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Revision of this Manual requires authorisation by the D-ANSR of the proposed change prior to implementation of that change.

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This document shall be reviewed six months after its introduction to service and annually thereafter unless circumstances require otherwise

Written by: A.J. Robertson, D-ANSR
Reviewed by: C.J. Smith, ANS Inspector
Authorised by: R. Smith , DGCA
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Civil Aviation Authority of the Cayman Islands

P.O. Box 10277 APO, Grand Cayman, Cayman Islands
Tel: (345) 949 7811, Fax: (345) 949 0761, Email: civil.aviation@caacayman.com

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FORWARD

The Civil Aviation Authority of the Cayman Islands (CAACI) is responsible for the oversight of industry's compliance with the national and international regulatory framework within which it is required to work. The Authority achieves this by a process of audit, inspection and an overall monitoring of performance to be satisfied that required standards are set and maintained.

The MOR Scheme is an essential element of this process, not only to assess the effectiveness of individual SMS but also to collect and share data with the global aviation industry. Beyond this, information derived from occurrence reporting is valuable in the development of Safety Performance Indicators and Performance Based oversight.

The existence of the Mandatory Occurrence Reporting (MOR) Scheme to achieve the objectives identified in Section 2 is not intended to replace or reduce the duties and responsibilities of the operators and service providers. The primary responsibility for safety rests with the management of these organizations with the development and maintenance of an effective SMS being an essential tool to mitigate and reduce risk.

CIVIL AVIATION AUTHORITY OF THE CAYMAN ISLANDS

APPROVAL STATUS

The Civil Aviation Authority of the Cayman Islands (CAACI) is committed to providing effective, expeditious and impartial safety oversight based on the applicable legislation, standards and policies through the application of formalised processes and procedures.

This publication is produced by the Civil Aviation Authority of the Cayman Islands (CAACI) with the purpose of providing comprehensive guidance to aviation personnel on the mandatory reporting of reportable occurrences as required by Articles 124, 174 and 175 of the Air Navigation (Overseas Territories) Order 2013 (AN[OT]O 2013) as amended. The document contains all the relevant detail contained on OTAR Part 13, Occurrence Reporting, Fourth Issue, dated April 2012 and OTAC 13-1, Issue 5, dated 2 January 2018 and can be used as a single source document providing that the Air Safety Support International (ASSI) web site is checked for subsequent updates.

In doing so, this document forms part of the State's Safety Programme as it relates to the promotion of accident prevention by the collection and analysis of safety data and by the prompt dissemination of safety information.

This issue updates and replaces Issue 2 dated 8 August 2016.

PH Richard Smith

Director-General

Civil Aviation

Reviewed 01 June 2020

DISTRIBUTION

The latest version of the CAACI Manual of Reporting, Volume II is maintained by the Director of Air Navigation Services Regulation and the list of recipients below will be notified by e-mail when amendments are issued. Additionally, this document is also available on the CAACI website.

Director-General Civil Aviation

Deputy Director-General Civil Aviation

Director Air Navigation Services Regulation

Director Air Safety Regulation

Manager Technical Programmes

Air Navigation Services Inspector

Flight Operations Inspectors

Dangerous Goods Inspector

Airworthiness Surveyors

Aviation Safety Officer

Technical Officers

REVIEW AND AMENDMENT PROCEDURE

The Director of Air Navigation Services Regulation is responsible for the production of and amendments to the CAACI Manual of Reporting, Volume II, in accordance with the *CAACI/2020APR20 Document Revision and Amendment Procedure*.

Any amendment to the CAACI Manual of Reporting will be given whole Version numbers, i.e. 'Version 1.0', 'Version 2.0' etc. Working drafts will be identified by increments after the decimal point, i.e. 'Version 0.1 Draft', 'Version 1.1 Draft' etc.

All master documents are published and promulgated in an electronic format and are re-published in its entirety at its next version. Printed versions are not controlled. Amendments to the original manual will:

- a) Be listed in an amendment record;
- b) Be recorded in the next version number;
- c) Be dated in the page footer together with the current version number; and
- d) Be marked with a vertical bar next to the amended text;

LIST OF EFFECTIVE PAGES

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1	Version 3	01 June 2020	26	Version 3	01 June 2020
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RECORD OF REVISIONS

Amendment Nº	Date of Issue	Subject
Issue V.1	31 August 2006	First issue
Issue V.2	08 August 2016	To update the procedure to reflect organisational changes, the advent of electronic reporting and data management and the changes in OTAR 13 (Issue 4 February 2012) and OTAC 13-1 (Issue 4 dated 31 st July 2015).
Issue V.3	01 June 2020	Annual Review Converted to CAACI Standard Document Format Updated in accordance with OTAR Part 13, Occurrence Reporting, Fourth Issue, dated April 2012 and OTAC 13-1, Issue 5, dated 2 January 2018 P 4 - Inclusion of distribution process P 5 - Inclusion of amendment process P 9 – Inclusion of Abbreviations

ABBREVIATIONS

AAIB	Air Accidents Investigation Branch
ACAS	Airborne Collision Avoidance System
AIP	Aeronautical Information Publication
AN(OT)O	Air Navigation (Overseas Territories) Order
AOC	Air Operators Certificate
ATC	Air Traffic Control
ATCO	Air Traffic Control Officer
ATIS	Automated Terminal Information Service
ATS	Air Traffic Service
ATM	Air Traffic Management
CAACI	Civil Aviation Authority of the Cayman Islands
CIMORS	Cayman Islands Mandatory Occurrence Reporting Scheme
DANSR	Director Air Navigation Services Regulation
D-GCA	Director-General Civil Aviation
FATO	Final Approach and Take-Off Area
GPWS	Ground Proximity Warning System
IBIS	ICAO Bird Strike Information System
ICAO	International Civil Aviation Organisation
IMC	Instrument Meteorological Conditions
MOR	Mandatory Occurrence Report
MEL	Minimum Equipment List
OT	Overseas Territories
OTAC	Overseas Territories Aviation Circular
OTAR	Overseas Territories Aviation Requirement
PIC	Pilot In Command
RTF	Radio Telephony Frequency
SMS	Safety Management System
SSR	Secondary Surveillance Radar
UK	United Kingdom
UTC	Coordinated Universal Time
WIP	Work In Progress

SECTION 1

MANAGEMENT OF SAFETY

The Air Navigation (Overseas Territories) Order (AN(OT)O) places the primary responsibility for reporting with individuals, the interest of flight safety are best served by the full participation of the organisation concerned in the investigation and follow-up of occurrences.

As the International Civil Aviation Organisation (ICAO) requires that each organisation within the global aviation industry develops and maintains an effective Safety Management System (SMS), commensurate in size and scope to its particular operation, many organisations now have their own internal reporting system which identifies and addresses areas of concern as part of their functioning SMS.

Where ever possible, the CAA encourages the use of company reporting systems as a vehicle for receiving reports, assessing them with a view both to passing them on to the CAACI and to initiating corrective action where necessary. In this regard, part of the Organisation's responsibility is to correlate operational and technical aspects of the occurrence and the provision of any relevant supplementary information including the reporter's assessment of the risk and the immediate action taken to mitigate the risk. Furthermore, the organisation must meet the requirement to report within 72 hours of the event.

Under certain circumstances, it may be that an organisation doesn't share the reporter's view of the level of risk or the need to forward the occurrence report to the CAA. However, if the employee concerned is a person having a duty to report to the CAA in accordance with the AN(OT)O, then that person also has a responsibility to make the report directly to the Governor through the CAA.

SECTION 2

CAYMAN ISLANDS MANDATORY OCCURRENCE REPORTING SCHEME

The Cayman Islands Mandatory Occurrence Reporting Scheme (CIMORS) complies with all current international and national legislation. It provides a comprehensive and well documented reporting system to enable all occurrences which might prejudice the safe operation of the aviation industry to be recorded and monitored.

The CAACI, on behalf of the Governor, investigates all reported occurrences to the extent necessary to ensure that the causal factors are understood, lessons are learned and that the necessary measures are taken to prevent or to minimize the likelihood of a reoccurrence.

The information acquired during this process is recorded and disseminated for the benefit of the wider aviation community.

SECTION 3

OBJECTIVES OF THE SCHEME

3.1 The objectives of the CAACI MOR Scheme are:

- a) To ensure that the CAACI is advised of hazardous or potentially hazardous incidents and defects (hereinafter referred to as occurrences).
- b) To ensure that knowledge of these occurrences is disseminated so that persons and organisations may learn from them.
- c) To enable an assessment to be made by those concerned, of the safety implications of each occurrence, both in itself and in relation to previous similar occurrences, so that they may take or initiate any necessary action.

