

## ENR 1.14 AIR TRAFFIC INCIDENTS

### 1. REPORTING OF AIR TRAFFIC INCIDENTS

#### 1.1 Objectives

1.1.1 To provide an efficient and convenient method for all air traffic system and user personnel to document and submit what they considered to be unsafe incident/situations within Bangkok FIR.

1.1.2 To establish internal procedures to ensure efficient and expeditious investigation and processing of all reported incidents and for the prompt notification of results to the reporting person or agency.

#### 1.2 General

It is imperative that accurate and complete information regarding an incident be received by the unit or persons involved as soon as possible after the incident actually occurs. Such information is required before effective investigation and corrective action can begin.

#### 1.3 Procedures

The following procedures are to be utilized by ATS units or User Groups when reporting an Air Traffic Incident or unsatisfactory operation condition that occurs within Bangkok FIR.

##### 1.3.1 ATS units

1. The air traffic controller involved in an incident/situation will advise the pilot/ controller concerned that an incident report is being filed, report it to the unit watch supervisor and, when operational duties permit, enter the facts in the daily log and complete a copy of the Air Traffic Incident Report Form.
2. ATC management personnel will, as soon as possible, conduct an investigation of the incident and forward their findings, documentation and recommendations for corrective action to the office of the Director General, CAAT, Bangkok, with a copy to the ATS units or User Groups concerned.

##### 1.3.2 User Groups

1. Whenever a pilot-in command considers that his aircraft may have been endangered by the proximity of another aircraft during flight within Bangkok FIR to the extent that a definite risk of collision existed, he should make an AIR TRAFFIC INCIDENT REPORT in accordance with the following procedures.
2. The initial report of the incident should be made by radio to the ATS unit with which the aircraft is in communication at the time.

The initial report must be prefixed with the word NEAR COLLISION and should be in the following form:

- A – Aircraft Identification
- B – Type of Incident
- C – The Incident
- D – Miscellaneous
- E – Supplementary Information by ATS Unit concerned.

3. If it is impossible to report the incident by radio, a report should be made by telephone or other means to any ATS unit immediately after landing.
4. Any report made by radio or telephone must be confirmed WITHIN SEVEN DAYS on Air Traffic Incident Report Form (see ENR 1.14-5 to 1.14-9).
5. In the absence of exceptional circumstances, official action on radio or telephone reports will cease after seven days unless the confirmatory report has been received.
6. Pilot should co-operate by ensuring that the fullest possible information is given in every case, and by reporting only those incidents that can reasonably be considered to warrant investigation. Some operational ATC records are not retained for longer than thirty days and operators concerned are asked to facilitate action on reports by prompt handling in strict accordance with the procedures described.

#### 1.4 The Civil Aviation Authority of Thailand

1.4.1 CAAT shall be responsible for notifying the concerned ATS unit/User Group as soon as possible of the known facts and ask them to investigate the incident and forward the results along with statement, recommendations, corrective action taken and documentation within 10 days.

1.4.2 CAAT, after receiving the results of the concerned ATS unit/User Group, shall forward the details of the investigation to AIRMISS INVESTIGATION SUB-COMMITTEE for consideration.

1.4.3 CAAT, after receiving the AIRMISS INVESTIGATION SUB-COMMITTEE's considerations, shall notify the originating ATS Unit/User Group of the results of the investigation, and when considered appropriate by the administration processing the investigation, the result should also be sent to the ICAO Asia and Pacific Office.

1.4.4 CAAT shall provide Air Traffic Incident Report Forms to be use both for ATS units/User Groups (see ENR 1.14-4 to 1.14-7) and

download from www.caat.or.th

1.4.5 CAAT shall review all incident report processed for the purpose of identifying unfavourable trends and, when such trends are apparent, notify the ATS unit/User Group concerned accordingly.

## 2. REPORTING OF AIR TRAFFIC INCIDENTS BY PILOTS AND HANDLING OF REPORTS BY ATS

### 2.1 The air traffic incident

2.1.1 "Air traffic incident" is used to mean a serious occurrence involving air traffic, such as:

- a) near collision,
- b) serious difficulty caused by:
  - i. faulty procedures or lack of compliance with applicable procedures; or
  - ii. failure of ground facilities.

2.1.2 Air traffic incidents are designated and identified in reports as follows

TYPE	DESIGNATION
Air traffic incident	INCIDENT
as (a) above	- " - : NEAR COLLISION
as (b) (i) above	- " - : PROCEDURAL
as (b) (ii) above	- " - : FACILITY

### 2.2 Use of the "Air Traffic Incident Report Form"

2.2.1 The "Air Traffic Incident Report Form" is intended for use:

- a) by a pilot for filing a report on an air traffic incident after arrival or to confirm a report made initially by radio during flight:

*Note: The form, if available on board, may also be of use in providing a pattern for making the initial report in flight.*

- b) by an ATS Unit for recording an air traffic incident report received by radio, telephone or teleprinter.

