

**MILITARY COMMITTEE AIR STANDARDIZATION BOARD
(MCASB)**

2 April 2007

NSA(AIR)0338(2007)FS/3750

MCASB

STANAG 3750 FS (EDITION 6) – REPORTING AND INVESTIGATION OF AIR TRAFFIC INCIDENTS

Reference:

MAS(AIR)327-FS/3750 dated 21 October 1996 (Edition 5)

1. The enclosed NATO Standardization Agreement, which has been ratified by nations as reflected in the **NATO Standardization Document Database (NSDD)**, is promulgated herewith.
2. The Reference listed above is to be destroyed in accordance with local document destruction procedures.
3. The MCASB, NSA considers this an editorial edition to the STANAG; previous ratifying references and implementation details are deemed to be valid.

J MAJ 
Major General, POL(A)
Director, NSA

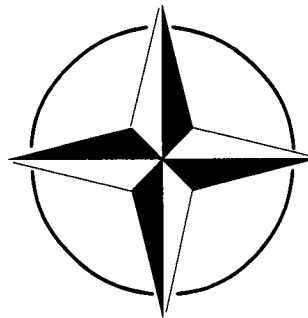
Enclosure:

STANAG 3750 (Edition 6)

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STANAG 3750
(Edition 6)

**NORTH ATLANTIC TREATY ORGANIZATION
(NATO)**




**NATO STANDARDIZATION AGENCY
(NSA)**

**STANDARDIZATION AGREEMENT
(STANAG)**

SUBJECT: REPORTING AND INVESTIGATION OF AIR TRAFFIC INCIDENTS

Promulgated on 2 April 2007

J MAJ 
Major General, POL(A)
Director, NSA

NATO/PfP UNCLASSIFIED

RECORD OF AMENDMENTS

N°	Reference/ date of Amendment	Date entered	Signature

EXPLANATORY NOTES

AGREEMENT

1. This NATO Standardization Agreement (STANAG) is promulgated by the Director NATO Standardization Agency under the authority vested in him by the NATO Standardization Organisation Charter.
2. No departure may be made from the agreement without informing the tasking authority in the form of a reservation. Nations may propose changes at any time to the tasking authority where they will be processed in the same manner as the original agreement.
3. Ratifying nations have agreed that national orders, manuals and instructions implementing this STANAG will include a reference to the STANAG number for purposes of identification.

RATIFICATION, IMPLEMENTATION AND RESERVATIONS

4. Ratification, implementation and reservation details are available on request or through the NSA websites (internet <http://nsa.nato.int>; NATO Secure WAN <http://nsa.hq.nato.int>).

FEEDBACK

5. Any comments concerning this publication should be directed to NATO/NSA – Bvd Leopold III - 1110 Brussels - BEL.

NATO STANDARDIZATION AGREEMENT
STANAG

REPORTING AND INVESTIGATION OF AIR TRAFFIC INCIDENTS

Annexes: A Air Traffic Incident Report Form
B National Offices for Investigation of Air Traffic Incidents

Related Document: ICAO Publication PANS/RAC Doc 4444 - RAC/501/12

AIM

1. The aim of this agreement is to establish procedures for the reporting and investigation of air traffic incidents.

AGREEMENT

2. Participating nations agree that procedures for the reporting and investigation of air traffic incidents are as detailed herein.

DEFINITIONS

3. The following terms and definitions are used for the purpose of this agreement:

a. "Air Traffic Incident" is used to mean a serious occurrence involving air traffic such as:

(1) Aircraft Proximity (AIRPROX).

(2) Serious difficulty caused by:

(a) Faulty procedures or non-compliance with procedures (PROCEDURE), or

(b) Failure of ground facilities (FACILITY).

b. The definition of Aircraft Proximity (AIRPROX) is:

"A situation in which, in the opinion of a pilot or air traffic services personnel, the distance between aircraft as well as their relative positions and speed have been such that the safety of the aircraft involved may have been compromised".

4. Air Traffic Incidents are designated and identified in reports by: AIRPROX, PROCEDURE and FACILITY.

GENERAL

5. The purpose of reporting and investigating air traffic incidents is to reduce the risk of mid-air collisions and to reduce the risk of accidents/incidents caused by faulty procedures/non-compliance with procedures, or failure of ground facilities.