3.2 The overall objective of the CAACI's analysis of occurrence reports is to use the information derived to improve the level of safety. It is not to attribute blame.

The CAACI MOR Scheme is applicable to:

3.2.1 Aircraft:

- a) Aircraft registered in the territory;
- b) Aircraft not registered in the Territory, but operated by the holder of an Air Operators' Certificate (AOC) granted by the Governor (i.e. dry-leased aircraft), and;
- c) Aircraft operating within or through the Territory

3.2.2 Organisations:

- a) Any organisation providing a service or facility for aircraft operating over or in the Territory (e.g. Air Traffic Services, Airfields, FBOs and Ground Handling Agencies, etc) should report any occurrence meeting the required criteria regardless of the nationality of the aircraft involved.

3.3 Specific Obligation to Report Occurrences.

The following individuals or corporate entities have a legal obligation to report Occurrences/Incidents as identified in Article 174 of the AN(OT)O 2013:

- a) The operator and the pilot-in-command of an aircraft which has a certificate of airworthiness or permit to fly issued by the Governor;
- b) The operator and the pilot-in-command of an aircraft operated under an air operator's certificate granted by the Governor;
- c) a person who carries on in the Territory the business of manufacturing, repairing or overhauling an aircraft referred to in a) or b) above or any equipment or part thereof;
- d) a person who carries on the business of maintaining or modifying an aircraft that has a certificate of airworthiness or permit to fly issued by the Governor and a person who carries on the business of maintaining or modifying any equipment or part of such an aircraft;
- e) a person who carries on the business of maintaining or modifying an aircraft, operated under an air operator's certificate granted by the Governor, and a person who carries on the business of maintaining or modifying any equipment or part of such an aircraft;
- f) a person who signs an airworthiness report or a certificate of release to service in respect of such an aircraft, part or equipment;
- g) a person who performs a function that requires an air traffic controller's licence or a Flight Information Service Officer's Approval;
- h) an aerodrome certificate holder, operator or manager of a certificated or licensed aerodrome;
- i) a person who performs a function connected with the installation, modification, maintenance, repair, overhaul, flight checking or inspection of air navigation facilities which are utilised by a person providing an air traffic control service under an approval issued by the Governor;
- j) a person who performs a function concerning the ground-handling of aircraft, including fuelling, servicing, load sheet preparation, de-icing and towing.

3.4 General Obligation to Report.

Any person specified in the above list is to report any incident/occurrence of which he/she becomes aware of or has been involved in, unless they are certain that the incident/occurrence is being reported by someone else that represents their point of view regarding the incident. Such certainty should be established by confirmation with the other person. *“Don’t assume – Check”*.

Whilst the AN(OT)O identifies those required to report, anyone may and should report an incident if they believe that it can be defined as a reportable occurrence. The list of examples of Reportable Occurrences provided in Section 4 are not exhaustive and personal judgment may be necessary in deciding whether an incident is reportable or not. If in doubt, a report should be submitted, it is better to make a report than to allow a potentially dangerous situation to develop.

3.5 Categories of Occurrence

The following general categories of incidents should be reported:

- a) any incident relating to an aircraft or any defect in or malfunctioning of an aircraft or any part or equipment of an aircraft, being an incident, malfunctioning or defect endangering, or which if not corrected would endanger, an aircraft or its occupants or any other person; or
- b) any defect in or malfunctioning of any facility on the ground used or intended to be used for purposes of or in connection with the operation of an aircraft, being a defect or malfunctioning endangering, or which if not corrected would endanger, an aircraft or its occupants; or
- c) any incident in flight in which the pilot-in-command of an aircraft has reason to believe that the aircraft has been in collision with one or more than one bird; or
- d) any dangerous goods accident, dangerous goods incident or the finding or undeclared or inaccurately declared dangerous either in cargo or in passenger’s baggage.

SECTION 4

EXAMPLES OF OCCURRENCES TO BE REPORTED

4.1 The following list of examples of reportable occurrences is provided, however, the list cannot be completely comprehensive and any other occurrences considered by those involved, to meet the criteria are to be reported.

4.1.1 Aircraft Flight Operations – Control of the Aircraft

The following are types of occurrences that should be reported by the Flight Crew.

- a) Any rejected take-off
- b) Go around manoeuvre producing a hazardous or potentially hazardous situation
- c) Unintentional significant deviation from intended track or altitude (more than 300 feet), caused by a procedural, systems or equipment defect or human factor
- d) Descent below decision height/altitude or minimum descent height/altitude in instrument landing conditions
- e) Heavy landing, a landing deemed to require a 'heavy landing check'.
- f) Unintentional contact with the ground, including touching down before the runway threshold
- g) Over-running the ends or sides of the defined taxiway, runway or landing strip
- h) Significant inadvertent inappropriate airspeed
- i) Significant loss of control from any cause
- j) Approach to, landing on, lining up on or taking off from a wrong runway or airfield
- k) Occurrence of any flight envelope protection, including stick pusher or automatic protection, other than for training or test purposes
- l) Reversion to manual control of powered primary controls, other than for training or test purposes
- m) Operation of any primary warning system associated with manoeuvring of the aircraft e.g. configuration warning, stall warning (stick shake), over speed warning etc. unless:

- i. The crew conclusively established that the indication was false at the time it occurred, or;
 - ii. The indication is confirmed as false immediately after landing, providing that, in either case the false warning did not result in difficulty or hazard arising from the crew response to the warning.
- n) Loss or malfunctioning of any rotorcraft AUTO stabiliser mode
- o) Inadvertent incorrect operation of any controls which resulted in, or could have resulted in, a significant hazard
- p) A hazard or potential hazard which arises as a consequence of any deliberate simulation of failure conditions for training, system checks or test purposes
- q) In flight fuel quantity critically low or exhausted
- r) Significant fuel imbalance
- s) Incorrect setting of an SSR code
- t) Incorrect setting of an altimeter sub-scale
- u) Significant incorrect programming of navigation equipment
- v) Flight at a level, or on a route, different from that allocated
- w) Incorrect receipt or interpretation of RTF messages which resulted in, or could have resulted in, a significant hazard
- x) GPWS 'warning' when:
 - i. The aircraft comes into closer proximity to the ground than had been planned or anticipated;
 - ii. The warning is experienced in IMC or at night and is established as having been triggered by a high rate of descent; or
 - iii. The warning results from failure to select landing gear or flap by the appropriate point during the approach; or
 - iv. Any difficulty or hazard arises, or might have arisen as a result of crew response to the warning, e.g. possible reduced separation from other traffic. This could include a warning of any Mode or Type (genuine, nuisance or false)
- y) GPWS 'alert' when any difficulty or hazard arises, or might have arisen, as a result of crew response to the 'alert'
- z) ACAS Resolution Advisory except for an 'unnecessary alert', e.g. when triggered by a high rate of climb/descent but standard separation was not compromised.

- aa) Inability to achieve the required or expected performance during take-off, go-around or landing
- bb) Actual or attempted take-off, approach or landing with an incorrect configuration setting
- cc) Approach continued against Air Operator Stabilised Approach criteria
- dd) Exceedance of aircraft flight manual limitation
- ee) Aircraft upset, exceeding normal pitch attitude or bank angle
- ff) Incidents not defined as “Reportable” but recurring at a high enough frequency to raise safety concerns, e.g. a high frequency of minor loading errors at a particular airfield or GPWS nuisance warnings at a particular airfield. In such cases it is expected that the reporter will submit a single occurrence report together with the supporting evidence of high frequency and/or rate when it is considered that such a situation has been reached. Further reports should be submitted if the situation remains unchanged.

4.1.2 Security Incidents and Occurrences

The requirements for security reporting derive from ICAO Annex 17. Although security incidents and occurrences are reported as part of the overall incident reporting system, they may be of a serious nature. Accordingly, they shall also be reported to the appropriate security authority (this is usually via the aircraft or airport operators Accountable Manager); most of these reports are required to be immediately reported. Details for Accountable Managers on security reporting can be found in OTAR 178; in summary, the reportable occurrences incidents are:

- a) A bomb threat
- b) Unlawful seizure of an aircraft
- c) Attack against an aircraft
- d) Sabotage of an aircraft
- e) Attack against persons within the airport terminal
- f) Attack against airport or air navigation facilities
- g) Discovery of explosives, firearms or ammunition
- h) Breach of airside security restricted area.

