Manual of Mandatory Occurrence Reporting

Civil Aviation Authority of the Cayman Islands

Unit 4 Cayman Grand Harbour, P.O. Box 10277 APO, Grand Cayman KY1-1003, Cayman Islands
Tel: (345) 949 7811, Fax: (345) 949 0761
www.caacayman.com

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RECORD OF AMENDMENTS

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1. Purpose

1.1 The purpose of this publication is to satisfy the requirements of ICAO Annex 13, Chapter 8 and provide guidance to aviation personnel for the mandatory reporting of reportable occurrences as prescribed in Article 117 and Regulation 18 of Schedule 14 of the Air Navigation (Overseas Territories) Order (AN(OT)O) for the time being in force.

1.2 The Civil Aviation Authority of the Cayman Islands (CAA) will investigate reportable occurrences and the resultant findings and conclusions will be made available to other organizations.

2. Reporting

2.1 Mandatory Occurrence Reporting (MOR) Forms must be sent to the below address when completed.

Director General of Civil Aviation
Civil Aviation Authority of the Cayman Islands
Unit 4 Cayman Grand Harbour
P.O. Box 10277 APO
Grand Cayman
Cayman Islands

Tel: 345 949 7811
Fax: 345 949 0761
Email: civil.aviation@caacayman.com

2.2 When an MOR Form is not available, the relevant information may be passed in letter form. Should additional information be required, the CAA may send a standard MOR Form to the person initiating the report for completion.

2.3 For those occurrences, which it is considered, include particularly dangerous or potentially dangerous circumstances requiring the immediate passing of information to the CAA, the occurrence report should be emailed or faxed to the fax number or email address in 2.1 above, during normal working hours.

2.4 The following persons can be contacted outside normal operational hours in the event of an emergency.

a) Richard Smith (Director General of Civil Aviation):

i) Mobile: 1 345 916 6285

b) Jeremy Jackson (Director of Air Navigation Services Regulation):

i) Mobile: 1 345 916 6532

c) Ian Scott (Director of Air Safety Regulation):

i) Mobile: 1 345 916 5228

3. The Objectives of the Scheme

3.1 The objectives of the CAA MOR Scheme are as follows:

(a) To ensure that the CAA 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 organizations 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 CAA investigations of occurrence reports is to use the reported information to improve the level of safety and not to attribute blame.

4. Division of Responsibilities

4.1 The existence of the MOR Scheme to achieve the above objectives is not intended to replace or reduce the duties and responsibilities of aviation personnel. The primary responsibility for safety rests with the management of the organizations involved. The CAA responsibility is to provide the regulatory framework within which the industry must work and thereafter to monitor performance to be satisfied that required standards are set and maintained. The MOR Scheme is an established part of the CAA monitoring function and is complementary to the normal day-to-day procedures and systems; it is not intended to duplicate or supersede these.

4.2 It is thus no less incumbent upon organizations:

a) to record occurrences and;

b) in conjunction with the appropriate organization and when necessary the CAA, to investigate occurrences in order to establish the cause sufficiently to devise, promulgate and implement any necessary remedial and preventative action.

4.3 In relation to all reported occurrences, including those raised by its own personnel, the CAA will:

a) evaluate each occurrence report received;

b) decide which occurrences require investigation by the CAA in order to discharge the CAA functions and responsibilities;

c) make such checks, as it considers necessary to ensure that aerodrome operators and air traffic control services are taking any necessary remedial and preventative action in relation to reported occurrences;

d) 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 analyze 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.

5. The Legislation

5.1 Legislation on the CAA MOR Scheme is contained in the AN(OT)O, as amended.

5.2 The requirements for reporting are set out in OTAR Part 13.

5.3 It should be noted that reference must always be made to the AN(OT)O if there is any doubt as to the responsibility for the reporting of an occurrence and to verify the types of occurrence to be reported and the information to be supplied.

6. Applicability

6.1 Category of Aircraft Involved

6.1.1 The AN(OT)O specifies the aircraft covered by the MOR Scheme as:

a) Any public transport aircraft registered in the Territory.

b) Any public transport aircraft not registered in the Territory but operated by the holder of an Air Operator's Certificate (AOC) granted by the Governor;

c) An aircraft registered in the Territory in respect of which there is in force a certificate of airworthiness in any category and which is powered by one or more turbine engines.

6.1.2 In the case of organizations providing a service or facility for aircraft operating over or in the Cayman Islands (e.g. Air Traffic Services, airfields, etc.) any occurrence meeting the required criteria should be reported regardless of the nationality of the aircraft involved.

6.2 Categories of Persons Required to Report

6.2.1 The AN(OT)O also specifies the categories of persons (or organizations) that are required to report occurrences. These include:

a) Operators and commanders of public transport aircraft and turbine powered aircraft.

b) Aerodrome licensees/managers.

c) Air traffic controllers operating in circumstances requiring an air traffic controller's licence are also included, as are

d) Personnel who perform a function connected with the installation, modification, maintenance, repair, overhaul, flight checking or inspection of equipment on the ground used or intended to be used for the purpose of, or in connection with, the provision of an air traffic control service or navigational aid to an aircraft.

e) Persons who repair, maintain and overhaul aircraft related equipment.

6.2.2 It should be understood that while the legislation defines those who have to report, anyone may, in fact, report should they consider it necessary.

6.3 Voluntary Reporting

6.3.1 The CAA encourages voluntary reporting to the same criteria across the whole spectrum of Cayman Islands civil aviation operations. The CAA organization and procedures for processing, recording and disclosing reports do not, therefore, differentiate between voluntary and mandatory reports.

6.4 Items to be Reported

6.4.1 Any person specified in the legislation should report any reportable occurrence of which they have positive knowledge, even though this may not be first hand, unless they have good reason to believe that appropriate details of the occurrence have already been, or will be, reported by someone else.

6.4.2 In deciding whether or not to report an occurrence, two factors must be borne in mind. The first is whether the event meets the definition as specified in the AN(OT)O. A reportable occurrence in relation to an aircraft means:

a) Any incident relating to such an aircraft or any defect in or malfunctioning of such an aircraft or any part or equipment of such an aircraft, being an incident, malfunctioning or defect endangering, or which if not corrected would endanger,
the aircraft, its occupants, or any other person; and

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 such an aircraft, being a defect or malfunctioning endangering, or which if not corrected would endanger, such an aircraft or its occupants.

6.4.3 The second factor to be considered is whether or not the event comes within the terms of the reportable occurrences prescribed in the Civil Aviation Act 1982 (Overseas Territories), as amended.

6.4.4 A report should also be submitted on any occurrence which involves, for example, a defective condition or unsatisfactory behavior or procedure which did not immediately endanger the aircraft but which, if allowed to continue uncorrected, or if repeated in different, but likely, circumstances, would create a hazard.

6.4.5 It is of great importance to the success of the Scheme that the reporters keep firmly in mind the concept of 'endangering' or 'potentially endangering', as used in the above definition, when deciding whether or not to submit a report. The primary objective of occurrence reporting is to monitor, disseminate and record for analysis, critical or potentially critical safety occurrences. It is not intended to collect and monitor the normal flow of day-to-day defects/incidents etc. The latter is an important part of the overall safety task but procedures and systems already exist to carry out this function. In the main these comprise industry responsibilities monitored overall by the CAA. When appropriate, such systems also provide the necessary records for statistical purposes. In order to achieve the above objectives for occurrence reporting, the criteria for a reportable occurrence need to be set above, in terms of the effect on safety, the normal day-to-day defects or minor incidents. Over enthusiastic reporting of such items which fall below these criteria will involve unnecessary duplication and work to both the reporters and the CAA and will also tend, by sheer volume of data generated, to obscure the more significant safety items. Reporters should ensure that the content of their reports meets with the criteria and guidance laid out in Appendix B. Particular emphasis should be paid to ensuring that day to day operational anomalies, technical defects and routine reliability issues are dealt with via the normal organizational systems and procedures.

6.4.6 Appendix B develops the above philosophy for the setting of the criteria and provides more detailed guidance on the types of occurrences, which are required to be reported.

7. Reporting Procedure

7.1 Submission of Reports

7.1.1 The AN(OT)O places the primary responsibility for reporting with individuals. However, the interests of flight safety are best served by full participation, in the investigation and follow-

up, by the organizations involved. Therefore, wherever possible, the CAA encourages the use of company reporting systems, with a responsible person(s) within the organization being nominated to receive all reports and to establish which reports from individuals within the organization meet the desired criteria for an occurrence report to the CAA.

