph 1.7 (Chapter 1 of this section).~~
- 8A.21 Occurrence Reports are treated confidentially to maintain full and free reporting from the aviation community and to protect the identity of the individual in accordance with EUUK legislation.
- 8A.32 If the controller considers that the incident they are reporting under the MOR scheme may have involved an alleged breach of air navigation legislation they are advised to seek the views of local management. If after consultation it is decided that CA939 action is appropriate a completed form CA939 should be sent to the Investigation and Enforcement Team (IET) accompanied by a MOR which indicates that CA939 action has been requested.
- 8A.23 If a reporter encounters a situation where a mandatory report is not appropriate but has an allegation about an individual or organisation that may affect safety, then a Voluntary Occurrence Report (VOR) reported in accordance with local procedures, or a Whistleblower report may be filed. Details of the whistleblowing process can be found on the CAA website via the MOR scheme page; <https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation>

9. Incidents on Board an Aircraft in Flight (Disruptive passengers)

- 9.1 When in receipt of a message from a pilot that indicates a level of disruptive passenger behaviour has occurred, the ATCO should, where possible, ascertain the level of disruption, and subsequently submit an MOR. See Section 5, Chapter 5 for information on the levels of disruptive passenger behaviour.
- ~~9.1 If the commander of an aircraft finds it necessary to restrain a person on board an aircraft in flight they may report the matter to an ATC unit. The report will normally contain the following items:-~~
- (1) ~~The nationality and registration marks of the aircraft;~~

~~(2) The commander's name;~~

~~(3) The name and nationality of the person under restraint and the details of their journey;~~

~~(4) A description of the incident in which the person was involved and the position of the aircraft at the time;~~

~~(5) The names of up to three witnesses;~~

~~(6) The ETA at the aerodrome of intended landing.~~

~~9.2 Controllers should submit an MOR.~~

10. Matter Allegedly Dropped by Aircraft

10.1 A complaint alleging that matter has fallen from an aircraft is to be treated as an incident involving safety. All reasonable efforts are to be made as soon as possible to identify any aircraft that might have been responsible. The aid of the Watch Manager at the ACC may be enlisted. It should be remembered that military aircraft, often beyond civil control or means of identification, may have been responsible. Controllers must not express opinions as to the likely source of the falling matter to the person reporting the incident.

<p>Origin.</p> <p>ATM Review – Section 6 Chapter 3</p>	<p>Rationale.</p> <p>Text changes throughout Section 6, Chapter 3 include</p> <ul style="list-style-type: none"> a) Updates to definitions to align, where possible with source material. The reference material has been added for clarity. b) Updated naming conventions for RAC, 78 Squadron, Swanwick c) Updated language for referencing ATSEP d) The inclusion of the definitions of levels of disruptive passenger, and e) Editorial updates for clarity or to reflect current operational practices.
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Section 6: Reports

Chapter 4: Infringement Alleged Breaches of Air Navigation Legislation

1. Introduction

1.1 Aviation offences can be found in the Civil Aviation Act 1982, the ANO 2016 and its supporting Regulations (e.g., The Rules of the Air) and UK SERA. Controllers should report apparent offences using form CA939. Offences against the Civil Aviation Act, the ANO, its supporting Regulations or published procedures may be one of three basic types:

(1) An offence against the RoA Regulations and ATC Regulations or against published procedures;

(2) An offence against regulations based on safety;

(3) An offence against regulations having no direct bearing on safety (e.g. requirements for registration and markings, carriage of documents or Customs requirements).

1.2 Offences in category 1.1(3) above should be reported by telephone to the nearest representative of the appropriate authority (e.g. Customs) or, in cases of doubt, to the GAA Investigation and Enforcement Team (IET).

1.3 Controllers should report offences in categories 1.1(1) and 1.1(2) above using form CA939 in accordance with paragraph 3 below.

2. Tracing Action

2.1 If the offending aircraft has not been identified but is seen on a situation display, it is to be tracked, if possible, until it appears to be landing. Correlation of the track and time with the movements at the appropriate aerodrome should be attempted so that identification can be made.