*Note: The form may be used as format for the text of a message to be transmitted over the AFTN network.*

### 2.3 Recording of air traffic incidents by pilots

2.3.1 A pilot should proceed as follows regarding an incident in which he is or has been involved:

- a) during flight, use the appropriate air/ground frequency for reporting an incident of major significance, particularly if it involves other aircraft, so as to permit the facts to be ascertained immediately; and
- b) as promptly as possible after landing, submit a completed "Air Traffic Incident Report Form":
  - i. to confirm a report of an incident made initially as in (a) above, or for making the initial report on such an incident if it had not been possible to report it by radio; and
  - ii. to report an incident which did not require immediate notification at the time of occurrence.

2.3.2 An initial report made by radio should contain the following information:

- A - Aircraft identification
- B - Type of incident, e.g. aircraft proximity
- C - The incident
- General:
  - a) Date/time of incident; and
  - b) Position.
- Own aircraft:
  - a) Heading and routes;
  - b) True airspeed;
  - c) Level and altimeter setting;
  - d) Aircraft climbing or descending; and
  - e) Avoiding action taken.
- Other aircraft:

- a) Type and call sign/registration;
  - b) Other information, if item a) is unknown;
  - c) Aircraft climbing or descending;
  - d) Avoiding action taken
- Distance
- a) Closest horizontal distance; and
  - b) Closest vertical distance.
- Miscellaneous:
- a) Aerodrome of first landing.....destination.....

2.3.3 The confirmatory report on an incident of major significance initially reported by radio or the initial report on any other incident should be submitted to the ATS Reporting Office of the aerodrome of first landing on the "Air Traffic Incident Report Form" The pilot should complete Sections 1 and 2 supplementing the details of the initial reports as necessary.

*Note: Where there is no ATS Reporting Office, the report may be submitted to another ATS unit.*

## 2.4 Handling of Air Traffic Incident Report Form

2.4.1 The purpose of the form is to provide investigatory authorities with as complete information on an air traffic incident as possible and to enable them to report back with the least possible delay to the pilot or operator concerned the result of the investigation of the incident and, if appropriate, the remedial action taken.

**AIR TRAFFIC INCIDENT REPORT FORM**

*For use when submitting and receiving reports on air traffic incidents. In an initial report by radio, shaded items should be included.*

**A - AIRCRAFT IDENTIFICATION**

**B - TYPE OF INCIDENT**

AIRPROX / OBSTRUCTION ON RUNWAY / RUNWAY INCURSION / PROCEDURE / FACILITY \*

**C - THE INCIDENT**

**1. General**

- a) Date / time of incident \_\_\_\_\_ UTC  
b) Position \_\_\_\_\_

**2. Own aircraft**

- a) Heading and route \_\_\_\_\_
- b) True airspeed \_\_\_\_\_ measured in ( ) kt \_\_\_\_\_ ( ) km/h \_\_\_\_\_
- c) Level and altimeter setting \_\_\_\_\_
- d) Aircraft climbing or descending  
 Level flight                       Climbing                       Descending
- e) Aircraft bank angle  
 Wings level                       Slight bank                       Moderate bank  
 Steep bank                       Inverted                       Unknown
- f) Aircraft direction of bank  
 Left                       Right                       Unknown
- g) Restrictions to visibility (select as many as required)  
 Sun glare                       Windscreen pillar                       Dirty windscreen  
 Other cockpit structure                       None
- h) Use of aircraft lighting (select as many as required)  
 Navigation lights                       Strobe lights                       Cabin lights  
 Red anti - collision lights                       Landing / taxi lights                       Logo (tail fin) lights  
 Other                       None
- i) Traffic avoidance advice issued by ATS  
 Yes, based on radar                       Yes, based on visual sighting                       Yes, based on other information  
 No
- j) Traffic information issued  
 Yes, based on radar                       Yes, based on visual sighting                       Yes, based on other information  
 No
- k) Airborne Collision Avoidance System – ACAS  
 Not carried                       Type                       Traffic advisory issued  
 Resolution advisory issued                       Traffic advisory or resolution advisory not issued
- l) Radar identification  
 No radar available                       Radar identification                       No radar identification
- m) Other aircraft sighted  
 Yes                       No                       Wrong aircraft sighted