7.1.2 Correlation of operational and technical aspects and the provision of any relevant supplementary information, e.g. the reporter's assessment and immediate action to control the problem, is an important part of such activity. With such systems the reporting level within the organization can be, and often is, set at a lower level than the CAA requirement in order to provide a wider monitoring of the organization's activities. However, when the employee making such a report is a person having a duty to report to the CAA in accordance with the AN(OT)O, the organization must inform them if their report has been passed on to the CAA or not. If the employee's report is not passed onto the CAA and the employee is convinced that it should, they must have the right to insist that the report be passed to the CAA or to report it directly to the CAA themselves. Procedures to ensure that this right of the individual reporter is maintained must be incorporated into the organization's reporting procedures and be clearly stated in the relevant instructions to staff.

7.1.3 In the case of ATC occurrences arising from communications, navigation and surveillance equipment outages the ATS provider should pass a copy of the report to the appropriate ATS engineering unit responsible for remedial action as soon as possible.

7.1.4 Individuals may submit an occurrence report directly to CAA should they so wish, but in the interest of flight safety they are strongly advised also to notify their employers, preferably by a copy of the report, unless confidentiality is considered essential.

7.1.5 Reports must be dispatched within 96 hours of the event, unless exceptional circumstances prevent this. Nevertheless, when the circumstances of an occurrence are judged to be particularly hazardous, the CAA expects to be advised of the essential details by the fastest possible means (e.g. email/telephone/fax).

7.1.6 Equally, for occurrences involving a lesser degree of hazard, reporters must exercise their judgment in deciding whether, in order that all those concerned may be alerted in the minimum time, to submit immediately a report on the limited information available or if there is the likelihood of any additional and useful information becoming available within the statutory 96 hours, to delay the dispatch of the report.

7.1.7 Should the initial report be incomplete in respect of any item of information required by the AN(OT)O, a further report containing this information must be made within 96 hours of the information becoming available. Prompt advice to the CAA on the results of investigations and the actions taken to control the situation will minimize or may render unnecessary direct CAA involvement in the investigative activity. The CAA seeks the co-operation of all reporting organizations in this respect. In the case of technical failures or difficulties, the availability of photographs and/or preservation of damaged parts will greatly facilitate the subsequent investigation.

7.2 Submission of Confidential Reports

7.2.1 If any reporter considers that it is essential that their identity not be revealed, the report itself should be clearly annotated 'CONFIDENTIAL' and submitted directly to the CAA, addressed to "Director General of Civil Aviation" and the envelope should be marked "Personal". The request will be respected and the reporter will be contacted personally, either by the Director General of Civil Aviation or his representative.

7.3 Investigations and Provision of Supplementary Information

7.3.1 The AN(OT)O, as amended, does not require the provision of supplementary information on reportable occurrences, except when specifically requested by the CAA. However, the efficiency of the CAA follow-up work and the standard of the information service it can provide will be greatly improved if reporting organizations keep the CAA informed of major developments in their investigations of occurrences. The CAA seeks the co-operation of all reporting organizations in this respect.

7.4 The CAA MOR Forms

7.4.1 To facilitate consistent reporting and subsequent storage and analysis of data, four standard MOR report forms are available and ideally should be used. ATS organizations may wish to use a report form designed to meet their own requirements. In such cases the 'in house' document(s) should, as far as possible, follow the general format of the CAA model. Certainly any 'in house' document(s), use of which will require CAA approval, should seek at least the same information as is required to be reported on the appropriate CAA form(s) found in Appendix A. The four CAA forms are:

a) Air Safety Occurrence Report Form:

i) To be used solely for flight crew, aircraft maintenance ground staff and maintenance organization occurrences.

b) ATC Occurrence Report Form:

i) To be used solely for reporting ATS occurrences.

c) ATS Engineering Occurrence Report Form:

i) To be used solely for all occurrences associated with ATS ground equipment.

d) Bird Strike Occurrence Report Form:

i) To be used on discovering evidence that a bird strike has or may have occurred.

7.4.2 Forms may be obtained on the internet at www.caacayman.com or from the CAA at the address provided below.

Director General of Civil Aviation
Civil Aviation Authority of the Cayman Islands
Unit 4 Cayman Grand Harbour
P.O. Box 10277 APO
Grand Cayman
Cayman Islands

Tel: 345 949 7811
Fax: 345 949 0761

7.5 Completion of MOR Forms and Reports

7.5.1 Sample occurrence report forms and advice on their completion are found in Appendix A.

7.5.2 Reports should be submitted along with associated completed forms to the address listed in paragraph 2.1. The following notes about report writing may be of assistance:

a) Relate the events in chronological order;

b) Amplify the facts with explanations but do not attempt to pre-judge or investigate;

c) Use accepted aeronautical abbreviations;

d) Keep sentences and paragraphs as short as possible; and

e) Include a sketch or diagram if it will simplify the description.

8. Processing of MOR Forms and Publication of Occurrence Information

8.1 The CAA Occurrence Reporting co-ordination unit forms the central point for receipt, evaluation, processing dissemination, storage, and initial analysis of occurrence report data. Its main responsibilities may be summarized as: The evaluation and analysis of safety information from occurrence reports (including accidents) by:

a) evaluation to identify those occurrences considered requiring investigation for follow-up action;

b) co-coordinating, monitoring and progressing to satisfactory closure the received occurrences;

c) dissemination of occurrence information to those who need to know through a range of occurrence publication methods;

d) recording of all occurrences on a computer database;

8.2 Detailed information regarding the processing of MOR reports is documented in Appendix C.

9. Occurrences Closed on Receipt

9.1 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.

9.2 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.

10. Confidential Reports

10.1 Such reports will be directed to and reviewed personally by the appropriate CAA occurrence investigator who will initiate an unidentified record.

10.2 The reporter will be contacted, by telephone if possible, to acknowledge receipt/discuss implications/obtain further information as appropriate. A course of action will be mutually agreed.

10.3 After discussions with the reporter have been completed the original report will be destroyed (shredded).

10.4 The report will be processed as an occurrence but annotated CONFIDENTIAL.

10.5 A database entry will be made based on the unidentified report and will only be accessible by restricted users. (Names of individual persons are never recorded on the investigation database.)

11. Reports outside the remit of the MOR Scheme

11.1 When reporting to the CAA 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 CAA, 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.

11.2 The Classification by the CAA 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.

CIVIL AVIATION AUTHORITY OF THE CAYMAN ISLANDS

AIR SAFETY OCCURRENCE REPORT FORM

NOTES (i) See Instructions and Explanatory Notes

(ii) When completed, please send to:

Civil Aviation Authority of the Cayman Islands, Unit 4 Cayman Grand Harbour
P.O. Box 10277 APO, Grand Cayman KY1-1003
Fax: 949 0761, Email: civil.aviation@caacayman.com

CAA OCCURRENCE NUMBER:

Send Original to CAA
Make additional photocopies as required

FLIGHT CREW REPORT

AIRCRAFT TYPE & SERIES	REGISTRATION	OPERATOR	DATE	LOCATION/POSITION/RW	TIME	DAY/NIGHT/TWILIGHT

FLIGHT NR	ROUTE FROM	ROUTE TO	FL/ALT/HT/(FT)	IAS (KTS)	ETOPS YES/NO

NATURE OF FLIGHT	PAX	FREIGHT	POSITIONING	FERRY	TEST	TRAINING	BUSINESS	AGRICULTURAL	SURVEY	PLEASURE	CLUB/GROUP	PRIVATE	PARACHUTING	TOWING

FLIGHT PHASE	PARKED	TAXYING	TAKE-OFF	INITIAL CLIMB	CLIMB	CRUISE	DESCENT	HOLDING	APPROACH	LANDING	CIRCUIT	AEROBATICS	HOVER

ENVIRONMENTAL DETAILS

WIND		CLOUD			PRECIPITATION			OTHER METEOROLOGICAL CONDITIONS								RUNWAY STATE	
DIRN	SPEED (kts)	TYPE	HEIGHT	8th	RAIN		HAIL	VISIBILITY	ICING			TURBULENCE			OAT (C)	DRY	WET
					LIGHT	MOD	HEAVY	KM	LIGHT	MOD	SEVERE	LIGHT	MOD	SEVERE		CATEGORY 1/2/3	

BRIEF TITLE

DESCRIPTION OF OCCURRENCE

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 NR	ENGINE TYPES/SERIES	ETOPS APPROVED		GROUND PHASE	AIRCRAFT BELOW 5700KG ONLY – MAINTENANCE ORGANIZATION
		YES	NO		TEL NO

COMPONENT/PART	MANUFACTURER	PART NR	SERIAL NR	MANUAL REF	COMPONENT OH/REPAIR ORGANIZATION

DESCRIPTION OF OCCURRENCE CONTINUED

ORGANIZATION	NAME	POSITION	SIGNATURE	DATE

If report is voluntary (i.e. not subject to mandatory requirements) can the information be published in the interest of safety?	YES / NO	Address and tel no. (if reporter wishes to be contacted privately)	NOTE 1: If additional information, as below, is available please provide. NOTE 2: If the Occurrence is related to a design or manufacturing deficiency, the manufacturer should also be advised promptly. NOTE 3: Where applicable, a report of this incident should be forwarded directly to other agencies involved, e.g. Aerodrome Authority, ATC agency.