2.2 If the pilot's name is volunteered it should be noted in the report. There is no requirement to speak directly to the pilot concerned. However, if contact is made, the pilot shall not be invited or persuaded to give an explanation but if they do voluntarily, it shall be written down in their exact words and not paraphrased or interpreted. This does not constitute a statement under caution, but it does form a very important link in the chain of information upon which to decide whether to prosecute. The reporting officer/reporter should endorse the form with the date and time of completion.

- 2.3 If the pilot states that special circumstances existed, e.g. that service was being provided by another ATSU, efforts should be made to corroborate the statement.
- 2.4 If the pilot asks what action is going to be taken, the controller should say that they will endeavour to trace the identity of an aircraft involved in an incident and that the circumstances of the flight are being reported to the CAA for consideration of action to be taken.
- 2.5 ~~Controllers~~ **Individuals** should not, in conversation with pilots:
- (1) Specify the Article, Rule or Regulation apparently infringed;
 - (2) Give any form of admonition.
- ~~2.6~~ To do so may inhibit action by CAA Investigation Officers.

3. Written Reports

- 3.1 Alleged breaches of Air Navigation Legislation (ANL) are to be reported on form CA939. A link to this form is available on the CAA website under Aviation Industry Related Issues via the 'Make a report' quick link. <https://www.caa.co.uk/our-work/make-a-report-or-complaint/report-something/report-and-alleged-breaches-of-air-navigation-legislation>. Details under the heading 'General Information' should be inserted if they are known. Copies of statements and relevant supplementary evidence, such as watch log extracts and flight plans, should be attached.
- 3.2 Staff having first-hand knowledge of the incident are to type their statements in a MOR report. It should be noted that on this occasion code groups and aeronautical abbreviations are not to be used. RTF recordings should be preserved in case a transcript is required.

4. Forwarding Reports

- 4.1 Reports on CA939 are to be sent to the CAA IET. Reports may be submitted by post or by email as detailed on the form. It is essential that any report which may merit prosecution is dealt with expeditiously. If delays occur in the preparation of supporting documents, the CA939 is to be forwarded at once and endorsed 'additional documents to follow'.
- 4.2 Controllers are reminded that the event should be described with as much detail as possible. The report should include the following where appropriate:
- (1) The identification of all aircraft involved together with relative tracks and times;

- (2) Any loss of separation associated with the ABANL; and
- (3) A statement as to the degree of actual impact the event had on ATC operations including any tactical avoiding or delaying action taken by ATC.

5. Military Aircraft

- 5.1 Although air navigation legislation does not normally apply to military aircraft (of any nationality) all apparent contraventions are to be reported.
- 5.2 When an unidentified aircraft (suspected as being military) has apparently contravened regulations, the ~~LACC (Mil)~~ RAC, 78 Squadron, Swanwick Military should be requested to take search action to establish its identity. The reason for requesting the search must be clearly stated to distinguish it from the search action following an AIRPROX report.

<p>Origin.</p> <p>ATM Review – Section 6 Chapter 4</p>	<p>Rationale.</p> <p>Text changes throughout Section 6, Chapter 4 include</p> <ul style="list-style-type: none"> a) Minor editorial changes to language b) Updated references to RAF, Squadron 78 and SERA
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Section 6: Reports

Chapter 5: Miscellaneous Reports

1. ~~Bird~~ Wildlife Strikes

- 1.1 Pilots are required to report all bird strikes (and other wildlife related events) in UK airspace whether or not damage is caused. A controller receiving such a report should obtain as much information as possible and complete an MOR clearly stating the nature of the report.

2. Maritime Incidents

2A. Disasters at Sea

- 2A.1 Pilots witnessing a disaster at sea, or seeing a disaster not previously notified, have been requested to report the incident to any ATC unit as quickly as possible.