6. Aircrew and Air Traffic Control (ATC)/Air Defence (AD) personnel who are involved in air traffic incidents, including those who have been reported as being involved, should co-operate in the investigation by providing complete and accurate information.

USE OF THE AIR TRAFFIC INCIDENT REPORT FORM

7. 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 conform a report made initially by radio during flight.
- b. By an ATS unit for recording an air traffic incident report received by radio, telephone or teleprinter.
- c. By an ATS unit for filing a report on an air traffic incident.

REPORTING OF AIR TRAFFIC INCIDENTS BY PILOTS

8. A pilot should proceed as follows regarding an incident in which he/she has been involved:

- a. During flight, use the appropriate air/ground frequency for submitting an initial report so as to permit the facts to be ascertained immediately.
- b. As promptly as possible after landing submit a completed Air Traffic Incident Report Form:
 - (1) For confirming 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.
 - (2) For reporting an incident which did not require immediate notification at the time of occurrence.

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

- a. Aircraft identification (own aircraft).
- b. Type of incident, e.g. AIRPROX.

- c. Date/time of incident (in Universal Time Constant (UTC)) and position.
 - d. Own Aircraft. Heading and route. True air speed (measured in KT or KM/H). Level/altimeter setting (use FL, FT/QNH or QFE as appropriate), level flight, climbing or descending. Avoiding action taken (yes or no).
 - e. Other Aircraft. Type and call sign/registration (if known). If not known describe the aircraft: high, mid or low wing or rotor aircraft. Engines: 1, 2, 3, 4 or more than 4. Marking, colour or other available details. Heading (if known), controlling unit and frequency. Level: level flight, climbing, descending or unknown. Avoiding action taken: yes, no or unknown.
 - f. Closest horizontal distance and closest vertical distance (state units used).
 - g. Aerodrome of first landing and destination (own aircraft).
10. A written report - in accordance with the Air Traffic Incident Report Form (Annex A) - shall be provided. Supplementary instructions for completion of the Report Form are as follows:

ITEM:

- A Identification of the aircraft or the ATS unit filing the report.
- B An AIRPROX report should be filed immediately by radio.
- C1 Date/time UTC and position in bearing and distance from a navigation air or in LAT/LONG;
- C2 Information regarding aircraft filing the report, tick as necessary.
- C2 c) e.g. FL 350/1013 hPa or 2500 ft/QNH 1007 hPa or 1200 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 aircraft positions.
- D1 h) State name of ATS units and date/time in UTC.
- D1 i) Date and time in UTC.
- D2 d) Include telephone number of pilot, or operating authority, as appropriate, to facilitate enquiries by investigating authority.

- E2 Include details of ATS unit such as service provided, radiotelephony frequency, SSR Codes assigned and altimeter setting. Use diagram to show the aircraft position and attach additional papers as required.

INVESTIGATION

11. The nation in whose airspace the air traffic incident occurred shall be responsible for conducting the investigation of that incident. Aircrew and organizations involved in AIRPROX incidents shall ensure that their written AIRPROX reports are submitted to the responsible nation. The responsible nation shall prepare an investigation report which shall include, but is not limited to, the following information:

- a. Details of the AIRPROX incident.
- b. An assessment of the degree of risk of collision based on the following criteria:
 - (1) Risk of Collision. The risk classification of an aircraft proximity in which serious risk of collision has existed.
 - (2) Safety not assured. The risk classification of an aircraft proximity in which the safety of the aircraft may be have been compromised.
 - (3) No Risk of Collision. The risk classification of an aircraft proximity in which no risk of collision has existed.
 - (4) Risk not determined. The risk classification of an aircraft proximity in which insufficient information was available to determine the risk involved, or inconclusive or conflicting evidence precluded such determination.
- c. The measures that have been or will be taken to prevent recurrence of this type of AIRPROX incident.

12. The investigation report shall be dispatched in accordance with Annex B to the nations whose crew and organizations were involved in the incident.

IMPLEMENTATION OF THE AGREEMENT

13. This STANAG is implemented when a nation has issued the necessary order/instructions to the forces concerned putting the procedures detailed in this agreement into effect.