REPORTING ORGANIZATION – REPORT

ORGANIZATION COMMENTS – ASSESSMENT/ACTION TAKEN/SUGGESTIONS TO PREVENT

UTILIZATION – AIRCRAFT				UTILIZATION – ENGINE/COMPONENT				MANUFACTURER ADVISED	
	TOTAL	SINCE OH/REPAIR	SINCE INSPECTION		TOTAL	SINCE OH/REPAIR	SINCE INSPECTION		
HOURS CYCLES LANDINGS				HOURS CYCLES LANDINGS				YES	NO

ORGANIZATION	TEL/FAX	REPORTERS REF	REPORT		REPORTERS INVESTIGATION			FOR DATA RETAINED	
			NEW	SUPPL	NIL	CLOSED	OPEN	YES	NO

NAME	POSITION	SIGNATURE	DATE

Advice on the Completion of the CAA Air Safety Occurrence Report Form

1. General

1.1 Reporters must provide the information required by the AN(OT)O as amended. This means that, wherever possible, they should 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 such that entries above **Description of Occurrence** apply to an in-flight occurrence: these parts of the Form are headed **FLIGHT CREW REPORT**. Below the **Description of Occurrence**, are boxes for the **GROUND STAFF REPORT** and, on the back of the Form, the **REPORTING ORGANISATION REPORT**.

1.4 Where reports of either in-flight or ground occurrences are channeled to the CAA via an organization, 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 organization. Alternatively, where this is not possible within the required timescale, the outstanding information should be submitted as a supplementary report.

1.5 Evaluation and processing of reports is greatly facilitated if the reports are typewritten but it is appreciated that this may not always be possible in this case the report should be completed in black ink.

1.6 **ETOPS 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 this form should prominently annotate all reports 'ETOPS'.

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. The flight phases listed on the report are defined as follows:

Parked On ramp with flight crew on board.

Taxiing (a) From commencement of moving (including pushback) to start of take-off run.

(b) From completion of landing run to terminal gate or point of stopping engines, whichever occurs later.

2.3 The nature of flight descriptions listed on the report is defined as follows:

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 maneuvers, including spinning.

Hover Airborne and stationary.

Pax	Flight under Schedule or non-scheduled Air Transport Licence or an exemption.
Freight	Flight under 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.
Ambulance	Patient transport, emergency medical service, accident response.
Police	Aircraft operating on a Police Aircraft Operating Certificate.

3. Description of Occurrence – relates to all occurrences

3.1 This should be a clear and 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 it is considered 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 organization to avoid a recurrence.

4. Ground Staff/Reporting Organization

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 defined in 'Taxiing'.
Unattended	Standing, with no personnel on board.

4.2.1 Aircraft or component times should be quoted 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 Information should be provided which allows for the identification of the existence of any such information or procedures (e.g. Mandatory Inspections, Airworthiness Directives, crew drills, etc.) issued for the purposes of controlling or avoiding 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 organization are important both in terms of assessing the occurrence and disseminating the details to others.

4.2.3 Manufacturer should be advised as the provision of this information is an important aspect of any occurrence report relating to a specific aircraft type or any item of aircraft equipment. Wherever possible such information should be provided as this can significantly reduce any requirements 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 It is important that reporters consider whether other agencies, such as Aerodrome Authorities, ATS providers etc., should also be notified when occurrences are reported 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 organization; 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. Acknowledgement of Reports

6.1 Acknowledgement of reports (other than CONFIDENTIAL – see below) is normally given via the CAA monthly 'Occurrence Listings'. If, exceptionally, individual acknowledgement is required, please contact the CAA direct.

6.2 **Confidential Reports**

An occurrence may be reported confidentially. Please clearly annotate the top of the form 'CONFIDENTIAL' and mark the envelope 'Personal for Director General of Civil Aviation'. The CAA will respect the confidentiality and a representative will contact you personally.

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CIVIL AVIATION AUTHORITY OF THE CAYMAN ISLANDS

ATC OCCURRENCE REPORT FORM

NOTES (i) See Instructions and Explanatory Notes

(ii) When completed, please send to:

Civil Aviation Authority of the Cayman Islands, Unit 4 Cayman Grand Harbour

P.O. Box 10277 APO, Grand Cayman KY1-1003

Fax: 949 0761, Email: civil.aviation@caacayman

(iii) Circle or fill-in boxes 1-55 as required

CAA OCCURRENCE NUMBER:

Send Original to CAA

Make additional photocopies as required

CATEGORIES OF OCCURRENCE

1 ACCIDENT AIRPROX INCIDENT INFRINGEMENT

2 Occurrence Position	3 FL/Alt/Ht	4 Date	5 Time – UTC	6 Day/Night

OPERATOR	CALL SIGN/REGN	TYPE	FROM	TO	SSR CODE	MODE C DISPLAYED	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 CTR/TMA/AWY/ATZ/FIR/Other B D F	37 TYPE OF ATC SERVICE Control/Advisory - Procedural/Radar/ADC/ GMC/Approach/ALR	38 SID/STAR/ROUTE

39 Was prescribed separation lost? YES/NO	40 Min Sepn Horiz/Vert	41 Collision/Conflict Alert/ TCAS/STCA/SMF	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 QNH and copy of relevant ATC flight progress strips)

Continue on separate sheet as necessary

46 Name	47 On duty as ADC/APP ATCO	48 ATS Unit	49 Time since last break	50 Start time of shift (UTC)	51 Radar recordings held YES/NO

52 RTF recordings held YES/NO	53 List other agencies advised?	54 Sign/Date	55 Address/Telephone

Advice on the Completion of the CAA ATC Occurrence Report Form

ACCIDENT:	A reportable accident.
AIRPROX:	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 have been such that the safety of the aircraft involved was or may have been compromised.
INCIDENT:	Any Occurrence not appropriate to the other categories.
INFRINGEMENT:	An alleged unauthorized infringement of regulated airspace.

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.*
BOX1:	Should the Occurrence involve more than one category (eg an INCIDENT could arise from an INFRINGEMENT), circle both categories.
BOXES 7 to 14 BOXES 15 to 20 BOXES 23 to 30	} } These boxes cater for up to three involved aircraft. Use the narrative for additional aircraft. }
BOX 36:	More than one element **could** be circled (eg CLASS A and AWY).
BOX 37:	More than one element **must** be circled (eg APPROACH and PROCEDURAL).
BOX 39:	**Must** be completed if prescribed separation was required to be achieved in accordance with ICAO DOC.4444 and MATS
BOX40:	Should contain your estimate, where possible, of the minimum separation achieved and **must** be completed for an AIRPROX. This will be coded for computer input purposes and amended if necessary after investigation.
BOX44:	This box should contain a simple, one-line statement summarizing the Occurrence, ie 'Coordination problems', 'Level bust', 'Overload' etc.
BOX 51/52:	Relevant RTF and Radar recordings can be vitally important to subsequent investigations. Retention action should be considered for all reports and is to be in accordance with MATS procedures.
BOX53:	It is important to ensure that any **involved** agency (eg Pilot, Operator, ATSU) is informed of the reporting action. This box should also indicate those organizations required by MATS to be informed.

REPORTING TIME

Reports must be dispatched within 96 hours of the event unless exceptional circumstances prevent this.

ACKNOWLEDGEMENT OF REPORTS

Acknowledgement of reports (other than CONFIDENTIAL see below) is normally given via the CAA monthly list of 'ATC Reported Occurrences'. If, exceptionally, individual acknowledgement is required please contact the CAA direct.

UNIT MANAGEMENT ACTION

Reporters are requested to send a copy to the Unit Management. This is for local assessment and any immediate follow-up action. Additional input and/or covering comment from Unit Management is highly desirable for both CAA evaluation and any follow-up investigation.

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 CAA will respect the confidentiality and a representative will contact you personally.