2B. Maritime Pollution

- 2B.1 Pilots sighting substantial patches of oil or possible harmful substances have been asked to make reports to the ATC unit with whom they are in communication, or to the appropriate personnel providing a FIS at an ACC. Reports on RTF will be prefixed 'Oil Pollution Report', or '... Pollution Report' if a harmful substance other than oil is suspected.
- 2B.2 A controller receiving a report should obtain as much information as possible to complete a report in the format shown below:
- A Date and time pollution observed and identity of aircraft reporting.
 - B Position and extent of pollution.
 - C Tide, windspeed and direction.
 - D Weather conditions and sea state.
 - E Characteristics of pollution.
 - F Name and nationality, or description, including any distinctive markings, of any vessel seen discharging oil or other harmful substances; also assessment of course and speed of vessel and whether any pollution observed ahead of the discharging ship and the estimated length of pollution in her wake.

G The identity of any other vessels in the immediate vicinity.

H Whether or not photographs have been taken.

2C. ATC Action

2C.1 Any ATC unit receiving ~~such reports~~ a report of a maritime incident should pass ~~them~~ it without delay to an ACC. The ACC Watch Manager receiving such a report should pass this as soon as possible to the appropriate Maritime Rescue Coordination Centre (MRCC) or the Joint Rescue Coordination Centre (JRCC). ~~(a list of addresses, telephone and telex numbers)~~ Contact information is held at each ACC).

2C.2 Similar procedure should be followed if a pilot makes such a report by telephone after landing.

A LIST OF TELEPHONE NUMBERS AND LOCATIONS
IS SHOWN IN THE DIRECTORY AT APPENDIX H

3. Sonic Boom

3.1 An ATSU receiving a report of a boom alleged to have been caused by an aircraft in supersonic flight should obtain as much information as possible, including:

- (1) Name and address of ~~informant~~ reporter;
- (2) Time boom was heard;
- (3) Description of sound (e.g. single or double crack, dull boom or rumble, etc.);
- (4) Details of any alleged effects on persons, property, or livestock.

3.2 The report should be passed immediately to the parent ACC, whose MATS Part 2 or local unit instructions shall contain procedures for processing such reports.

4. Malicious Interference to VHF Communications

4.1 The malicious use of the aeronautical VHF mobile band involves persons who deliberately impersonate controllers and the types of message they broadcast. When such transmissions are made, they may sometimes be identified by:

- (1) a change in the individuality of the transmissions, i.e. the controller's voice characteristics are not those previously experienced;

- (2) the message transmitted is out of context with the expected next message; it is obviously in error or uses incorrect phraseology;
- (3) the messages are usually transmitted for a short time only and not repeated when queried;
- (4) the signal is sometimes received only by the pilot or controller, not both.

4.2 When illegal transmissions are suspected controllers should ensure that either the ~~DEO~~Duty ATSEP or ATC contacts Ofcom's Spectrum Management Centre (SMC) who will seek to track down the source of the transmissions and take appropriate legal action. For this process to work, it is essential that the SMC is informed as soon as practicable providing the following information:

- (1) radio interference category (malicious interference is category 1);
- (2) frequency or channel on which the interference occurs, or the identification of the navigational aid affected;
- (3) description of interference (details of speech, description of noise etc.);
- (4) location of the aircraft and/or ATSU transceiver receiving the interference;
- (5) station receiving the interference (this can be the aircraft and/or ATSU callsign); and
- (6) any other relevant details.

4.3 The SMC should be informed in the first instance via telephone using the following telephone number:

Tel: ~~(H24) 01462 42852840~~

The SMC may require a written report to be submitted subsequently using either of the following:

Email: SMC@ofcom.org.uk interference.report@ofcom.org.uk

Fax: ~~(H24) 01462 438510~~

4.4 It is important that the best possible evidence is made available for any potential prosecution. Original records of communications received must be preserved where possible. Advice from CAA Investigation and Enforcement Team (IET) can be obtained if ANSPs are unclear on what action to take or what to preserve when cases arise.

4.5 In all cases of interference, controllers shall complete an MOR form and a CA939.

4.6 Additional procedures may be found in MATS Pt 2.

<p>Origin.</p> <p>ATM Review – Section 6 Chapter 5</p>	<p>Rationale.</p> <p>Text changes throughout Section 6, Chapter 4 include</p> <ul style="list-style-type: none"> a) Minor editorial changes to language b) Updated contact information for OFCOM
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