4.1.3 Emergencies

The following are types of emergency incidents to be reported:

- a) The use in flight or on the ground of any emergency equipment or prescribed emergency procedures in order to deal with a situation.
- b) The use of any non-standard procedure adopted by the flight crew to respond to an emergency
- c) The declaration of an emergency, (‘Mayday’ or ‘PAN’)
- d) An emergency, forced or precautionary landing

- e) The failure of any emergency equipment or procedures to perform satisfactorily, including when being used for training or test purposes.

4.1.4 Crew

The following incidents are to be reported:

- a) Incapacitation of any member of the flight deck operating crew, including that which occurs prior to departure if it is considered that it could have resulted in incapacitation after take-off.
- b) Incapacitation of any member of the cabin crew which renders him/her unable to perform emergency duties.
- c) Misinterpretation of automation mode or any flight deck information provided to the flight crew which has or could have endangered the aircraft, its occupants or any other person.
- d) Loss of situational awareness
- e) Any occurrence where human performance has directly contributed to or could have contributed to an accident or incident, including any fatigue events.

4.1.5 Injury

Any significant injury to any person which directly results from the operation of the aircraft or its equipment but which is not considered to constitute a reportable accident is to be considered as a reportable occurrence and an MOR submitted.

4.1.6 Natural Phenomena

The following types of incidents due to natural phenomena are to be reported:

- a) A lightning strike which resulted in significant damage to the aircraft or the loss or malfunction of any essential service.
- b) Hail strikes which result in significant damage to the aircraft or the loss or malfunction of any essential service.
- c) Wake vortex encounter – an encounter resulting in significant handling difficulties
- d) Turbulence/Windshear encounter – an encounter resulting in injury to occupants or deemed to require a ‘turbulence check’ of the aircraft.
- e) A bird/wildlife strike which resulted in significant damage to the aircraft or the loss or malfunction of any essential service.
- f) Icing encounter resulting in handling difficulties, damage to aircraft or loss or malfunction of any aircraft system.

- g) Volcanic ash encounter.
- h) Interference with the aircraft by firearms, fireworks, flying kites, laser illumination, high powered lights, lasers, remotely piloted aircraft systems, model aircraft or by similar means.

4.1.7 Aircraft and Equipment – Failures, Malfunctions and Defects

The following should be reported by Flight Crew or Maintenance Staff:

- a) A malfunction, failure or defect to any system or component not normally considered as reportable (for example, furnishing and cabin equipment, water systems, items included in the Minimum Equipment List) where the circumstances of the occurrence or its association with other occurrences resulted in endangering of the aircraft or its occupants.
- b) Possible endangering of the aircraft resulting from a high repetitive frequency of a type of occurrence which in isolation would not be reportable – unless the frequency is already being monitored under an approved maintenance programme.

Note: In such cases a single occurrence report together with supporting evidence of high frequency or rate is required.

- c) Incorrect assembly of parts or components of the aircraft where the condition was not found as a result of the inspection and test procedures required for that specific purpose.
- d) Any other malfunction, failure or defect which is considered to have endangered or might have endangered the operation of the aircraft.
- e) The use of any unapproved parts
- f) Wrong assessment of serious defect, or serious non-compliance with MEL and Technical Logbook procedures.
- g) Failure, malfunction or defect of any system or equipment found as a result of compliance with an Airworthiness Directive or other mandatory instruction issued by a Regulatory Authority when:
 - i. It is detected for the first time by each operator or organisation implementing compliance; or
 - ii. On any subsequent compliance where the permissible limits or tolerances quoted in the instruction are exceeded and/or published rectification procedures are not available. For example, a report is required if the condition found necessitates a request to the Design Authority or Regulatory Authority for an extension of limits or tolerances and/or special rectification or procedures.

- h) Misleading, incorrect or insufficient applicable maintenance data or procedures that could lead to significant maintenance errors, including language issues.
- i) Incorrect control or application of aircraft maintenance limitations or scheduled maintenance.
- j) Releasing an aircraft to service from maintenance in case of any non-compliance which endangers the flight safety.
- k) Serious damage caused to an aircraft during maintenance activities due to incorrect maintenance or use of inappropriate or unserviceable ground support equipment that requires additional maintenance actions.
- l) Any occurrence where the human performance, including fatigue of personnel, has directly contributed to an accident or incident.
- m) Systems and Equipment - For any occurrence involving a system or component which is monitored/protected by a warning and/or protection system (for example – fire detection/extinguishing) the occurrence report should always state whether such system(s) functioned properly.
- n) Loss, significant malfunction or defect in any main system, sub-system or set of equipment when it is simplex, single-lane or single channel.
- o) Significant malfunction, reliability issue, or recurrent recording quality issue affecting a flight recorder system or lack of information needed to ensure the serviceability of a flight recorder system.
- p) Burning, melting, arcing, overheating, fire or explosion.
- q) Smoke or noxious fumes in the aircraft.
- r) Uncontained failure or significant overspeed of any high-speed rotating component (for example: Auxiliary power unit, air starter, air cycle machine, air turbine motor)
- s) Significant deviation of the aircraft from its intended flight path, attitude, airspeed or altitude resulting from system or equipment failure, malfunction or defects.
- t) Significant contamination of aircraft systems and equipment arising from the carriage of baggage or cargo.
- u) Failures or defects to any part subject to a finite life or any rotorcraft 'critical items' (as defined in Manufacturer's Manuals).
- v) Loss, significant malfunction or defect of any system, sub-system or set of equipment (for example: Autoflight, Communications, Electrical Power, Fire Protection, Flight Control, Fuel, Hydraulic Power, Ice Protection, Landing Gear, Navigation, Pneumatics, Pressurisation, Rotor drives, Rotor flight control) when:
 - i. It occurs at a critical phase or time, relevant to the operation of that system;
or

- ii. Relevant back-up systems, sub-systems or equipment did not perform satisfactorily; or
 - iii. Exceptional circumstances existed or unforeseen consequences arose; or
 - iv. Standard operating procedures, drills etc. could not be satisfactorily accomplished.
- w) Asymmetry of flaps, slats, spoilers etc.
- x) Limitation of movement, stiffness or poor or delayed response in the operation of primary flight control systems or their associated tab and lock systems.
- y) Significant interference with normal control of the aircraft or degradation of flying qualities.
- z) Inability to achieve the intended aircraft configuration for any flight phase (for example: landing gear and its doors, flaps, stabiliser, slats etc.)
- aa) Significant loss of braking action.
- bb) Leakage of fuel which resulted in major loss, fire hazard or significant contamination.
- cc) Malfunction or defects of the fuel jettisoning system which resulted in inadvertent loss of significant quantity, fire hazard, hazardous contamination of aircraft equipment or inability to jettison fuel.
- dd) Fuel system malfunctions or defects which had a significant effect on fuel supply and/or distribution.
- ee) Leakage of hydraulic fluids, oil or other fluids which resulted in a fire hazard or possible hazardous contamination of aircraft equipment or structure.
- ff) Operation of any primary warning system associated with aircraft systems or equipment unless:
- i. The crew conclusively established that the indication was false at the time it occurred, or
 - ii. The indication was confirmed as false immediately after landing provided that in either case the false warning did not result in difficulty, or a hazard arising from the crew response to the warning.

4.1.8 Structures

The following should be reported by Flight Crew or Maintenance Staff:

- a) Any damage or deterioration (i.e. fractures, cracks, corrosion, delamination, disbanding etc.) resulting from any cause to:
 - i. primary structure or a principal structural element (as defined in the manufacturer's Repair Manual) where such damage or deterioration exceeds

- allowable limits specified in the Repair Manual and requires a repair or complete or partial replacement of the element; or
 - ii. Secondary structure which consequently has, or may have endangered the aircraft.
- b) Any damage or deterioration (as above) found as a result of compliance with an Airworthiness Directive or other mandatory instruction issued by a Regulatory Authority, when:
- i. It is detected for the first time by each operator or organisation implementing compliance; or
 - ii. on any subsequent compliance where it exceeds the permissible limits quoted in the instruction and/or published repair/rectification procedures are not available. For example, a report is required if the condition found necessitates a request to the Design Authority or Regulatory Authority for an extension of limits and/or special repair/rectification schemes or procedures; or
 - iii. separation from the aircraft in flight of any part of the aircraft.

4.1.9 Engines – all aircraft types

The following should be reported by Flight Crew or Maintenance Staff:

- a) Flameout, shutdown or significant malfunction of any engine when:
- i. Standard operating procedures, drills etc. could not be satisfactorily accomplished or inability, by use of normal procedures, to shut down an engine or to control power, thrust, rpm or a significant overspeed incident.
 - ii. Significant failures or defects of a propeller or rotor
 - iii. Significant overspeed or inability, by normal procedures, to control speed or pitch of a propeller or rotor.
 - iv. Inability, by normal procedures, to feather or unfeather a propeller.