CIVIL AVIATION AUTHORITY OF THE CAYMAN ISLANDS

ATS ENGINEERING OCCURRENCE REPORT FORM

NOTES (i) See Instructions and Explanatory Notes
(ii) When completed, please send to:
Civil Aviation Authority of the Cayman Islands, Unit 4 Cayman Grand Harbour
P.O. Box 10277 APO, Grand Cayman KY1-1003
Fax: 949 0761, Email: civil.aviation@caacayman.com
(iii) Circle or fill-in boxes 1-25 as required

CAA OCCURRENCE NUMBER:

Send Original to CAA
Make additional photocopies as required

1 Categories of Occurrence ACCIDENT INCIDENT PROCEDURAL FAILURE HAZARD				
2 Occurrence Location	3 Date 4 Time (UTC)	5 Duration	6 ATS Facility RTF/Radar/Nav-aid/Other:	7 Service Affected Control/Procedural/Radar/GMC/ Approach/Aerodrome/Information/ Air Navigation
8 Equipment Type/Manufacturer	9 Frequency		10 Callsign	11 Equipment Affected
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 (attached copies of relevant information)				
17 Recordings impounded YES/NO – Details	18 Can the information be disseminated in the interest of flight safety?		20 Name	23 Address & Telephone number (if the reporter wishes to be contacted privately)
19 Other fault report action ATC CAA1311/Local Reporting/Other:			21 Organization/Position	24 Signature
			22 Start time and duration of shift	25 Date

Advice on the Completion of the CAA ATS Engineering Occurrence Report Form

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 the Air Navigation (Overseas Territories) Order.

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.

ACKNOWLEDGEMENT OF REPORTS

Acknowledgement of reports (other than CONFIDENTIAL - see below) is normally given via the CAA monthly list of 'ATC Reported Occurrences'. If, exceptionally, individual acknowledgement is required please contact the CAA direct.

UNIT MANAGEMENT ACTION

Reporters are requested to send a copy to Unit Management. This is for local assessment and any immediate follow-up action. Additional input and/or covering comment from Unit Management is highly desirable for both CAA evaluation and any follow-up investigation.

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 CAA will respect the confidentiality and a representative will contact you personally.

CIVIL AVIATION AUTHORITY OF THE CAYMAN ISLANDS

BIRDSTRIKE OCCURRENCE REPORT FORM

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.
When completed, please send to:

Civil Aviation Authority of the Cayman Islands, Unit 4 Cayman Grand Harbour
P.O. Box 10277 APO, Grand Cayman KY1-1003
Fax: 949 0761, Email: civil.aviation@caacayman.com

CAA OCCURRENCE NUMBER:

Send Original to CAA
Make additional photocopies as required

Aircraft Operator ……...

Aircraft type & series ……

Aircraft reg. ……...

Date (dd/mm/yy) ……/……../……...

Time (local) …….. …….. Hrs (24hr)

Dawn ☐ Day ☐ Dusk ☐ Night ☐

Aerodrome ……

Runway in use ……

Height (agl) …… (ft)

Speed (ias) ……. (kts)

Position (if en route) …….

Phase of Flight

Taxi	☐	Descent	☐
Take-off-run	☐	Approach	☐
Climb	☐	Landing roll	☐
En Route	☐	Ground checks	☐

Part(s) of Aircraft		Struck *(describe)*	damaged*
Radome		☐	☐
Windshield		☐	☐
Nose (if not one of the above)		☐	☐
Engine nos:	1	☐	☐
	2	☐	☐
	3	☐	☐
	4	☐	☐
Propeller		☐	☐
Wing/rotor (inc high lift devices)		☐	☐
Fuselage		☐	☐
Landing Gear		☐	☐
Tail		☐	☐
Lights		☐	☐
Other (specify*)		☐	☐

Effect on flight

None	☐	Returned	☐
Aborted	☐	Diverted	☐
Other	☐		

Other Reports raised

Mandatory Occurrence Report (MOR)	☐
Other* (specify)	☐

Precipitation:
None ☐ Rain ☐

Bird Species/description (e.g. Cattle egret, Swallow)

……
If you are not certain of the bird species, please send a copy of this form and any remains (e.g. a wing, but even the smallest remains are useful) to:-

The CAA.

Please mark the container "Bird remains"
This identification service is provided free to aerodromes and aircraft operators.

Bird remains sent for identification Yes ☐ No ☐

Number of birds

	Seen	Struck* (enter actual number if known)
1	☐	☐
2-10	☐	☐
11-100	☐	☐
100+	☐	☐

Pilot warned of birds Yes ☐ No ☐

Note1: Copies of this form should be submitted as soon as practicable to the recipients shown below (It is not necessary to wait for confirmation of bird species.)

Aerodrome ☐
Aircraft Operator ☐
Civil Aviation Authority ☐
Bird Strike Avoidance Team ☐ (if identification required)

Remarks and other relevant information*:

Reporter Details

Name ……...

Employer …….

Tel no ……. Date …….

INTENTIONALLY LEFT BLANK

Appendix B - Occurrences Required to be Reported

1. Introduction

1.1 The objectives of occurrence reporting and the formal definition of a reportable occurrence are contained in the legislation and further amplified in paragraphs 1 and 5 of this manual. Reporters should ensure that the content of their reports meets the criteria and guidance laid out below. Particular emphasis should be paid to ensuring that day-to-day operational anomalies, technical defects and routine reliability issues are dealt with via the normal organizational systems and procedures.

1.2 The MOR Scheme is an essential part of the CAA monitoring function; it is complementary to the normal day-to-day procedures and 'control' systems (e.g. AOC, Company Approvals, etc.) and is not intended to duplicate or supersede them. The Occurrence Reporting Scheme aims to identify those occurrences where the routine control procedures have failed. To achieve this objective the criteria for a reportable occurrence need to be set above (in terms of the effects on safety) the normal day-to-day defects and minor incidents.

1.3 Those occurrences, which must always be reported (e.g. fires, uncontained engine failures, critically low fuel states, close proximity between aircraft, etc.) can easily be listed but it is impossible to define precisely every significant hazard, which requires reporting. What is judged to be reportable on one class of aircraft may not be so on another and the absence or presence of a single factor, human or technical, can transform a minor occurrence into a significant hazard or an accident. Judgment by the reporter of the degree of hazard or potential hazard involved is therefore essential in many cases.

1.4 Within the above constraints, this Appendix lists the types of occurrence, which, in the view of the CAA, are likely to fall within the definition of a reportable occurrence in which case they must therefore be reported. Whilst the Appendix lists the majority of occurrences, which shall normally be reported it cannot be completely comprehensive, and any other occurrences judged, by those involved, to meet the criteria shall be reported.

1.5 Practical and effective working of the MOR Scheme requires a constructive approach and resolve on the part of all reporters and others involved to make the Scheme a successful and worthwhile safety reporting programmed.

1.6 In the case of organizations providing a service or facility for aircraft operating over or in the Cayman Islands (e.g. Air Traffic Services, airfields etc.) any occurrence meeting the required criteria should be reported regardless of the nationality of the aircraft involved.

2. Aircraft Flight Operations

The following should be reported by Flight Crew:

2.1 Control of the Aircraft

- Rejected take-off resulting from or producing a hazardous or potentially hazardous situation (e.g. at speeds close to, or above, V1).

- Go around producing a hazardous or potentially hazardous situation.

- Unintentional significant deviation from intended track or altitude (more than 300 ft), caused by a procedural, systems or equipment defect or human factor.

- Descent below decision height/altitude or minimum descent height/altitude in instrument landing conditions.

- Heavy landing, a landing deemed to require a 'heavy landing check'.

- Unintentional contact with the ground, including touching down before the runway threshold.

- Over-running the ends or sides of the defined runway or landing strip.

- Significant inadvertent reduction in airspeed.

- Significant loss of control from any cause.

- Approach to, landing on, lining up on or taking off from a wrong runway or airfield.

- Occurrence of a 'stick push' operation, other than for training or test purposes.

- Operation of any primary warning system associated with maneuvering of the aircraft e.g. configuration warning, stall warning (stick shake), over speed warning etc. unless:

  a) the crew conclusively established that the indication was false, at the time it occurred, or

  b) the indication is confirmed as false immediately after landing provided that, in either case, the false warning did not result in difficulty or hazard arising from the crew response to the warning.

- Reversion to manual control of powered primary controls, other than for training or test purposes.

- Loss or malfunctioning of any rotorcraft AUTO stabilizer mode.

- Inadvertent incorrect operation of any controls, which resulted in, or could have resulted in, a significant hazard.

- A hazard or potential hazard, which arises as a consequence of any deliberate simulation of failure conditions for training, system checks or test purposes.

- In flight fuel quantity critically low or exhausted.
- Significant fuel imbalance.
- Incorrect setting of an SSR code.
- Incorrect setting of an altimeter sub-scale.
- Significant incorrect programming of navigation equipment.
- Flight at a level, or on a route, different from that allocated.
- Incorrect receipt or interpretation of RTF messages, which resulted in, or could have resulted in, a significant hazard.
- EGPWS 'warning' when:

  a) the aircraft comes into closer proximity to the ground than had been planned or anticipated; or

  b) the warning is experienced in IMC or at night and is established as having been triggered by a high rate of; or

  c) the warning results from failure to select landing gear or land flap by the appropriate point on the approach; or

  d) 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 warning of any Mode or Type i.e. genuine, nuisance or false.