\* Delete as appropriate

n)	Avoidance action taken		
	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
o)	Type of flight plan	IFR / VFR / none*	
<b>3. Other aircraft</b>			
a)	Type and call sign/registration (if known) _____		
b)	If a) above not known, describe below		
	<input type="checkbox"/> High wing	<input type="checkbox"/> Mid wing	<input type="checkbox"/> Low wing
	<input type="checkbox"/> Rotorcraft		
	<input type="checkbox"/> 1 engine	<input type="checkbox"/> 2 engines	<input type="checkbox"/> 3 engines
	<input type="checkbox"/> 4 engines	<input type="checkbox"/> more than 4 engines	
	Marking, colour or other available details		
	_____		
	_____		
	_____		
c)	Aircraft climbing or descending		
	<input type="checkbox"/> Level flight	<input type="checkbox"/> Climbing	<input type="checkbox"/> Descending
	<input type="checkbox"/> Unknown		
d)	Aircraft bank angle		
	<input type="checkbox"/> Wings level	<input type="checkbox"/> Slight bank	<input type="checkbox"/> Moderate bank
	<input type="checkbox"/> Steep bank	<input type="checkbox"/> Inverted	<input type="checkbox"/> Unknown
e)	Aircraft direction of bank		
	<input type="checkbox"/> Left	<input type="checkbox"/> Right	<input type="checkbox"/> Unknown
f)	Lights displayed		
	<input type="checkbox"/> Navigation lights	<input type="checkbox"/> Strobe lights	<input type="checkbox"/> Cabin lights
	<input type="checkbox"/> Red anti-collision lights	<input type="checkbox"/> Landing/taxi lights	<input type="checkbox"/> Logo (tall fin) lights
	<input type="checkbox"/> Other	<input type="checkbox"/> None	<input type="checkbox"/> Unknown
g)	Traffic avoidance advice issued by ATS		
	<input type="checkbox"/> Yes, based on radar	<input type="checkbox"/> Yes, based on visual sighting	<input type="checkbox"/> Yes, based on other information
	<input type="checkbox"/> No	<input type="checkbox"/> Unknown	
h)	Traffic information issued		
	<input type="checkbox"/> Yes, based on radar	<input type="checkbox"/> Yes, based on visual sighting	<input type="checkbox"/> Yes, based on other information
	<input type="checkbox"/> No	<input type="checkbox"/> Unknown	
i)	Avoiding action taken		
	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Unknown

<b>4. Distance</b> a) Closest horizontal distance _____ b) Closest vertical distance _____
<b>5. Flight meteorological conditions</b> a) IMC / VMC* b) Above / below* clouds / fog / haze or between layers* c) Distance vertically from cloud _____ m / ft* below _____ m / ft* above d) In cloud / rain / snow / sleet / fog / haze * e) Flying into / out of* sun f) Flight visibility _____ m / km*
<b>6. Any other information considered important by the pilot-in-command</b> _____ _____ _____ _____ _____
<b>D - MISCELLANEOUS</b>
<b>1. Information regarding reporting aircraft</b> a) Aircraft registration _____ b) Aircraft type _____ c) Operator _____ d) Aerodrome of departure _____ e) Aerodrome of first landing _____ destination _____ f) Reported by radio or other means to _____ (name of ATS unit) at time _____ UTC g) Date / time / place of completion of form _____
<b>2. Function, address and signature of person submitting report</b> a) Function _____ b) Address _____ c) Signature _____ d) Telephone number _____
<b>3. Function and signature of person receiving report</b> a) Function _____      b) Signature _____

**E - SUPPLEMENTARY INFORMATION BY ATS UNIT CONCERNED**

**1. Receipt of report**

a) Report received via AFTN / radio / telephone / other (specify) \* \_\_\_\_\_

b) Report received by \_\_\_\_\_ (name of ATS unit)

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**2. Details of ATS action**  
Clearance, incident seen (radar/visually, warning given, result of local enquiry, etc.)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**DIAGRAMS OF AIRPROX**

Mark passage of other aircraft relative to you, in plan on the left and in elevation on the right, assuming YOU are at the centre of each diagram. Include first sighting and passing distance.

VIEW FROM ABOVE

VIEW FROM ASTERN

**Instructions for the completion of the air traffic incident report form**

Item	
A	Aircraft identification of the aircraft filing the report.
B	An AIRPROX report should be filed immediately by radio.
C1	Date/time in UTC and position in bearing and distance from a navigation aid or in latitude/longitude.
C2	Information regarding aircraft filing the report, tick as necessary.
C2 c)	E.g. FL 350/1 013 hPa or 2 500 ft/QNH 1 007 hPa or 1 200 ft/QFE 998 hPa.
C3	Information regarding the other aircraft involved.
C4	Passing distance, state units used.
C6	Attach additional papers as required. The diagrams may be used to show positions of aircraft.
D1 f)	State name of ATS unit and date/time in UTC.
D1 g)	Date and time in UTC.
E2	Include details of ATS unit such as service provided, radiotelephony frequency, SSR Codes assigned and altimeter setting. Use diagram to show the position of aircraft and attach additional papers as required.

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