4.1.10 Air Traffic Control Services

The following should be reported by Flight Crew, ATCOs or Ground Ops Support Staff as appropriate:

- a) Provision of significantly incorrect, inadequate or misleading information from any ground sources, e.g. ATC, ATIS, Meteorological Services, maps, charts, manuals, runway condition, etc.
- b) Provision of less than prescribed terrain clearance.
- c) Provision of incorrect altimeter setting.
- d) Misidentification of aircraft by an ATCO or radar operator.
- e) Incorrect transmission, receipt or interpretation of significant messages.

- f) Airprox and any occurrence in which separation between aircraft is less than that prescribed for the situation.
- g) Non-compliance with prescribed let-down or departure procedures or any ATC/ATM instruction.
- h) Declaration of an emergency ('Mayday' or 'Pan') by an aircraft.
- i) Unauthorised infringement of any form of regulated airspace.
- j) Unauthorised or illegal RTF transmissions.
- k) Declaration of an ACAS Resolution Advisory by an aircraft.
- l) Prolonged loss of communications with ATS or ATM unit.
- m) Intentional deviation from ATC instruction which has or could have endangered the aircraft.
- n) Interference with an aircraft, ATS unit or communications by firearms, flying kites, laser illumination, high powered lights, remotely piloted aircraft systems, model aircraft or by similar means.
- o) Aircraft or vehicle failure to follow clearance, instruction or restriction while operating on the movement area of an aerodrome.

4.1.11 Navigation and Communications Equipment

The failure or malfunction of, or any defect in navigation and communications equipment is to be reported by flight crew, air traffic services and aeronautical telecommunications services personnel as appropriate. The following occurrences are to be reported:

- a) Total failure of navigation system or subsystem being used by an aircraft.
- b) Total failure of communications system.
- c) Total failure of radar system or subsystem.
- d) Failure or unplanned shutdown of an operational ATC computer system requiring reversion to manual back up and resulting in disruption to the normal flow of air traffic.
- e) Significant malfunction or deterioration of service.
- f) Significant deficiency in maintenance.

- g) Repetitive events of a specific type of occurrence which in isolation may not be considered reportable (e.g. excessive monitor alarms).
- h) Provision of erroneous information in the absence of any alarms.

4.1.12 Airfield and Airfield Facilities

The following types of airfield related occurrence should be reported by flight crew, air traffic services and aerodrome operations staff as appropriate:

- a) Failure or degraded signage/markings or significant malfunction of airfield lighting.
- b) Major failure or significant deterioration of surfaces of runways or aircraft manoeuvring areas.
- c) Runways or aircraft manoeuvring areas obstructed by aircraft, vehicles or foreign objects, resulting in a hazardous or potentially hazardous situation.
- d) Runway, FATO or taxiway incursions/excursions.
- e) Presence of obstacles on the aerodrome or in the vicinity of the aerodrome which are not published in the AIP or by NOTAM and/ or are not marked or lighted properly.
- f) Collision between a moving aircraft and any other aircraft, vehicle or other ground object.
- g) Pushback, power-back or taxi interference caused by vehicle, equipment or person.
- h) Aircraft departing from a paved surface which results in, or could have resulted in a significant hazard.
- i) Jet or prop blast incidents resulting in significant damage or serious injury.
- j) Significant spillage of fuel on airfield ramps.
- k) Rescue and firefighting services not available in accordance with applicable requirements.

4.1.13 **Passengers/Baggage/Cargo**

The following types of occurrence are to be reported by flight Crew and/or ground support personnel as appropriate:

- a) Difficulty in controlling intoxicated, violent or armed passengers.
- b) Incorrect loading of passengers, baggage or cargo, likely to have a significant effect on aircraft weight and balance.
- c) Incorrect stowage of baggage or cargo likely in any way to hazard the aircraft, its equipment or occupants or to impede emergency evacuation (includes hand baggage).
- d) Inadequate storing of cargo containers or substantial items of cargo.
- e) Significant contamination of aircraft structure, systems or equipment arising from the carriage of baggage or cargo.
- f) Presence of a stowaway(s).
- g) Passengers or unauthorised persons left unsupervised on the apron.

4.1.14 **Aircraft Ground Handling or Servicing**

The following types of occurrence are to be reported by flight Crew and/or ground support personnel as appropriate:

- a) Loading of incorrect fuel quantities likely to have a significant effect on aircraft endurance, performance, balance or structural strength.
- b) Loading of contaminated or incorrect type of fuel or other essential aircraft fluids (includes oxygen and potable water).
- c) Significant spillage of fuel.
- d) Failure, malfunction or defect of ground equipment used for test/check of aircraft systems and equipment when the required routine inspection and test procedures did not clearly identify the problem before safe operation of the aircraft could have been affected.
- e) Failure, malfunction or defect of ground equipment used for ground handling, resulting in damage or potential damage to the aircraft.
- f) Non-compliance or significant errors in compliance with required maintenance/ servicing procedures.
- g) Missing, incorrect or inadequate de-icing or anti-icing treatment.

4.1.15 **Ground Staff Incapacitation**

A report is to be submitted when an aircraft is, or could have been, endangered by the impairment of any member of ground staff including but not limited to:

- a) Aircraft Maintenance Staff;
- b) Air Traffic Control Staff;
- c) Air Traffic Services maintenance Staff;
- d) Airfield Support Staff.

4.1.16 **Other Occurrences**

The following types of occurrence are to be reported as appropriate:

- a) Fire, smoke, explosions in the aerodrome facilities, vicinities and equipment which has, or could have endangered an aircraft, its occupants or any other person.
- b) Any fatigue impacting on the ability of staff to perform duties safely or other human performance occurrence that contributed to or could have contributed to an accident or incident.
- c) Absence of reporting of a significant change in aerodrome operating conditions which has or could have endangered an aircraft, its occupants or any other person.
- d) Any other occurrence of any type considered to have endangered, or which might have endangered, the aircraft or its occupants is to be reported.

SECTION 5

REPORTING PROCESS

For the system to be effective in improving flight safety, it is essential that all events are reported, that they are reported quickly using the standard format, including as much relevant detail as is possible. All Mandatory Occurrences are to be reported to the Civil Aviation Authority as soon as possible, with a copy being sent to the employers, unless the need for confidentiality is considered essential.

It is important in the narrative of a report to clearly describe what occurred, while avoiding the use of common jargon. Follow the time sequence of the occurrence including all relevant facts without making assumptions. Avoid using names in the narrative, instead make use of titles and roles, e.g. "Ramp Agent 1", "Captain", "Passenger 3" etc. Use of abbreviations are permitted when they are written longhand in the first instance, e.g., Pilot in Command (PIC) or Air Traffic Control Officer (ATCO).

Wherever possible, the report should be supported by the results of subsequent investigation and details of any remedial action taken by the reporter's organisation as to avoid a recurrence. Prior to submission of the report, seek a peer review of the report to ensure it contains all relevant information and can be interpreted as intended.

5.1 Air Traffic Control Occurrence

A report detailing an ATC Occurrence shall include:

- a) Weather/METAR at the time of the occurrence;
- b) Commencement time of the period of duty;
- c) Time, if any, since the last break in operational duty;
- d) Aerodrome/Airspace status, i.e. Work in Progress, NOTAMS regarding restricted airspace etc. ;
- e) Traffic density (low, medium, high);
- f) Staffing levels;
- g) Equipment unserviceability (if any);
- h) Training in progress.

5.2 Aircraft Engineering/Maintenance Occurrence

A report detailing an Engineering/Maintenance Occurrence shall include:

- a) aircraft or component times in the units most relevant to the occurrence or to the component function, e.g. flying hours/cycles/landings, or a combination of each (total times and times since overhaul, repair or inspection);

- b) Provide any relevant information or procedures (e.g. Mandatory Inspections, Airworthiness Directives, crew drills, etc.) issued to control or avoid such or similar occurrences. When such information or procedures exist, the provision of the appropriate reference numbers and the compliance status of the aircraft, equipment, facility or organisation is important for assessing the occurrence and disseminating the details to others.
- c) Manufacturers should be advised, as providing this information to them is an important aspect of any occurrence report relating to a specific aircraft type or item of aircraft equipment. Wherever possible indicate in the report this has been done, as this may reduce the need for follow-up activity. The date sent and the content of this information should be entered, together with any requests for strip/repair data.
- d) Reporters should consider whether other agencies, such as Aerodrome Authorities, ATS etc, should be notified of occurrences if they have a direct interest.