- GPWS 'alert' when:

  a) any difficulty or hazard arises, or might have arisen, as a result of crew response to the 'alert'.

- ACAS Resolution Advisory except for an "unnecessary alert", e.g. when triggered by a high rate of climb/descent but standard separation not compromised.
- A bomb threat
- A hijack
- Repetitive incidents at an excessive frequency of a specific type of occurrence which in isolation would not be considered 'Reportable', e.g. a high frequency of:

  a) minor loading errors at a particular airfield,

b) GPWS nuisance warnings at a particular airfield.

NOTE: 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.

2.2 Emergencies

- The use in flight or on the ground of any emergency equipment or prescribed emergency procedures in order to deal with a situation.
- The use of any non-standard procedure adopted by the flight crew to deal with an emergency.
- The declaration of an emergency, ('Mayday' or 'PAN').
- An emergency, forced or precautionary landing.
- Failure of any emergency equipment or procedures to perform satisfactorily including when being used for training or test purposes.

2.3 Crew Incapacitation

- 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.
- Incapacitation of any member of the cabin crew, which renders him/her unable to perform essential emergency duties.

2.4 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.

2.5 Other Incidents

- A lightning strike, which resulted in significant damage to the aircraft or the loss or malfunction of any essential service.
- A hail strike which resulted in significant damage to the aircraft or the loss or malfunction of any essential service.

- Wake vortex encounter – an encounter resulting in significant handling difficulties.

- A bird strike which resulted in significant damage to the aircraft or the loss or malfunction of any essential service.

- Turbulence encounter – an encounter resulting in injury to occupants or deemed to require a 'turbulence check' of the aircraft.

3. Aircraft and Equipment – Failures, Malfunctions and Defects

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

3.1.1 Structure

- Any damage or deterioration (i.e. fractures, cracks, corrosion, delamination, disbonding etc.) resulting from any cause to:

  a) 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;

  b) secondary structure, which consequently has, or may, have endangered the aircraft.

- 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:

  a) it is detected for the first time by each operator or organization implementing compliance;

  b) 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;

  c) separation from the aircraft in flight of any part of the aircraft;

3.1.2 Engines – All aircraft types

- Flameout, shutdown or significant malfunction of any engine when:

  a) it occurs at a critical phase or time (e.g. V1, or during approach/landing);

b) exceptional circumstances exist or unforeseen consequences arise (e.g. uncontained failure, fire, aircraft handling problems etc.);

c) standard operating procedures, drills etc. could not be satisfactorily accomplished;

d) inability, by use of normal procedures, to shutdown an engine or to control power, thrust or rpm;

e) significant engine over speed;

3.1.2.1 **Aircraft types with one or two engines**

- Flameout, shutdown or significant malfunction of any engine.

3.1.2.2 **Aircraft types with three or more engines**

- Flameout, shutdown or significant malfunction of more than one engine.

3.1.3 **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.

3.1.3.1 **All aircraft types**

- Fire or explosion.
- Smoke or noxious fumes in the aircraft, which resulted in the use of emergency equipment or procedures.
- Uncontained failure or significant over speed of any high speed rotating component (for example: Auxiliary power unit, air starter, air cycle machine, air turbine motor).
- Significant deviation of the aircraft from its intended flight path, attitude, airspeed or altitude resulting from system or equipment failure, malfunction or defects.
- Significant contamination of aircraft systems and equipment arising from the carriage of baggage or cargo.
- 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:

a) it is detected for the first time by each operator or organization implementing compliance.

b) 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.

- Failures or defects to any part subject to a finite life or any rotorcraft 'critical items' (as defined in Manufacturer's Manuals).

- Loss, significant malfunction or defect of any system, sub-system or set of equipment (for example: ATA 21 Air, 22 Auto flight, 23 Communications, 24 Electrical Power, 26 Fire Protection, 27 Flight Control, 28 Fuel, 29 Hyd Power, 30 Ice Protection, 32 Landing Gear, 34 Navigation, 36 Pneumatics, 63 & 65 Rotor drives, 67 Rotor flight control) when:

  a) it occurs at a critical phase or time, relevant to the operation of that system; or

  b) relevant back-up systems, sub-systems or equipment did not perform satisfactorily; or

  c) exceptional circumstances existed or unforeseen consequences arose; or

  d) standard operating procedures, drills etc. could not be satisfactorily accomplished.

- Leakage of hydraulic fluids, oil or other fluids, which resulted in a fire hazard or possible hazardous contamination of aircraft equipment or structure.

- Asymmetry of flaps, slats, spoilers etc.

- Limitation of movement, stiffness or poor or delayed response in the operation of primary flight control systems or their associated tab and lock systems.

- Significant interference with normal control of the aircraft or degradation of flying qualities.

- Inability to achieve the intended aircraft configuration for any flight phase (for example: landing gear and its doors, flaps, stabilizer, slats etc.).

- Significant loss of braking action.

- Leakage of fuel which resulted in major loss, fire hazard or significant contamination.

- 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.

- Fuel system malfunctions or defects, which had a significant effect on fuel supply and/or distribution.

- Operation of any primary warning system associated with aircraft systems or equipment unless:

  a) the crew conclusively established that the indication was false at the time it occurred; or

  b) the indication was confirmed as false immediately after landing. Provided that in either case the false warning did not result in difficulty or hazard arising from the crew response to the warning.

- Malfunction or defect of any indication system when the possibility of significant misleading indications to the crew resulted.
- Failure of any emergency system or equipment, including all exit doors and lighting, to perform satisfactorily, including when being used for training or test purposes.

- Significant failures or defects of a propeller or rotor.

- Significant over speed or inability, by normal procedures, to control speed or pitch of a propeller or rotor.

- Inability, by normal procedures, to feather or unfetter a propeller.

3.1.3.2 **Aircraft types with single main systems, sub-systems or sets of equipment (for example, as 'All Aircraft' above)**

- Loss, significant malfunction or defect in any main system, sub-system or set of equipment.

3.1.3.3 **Aircraft types with multiple independent main systems, sub-systems or sets of equipment (for example, as per 'All Aircraft' above)**

- Loss, significant malfunction or defect of more than one main system, sub-system or set of equipment.

3.1.4 **General**

- 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.

- 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 programmed.

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

- 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.

- Any other malfunction, failure or defect which is considered to have endangered or might have endangered the operation of the aircraft.

4. Ground Services, Facilities or Equipment

4.1 The following should be reported as indicated:

4.1.1 **Air Traffic Control Services** - by Flight Crew/ATCOs/Ground Ops Support Staff.

- Provision of significantly incorrect, inadequate or misleading information from any ground sources, e.g. ATC, ATIS, Meteorological Services, maps, charts, manuals, etc.

- Provision of less than prescribed terrain clearance.

- Provision of incorrect altimeter setting.

- Misidentification of aircraft by an ATCO or radar operator.

- Incorrect transmission, receipt or interpretation of significant messages.

- Airprox and any occurrence in which separation between aircraft is less than that prescribed for the situation.

- Non-compliance with prescribed letdown or departure procedures or any ATC/ATM instruction.

- Declaration of an emergency (‘Mayday’ or ‘Pan’) by an aircraft.

- Unauthorized infringement of any form of regulated airspace.

- Unauthorized or illegal RTF transmissions.

- ATC Overload reports
- Declaration of an ACAS Resolution Advisory by an aircraft

4.1.2 **Navigation and Communications Equipment etc. – failures, malfunctions or defects** - by Flight Crew/ATCO/ATS Maintenance Staff.

- Total failure of navigation system or subsystem being used by an aircraft.
- Total failure of communications system.
- Total failure of radar system or subsystem.
- Failure or unplanned shutdown of a major operational ATC computer system requiring reversion to manual back up and resulting in disruption to the normal flow of air traffic
- Significant malfunction or deterioration of Service.
- Significant deficiency in maintenance.
- Repetitive events of a specific type of occurrence, which in isolation may not be considered reportable (e.g. excessive monitor alarms).
- Provision of erroneous information in the absence of any alarms.

4.1.3 **Airfields and Airfield Facilities** - by Flight Crew/Airfield Staff/ATCOs.

- Failure or significant malfunction of airfield lighting.
- Major failure or significant deterioration of surfaces of runways or aircraft Maneuvering areas.
- Runways or aircraft maneuvering areas obstructed by aircraft, vehicles or foreign objects, resulting in a hazardous or potentially hazardous situation.
- Runway incursions.
- Errors or inadequacies in marking of obstructions or hazards on runway or aircraft maneuvering areas.
- Collision between a moving aircraft and any other aircraft, vehicle or other ground object.
- Aircraft departing from a paved surface which results in, or could have resulted in, a significant hazard.

- Jet or prop blast incidents resulting in significant damage or serious injury.
- Significant spillage of fuel on airfield ramps.

