



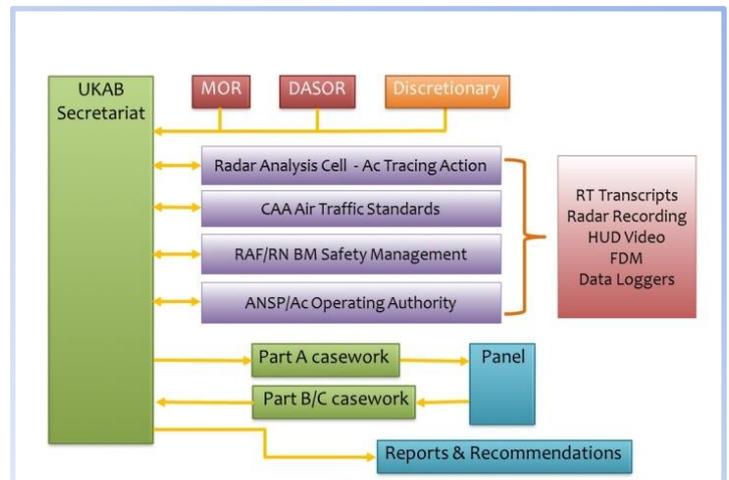
1. INTRODUCTION

1.1 Airprox occurrences are near accidents. The UKAB is the UK’s focal point for investigating and reporting the circumstances, factors and risk of collision for all Airprox occurrences in UK airspace. Focused purely on enhancing Air Safety through the avoidance of airborne conflict and mid-air collisions, the UKAB provides a mechanism for the feedback and follow-up of Airprox-related insights and recommendations regarding the efficacy of airspace regulation and the factors that have influenced the performance of pilots and controllers. Emphasising both the scope of its work and its independence, UKAB is sponsored jointly, and funded equally, by the Civil Aviation Authority (CAA) and the Military Aviation Authority (MAA). Although within this joint stakeholder arrangement Director UKAB reports Airprox outcomes and issues directly to the Chief Executive CAA and Director MAA, the UKAB conducts investigations and reporting as a quasi-independent activity.

ICAO Doc 4444: PANS-ATM defines an Airprox as:
A situation in which, in the opinion of a pilot or a controller, the distance between aircraft, as well as their relative positions and speed, was such that the safety of the aircraft involved was, or may have been, compromised.

1.2 The UKAB comprises three elements: fourteen very experienced civilian and military aviator and controller voting members of the Airprox assessment Panel (Chaired by Director UKAB); a collective of airspace and flight operations subject-matter expert (SME) advisors; and the Secretariat (currently comprising three Airprox Inspectors and three Administrative Staff). In investigating the circumstances of Airprox, the UKAB draws on the resources of the CAA’s Safety and Airspace Regulation Group (principally their Airspace, ATM and Aerodromes staff, Flight Operations staff, and the Air Traffic Standards Inspectorate); the military Radar Analysis Cell (RAC) at NATS Swanwick; and relevant Military HQs and Air Safety organisations.

1.3 Airprox are normally notified to the Secretariat by one of three methods depending on their source: civil/commercial notifications are submitted through the CAA Mandatory Occurrence Reporting (MOR) scheme; military notifications are submitted through the MOD mandatory Defence Aviation Safety Occurrence Reporting (DASOR) system; and discretionary General Aviation notifications are submitted voluntarily using CAA Airprox form CA1094.



1.4 The Secretariat prepares casework on each Airprox for presentation to the Panel on a monthly basis; this is termed the ‘Part A’, which comprises a factual consolidation of: a summary of the participants’ submissions; a précis of the key elements of any external investigation reports; and any comments, if appropriate, from the associated aircraft operating authorities or associations. The Panel then assess the Part A to determine two things: a) what factor(s) caused the Airprox; and b) the risk of collision. In line with contemporary ‘Just Culture’ Safety Management System approaches, the UKAB aims to take a broad view of safety risks and contributory factors across the whole spectrum of flying operations. Having recently introduced a more systematic safety-barrier approach to Airprox

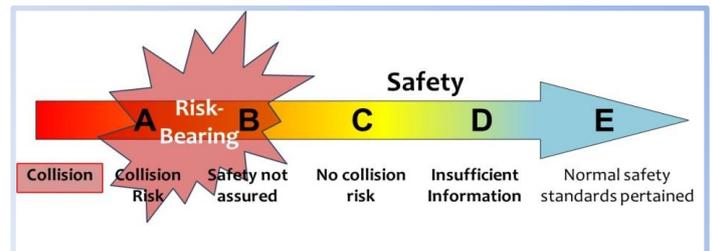
contributory factor and risk assessment, the UKAB Secretariat has developed a model that is designed to assess each event through four major risk factor classifications of: Human, Organisational, Technical and Environmental.



Within this approach, each safety barrier is reviewed for its provision and application, and an overall effectiveness grade is assigned based on its assessed relevance and performance.

Having made their assessment, the Panel then reports the risk of collision within each incident using the ICAO Airprox risk designation categories of:

- **Category A** – serious risk of collision existed.
- **Category B** – safety of the aircraft compromised.
- **Category C** – no risk of collision.
- **Category D** – insufficient information.
- **Category E** – normal safety standards pertained.



The category A and B incidents are referred to as ‘risk-bearing’ incidents because these are the ones where there was an evident risk of collision.

1.5 With the Panel having agreed contributory factors and risk for each incident during the monthly Board meeting, the Secretariat then prepares a written record of relevant points from the Panel’s discussions (the ‘Part B’), and a formal declaration of contributory factors and risk (the ‘Part C’). A full copy of each finalised report (Parts A, B and C) is then sent within 10 days of the relevant Board meeting to those involved in the Airprox and also to any of the relevant participating agencies. Once they have all had the opportunity to comment on any factual matters if they wish, the report is then published approximately four weeks later on the UKAB website (www.airproxboard.org.uk). In parallel, any recommendations that may have been made by the Board are compiled into targeted letters that are sent to relevant agencies or individuals inviting them to acknowledge and address the Board’s recommendations: associated responses are tracked by the Secretariat to ensure that recommendations are either accepted and resolved or, if declined, the reason for rejection is noted for future reference.

1.6 A fundamental UKAB tenet is that it is not the purpose of the Board to apportion blame or liability: the sole objective is to enhance Air Safety by identifying lessons applicable to others, or policy and procedures which might be improved. All reports are dis-identified in order to encourage an open and honest reporting environment.

2. MISSION & PURPOSE

2.1 The mission of the UKAB is:

To enhance Air Safety through prevention of airborne conflict and mid-air collision.

2.2 The purpose of the UKAB is:

To investigate, assess and report the circumstances, factors and risk of collision for all Airprox occurrences in UK’s airspace; communicate its findings, lessons identified and associated recommendations to relevant sections of the UK aviation regulatory and operating organisations and the broader aviation communities; and champion an understanding of Airprox causes, airborne conflict and mid-air collision risks by tracking and following-up Airprox recommendations and associated issues.