5.3 Bird Strike/Wildlife Strike Occurrence

Any occurrence of a damaging wildlife strike shall be reported.

- a) In cases where a bird strike causes damage to an aircraft or has an operational impact and which falls within the definition of a 'reportable occurrence', an occurrence report shall be raised in addition to a bird strike report.
- b) Aerodromes operate wildlife hazard management programmes and bird strike reports are a key element. Knowing the time, location, numbers and species can assist greatly in tackling any local habitat issues or activities that may increase the wild life strike risks.
- c) Reasonable efforts should be made to identify the species involved in any strike. This greatly increases the value of the report by allowing the aerodrome to investigate, or trend reports to identify any attractants and habits. This can be done from just one feather. Care should be taken when taking any samples and cleaning up after any strike and appropriate personal protective equipment should be used. This not only protects those conducting this work, but it also avoids contamination of any samples.
- d) Samples should not be sent away for identification unless this has been agreed with the recipient and the samples are properly packaged in compliance with applicable dangerous goods regulations.
- e) Aircraft operators should also ensure their reports are sent to the aerodrome of the occurrence.
- f) If a single occurrence is reported multiple times, these will be combined into one report.
- g) Any reports will be forwarded to the ICAO Bird Strike Information System (IBIS).
- h) Following any bird strike an aircraft operator may be required to provide further information for the ICAO IBIS.

5.4 Dangerous Goods Occurrence

Any Dangerous Goods Occurrence shall be reported, irrespective of whether the dangerous goods are contained in cargo, mail or baggage.

- a) A dangerous goods accident is an occurrence associated with and related to the transport of dangerous goods which results in fatal or serious injury to a person or major property damage. For this purpose, serious injury is an injury which is sustained by a person in an accident and which:
 - i. requires hospitalisation for more than 48 hours, commencing within 7 days from the date the injury was received; or
 - ii. results in a fracture of any bones (except simple fractures of fingers, toes or nose); or
 - iii. involves lacerations which cause severe haemorrhage, nerve, muscle or tendon damage; or
 - iv. involves injury to any internal organ; or
 - v. involves second or third-degree burns, or any burns affecting more than 5% of the body surface; or
 - vi. involves verified exposure to infectious substances or injurious radiation.
 - vii. A dangerous goods accident may also be an aircraft accident in which case the normal procedure for reporting of air accidents must be followed.
- b) A dangerous goods incident (aside from a dangerous goods accident) is an occurrence associated with and related to the transport of dangerous goods, not necessarily occurring on board an aircraft, which results in injury to a person, property damage, fire, breakage, spillage, leakage of fluid or radiation or other evidence that the integrity of the packaging has not been maintained. Any occurrence relating to the transport of dangerous goods which seriously jeopardises the aircraft or its occupants is also deemed to constitute a dangerous goods incident.
- c) A report should be submitted when undeclared or mis-declared dangerous goods are discovered in cargo, mail or unaccompanied baggage or when accompanied baggage contains dangerous goods which passengers or crew are not permitted to take on aircraft.
- d) An initial report, which may be made by any means, must be despatched within 72 hours of the occurrence, even if all the information is not available, to the:
 - i. Authority of the State of the operator; and
 - ii. The State in which the incident occurred, (unless exceptional circumstances prevent this).
- e) Copies of all relevant documents and any photographs should accompany any report.
- f) Completed reports must be sent to the DCA.
- g) Providing it is safe to do so, all dangerous goods, packaging, documents, etc, relating to the occurrence must be retained until after the initial report has been sent to the DCA and they have indicated whether or not these should continue to be retained.

5.5 Reporting Timescales

All Mandatory Occurrences are to be reported to the Civil Aviation Authority as soon as possible but no later than 72 hours after the event. However, when the circumstances of an occurrence are judged to be particularly hazardous, the CAA is to be informed of the essential details immediately by telephone – see 6.2 below.

5.6 Reporting Format

The following forms are to be used when submitting an Occurrence Report

- | | | |
|--------------------------------------|----------------|--------------------|
| a.) Mandatory Occurrence Reports | Form OT 1673 | (see Appendix A-1) |
| b.) Air Traffic Control Occurrences | Form OT 1261 | (see Appendix A-2) |
| c.) ATS Engineering Occurrences | Form OT 1262 | (see Appendix A-3) |
| d.) Bird/Wildlife Strike Occurrences | Form OT 1282 | (see Appendix A-4) |
| e.) Dangerous Goods Occurrences | Form OT DGOF 1 | (see Appendix A-5) |

SECTION 6

METHOD OF SUBMISSION

6.1 In order to meet the requirement to report within 72 hours of the occurrence, reports can be submitted via the following means:

- By e-mail to mor@caacayman.com
- By fax to 1-345-949-0761
- By hand, to the CAACI headquarters at 205 Owen Roberts Drive, Grand Cayman.

6.2 When circumstances of an occurrence are judged to be particularly hazardous, the CAACI is to be informed of the essential details by telephone. To assist this process, the following numbers are provided.

- CAACI Headquarters 1-345-949-7811, Mo-Fri 08:30-17:30 local (UTC-5)
- Director-General of Civil Aviation: Mobile 1-345-916-6285 (24 hours)
- Director of Air Safety Regulation: Mobile 1-345-916-5228 (24 hours)
- Director of Air Navigation Services Regulation: Mobile 1-345-916-6532 (24 hours)

6.3 Receipt Mandatory Reports

6.3.1 On receipt of an Occurrence Report, the CAACI will acknowledge receipt of the submission and will enter it into its MOR database. A copy of the submission will be then forwarded to the appropriate department (Air Navigation Services, Airworthiness, Flight Operations or Dangerous Goods) for action as appropriate. The specialist inspector will:

- a) Evaluate the report;
- b) Determine which occurrences require investigation by the CAACI in order to discharge the Authority's functions and responsibilities;
- c) Make such checks, as it considers necessary to ensure that subject organisations are taking any necessary remedial and preventative action in relation to reported occurrences;
- d) Where appropriate, take such steps as are open to it to persuade foreign aviation authorities and organizations to take any necessary remedial and preventative action in relation to reported occurrences;
- e) Assess and analyse the information reported to it in order to detect safety problems which may not be apparent to individual reporters;
- f) Make available the information derived from occurrence reports in accordance with the relevant CAA Regulations, Overseas Territories Aviation Requirements (OTARs) Part 13 and Overseas Territories Aviation Circulars (OTACs);
- g) Make available the results of studies of the data provided to those who will use them for the benefit of air safety;
- h) Where appropriate, issue specific advice or instructions to particular sections of the industry;
- i) Where appropriate, make recommendations in relation to legislation, requirements or guidance.

It may be that, in the inspector's opinion the submission should actually be categorized as an Accident or an Incident rather than an occurrence. In this eventuality the inspector will refer the item back to the originator for further evaluation.

6.5 Confidential Reports

6.5.1 Confidential Reports will be directed to, and reviewed by, the appropriate CAACI occurrence investigator, who will:

- a) Initiate a confidential and anonymous record.
- b) Contact the reporter by telephone, if possible, to acknowledge receipt, to discuss the implications of the report and to obtain further information if necessary. (During this conversation a course of action will be agreed).
- c) After discussions with the reporter have been completed, destroy the original report by shredding and produce a sanitized version for the data base.
- d) Ensure that the report is processed as an occurrence but annotated CONFIDENTIAL as a reminder that it and its outcome are potentially sensitive.
- e) Discuss with the D-GCA and the reporter any proposed action in advance of it being taken to ensure that the identity of the reporter remains protected.

6.6 Occurrence Closed on Receipt

6.6.1 A considerable number of occurrences reported to the CAA, while meeting the criteria for a reportable occurrence, have been adequately dealt with by the reporting organization. Thus, there is no justification for further investigation by the CAA, although details of the occurrence and action taken do provide valuable information for dissemination and storage purposes. Reports judged to be in this category are Closed on Receipt, the principal justification for closure being that it is evident from the report that existing requirements, procedures, documentation, etc., coupled with the reporter's action, have adequately controlled the identified hazard.

6.6.2 The ability of the CAA to close an occurrence on receipt and thus avoid the need for further investigation is very much dependent upon the quality of the information provided in the report and, specifically, information on the action taken by the reporting organization to control the situation.

6.7 Reports Outside the Remit of the MOR Scheme

6.7.1 When reporting to the CAACI through a company system, the company should normally filter out any reports, which do not meet the desired criteria for a reportable occurrence. However, when reports are received by the CAACI, which are judged to fall within this category, basic details are entered into the database. Details are also placed on a separate listing which is circulated to the originators to advise them of the decision and to provide the opportunity to question it. When a report in this category is considered to provide supplementary supporting data for a reportable occurrence, it will be treated as the latter.

6.7.2 The Classification by the CAACI of a report as 'non-reportable' does not mean that it is considered insignificant or unimportant, but indicates that the routine monitoring and control procedures are considered adequate to cater for any required follow-up, investigation and initiation of action for the particular occurrence. It is important that this point be made known to, and appreciated by, all individuals with responsibility for initiating occurrence reports.

APPENDIX A-1

Overseas Territory

Occurrence Report Form – OT1673

NOTES: (i) See Instructions and Explanatory Notes in OTAR Part 13 and OT Aviation Circular 13-1.

OT Occurrence Number

(ii) When completed, please send to the Director of Civil Aviation.

Aircraft Type & Series	Registration	Operator	Date	Location/Position/Rwy	Time (UTC)	Day/Night/Twilight
------------------------	--------------	----------	------	-----------------------	------------	--------------------

FLIGHT CREW REPORT

Flight No.	Route from	Route to	FL/Alt/Ht (ft)	IAS (kts)	EDTO? Yes/No
------------	------------	----------	----------------	-----------	-----------------

NATURE OF FLIGHT

PAX	Freight	Positioning	Ferry	Test	Training	Business	Agricultural	Survey	Pleasure	Club	Private	Parachuting	Towing	Other
-----	---------	-------------	-------	------	----------	----------	--------------	--------	----------	------	---------	-------------	--------	-------

FLIGHT PHASE

Parked	Taxiing	Take-Off	Initial Climb	Climb	Cruise	Descent	Holding	Approach	Landing	Circuit	Aerobatics	Hover
--------	---------	----------	---------------	-------	--------	---------	---------	----------	---------	---------	------------	-------

ENVIRONMENT

Wind		Cloud			Precipitation				Other meteorological conditions				Runway state				
Dir ⁿ	Spd	Type	Ht	8 th	Rain	Snow	Sleet	Hail	Vis	Icing	Turbulence	OAT	Dry	Wet	Ice	Snow	Slush
	kts		ft		Light/Mod/Heavy				Km/m	Light/Mod/ Severe	Light/Mod/ Severe	°c	Category		I	II	III

Brief Title

Description of Occurrence

Continue on back as necessary

Any procedures, manuals, pubs (eg AIC, AD, SB etc) directly relevant to occurrence and (when appropriate) compliance state of aircraft, equipment or documentation.

GROUND STAFF REPORT

A/C Constructors No	Engine Type/Series	EDTO Approved	Ground Phase		A/C below 5700kg-Maintenance Organisation
		Yes/No	Maintenance		Tel No
			Ground Handling		
			Unattended		
Component Part	Manufacturer	Part No	Serial No	Manual Ref	Component OH/Repair Organisation

OT 1673 (Mar 2005)

Description of occurrence continued

Organisation	Name	Position	Signature	Date
If report is voluntary (ie not subject to mandatory requirements), can the information be published in the interests of safety? Yes/No	Address and Tel No. (if reporter wishes to be contacted privately)		<p>NOTE 1: If additional information, as below, is available please provide.</p> <p>NOTE 2: If the occurrence is related to a design or manufacturing deficiency, the manufacturer should also be advised promptly.</p> <p>NOTE 3: Where applicable, a report of this incident should be forwarded directly to other agencies involved, e.g. Aerodrome Authority, ATC agency.</p>	

Reporting Organisation – Report (Assessments/remedial action//preventative action/suggestions)										
Utilisation - aircraft				Utilisation - engine/component				Manufacturer advised		
	Total	Since OH/repair	Since inspection		Total	Since OH/repair	Since inspection	Yes/No		
Hours				Hours						
Cycles				Cycles						
Landings				Landings						
Organisation		Tel/fax		Reporter's ref.	Report		Reporters investigation		FDR data retained	
					New	Supp	Nil	Closed	Open	Yes/No
				Signature						
Name		Position								

OT 1673 (Mar 2005)

ADVICE ON THE COMPLETION OF THE OCCURRENCE REPORT FORM - OT1673

1.1 Reporters must, wherever possible, complete all sections of the Form where the information requested is relevant to a specific occurrence. (Relevance is the important aspect and where any of the information requested is clearly not relevant it may be omitted, e.g. weather details when weather is not a factor.)

1.2 The individual 'box' headings for all items of data are mostly self-explanatory, and the Form comprises a combination of blank boxes for entry of data and boxes listing a number of alternatives: the reporter should annotate the appropriate item.

1.3 The Form is arranged so that entries above **Description of Occurrence** apply to an in-flight occurrence: these parts of the Form are headed FLIGHT CREW REPORT.

1.4 Below the **Description of Occurrence**, are boxes for the GROUND STAFF REPORT and, on the back of the Form, the REPORTING ORGANISATION REPORT.

1.5 Where reports of either in-flight or ground occurrences are channelled to the Governor via an organisation, any relevant information which is not readily available to the person preparing the initial report should, wherever possible, be added by the person submitting the report on behalf of the organisation. Where this is not possible within the required timescale, the outstanding information should be submitted as a supplementary report.

1.6 Evaluation and processing of reports is greatly facilitated if the reports are typewritten but if this is not possible the report should be completed in black ink.

1.7 **EDTO Operations.** Operators holding approval for this type of operation should, when submitting any occurrence report on the aircraft type(s) subject to this approval, always complete the appropriate 'box' provided. Those operators not using OT1673, should prominently annotate all reports 'EDTO'.

2 The following are brief notes against each block:

2.1 **Aircraft Type, Series and Operator.** To be completed for all occurrences involving an aircraft. Provides basic identification data.

2.2 **Flight and Weather Details.** Relates to in-flight occurrences only. Provides flight data in support of the narrative.

2.2.1 Nature of flight descriptions listed on the report are defined as follows:

Pax Flight under a Scheduled or non-scheduled Air Transport Licence or an exemption.

Freight Flight under an Air Transport Licence or an exemption.

Positioning Positioning without revenue load to/from point of departure/arrival of revenue flight.

Ferry Ferry for technical reasons without revenue load, e.g. 3-engine ferry to maintenance base.

Test Check of serviceability, issue or renewal of C of A, experimental or development flying.

Training Training course or examination for any standard of licence or rating, type training, continuation training.

Business Carriage of company staff in aircraft owned or hired by a company.

Agricultural Aerial application, crop spraying, top dressing, etc.

Survey Aerial photographic or mapping survey.

Pleasure Commercial pleasure flying. e.g. sightseeing.

Club/Group Flying other than training by members in a club or group aircraft.

Private Other than club/group flying or training.

Parachuting Carriage of parachutists for the purpose of parachuting.

Towing Towing of gliders, banners, etc.

Other eg Ambulance- Patient transport, emergency medical service, accident response; Police - aircraft operating on a Police Aircraft Operating Certificate.

2.2.2. Flight phases listed on the report are defined as follows:

Parked On ramp with flight crew on board.

Taxying From commencement of moving (including pushback) to start of take-off run or from completion of landing run to terminal gate or point of stopping engines, whichever occurs later.

Take-off Start of take-off run to lift-off.

Init Climb Lift-off to a height of 1500 ft or aircraft 'clean-up' whichever occurs last.

Climb End of initial climb to top of climb.

Cruise Top of climb to top of descent including en-route climb or descent.

Descent Top of descent to a height of 1500 ft.

Holding Flying to a set procedure at a point which intentionally delays the aircraft, usually according to a set procedure at a 'fix'.

Approach A height of 1500 ft to threshold.

Landing Threshold to end of landing run.

Circuit Flying to a set pattern in the vicinity of an airfield with intention of landing.

Aerobatics Deliberate aerobatic manoeuvres, including spinning.

Hover Airborne and stationary.

3 Description of Occurrence – relates to all occurrences

3.1 This should be a clear, concise description of the occurrence, preferably starting with a brief title indicating the type of occurrence. The description should contain details of what happened or what was found; what immediate action was taken to contain the situation; any additional information, comments or recommendations which might assist subsequent assessment of the report and/or investigation.

3.2 Wherever possible the description should be supported by the results of subsequent investigation and details of any action taken by the reporter's organisation to avoid a recurrence.

4 Ground Staff/Reporting Organisation

Relates to both in-flight and ground occurrences. Provides maintenance/engineering data in support of the description of occurrence.

4.1 In the case of reports submitted from a component manufacturer or overhaul/repair agency, the information in this block will provide the primary identification data for the occurrence. Nevertheless, if any of the information contained in paragraph 2 is available and is relevant it should also be provided.

4.2 The ground phases listed on the Form are defined as follows:

Maintenance Aircraft on maintenance, overhaul or repair or at the manufacturer's facility.

Ground Handling Movements of aircraft on the ground other than as in 'Taxying'.

Unattended Standing, with no personnel on board.

4.2.1 Give aircraft or component times in the units most relevant to the occurrence or to the component function, e.g. flying hours/cycles/landings, or a combination of each. Provision is made for total times and times since overhaul, repair or inspection.

4.2.2 Provide information which allows for identifying the existence of any such information or procedures (e.g. Mandatory Inspections, Airworthiness Directives, crew drills, etc.) issued to

control or avoid such or similar occurrences. When such information or procedures exist, the provision of the appropriate reference numbers and the compliance status of the aircraft, equipment, facility or organisation is important for assessing the occurrence and disseminating the details to others.

4.2.3 Manufacturer should be advised as providing this information is an important aspect of any occurrence report relating to a specific aircraft type or item of aircraft equipment. Wherever possible such information should be provided as this can reduce the need for follow-up activity. The date sent and the content of this information should be entered, together with any requests for strip/ repair data.

4.2.4 Reporters should consider whether other agencies, such as Aerodrome Authorities, ATS etc, should be notified of occurrences in which they have a direct interest.

5 Non-Technical Details - Relevant to all occurrences

5.1 Provision is made on the form for important non-technical information, identification of the reporter and/or reporting organisation, whether the report is mandatory or voluntary and whether the report may be disseminated in the interests of air safety.

5.2 The provision of the reporter's address and telephone number is optional and is intended for an individual who may wish to be contacted by this means rather than at his place of employment.

6 Confidential Reports

A report may be submitted confidentially. Please clearly annotate the top of the form 'CONFIDENTIAL'. The second copy need not be forwarded to local management. The Governor will respect the confidentiality.

APPENDIX A-2

Original to DCA

Overseas Territory

Make additional photocopies as required

ATC Occurrence Report Form – OT1261

OT Occurrence Number

- NOTES (i) See Instructions and Explanatory Notes in OTAR Part 13 and OT Aviation Circular 13-1.
(ii) When completed, please send to the Director of Civil Aviation.
(iii) Circle or fill-in boxes 1-55 as required. PLEASE USE BLACK INK

1 Category Of Occurrence ACCIDENT								INCIDENT		AIRPROX	
2 Occurrence Position			3 FL/Alt/Ht		4 Date		5 Time – UTC		6 Day/Night		
OPERATOR		CALLSIGN/REGN		TYPE	FROM	TO	SSR	MODE C	IFR/VFR/SVFR		
7		8		9	10	11	12	13	14		
15		16		17	18	19	20	21	22		
23		24		25	26	27	28	29	30		
31 RTF Frequencies			32 Radar Equipment		33 Equipment Unserviceabilities			34 QNH	35 Runway in use		
36 Class & type of airspace A C E G B D F				CTR/CTA/TMA/AWY/UAR/ ATZ/LIP/EIP/Other		37 Type of ATC service Control/Radar/ADC/ GMC/Approach/Area/PAS/DIS/EIS/ALP			38 SID/STAR/Route		
39 Was prescribed separation lost?		40 Min Sepn Horiz/Vert		41 ACAS/TCAS Alert		42 Traffic info given by ATC? Yes/No		43 Avoiding action given by ATC? Yes/No			
44 Brief title/summary											
45 Narrative - use a diagram if necessary (Aerodromes submit weather report including local and regional QNH if applicable)											
46 Name		47 On duty as		48 ATS Unit		49 Time since last break	50 Start time of shift (UTC)	51 Radar recordings held? Yes/No			
52 RTF recordings held		53 List other agencies advised OT 1262 action?			54 Sign/Date			55 Address/Telephone			

ADVICE ON THE COMPLETION OF THE ATC MOR FORM OT1261

USE AND EXPLANATION OF TERMS IN BOX 1

EXPLANATORY NOTES

*GENERAL: Complete **ALL** boxes. If **NOT APPLICABLE** use N/A, or if **NOT KNOWN** use N/K. Avoid use of technical jargon, hieroglyphics and abbreviations.*

BOX 1: Should the Occurrence involve more than one category circle both categories.

BOXES 7 to 14} These boxes cater for up to three involved aircraft. BOXES 15 to 20} Use the narrative for additional aircraft.

BOXES 23 to 30}

BOX 36: More than one element **could** be circled (e.g. CLASS A and AWY).

BOX 37: More than one element **must** be circled (eg CONTROL, RADAR and AREA).

BOX 39: **Must** be completed if prescribed separation was required to be achieved.

BOX 40: Should contain your estimate, where possible, of the minimum separation achieved.

BOX 44: This box should contain a simple, one-line statement summarising the Occurrence, ie 'Coordination problems', 'Level bust', etc.

BOX 51/52: Relevant RTF and Radar recordings can be vitally important to subsequent investigations. Retention action should be considered for all reports.

BOX 53: It is important to ensure that any **involved** agency (eg Pilot, Operator, ATSU) is informed of the reporting action.

REPORTING TIME

Reports must be despatched within 72 hours of an occurrence.

CONFIDENTIAL REPORTS

A report may be submitted confidentially. Please clearly annotate the top of the form 'CONFIDENTIAL'. The second copy need not be forwarded to local management.

BOXES 46 to 55 should be completed. The Governor will respect the confidentiality.

APPENDIX A-3

Original to DCA

Make additional photocopies as required

Overseas Territory

ATS Engineering Occurrence Form – OT1262

OT Occurrence Number

- NOTES: (i) See Instructions and Explanatory Notes in OTAR Part 13 and OT Aviation Circular 13-1.
- (ii) When completed, please send to the Director of Civil Aviation.
- (iii) Circle or fill-in boxes 1-25 as required. PLEASE USE BLACK INK

1 Categories of Occurrence				
ACCIDENT HAZARD		INCIDENT	PROCEDURAL	FAILURE
2 Occurrence Location	3 Date <hr style="width: 80%; margin: 0 auto;"/> 4 Time (UTC)	5 Duration	6 ATS Facility RTF/Radar//Nav-aid/Other:	7 Service Affected Control/Radar/GMC/ Approach/Area/ Aerodrome/Information/Air Navigation
8 Equipment Type/Manufacturer		9 Frequency		10 Callsign
11 Equipment Location		12 Facility Configuration In/out-of-service, Main-Mode/Standby/Test Channel A(1)/B(2)/Other: External Information Source:		13 Equipment Status Planned/Unplanned Outage, Serviceable/Degradation/Unserviceable, Routine/Corrective Maintenance, Modification/Replacement
14 Previous Defects/ Occurrences? Yes/No/Not Known		15 RTF Frequencies/ Radar Source		
16 Narrative - use a diagram if necessary (attach copies of all relevant information)				

continue on additional sheet if necessary

17 Recordings impounded? Yes/No – Details:	18 Can the information be disseminated in the interests of flight safety? Yes/No	20 Name	23 Address &Telephone number (if the reporter wishes to be contacted privately)
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ADVICE ON THE COMPLETION OF THE MOR FORM OT1262

USE AND EXPLANATION OF TERMS IN BOX 1

Circle one or more category of Occurrence.

ACCIDENT: A reportable accident.

INCIDENT: A reportable occurrence (see 'General').

PROCEDURAL: A reportable occurrence attributed to procedural aspects including operation and maintenance of any facility on the ground.

FAILURE: A reportable occurrence attributed to any defect in or malfunctioning of any facility on the ground

HAZARD: A potential accident, incident or failure.

General: A reportable occurrence is defined in Part 13 and the AN (OT) O.

EXPLANATORY NOTES

GENERAL: Complete all boxes. If NOT APPLICABLE use N/A, or if NOT KNOWN use N/K. Jargon and uncommon abbreviations are to be avoided.

BOX 1: Location of Occurrence.
BOX 5: The period over which the Occurrence condition existed. Instantaneous, indefinite or unknown classifications must be identified. BOX 6: The facility type **must** be circled or stated.

BOX 7: More than one element **could** be circled.

DETAILS OF THE EQUIPMENT ATTRIBUTING TO THE OCCURRENCE

BOX 9: **Frequency** (Radio) appropriate to equipment and occurrence, if applicable.

BOX 10: **Callsign** - Navaid identification, SSR code or RTF callsign.

BOX 11: **Location** - identify station or other physical location of equipment.

BOX 12: More than one element **could** be identified. Additional channels, diversity, etc must be stated where applicable. External information source completed with equipment and/or the station/ location.

BOX 13: More than one element **could** be circled. The categories apply to the subject equipment at the time of the Occurrence.

BOX 15: Identification of appropriate RTF frequencies/radar source is necessary to secure recordings which may be vital to subsequent investigations.

BOX 17: If records impounded, state source, effective date and retaining station.

BOX 19: Other fault reporting action, including contact with agencies, must be stated. It is important to ensure that any involved agency is informed of the reporting action. Normal, immediate fault action takes precedence over MOR reporting action.

CONFIDENTIAL REPORTS

A report may be submitted confidentially. Please clearly annotate the top of the form 'CONFIDENTIAL'. The second copy need not be forwarded to local management. BOXES 20 to 25 should be completed. The Governor will respect the confidentiality.

APPENDIX A-4

Overseas Territory

BIRDSTRIKE OCCURRENCE FORM - OT1282

NOTE: Electronic submission of forms is preferred at the website: <http://www.caa.co.uk/birdstrikereporting>

To be completed on discovering evidence that a birdstrike has, or may have, occurred.

To be completed for all birdstrikes, whether or not damage has been caused.

Aircraft Operator.....

Aircraft type & series.....

Aircraft reg.

Date (dd/mm/yy)/...../.....

Time (local):.....Hrs (24 hr)

Dawn Day Dusk Night

Aerodrome

Runway in use

Height (agl) ft

Speed (IAS)kts

Position (if en route)

Phase of Flight

Taxi	<input type="checkbox"/>	Descent	<input type="checkbox"/>
Take-off run	<input type="checkbox"/>	Approach	<input type="checkbox"/>
Climb	<input type="checkbox"/>	Landing roll	<input type="checkbox"/>
En Route	<input type="checkbox"/>	Ground checks	<input type="checkbox"/>

Part(s) of Aircraft Struck damaged*
(describe)

Radome	<input type="checkbox"/>	<input type="checkbox"/>
Windshield	<input type="checkbox"/>	<input type="checkbox"/>
Nose (if not one of the above)	<input type="checkbox"/>	<input type="checkbox"/>
Engine nos:		
1	<input type="checkbox"/>	<input type="checkbox"/>
2	<input type="checkbox"/>	<input type="checkbox"/>
3	<input type="checkbox"/>	<input type="checkbox"/>
4	<input type="checkbox"/>	<input type="checkbox"/>
Propeller	<input type="checkbox"/>	<input type="checkbox"/>
Wing/rotor (inc high lift devices)	<input type="checkbox"/>	<input type="checkbox"/>
Fuselage	<input type="checkbox"/>	<input type="checkbox"/>
Landing Gear	<input type="checkbox"/>	<input type="checkbox"/>
Tail	<input type="checkbox"/>	<input type="checkbox"/>
Lights	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify*)	<input type="checkbox"/>	<input type="checkbox"/>

Effect on flight

None	<input type="checkbox"/>	Returned	<input type="checkbox"/>
Aborted t/off	<input type="checkbox"/>	Diverted	<input type="checkbox"/>
Other	<input type="checkbox"/>		

Other Reports raised

Mandatory Occurrence Report (MOR)

Other* (specify)

Precipitation:

None Fog Rain Sleet/Snow

Bird Species/description (e.g. Herring gull, Woodpigeon)

Unknown

Number of birds

	seen	struck* (enter actual number if known)
1	<input type="checkbox"/>	<input type="checkbox"/>
2-10	<input type="checkbox"/>	<input type="checkbox"/>
11-100	<input type="checkbox"/>	<input type="checkbox"/>
100+	<input type="checkbox"/>	<input type="checkbox"/>

Pilot warned of birds Yes No

Remarks and other relevant information*:

Reporter Details

Name.....

Employer

Tel no Date

Hard copy to be sent to the Director of Civil Aviation of the Territory concerned if this form has not been electronically submitted.

ADVICE ON THE COMPLETION OF MOR FORM OT1282

OT1282 is solely for the purpose of establishing national and international data on bird strikes. Submitted birdstrike data will be forwarded to the ICAO Bird Strike Information System (IBIS) by the UK CAA.

While the paper form of OT1282 may be used to facilitate the capture of information, it is preferred that the information on OT1282 is submitted electronically. This may be easily achieved at the web address <http://www.caa.co.uk/birdstrikereporting>. If paper copies of OT1282 are sent to the Director of Civil Aviation, the information will simply be submitted to the same web address as above.

Where the species of bird is known but is not listed in the drop-down menu, reporters should insert 'unknown' and include the species in the free-text box. There is no requirement for any bird remains to be forwarded for analysis to the address given.

If a birdstrike causes damage or has an operational impact which falls within the definition of a 'reportable occurrence', an additional occurrence report should be submitted using forms OT1261, OT1262, OT 1673 or equivalents.

APPENDIX A-5

OT Occurrence Number

Dangerous Goods Occurrence Form – OT DGOF1

Original to DCA

Make additional photocopies as required

- NOTES: (i) See Instructions and Explanatory Notes on rear of form.
 (II) When completed, please send to the Director of Civil Aviation.
 (III) Bold text indicates mandatory completion.

1. Operator:		2. Date of occurrence:		3. Local time of occurrence:	
4. Flight date:		5. Flight no:			
6. Departure airport:		7. Destination airport:			
8. Aircraft type:		9. Aircraft registration:			
10. Location of occurrence:		11. Origin of the goods:			
12. Description of the occurrence, including details of injury, damage, etc (if necessary continue on separate page):					
13. Proper shipping name (including the technical name):				14. UN/ID no (when known):	
15. Class/division (when known):	16. Subsidiary risk(s):	17. Packing group	18. Category, (class 7 only)		
19. Type of packaging:	20. Packaging specification marking:	21. No of packages:	22. Quantity (or transport index, if applicable):		
23. Reference no of Air Waybill:					
24. Reference no of courier pouch, baggage tag, or passenger ticket:					
25. Name and address of shipper, agent, passenger, etc:					
26. Other relevant information (including suspected cause, any action taken):					
27. Name and title of person making report:			28. Telephone no:		
29. Company:			30. Reporters reference:		
31. Address:			32. Signature:		
			33. Date:		

NOTES FOR COMPLETION OF OT DGOF1

1. Any type of dangerous goods occurrence must be reported, irrespective of whether the dangerous goods are contained in cargo, mail or baggage.
2. A dangerous goods accident is an occurrence associated with and related to the transport of dangerous goods which results in fatal or serious injury to a person or major property damage. For this purpose serious injury is an injury which is sustained by a person in an accident and which: (a) requires hospitalisation for more than 48 hours, commencing within 7 days from the date the injury was received; or (b) results in a fracture of any bones (except simple fractures of fingers, toes or nose); or (c) involves lacerations which cause severe haemorrhage, nerve, muscle or tendon damage; or (d) involves injury to any internal organ; or (e) involves second or third degree burns, or any burns affecting more than 5% of the body surface; or (f) involves verified exposure to infectious substances or injurious radiation. A dangerous goods accident may also be an aircraft accident; in which case the normal procedure for reporting of air accidents must be followed.
3. A dangerous goods incident is an occurrence, other than a dangerous goods accident, associated with and related to the transport of dangerous goods, not necessarily occurring on board an aircraft, which results in injury to a person, property damage, fire, breakage, spillage, leakage of fluid or radiation or other evidence that the integrity of the packaging has not been maintained. Any occurrence relating to the transport of dangerous goods which seriously jeopardises the aircraft or its occupants is also deemed to constitute a dangerous goods incident.
4. This form should also be used to report any occasion when undeclared or mis-declared dangerous goods are discovered in cargo, mail or unaccompanied baggage or when accompanied baggage contains dangerous goods which passengers or crew are not permitted to take on aircraft.
5. An initial report, which may be made by any means, must be despatched within 72 hours of the occurrence, to the Authority of the State (a) of the operator; and (b) in which the incident occurred, unless exceptional circumstances prevent this. This occurrence report form, duly completed, must be sent as soon as possible, even if all the information is not available.
6. Copies of all relevant documents and any photographs should be attached to this report.
7. Completed reports must be sent to the Department of Civil Aviation.
8. Providing it is safe to do so, all dangerous goods, packaging, documents, etc, relating to the occurrence must be retained until after the initial report has been sent to the Department of Civil Aviation and they have indicated whether or not these should continue to be retained.