4.1.4 **Passengers/Baggage/Cargo** - by Flight Crew/Ground Support Staff.

- Difficulty in controlling intoxicated, violent or armed passengers.
- Incorrect loading of passengers, baggage or cargo, likely to have a significant effect on aircraft weight and balance.
- 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).
- Inadequate storing of cargo containers or substantial items of cargo.
- Significant contamination of aircraft structure, systems or equipment arising from the carriage of baggage or cargo.
- Presence of a stowaway(s).

4.1.5 **Aircraft Ground Handling/Servicing** - by Flight Crew/ATS Maintenance Staff/ Ground Support Staff.

- Loading of incorrect fuel quantities likely to have a significant effect on aircraft endurance, performance, balance or structural strength.
- Loading of contaminated or incorrect type of fuel or other essential aircraft fluids (includes oxygen and potable water).
- Significant spillage of fuel.
- 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.
- Non-compliance or significant errors in compliance with required maintenance/ servicing procedures.

4.1.6 **Ground Staff Incapacitation** - by Flight Crew/Ground Staff

- When an aircraft was, or could have been, endangered by the impairment of any member of ground staff (e.g. Aircraft Maintenance Staff, Air Traffic Controllers, Air Traffic Services Maintenance Staff, and Airfield Support Staff etc.)

4.1.7 Any other occurrence of any type considered to have endangered, or which might have endangered, the aircraft or its occupants.

Appendix C - Occurrence Reporting Procedure

1. Purpose

1.1 This procedure describes the method by which occurrence reports that are within the scope of this MOR manual are processed.

2. Applicability and Scope

2.1 This procedure relates to accidents, serious incidents and incidents occurring within the Cayman Islands or outside the Cayman Islands when the Cayman Islands is the State of Registry or the State of Operator of the aircraft. This procedure should be read in conjunction with OTAR Part 13 and OTAC 13-1.

3. Definitions

"AAIB" means Air Accident Investigation Branch.
"CAA" means Civil Aviation Authority of the Cayman Islands.
"DGCA" means Director General Civil Aviation.
"OTAC" means Overseas Territories Aviation Circular.
"OTAR" means Overseas Territories Aviation Requirement.
"UK" means United Kingdom

4. Related Legislation and Procedures

4.1 Civil Aviation (Investigation of Air Accidents and Incidents) Regulations.

4.2 Memorandum of Agreement (MOU) between the Government of the Cayman Islands and the UK AAIB concerning the provision of assistance to investigate accidents or serious incident.

5. General

5.1 The CAA will process occurrence reports from receipt, through investigation, to final closure for the purpose of identifying related deficiencies and discharging its safety regulatory obligations.

5.2 The CAA will not disclose the name of any person submitting a report; a person to whom it relates or a person submitting information unless required to do so by law or the person concerned authorizes disclosure.

5.3 The system employs a concept whereby an occurrence is either 'open' or 'closed' to signify whether an occurrence is still under investigation, or the investigation has concluded and adequate remedial action has been taken to prevent or adequately control recurrence.

5.4 Under the terms of the MOU the Director General of Civil Aviation of the Cayman Islands will determine through consultation with the UK AAIB to determine if their assistance is needed to conduct an investigation into an accident or serious incident. The responsibility for

the investigation remains with the Investigator-in-Charge of any accident or serious incident investigation who is appointed by the Governor of the Cayman Islands. The AAIB will primarily assist in the investigation of accidents and serious incidents through the provision of investigative expertise and resources when necessary.

5.5 The CAA will cooperate with the AAIB and the Investigator-in-Charge of any accident or serious incident investigation.

6. Occurrence Administration Forms

6.1 The occurrence administration forms are found in section 11. All new reports (CYI 2000A, CYI 2000D) shall be numbered according to the system described in paragraph 6.6. This unique reference shall be copied onto all related forms (CYI 2000B, CYI 2000C) and correspondence.

6.2 Open Occurrence Report (CYI 2000A)

6.2.1 Indicates the 'open' status of an occurrence, the brief details of the occurrence and the identities of the CAA Occurrence Investigator and supporting investigator/organization.

6.3 Supplementary Report (CYI 2000B)

6.3.1 Provides additional information on an open occurrence in relation to investigations and remedial action that is or will be taken. Also used to provide rationale of why an occurrence has been re-opened.

6.4 Closure Recommendation (CYI 2000C)

6.4.1 Provides the concise evidence on the basis of which closure of the occurrence is recommended. A closure recommendation that remains unchallenged after distribution to the concerned parties signifies a closed occurrence report.

6.5 Closed on Receipt (CYI 2000D)

6.5.1 Indicates that on receiving an occurrence report, either the reporter (and/or associated parties) has already taken sufficient remedial action, or the nature of the occurrence does not warrant an investigation. The provisions for closure are itemized on the form and should be 'ticked' accordingly.

Note: With regards to all forms, standardized definitions, classifications and formats should be used. Some standardized descriptive factors can be found in ICAO Doc 9156 (Accident/Incident Reporting Manual).

6.6 Numbering Occurrence Forms

6.6.1 An occurrence report shall be uniquely referenced through the, year, month and an ascending sequential numeral (where there is more than one occurrence in that month). The code in the

following table is used to denote receipt of the occurrence. The numbering system is not intended to denote where an occurrence occurred and hence only the following code should be necessary.

Investigation Organization	Identification Code
Civil Aviation Authority of the Cayman Islands	CYI

Example:
An occurrence occurring in the Cayman Islands on the 7th December 2003 would read:

CYI/07122003/1

If this was the second incident in that month it would read:

CYI/07122003/2

7. Occurrence Investigator

7.1 The Occurrence Investigator is a person identified by the DGCA as accountable for progress and recommending closure of occurrence reports received by the CAA. An Occurrence Investigator will still be appointed if an occurrence is closed on receipt, and may recommend that an occurrence report be re-opened. The Occurrence Investigator will possess adequate competence and experience in the subject of the occurrence to understand and make sound judgments. They will be appointed from within the CAA Air Safety and Air Navigation Services Regulatory units subject to the particular Occurrence Report received and combined as an investigation team when necessary.

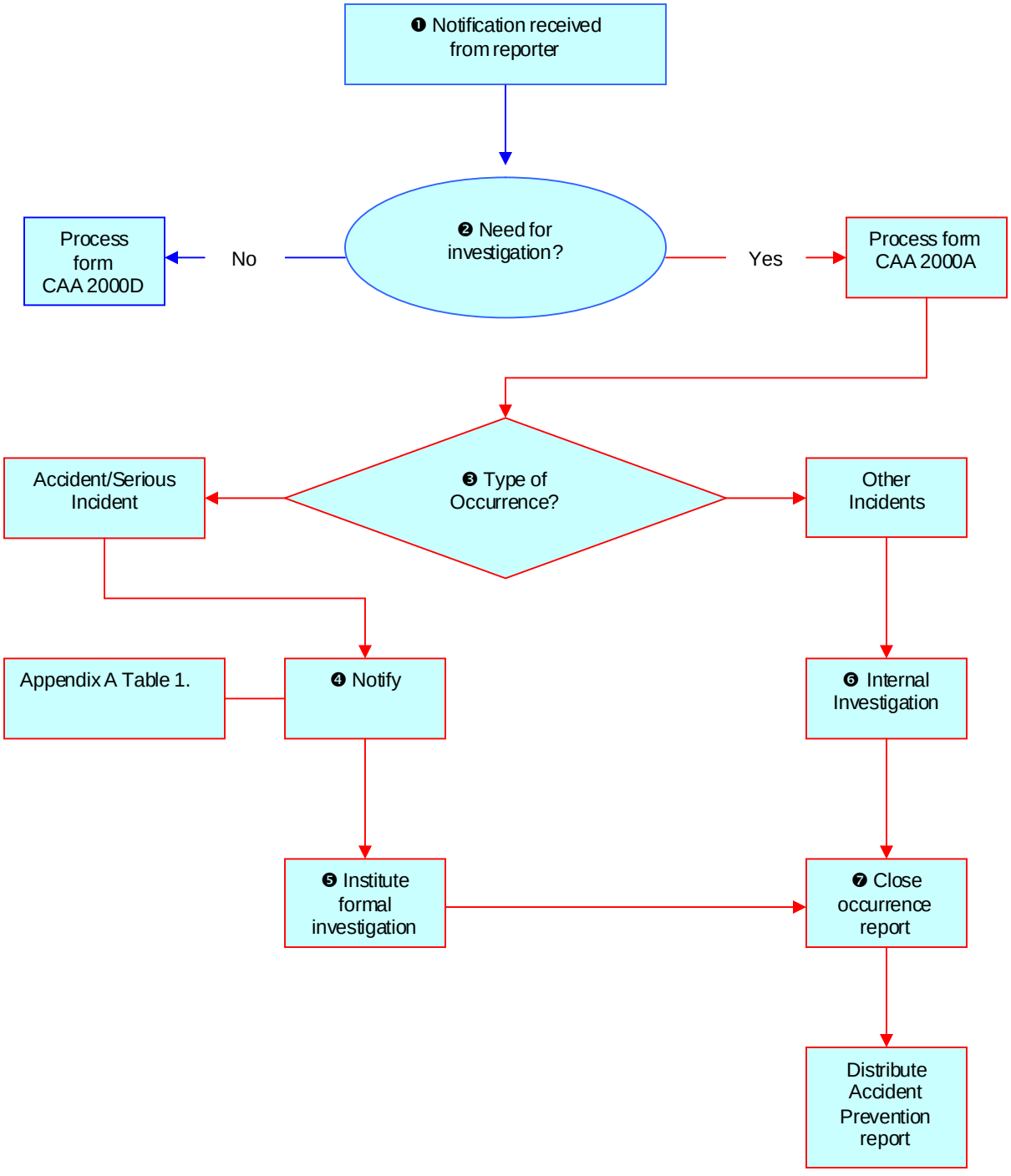
7.2 Supporting Investigator/Organization