AIR TRAFFIC INCIDENT REPORT FORM		
<i>For use when submitting and receiving reports on air traffic incidents. In an initial report by radio, shaded items should be included.</i>		
A - AIRCRAFT IDENTIFICATION	B - TYPE OF INCIDENT	
	AIRPROX / 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)	Restriction to visibility (select as many as required)	
	() Sunglare	() 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
n)	Avoiding action taken	
	() Yes	() No
o)	Type of flight plan	IFR / VFR / none*

3.	Other aircraft	
	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"/> Rotorcraft	<input type="checkbox"/> Low wing
	<input type="checkbox"/> 1 engine	<input type="checkbox"/> 2 engines
	<input type="checkbox"/> 4 engines	<input type="checkbox"/> 3 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"/> Unknown	<input type="checkbox"/> Descending
	d) Aircraft bank angle	
	<input type="checkbox"/> Wings level	<input type="checkbox"/> Slight bank
	<input type="checkbox"/> Steep bank	<input type="checkbox"/> Inverted
	<input type="checkbox"/> Moderate bank	<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"/> Red anti-collision lights	<input type="checkbox"/> Landing/taxi lights
	<input type="checkbox"/> Other	<input type="checkbox"/> None
	<input type="checkbox"/> Cabin lights	<input type="checkbox"/> Logo (tail tin) lights
	<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"/> No	<input type="checkbox"/> Yes, based on other information
	<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"/> No	<input type="checkbox"/> Yes, based on other information
	<input type="checkbox"/> Unknown	
	i) Avoiding action taken	
	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<input type="checkbox"/> Unknown	
4.	Distance	
	a) Closest horizontal distance _____	
	b) Closest vertical distance _____	
5.	Flight weather conditions	
	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*	
6.	Any other information considered important by the pilot-in-command	

* Delete as appropriate

D -	MISCELLANEOUS
1.	Information regarding reporting aircraft
	a) Aircraft registration _____
	b) Aircraft type _____
	c) Operator _____
	d) Aerodrome of departure _____
	e) Aerodrome of first landing _____ destination _____
	f) Type of air traffic service _____ #
	g) RT frequency _____ SSR code _____ #
	h) Reported by radio or other means to _____ (name of ATS unit) at time _____ UTC
	i) Date / time / place of completion of form _____
2.	Function, address and signature of person submitting report
	a) Function _____
	b) Address _____
	c) Signature _____
	d) Telephone number _____
3.	Function and signature of person receiving report
	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)

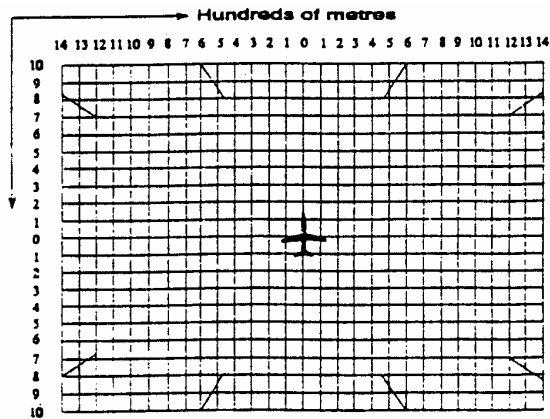
Addition to the ICAO form.

2. Details of ATS action

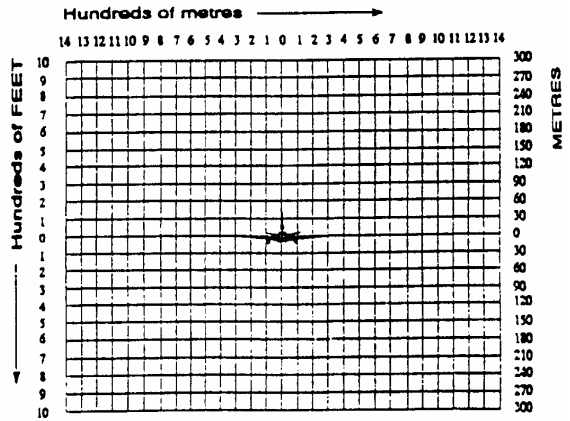
Clearance, incident seen (radar/visually, warning given, result of local enquiry, etc.)

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

NATIONAL OFFICES FOR INVESTIGATION OF AIR TRAFFIC INCIDENTS/
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