7.2.1 The UK AAIB will assist the CAA Occurrence Investigator with the investigation of an accident or serious incident depending upon the circumstance. Other parties with appropriate technical expertise may also participate in an investigation when deemed necessary.

8. Occurrence Procedures

8.1 A flow chart on the accident/incident occurrence investigation system with processes and procedures for the handling of occurrence information received by the CAA is depicted in section 8.2 below.

8.2 Accident/IncidentOccurrences Investigation System Flow Chart



Box 1 The CAA receives notification of an occurrence. This may be by use of the standard forms in this manual or OTAC 13-1.

If the report is marked confidential, the CAA Occurrence Investigator will personally contact the reporter to confirm that they do not authorize disclosure and to establish any sensitivity

that may exist which may affect the investigation. It will also be clarified that the reporter must accept that an effective investigation may be inhibited if confidentiality is upheld. The CAA cannot guarantee confidentiality when another party reports an occurrence separately, or where it is proven that there is a dereliction of duty amounting to gross negligence.

Box 2 On receipt of the report, the CAA Occurrence Investigator will make a preliminary assessment of the occurrence. If the occurrence may be closed, form CYI 2000D will be completed, filed and a copy sent together with the occurrence report to the reporter. Otherwise, form CYI 2000A will be completed and similarly distributed. An occurrence classified as an accident or serious incident may not be closed on receipt. If the occurrence is submitted as confidential, an unidentified copy of the occurrence report will be produced and the original destroyed (unless with otherwise written agreement with the reporter). Forms CYI 2000A or CYI 2000D will also be unidentified and distributed as above.

Box 3 The CAA Occurrence Investigator will determine whether the occurrence falls within the definition of an accident or serious incident as defined in ICAO Annex 13 and if so, proceed to Box 4. For other occurrences proceed to Box 6.

Box 4 Issue notification to contracting ICAO States in accordance with ICAO Annex 13, chapter 4. Notification shall be through the information required in OTAR Part 13 and transmitted under the abbreviation of ACCID (for accidents) and INCID (for incidents). Table 1 in section 10 provides the addressees for notification, when applicable. An ACCID/INCID Notification Form is found in section 12. Notification will also be sent to the report or reporter's organization indicating that a formal investigation will be conducted.

Box 5 The CAA will institute a formal investigation in accordance with ASSI Pacman procedure 11.

Box 6 The CAA will conduct an internal investigation under the charge of the CAA Occurrence Investigator with the assistance of the UK AAIB or other specialist parties as required. In accordance with OTAC 13-1, the reporter and/or related parties and organizations should co-operate in the CAA investigation. An investigation shall conclude only when sufficient evidence is gathered to claim that recurrence maybe prevented or sufficiently controlled. The reporter's organization and/or related parties may, under their own safety responsibility, conduct investigations. The CAA may use discretion in relying upon this investigation and consequent actions providing they are kept in touch and that concluding action is sufficient to close the occurrence report.

Submissions that positively contribute to the investigation should be sent to the CAA Occurrence Investigator who will transfer them to form CAA 2000B (Supplementary Report) and distribute it to the assisting investigator/organization, as appropriate.

Box 7 The CAA Occurrence Investigator recommends to the DGCA that the occurrence is closed, and if in agreement, form CAA 2000C (Closure Recommendation) is completed and distributed to the reporter. On receipt, the reporter may challenge the recommendation and request re-opening of the report. If the Occurrence Investigator agree with the claim, the occurrence will be re-opened by withdrawal of form CAA 2000C (by notifying the reporter using CAA 2000B) and the investigation re-commenced.

If any party involved in an investigation believes resulting action of the investigation has wider preventative implications within the Cayman Islands or beyond, the Occurrence Investigator will publish a formal Accident Prevention Report. This will be drafted and agreed with all parties (i.e. occurrence investigator and reporter) before promulgation. The report will be sent to other States, organizations, and parties etc, who may be affected. If the Occurrence Investigator identifies safety matters considered to be important to other States, the report will be sent to them as soon as possible.

8.3 Occurrences outside the Cayman Islands

8.3.1 If the Cayman Islands is the State of Registry or State of Operator then the CAA will act in the same way as if the occurrence had occurred within the Cayman Islands. The CAA may open or close the occurrence regardless of the action of the State in which the event occurred. The CAA will assist the investigation of the State of Occurrence as and when asked. In the case of an accident or serious incident, it is a formal obligation for the CAA to assist the investigation and contribute to subsequent reports. In such cases, the CAA will appoint an accredited representative as a focal point for the investigation whose experience and standing is relevant to the specific occurrence.

9. Publication of Accident Prevention Reports

9.1 Accident Prevention Reports resulting from the investigation of occurrence reports which have been investigated by the CAA will be published on the CAA website www.caacayman.com for the purpose of informing states, organizations and interested parties etc, of the possible occurrence trends that might exist and raise safety awareness and knowledge.

10. Notification Contacts

Table 1

CONTACT	ADDRESS
State of Occurrence *The State having jurisdiction over the organization responsible for the type of design.*	ICAO DGCA Directory – Doc 7604 (http://www.icao.int/icao/en/dgca/dgca.htm)
State of Registry *The State on whose register the aircraft is entered.*	ICAO DGCA Directory – Doc 7604 (http://www.icao.int/icao/en/dgca/dgca.htm)
State of Design *The State having jurisdiction over the organization responsible for the type of design.*	ICAO DGCA Directory – Doc 7604 (http://www.icao.int/icao/en/dgca/dgca.htm)
State of Operator *The State in which the operator's principle place of business is located, or if there is not such place of business, the operator's permanent residence.*	ICAO DGCA Directory – Doc 7604 (http://www.icao.int/icao/en/dgca/dgca.htm)
State of Manufacturer *The State having jurisdiction over the organization responsible for the final assembly of the aircraft.*	ICAO DGCA Directory – Doc 7604 (http://www.icao.int/icao/en/dgca/dgca.htm)
ICAO when aircraft weighs > 2 250 kg or incidents to aircraft weighing > 5 700 kg	Montreal Headquarters. icaohq@icao.int
	North American, Central American and Caribbean Office. icao_nacc@mexico.icao.int
	South American Regional Office. mail@lima.icao.int
	European and North Atlantic Office. icaoeurnat@paris.icao.int
Air Safety Support International	PQS Manager, ASSI, Floor 2, Northgate House, 115 High Street, Crawley, West Sussex RH10 1FY, UK Tel: +44 (0) 1293 897000 Fax: +44 (0) 1293 897049 Email: enquiries@airsafety.aero www.airsafety.aero
Air Accident Investigation Branch	Air Accidents Investigation Branch Berkshire Copse Road Aldershot Hampshire GU11 2HH Tel: +44 (0)1252 510300 Fax: +44 (0)1252 376999 www.aaib.dft.gov.uk 24 hour Accident Reporting line: 01252 512299

11. Occurrence Processing Forms

11.1 Open Occurrence Report

<table>
<tr><td colspan="2">Civil Aviation Authority of the Cayman Islands
Occurrence Reporting</td><td>Occurrence No:</td></tr>
<tr><td colspan="2"></td><td>Occurrence Date:</td></tr>
<tr><td colspan="2">OPEN OCCURRENCEREPORT</td><td>Category: Accident; or
Serious Incident; or
Incident.</td></tr>
<tr><td>Aircraft Type/s:</td><td>Aircraft Registration/s:</td><td>Operator/s:</td></tr>
<tr><td></td><td></td><td></td></tr>
<tr><td>Investigator:</td><td colspan="2">Location:</td></tr>
<tr><td>Supporting Investigator/
Organization:</td><td colspan="2"></td></tr>
<tr><td colspan="3">Occurrence Title:</td></tr>
<tr><td colspan="3">Additional Information:</td></tr>
<tr><td colspan="3">Copy Warning:
Copies shall not be passed to any outside agency without the permission of the Reporter, unless such reports are suitably unidentified and all unnecessary comments blanked out.
FOR FURTHER ADVICE CONTACT THE DGCA</td></tr>
<tr><td>Signature:</td><td>Name:</td><td>Date:</td></tr>
</table>

CYI 2000A

FORM CYI 2000A – SUPPORTING NOTES

Occurrence Number: The unique number assigned to the occurrence report form on receipt in accordance with CAA Manual of Occurrence Reporting, section 6.6 Appendix C.

Occurrence Date: The date of occurrence or the date on which a situation was first detected.

Category: The category allocated to the occurrence i.e. Accident/Serious Incident or Incident.

Aircraft Registration/s: Country prefix followed by registration letters/numbers.

Aircraft Type/s: The aircraft type and model. An additional entry can be made if other aircraft are involved.

Operator/s: Name of Operating Company for involved aircraft.

Investigator: The person assigned by the DGCA as responsible for ensuring that the occurrence is investigated and closed.

Location: Occurrence location.

Supporting Investigator/ Organization: The person/s or organization assigned by the DGCA who have relevant experience/expertise to assist the DGCA nominated Investigator.

Occurrence Title: Brief high-level description of occurrence.

Additional Information: Detailed description of occurrence including, where possible, known causes, consequences, components and conditions as appropriate.

Signature: Signature of Investigator.

11.2 Supplementary Report

Civil Aviation Authority of the Cayman Islands Occurrence Reporting		**Occurrence No:** **Occurrence Date:**
SUPPLEMENTARY REPORT		**Category:** Accident; or Serious Incident; or Incident.
Aircraft Type/s:	**Aircraft Registration/s:**	**Operator/s:**

Investigator:	**Location:**
Supporting Investigator/ Organization:	
Occurrence Title:	
Additional Information:	

Copy Warning:
Copies shall not be passed to any outside agency without the permission of the Reporter, unless such reports are suitably unidentified and all unnecessary comments blanked out.
FOR FURTHER ADVICE CONTACT THE DGCA

Signature:	**Name:**	**Date:**

CYI 2000B

FORM CYI 2000B – SUPPORTING NOTES

Occurrence Number: The unique number assigned to the occurrence report form on receipt in accordance with CAA Manual of Occurrence Reporting, section 6.6 Appendix C.

Occurrence Date: The date of occurrence or the date on which a situation was first detected.

Category: The category allocated to the occurrence i.e. Accident/Serious Incident or Incident.

Aircraft Registration/s: Country prefix followed by registration letters/numbers.

Aircraft Type/s: The aircraft type and model. An additional entry can be made if other aircraft are involved.

Operator/s: Name of Operating Company for involved aircraft.

Investigator: The person assigned by the DGCA as responsible for ensuring that the occurrence is investigated and closed.

Location: Occurrence location.

Supporting Investigator/ Organization: The person/s or organization assigned by the DGCA who have relevant experience/expertise to assist the DGCA nominated Investigator.

Occurrence Title: Brief high-level description of occurrence.

Additional Information: Detailed description of occurrence including, where possible, known causes, consequences, components and conditions as appropriate.

Signature: Signature of Investigator.

11.3 Closure Recommendation

Civil Aviation Authority of the Cayman Islands **Occurrence Reporting**		**Occurrence No:**
		Occurrence Date:
CLOSURERECOMMENDATION		**Category:** Accident; or Serious Incident; or Incident.
Aircraft Type/s:	**Aircraft Registration/s:**	**Operator/s:**

Investigator:	**Location:**
Supporting Investigator/ Organization:	
Occurrence Title:	
Additional Information:	
Closure Statement:	

Copy Warning:
Copies shall not be passed to any outside agency without the permission of the Reporter, unless such reports are suitably unidentified and all unnecessary comments blanked out.
FOR FURTHER ADVICE CONTACT THE DGCA

Signature:	**Name:**	**Date:**

CYI 2000C

FORM CYI 2000C – SUPPORTING NOTES

Occurrence Number: The unique number assigned to the occurrence report form on receipt in accordance with CAA Manual of Occurrence Reporting, section 6.6 Appendix C.

Occurrence Date: The date of occurrence or the date on which a situation was first detected.

Category: The category allocated to the occurrence i.e. Accident/Serious Incident or Incident.

Aircraft Registration/s: Country prefix followed by registration letters/numbers.

Aircraft Type/s: The aircraft type and model. An additional entry can be made if other aircraft are involved.

Operator/s: Name of Operating Company for involved aircraft.

Investigator: The person assigned by the DGCA as responsible for ensuring that the occurrence is investigated and closed.

Location: Occurrence location.

Supporting Investigator/ Organization: The person/s or organization assigned by the DGCA who have relevant experience/expertise to assist the DGCA nominated Investigator.

Occurrence Title: Brief high-level description of occurrence.

Additional Information: Detailed description of occurrence including, where possible, known causes, consequences, components and conditions as appropriate.

Closure Statement: Substantive reasons why no further investigation is necessary. Should be brief description of action taken to prevent or adequately control recurrence.

Signature: Signature of Investigator.

11.4 Closure on Receipt

Civil Aviation Authority of the Cayman Islands Occurrence Reporting		**Occurrence No:**
		Occurrence Date:
CLOSED ON RECEIPT		**Category:** Accident; or Serious Incident; or Incident.
Aircraft Type/s:	**Aircraft Registration/s:**	**Operator/s:**

Investigator:	**Location:**
Supporting Investigator/ Organization:	
Occurrence Title:	
Additional Information:	
Closure Statement:	

Based on the report content and the rationale selected below, it is considered that no further investigative action is currently required. The occurrence will be re-opened if supplementary information so warrants.

☐1. Occurrence is adequately controlled by existing requirements/procedures/documentation etc.
☐2. Occurrence is only applicable to the reporter's operations, and appropriate action has been taken.
☐3. Occurrence appears random currently with no evidence of recurrence.
☐4. Occurrence is already being progressed under; Occurrence No.:
☐5. No further investigation is possible or justified.
☐6. Foreign/military occurrence for record purposes only.

Copy Warning:
Copies shall not be passed to any outside agency without the permission of the Reporter, unless such reports are suitably unidentified and all unnecessary comments blanked out.
FOR FURTHER ADVICE CONTACT THE DGCA

Signature:	**Name:**	**Date:**

CYI 2000D

FORM CYI 2000D – SUPPORTING NOTES

Occurrence Number: The unique number assigned to the occurrence report form on receipt in accordance with CAA Manual of Occurrence Reporting, section 6.6 Appendix C.

Occurrence Date: The date of occurrence or the date on which a situation was first detected.

Category: The category allocated to the occurrence i.e. Accident/Serious Incident or Incident.

Aircraft Registration/s: Country prefix followed by registration letters/numbers.

Aircraft Type/s: The aircraft type and model. An additional entry can be made if other aircraft are involved.

Operator/s: Name of Operating Company for involved aircraft.

Investigator: The person assigned by the DGCA as responsible for ensuring that the occurrence is investigated and closed.

Location: Occurrence location.

Supporting Investigator/ Organization: The person/s or organization assigned by the DGCA who have relevant experience/expertise to assist the DGCA nominated Investigator.

Occurrence Title: Brief high-level description of occurrence.

Additional Information: Detailed description of occurrence including, where possible, known causes, consequences, components and conditions as appropriate.

Closure Statement: Substantive reasons why investigation is not necessary.

Signature: Signature of Investigator.

12. Accident or Serious Incident Notification Report Form

CAA
CIVIL AVIATION AUTHORITY
of the Cayman Islands

Aircraft Accident and Serious Incident Investigation Notification Report

a) Accident (ACCID) or serious incident (INCID):	
b) Manufacture, model, nationality and registration marks, and serial number of the aircraft:	
c) Name of owner and operator:	
d) Name of pilot-in-command:	
e) Date and time of accident or serious incident:	
f) Description of sky condition, precipitation , wind velocity and visibility:	
g) Last point of departure and point of intended landing of aircraft:	
h) Location of accident or serious incident:	
i) Number of crew and passengers: aboard, killed and seriously injured; others: killed and seriously injured:	
j) Nature of accident or serious incident and the extend of damage to the aircraft so far as it is known:	
k) Presence and description of dangerous goods on board the aircraft:	
l) Indication to what extent the investigation will be conducted or is proposed:	
m) Physical characteristics of the accident or serious incident area:	
n) Identification of originating authority:	

Summary: