Advisory Circular

AC12-1

Revision 2 (5)

Mandatory Occurrence Notification and Information

4 April 2022

General

Civil Aviation Authority (CAA) Advisory Circulars (ACs) contain information about standards, practices, and procedures that the Director has found to be an acceptable means of compliance (AMC) with the associated rule.

Consideration will be given to other methods of compliance that may be presented to the Director. When new standards, practices, or procedures are found to be acceptable they will be added to the appropriate AC.

Purpose

This AC provides information and describes an AMC with the submission of occurrence notification and information required under Part 12 - *Accidents, Incidents, and Statistics*. This AC should be read in conjunction with AC12-2, *Occurrence Investigation*, where an investigation report is required.

Related Rules

This AC relates specifically to Part 12 Subpart B.

Change Notice

ICAO 29th Assembly Resolution A29-3 of year 1992 urges States to promote global harmonization of national rules. In order to implement this Resolution, Mongolian Civil Aviation Regulation has been developed based on “Memorandum for Technical Cooperation” between CAA of Mongolia and New Zealand, signed on 06.May.1999.

Amendment 164 of Annex 1 to the Chicago Convention on International Civil Aviation urges pilots, navigators using radiotelephony, air traffic controllers and aeronautical station operators to comply with the language proficiency requirements; and

Under Article 14 of the Civil Aviation Act, “Use of foreign language in civil aviation” the AC has been released in English version only, in order to prevent any mistranslation and misuse of the aviation safety related documents.

This AC12-1 Rev.2 was issued based on NZ AC12-1 rev.5, dated on 11.May.2021.

Rev.2 of this AC updates contact details and guidance on reporting requirements, covering PBN-related incidents and accidents and reinforcing the definition of “aircraft”, “accident” and “serious incident” covered by this guidance.

Table of Contents

Section 1 - Rule compliance

Note: This AC provides information about meeting rules in Part 12, in particular Subpart B. Because some rules are already clear, not all are explained in more detail.

Subpart B - Notification, Investigation, and Reporting of Occurrences

12.51 Notification of accident

This rule requires accidents to be notified to CAA as soon as practicable. See Section 2 for appropriate contact details for CAA.

Accident definition

The definition of an accident is contained in CAR interpretation summary but is reproduced below for ease of reference. Persons submitting reports should refer to this definition when deciding whether an occurrence is an accident. If in doubt, report it anyway.

*"**Accident**" means an occurrence associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down, in which:*

(1) a person is fatally or seriously injured as a result of:
   (i) being in the aircraft; or
   (ii) direct contact with any part of the aircraft, including parts which have become detached from the aircraft; or
   (iii) direct exposure to jet blast,

   except when the injuries are from natural causes, self-inflicted or inflicted by other persons, or when the injuries are to stowaways hiding outside the areas normally available to the passengers and crew; or

(2) the aircraft sustains damage or structural failure which:
   (i) adversely affects the structural strength, performance or flight characteristics of the aircraft, and
   (ii) would normally require major repair or replacement of the affected component,

   except for engine failure or damage, when the damage is limited to a single engine (including its cowlings or accessories), to propellers, wing tips, antennas, probes, vanes, tires, brakes, wheels, fairings, panels, landing gear doors, windscreens, the aircraft skin (such as small dents or puncture holes), or for minor damages to main rotor blades, tail rotor blades, landing gear, and those resulting from hail or bird strike (including holes in the radome); or

(3) the aircraft is missing or is completely inaccessible.

Aircraft definition

The definition of an aircraft is contained in CAR interpretation summary but is reproduced below for ease of reference. Persons submitting reports should refer to this definition when deciding whether the machine involved in an accident or serious incident is classed as an aircraft by CAA. If in doubt, report it anyway.

"***Aircraft***" means any machine that can derive support in the atmosphere from the reactions of the air otherwise than by the reactions of the air against the surface of the earth.

"***Aircraft category***" and "***category of aircraft***" means any one of the following classes of aircraft: aeroplane, balloon, glider, hang glider, helicopter, or microlight.

12.53 Details of accident

This rule requires occurrence details of accidents to be provided to CAA on form CA005, through the on-line reporting function on the CAA's website, or by a means acceptable to CAA. See Section 2 for appropriate contact details for CAA.

CAA has determined that some 3rd party software systems can be an AMC for providing details of Accidents and Incidents. Contact the Director of Aviation Safety Oversight and Regulations Department if considering using or developing such software, using the Aviation Safety Oversight and Regulations Department contact details in Section 2.

12.55 Notification of incident

This rule requires the holder of a certificate, any person involved in the incident, or a pilot-in- command to notify CAA as soon as practicable of incidents, airspace and bird incidents that are serious or an immediate hazard, as required in paragraphs (a), (b), and (c) of rule 12.55. In addition, an aircraft incident or defect incident associated with an aircraft used to perform an extended diversion time operation (EDTO) is to be notified to CAA within 72 hours of the incident occurring. Refer to Section 2 for contact details for CAA.

Note: See Appendix A for examples of 'incidents' and 'serious incidents.

12.57 Details of incident

The rule requires details of an incident to be submitted to CAA within 14 days of the incident, either on the appropriate CA005 form, through the on-line reporting function on CAA's website, or by a means acceptable to CAA. Please check the CAA website under the Forms pages (https://www.mcaa.gov.mn/Forms) to find the right CA005 form.

CAA has determined that some 3rd party software systems can be an AMC for providing details of accidents and incidents. Contact the Director of Aviation Safety Oversight and Regulations Department if considering using or developing such software, using the Aviation Safety Oversight and Regulations Department contact details in Section 2.

12.61 Confidentiality of persons submitting information

If a person requests confidentiality when notifying and providing details of an incident, CAA will remove any information that might reveal the identity of that person before processing the information in the data system. Persons requesting confidentiality should be aware that confidentiality might inhibit effective investigation. See Section 2 for confidential address details.

Section 2 - Channels of communication

Accident and serious incident or immediate hazard notification.

The acceptable means of Accident and Serious Incident notification to the Authority is by-

- Phone: 976-98985525 at anytime

This is a toll-free phone for receiving accident notifications. This number is monitored 24 hours every day of the week. If a report is made via this telephone, a CAA representative will request details of the accident.

Incident notification

The means of notification direct to the Authority is as follows-

- Phone: 976-98985525 at anytime,
- Email: report@mcaa.gov.mn
- Form CA005, or CA005B, or Form CA005D (self-addressed)

Electronic versions of some CA005 forms are available at https://www.mcaa.gov.mn/Forms. Word versions can be completed electronically. Some PDF versions must be printed and filled by hand. These can be scanned and emailed or posted.

Accident and Incident details

Aviation Safety Oversight and Regulations Department,
Mongolian Civil Aviation Authority,
P.O.Box 6, Buyant-Ukhaa 34,
Khan-Uul district,
Ulaanbaatar 17120,
Mongolia
or
Phone: 976-98985525 at anytime,
Email: report@mcaa.gov.mn
Form CA005, or CA005B, or Form CA005D (self-addressed)

Confidential address

If a reporter wishes to submit a confidential notification or incident details, the submission should be clearly annotated **CONFIDENTIAL** and addressed to-

Aviation Safety Oversight and Regulations Department,
Mongolian Civil Aviation Authority,
P.O.Box 6, Buyant-Ukhaa 34,
Khan-Uul district,
Ulaanbaatar 17120,
Mongolia

or

Phone: 976-98985525 at anytime.

Section 3 - Background information

CAA's Responsibilities

CAA has a central unit for receipt, processing, and storage of accident and incident notifications and the details submitted in accordance with Part 12, and sending them to the appropriate unit in CAA for:

(a) Analysing all accident and incident notifications and details

(b) Notifying AAIB of accidents and incidents in accordance with the Act

(c) Evaluating occurrences to identify those that warrant direct CAA follow-up and to direct such submissions to the appropriate section for action. Such submissions are classified as open

(d) Coding and recording all accidents and incidents in a computer data store

(e) Continuously monitoring all incoming data for significant aspects and trends, using previously stored data when appropriate and alerting the appropriate CAA section and the aviation industry when necessary

(f) Co-ordinating and monitoring the progress of CAA follow-up on open occurrences

(g) Disseminating basic information, or a summary of the information in submissions

(h) Analysing data in response to requests from CAA or the aviation industry and reporting on findings

(i) Providing statistics and analyses of the incident data to establish trends and to determine when corrective action is desirable, and

(j) Drawing attention to the lessons learned from analysis of the data through appropriate publications.

Occurrence information collection objectives

Occurrence information is collected by CAA to improve flight safety by sharing lessons learned from analysing submitted information. Safety is also enhanced by promptly alerting those organisations associated with the operation, servicing and manufacture of aircraft or equipment, for which information has been submitted.

Confidentiality of Identity

A key objective of the Mandatory Occurrence Information System is to disseminate the substance of reports in the interest of flight safety. The name of the person submitting the report, or to whom it relates, will not be disclosed unless-

- disclosure is required by law, or
- the person concerned authorises disclosure.

CAA will take all reasonable steps to avoid disclosing the identity of the reporter, and individuals involved should any flight safety follow-up action arising from a report be necessary.

Rule 12.61 requires CAA, when confidentiality is requested by a person submitting information about an occurrence in accordance with rule 12.55 or rule 12.57 to-

- as soon as practicable, remove any information which might reveal the identity of the source, and
- not make any other record of the information that is removed.

Protection of Safety Information

Rule 12.63 states that CAA shall not use or make available for the purpose of prosecution investigation or for prosecution action any information submitted to it by a person under Part 12 unless-

(1) the information reveals an act or omission that caused unnecessary danger to any other person or to any property, or

(2) false information is submitted, or

(3) CAA is obliged to release the information pursuant to a statutory requirement or by order of a Court.

APPENDIX A - Incidents that need to be notified to CAA

Introduction

Rule 12.57 requires details of all incidents to be submitted to CAA within 14 days of the incident. Informants must follow up an incident initially notified to CAA under rule 12.55 by submitting details to provide complete information about the incident.

Holders of organisation certificates must establish procedures and systems to submit incident details and include them. in the organisation's certification exposition.

CAA recommends industry systems in which a responsible person within the organisation is nominated to:

- receive all information about incidents
- establish which information meets the criteria to be submitted to CAA
- correlate operational and technical aspects, and
- provide any relevant supplementary information.

Individuals are strongly advised, in the interests of safety, to submit details to their employer, except when confidentiality is regarded as essential. However, an individual may submit details of an incident directly to CAA.

A manufacturer, maintenance organisation, overhaul organisation, or repair organisation, of aircraft, components, or equipment, is not expected to submit information about an incident to CAA if the aircraft operator has already done so. CAA expects operators to advise manufacturers of incidents that have been notified and detailed to CAA. A manufacturer should submit details of an incident, if they know the operator concerned has not.

Where a repair or maintenance organisation is in doubt if an incident should be reported, they should submit a report to ensure that Part 12 is complied with.

Any person or organisation specified in Part 12 must submit details about any incident, which they know about, unless they have good reason to believe that details of the incident have already been, or will be, submitted by someone else.

Persons submitting reports should check the definition of an incident when deciding whether to submit information. If in doubt, submit the information anyway.

Definitions

While CAR interpretation summary provides a definition for an **incident** and a **serious incident**, the following examples should assist in determining whether it is necessary to submit a report:

Serious incident means an incident involving circumstances indicating that there was a high probability of an accident and associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down.

Incident means any occurrence, other than an accident, that is associated with the operation of an aircraft and affects or could affect the safety of operation.

Incident

- a defective condition or
- an unsatisfactory behaviour or
- a procedure-

which did not immediately affect the safety of an aircraft operation, but which if allowed to continue uncorrected or which, if repeated in different, but likely circumstances, would affect the safety of an aircraft operation.

Serious incident

1. There may be a high probability of an accident if there are few or no safety defences remaining to prevent the incident from progressing to an accident. To determine this, an event risk-based analysis (that takes into account the most credible scenario had the incident escalated and the effectiveness of the remaining defences between the incident and the potential accident) can be performed as follows:

(a) consider whether there is a credible scenario by which this incident could have escalated to an accident; and

(b) assess the remaining defences between the incident and the potential accident as:
- effective, if several defences remained and needed to coincidently fail; or
- limited, if few or no defences remained, or when the accident was only avoided due to providence.

1.1. Consider both the number and robustness of the remaining defences between the incident and the potential accident. Ignore defences that failed, and consider only those that worked and any subsequent defences still in place.

Note 1. The most credible scenario refers to the realistic assessment of injury and/or damage resulting from the potential accident.

Note 2. Defences include crew, their training and procedures, ATC, alerts (within and outside the aircraft), aircraft systems and redundancies, structural design of the aircraft and aerodrome infrastructure.

1.2. The combination of these two assessments helps to determine which incidents are serious incidents:

		b) Remaining defences between the incident and the potential accident	
		Effective	*Limited*
a) Most credible scenario	*Accident*	*Incident*	*Serious Incident*
	No accident	*Incident*	

2. The incidents listed are examples of what may be serious incidents. However, the list is not exhaustive and, depending on the context, items on the list may not be classified as serious incidents if effective defences remained between the incident and the credible scenario.

- Near collisions requiring an avoidance manoeuvre to avoid a collision or an unsafe situation or when an avoidance action would have been appropriate.
- Collisions not classified as accidents.

- Controlled flight into terrain only marginally avoided.
- Aborted take-offs on a closed or engaged runway, on a taxiway1 or unassigned runway.
- Take-offs from a closed or engaged runway, from a taxiway1 or unassigned runway.
- Landings or attempted landings on a closed or engaged runway, on a taxiway1 , on an unassigned runway or on unintended landing locations such as roadways.
- Retraction of a landing gear leg or a wheels-up landing not classified as an accident.
- Dragging during landing of a wing tip, an engine pod or any other part of the aircraft, when not classified as an accident.
- Gross failures to achieve predicted performance during take-off or initial climb.
- Fires and/or smoke in the cockpit, in the passenger compartment, in cargo compartments or engine fires, even though such fires were extinguished by the use of extinguishing agents.
- Events requiring the emergency use of oxygen by the flight crew.
- Aircraft structural failures or engine disintegrations, including uncontained turbine engine failures, not classified as an accident.
- Multiple malfunctions of one or more aircraft systems seriously affecting the operation of the aircraft.
- Flight crew incapacitation in flight:
  (a) for single pilot operations (including remote pilot); or
  (b) for multi-pilot operations for which flight safety was compromised because of a significant increase in workload for the remaining crew.
- Fuel quantity level or distribution situations requiring the declaration of an emergency by the pilot, such as insufficient fuel, fuel exhaustion, fuel starvation, or inability to use all usable fuel on board.
- Runway incursions classified with severity A. The Manual on the Prevention of Runway Incursions (Doc 9870) contains information on the severity classifications.
- Take-off or landing incidents. Incidents such as under-shooting, overrunning or running off the side of runways.
- System failures (including loss of power or thrust), weather phenomena, operations outside the approved flight envelope or other occurrences which caused or could have caused difficulties controlling the aircraft.
- Failures of more than one system in a redundancy system mandatory for flight guidance and navigation.
- The unintentional or, as an emergency measure, the intentional release of a slung load or any other load carried external to the aircraft.

Guidance for reporting

Listed below are examples of other types of incidents, by each class of incident that are considered to meet the criteria for the submission of a notification and details. This list covers a wide range of items, but is not exhaustive.

You may like to rearrange these incident groups, in your manuals, to suit your own methods.

Airspace incidents

Air traffic service personnel impairment

Impairment of any personnel of an air traffic service unit when, as a consequence, an aircraft was, or could have been, exposed to hazard.

Air traffic services incidents

(a) Provision of incorrect altimeter setting
(b) Failure or inadequacy of prescribed let-down procedures
(c) Misidentification of aircraft
(d) Incorrect transmission, receipt or interpretation of significant messages
(e) Less separation between aircraft than that prescribed for the situation
(f) Unauthorised infringement of any form of designated airspace.

Flight crew interpretation of information and instructions

(a) Incorrect setting of an SSR code
(b) Incorrect setting of an altimeter sub-scale
(c) Flight at a level, or on a route, different from that allocated:
(d) Flight outside the applicable position or altitude tolerances for operation on RNAV or RNP routes, and in RVSM or RNP airspace, or
(e) Incorrect receipt, or interpretation, of significant radiotelephone messages.

Airborne Collision Avoidance System (ACAS/TCAS)

Resolution advisory

Bird incidents

(a) A collision between an aircraft and one or more birds
(b) One or more birds pass the aircraft inside the wingspan, or
(c) One or more birds pass sufficiently close to an aircraft in flight to cause alarm to the pilot.

Defect incidents

(a) Damage to any primary structure, or any damage to secondary structure, that consequently created a hazard or could have created a hazard to the aircraft, unless it is minor accidental damage readily evident and notified to the aircraft operator at the time it occurred
(b) Damage or deterioration found as a result of a special inspection or check. For example, an Airworthiness Directive
(c) Separation from the aircraft, in flight, of any part of the aircraft
(d) Significant defects or damage found as a result of a heavy landing, or a turbulence, check, or

(e) Significant deterioration, defects, or damage found during routine maintenance, being of a nature or type not normally expected to arise from normal service operation.

Any damage to aircraft structure that has not been reported as an accident should be reported - this refers to damage found in flight or on the ground resulting from in-service deterioration, such as cracks, corrosion, permanent deformation, and the like.

Substantial damage which occurs between the time any person boards an aircraft with the intention of flight and such time as all persons have disembarked, and the engine, or any propellers or rotors, come to rest, **is to be notified and reported as an accident**.

Aircraft systems

(a) Any failure, significant malfunction, or deterioration of any items, or systems, or equipment, found as a result of a special mandatory inspection or check. For example, manufacturer's alerts, Service Bulletins, Airworthiness Directives, and the like

(b) Significant defects, deterioration, or damage, to system components, found during routine maintenance or repair, of a nature or type not normally expected to arise from normal service operation

(c) System or component failures, or significant malfunctions, identified by routine testing and inspection procedures, either on the aircraft or in the workshops. For example, defects causing, or likely to cause, failure of an actuating system for flaps, spoilers, drag devices, landing gear, brakes, and the like

(d) Failure, or malfunction, of any item, not normally considered as reportable, where the circumstances of the failure, or its association with other failures, introduces an element of hazard. For example, furnishings and equipment, water systems, and items included in an allowable deficiency or minimum equipment list, or

(e) Emergency equipment and system failures. Any defect in an emergency system that may prevent the system from operating correctly when required. For example, ELT found defective on routine check, escape slide that will not inflate, smoke detectors that do not function.

In-service defects

(a) Failure or malfunction of engines

(b) Loss or shutdown of any engine

(c) Inability to shut down an engine, or to control power, thrust or RPM, by use of normal procedures

(d) Significant overspeed or runaway of engines, propellers, rotors, APU, or other high-speed components

(e) Uncontained failure of any high-speed rotating components. For example, APU, air starters, ACM, ATM, and the like

(f) Failure or malfunction of aircraft systems and equipment

(g) Any loss, significant malfunction or out of tolerance operation of any main system, sub-system, or set of equipment. For example, hydraulic power, flight control system, electrical power, air systems, ice protection, communication systems, navigation systems and instruments, warning systems and devices, brake systems, wheels or tyres, or both, on each landing gear

(h) Significant asymmetry of flaps, slats, spoilers, and the like

(i) Limitations of movement, stiffness, or poor or delayed response, in the operation of the primary flight control systems, or their associated tab and lock systems

(j) Loss, or malfunction, of any rotorcraft auto stabiliser mode

(k) Inability to achieve the intended aircraft configuration for any flight phase

(l) Malfunction of any indication or navigation systems when the possibility of significantly misleading indication to the crew results

(m) Operation of any primary warning system associated with aircraft systems or equipment when-

(i) it is evident to the crew that the indication is false, or

(ii) the indication is confirmed as false after landing.

For example, fire or smoke warning, door warning, and the like.

(n) Operation of any other primary warning system associated with manoeuvring of the aircraft when-

(i) it is evident to the crew that the indication is false, or

(ii) the indication is confirmed as false after landing.

For example, stall warning (stick shake), stall protection (stick push), over-speed warning, and the like.

(o) Reversion to manual control of powered primary controls, other than for training or test purposes

(p) Failure of ice-protection equipment, or build up of ice on the aircraft beyond the capability of the ice-protection system

(q) Critical AC, or DC, power system, or electrical component failure

(r) Loss of cabin pressurisation

(s) Contamination of the cabin, cockpit, or baggage compartment, or

(t) For twin engine aircraft approved for extended range operations (ETOPS) there are additional reporting requirements. Refer to AC121-1 Extended-range twin-engine operations, or

(u) For helicopters-

defects causing, or likely to cause, failure of rotors, or rotor drive systems.

Dangerous goods incidents

(a) Escape of smoke, or flames, from the container or package in which the dangerous goods are contained

(b) Breakage of the container, or package, in which the dangerous goods are contained

(c) The escape of dangerous goods from the container or package in which they are contained

(d) Leakage of fluid, or radiation, from the container or package in which the dangerous goods are contained

(e) Incorrect labelling or packaging of dangerous goods, or

(f) Incorrect loading of dangerous goods in the aircraft.

Facility malfunction incidents

Total failure, significant malfunction, non-availability, reduced capability, or out-of-tolerance operation of any aeronautical telecommunication or navigational aid facility. Note that this includes space-based telecommunication or navigational aids or services.

Aircraft incident

Note: Substantial damage that occurs between the time any person boards an aircraft with the intention of flight and such time as all persons have disembarked, and the engine, or any propellers or rotors, come to rest, ***should be notified and reported as an accident****.*

Injury to a person

Any significant injury to any person, which directly results from the operation of the aircraft or its equipment, but which is not considered to be an accident.

Impairment of the capacity of a crew member to undertake the function to which their licence or responsibilities relate-

(a) Impairment of any flight crew member, including any occurrence prior to departure if it is considered that it could have resulted in incapacitation during flight, or

(b) Impairment of any flight attendant that renders the person incapable of performing essential emergency duties.

The use of any procedure taken for the purpose of overcoming an emergency

(a) The use of emergency equipment, or prescribed emergency procedures, in order to deal with a situation, whether in flight or on the ground

(b) The use of any non-standard procedure, adopted by the flight crew, to deal with an emergency

(c) The declaration of an emergency

(d) An emergency, forced, or precautionary, landing, or

(e) Failure of any emergency equipment, or procedures, to perform satisfactorily including when being used for training.

Encountering wake turbulence during approach to land, or on climb after take-off

Failure or malfunction of engines

Loss, shutdown, or significant malfunction, of any engine when-

(a) standard operating procedures, drills, and such like, are not satisfactorily accomplished, or

(b) a hazardous situation arises, or might have arisen, from the decisions or actions of the crew subsequent to the malfunction or failure.

Failure or malfunction of aircraft systems and equipment

Any loss or significant malfunction of one main system, sub-system, or set of equipment when-

(a) standard operating procedures, drills, and the like, are not satisfactorily accomplished, or

(b) a hazardous situation arises, or might have arisen, from the decisions or actions of the crew subsequent to the malfunction or failure.

For example, hydraulic power, flight control systems, electrical power, air systems, ice protection, communication systems, navigation systems and instruments (including loss as a result of failure of GPS, ADS-B or other navigational systems), warning systems and devices, brake systems, or wheels or tyres on each landing gear.

Incidents affecting all aircraft

(a) Fire or explosion

(b) Smoke, or toxic or noxious fumes, in the aircraft

(c) Leakage of fuel that results in a major loss, significant fire hazard, or significant contamination

(d) Malfunction of the fuel jettisoning system that results in inadvertent loss of a significant quantity of fuel, significant fire hazard, possibly hazardous contamination of aircraft equipment, or inability to jettison

(e) Fuel system malfunctions having a significant effect on the fuel supply and distribution

(f) Leakage of hydraulic fluids, oil, or other fluid, which results in a significant fire hazard, or possibly, hazardous contamination

(g) Inability to re-light, or re-start, a serviceable engine, or

(h) Operation of any primary warning system associated with aircraft systems or equipment. For example, fire or smoke warning, door warning, and the like.

Any occurrence arising from the control of an aircraft, in flight, by its flight crew

(a) Abandoned take-off resulting from, or producing, a hazardous, or potentially hazardous, situation. For example, at speeds close to, or over, V_1

(b) Go-around resulting from, or producing, a hazardous or potentially hazardous situation

(c) Heavy landing- a landing deemed to require a heavy landing check

(d) Turbulence encounter- an encounter deemed to require a turbulence check

(e) Lightning strike

(f) Unintentional significant deviation from intended track, or altitude, caused by procedural systems, equipment defect, or human factor

(g) Unintentional deviation from intended track, or altitude, outside the applicable RNP, RNAV or RVSM tolerances caused by procedural systems, equipment defect, loss as a result of failure of GPS, ADS-B or other navigational systems or human factors

(h) Descent below decision height, or minimum descent height, in instrument landing conditions

(i) Unintentional contact with the ground, including touching down before the runway threshold

(j) Over-running the ends, or edges, of the runway

(k) Serious loss of braking action

(l) Approaching to, or landing on, a wrong runway or aerodrome

(m) Significant loss of control from any cause

(n) Occurrence of stall, or a *stick push* operation, other than for training or test purposes

(o) Significant inadvertent reduction in airspeed

(p) Contact, or near contact requiring avoiding action, with suspended wires or cables

(q) GPWS/TAWS *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 (Mode 1)

(iii) the warning results from failure to select landing gear, or flap, by the appropriate point on approach (Mode 4)

(iv) any difficulty or hazard arises, or might have arisen, as a result of crew response to the warning. For example, possibly reduced separation from other traffic. This could include warning of any Mode, or Type, that is genuine, nuisance, or false, or

(v) any difficulty or hazard arises, or might have arisen, as a result of crew response to a GPWS/TAWS *alert*

(r) Operation of any other primary warning system associated with manoeuvring of the aircraft. For example, stall warning (*stick shake*), stall protection (stick push), over speed warning, and similar

(s) Inadvertent incorrect operation of any controls which resulted in, or could have resulted in, a significant hazard

(t) An incident, or hazard, which arises as a consequence of any deliberate simulation of failure conditions for training, system checks, or test purposes, or

(u) In-flight fuel quantity getting critically low.

Occurrence arising from the loading or carriage of passengers, cargo, or fuel

(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 fluids.

(c) Incorrect loading of passengers, baggage, or cargo, likely to have a significant effect on aircraft weight and balance.

(d) Inadequate securing of cargo containers or substantial items of cargo.

(e) Incorrect stowage of baggage or cargo likely in any way to hazard the aircraft, its equipment or occupants, or to impede emergency evacuation.

(f) Significant contamination of aircraft structure, systems, or equipment arising from the carriage of baggage or cargo.

Extended diversion time operations (EDTO)

An aircraft incident such as an in-flight shutdown of a propulsion system, a diversion or turn back, or an inadvertent fuel loss or unavailability associated with an aircraft performing an EDTO.

Additional rotorcraft related incidents

(a) Loss of power margin in flight, when it results in contact with ground, or water, or other object

(b) Rotor overspeed in flight, in excess of the component change limits

(c) Mast bumping in flight

(d) Power settling, or settling with power, when it results in surface contact, or in a rate of descent in excess of 1000 feet per minute

(e) Main or tail rotor strike resulting in damage to the rotor, or

(f) Ground resonance requiring corrective action by the pilot.

Security incidents

(a) Unlawful seizure of an aircraft

(b) An attempted unlawful seizure of an aircraft

(c) Violence against a person on board an aircraft in flight if that act is likely to, or has the potential to, endanger the safety of that aircraft

(d) Destroying an aircraft in service, or causing damage to such an aircraft, that renders it incapable of flight, or which is likely to endanger its safety in flight

(e) Placing, or causing to be placed, or attempting to place, on an aircraft in service, by any means whatsoever, a device or substance which is likely-
  (i) to destroy that aircraft
  (ii) to cause damage to it that renders it incapable of flight, or
  (iii) to cause damage to it that is likely to endanger its safety in flight

(f) Destroying, or damaging, an aeronautical telecommunication facility, or interfering with its operation

(g) Unlawfully using any device, substance, or weapon, at an aerodrome to-
  (i) use violence against a person which causes, or is likely to cause serious injury or death, or
  (ii) destroy, or seriously damage, an aerodrome facility, or an aircraft on the aerodrome

(h) Attempted break-in to a parked aircraft

(i) Any other unlawful act which affects or could affect the immediate safety of aircraft operations

(j) Unlawful attempt to take on board an aircraft-
  (i) any firearm
  (ii) any ammunition
  (iii) any explosive substance or device, or any other injurious substance or device of any kind whatsoever, which could be used to endanger the safety of the aircraft or of persons on board the aircraft, or
  (iv) any other dangerous or offensive weapon, or any dangerous instrument of any kind whatsoever.

Promulgated information incidents

Provision of significantly incorrect, inadequate, or misleading promulgated information in any-

(a) Aeronautical information publication

(b) Map

(c) Chart

(d) Manual

(e) Digital database or information presented online, or

(f) Meteorological information.

Aerodrome incidents

(a) Failure or significant malfunction of aerodrome lighting

(b) Failure or significant malfunction of a visual approach slope indicator system

(c) Significant deterioration of aerodrome wind indicators, markings, or signs

(d) Major failure, or significant deterioration, of surfaces in aerodrome manoeuvring areas

(e) Significant spillage of fuel on aerodrome aprons

(f) Errors, or inadequacies, in marking of obstructions or hazards on aerodrome manoeuvring areas

(g) Errors, or inadequacies, in lighting of obstructions or hazards on aerodrome manoeuvring areas or in the vicinity of an aerodrome

(h) Runway incursions, defined by ICAO as "Any occurrence at an aerodrome involving the incorrect presence of an aircraft, vehicle or person on the protected area of a surface designated for the landing and take-off of aircraft".[1]

(i) Any other obstruction of the aerodrome operational area or protrusion into the aerodrome obstacle limitation surfaces by aircraft, vehicles, persons, animals or foreign objects in a hazardous or potentially hazardous situation

(j) Apron blast incidents resulting in significant damage or injury

(k) Collision between a moving aircraft and any other aircraft, vehicle, person, animal, or other ground object, or

(l) Aircraft departing from a paved surface which results in, or could have resulted, in a significant hazard.

Other incidents

Any other incident that affects, or if not corrected could affect, the safety of an aircraft, its occupants or any other person, being-

(a) A failure, or malfunction, of ground equipment used for testing or checking 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

(b) Repetitive events, at an excessive frequency, of a specific type of failure, or malfunction, which in isolation would not be considered to be a reportable incident

(c) Minor loading errors at a particular aerodrome

(d) GPWS nuisance warning at a particular aerodrome

(e) Incorrect assembly of parts, or components, of aircraft, or any ground equipment, where the condition has not been found as a result of inspection and test procedures required for that specific purpose, or

(f) The supply or use of a suspected unapproved part (SUP) where there is suspicion that a part, component, or material does not meet the requirements of an approved part (refer to AC00-1 concerning unacceptable parts).

[1] ICAO Doc 4444 - PANS-ATM

Appendix B - Filling in Form CA005 - pages 1 & 2

Introduction

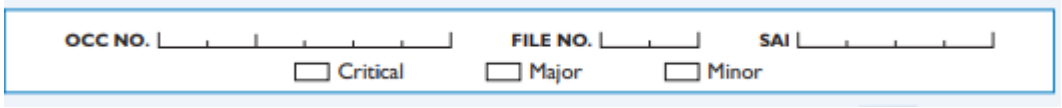
Submissions are made to CAA from a wide range of sources within and outside the aviation industry. Relevant information from these submissions is stored in a computer database and retrieved to inform flight safety studies. To facilitate storage and analysis of data it is important that submissions contain sufficient information for identification, comparison, and the like in a standard format. To this end CAA has devised a number of CA005 forms for different situations. Please check the CAA website under the Forms pages https://www.mcaa.gov.mn/Forms) to find the right CA005 form.

Organisations may wish to design an incident detail form to meet their own requirements or systems. In such cases the format should, as far as possible, follow the general format of the relevant CA005 forms to facilitate data capture. Organisations should consult with CAA when proposing an alternative system to ensure it is acceptable to CAA.

Filling in CA005 forms

Form CA005 is designed to gather detailed information about all accidents and incidents. Some of the information fields may not be relevant to every incident. Information requested that is clearly **not relevant** may be omitted. On the other hand, you might consider that you have relevant information not asked for. If this is the case, please provide it anyway. If you run out of space, please attach extra pages.

The blue fields on the top of some forms are for CAA use only:



Evaluation and processing of the data is simplified if the details are typewritten. If that is not possible fill them in with a black ballpoint pen in legible writing or block letters.

Provide details

Persons required to provide details of an accident, in accordance with rule 12.53, or of an incident, in accordance with rule 12.57, should do so by filling the appropriate form CA005 form. This report must be submitted to CAA within 10 days of the accident or 14 days of the incident.

The details required are listed in rule 12.51(b) for accidents, and Part 12, Appendix A, for incidents.

Tables 1 to 5, overleaf, provide more detail about how to fill in sections of the form.

Table 1. First block on page 1

Data field	Filling advice
Date of occurrence	Use the format day/month/year. Make sure you have it right if you use UTC time!
Time	Fill the time box and then tick the appropriate box as Ulaanbaatar time (ULAT) or Co-ordinated universal time (UTC).
Location	**Do not use abbreviations or Designators** Plain text in relationship to a city, town, settlement, or the like. An example would be 10 nm south of Napier. Avoid using place names that will not easily be recognised by persons from outside the local area.
Aircraft manufacturer and model	You will find this in the aircraft flight manual.
Aircraft Registration	Include where an aircraft is involved. Include nationality marks for non JU / EI-aircraft.
Operator	This is the holder of the aircraft certificate of registration or the pilot's employer, usually it is the person that authorised the flight.
Client ID	If you know it, fill it, otherwise leave it blank as the CAA data base will generate it.
POB (Persons on Board)	Required for several incident types, so include if known.
Number of Injuries	Only required for accidents, however injuries should be reported if they occur for any incident.

Table 2. Block headed Operational Details on page 1

Data field	Filling advice
	This block is for accidents and in-flight incidents when relevant.
Flight No./Call sign	This is usually applicable to an airline operation.
Altitude	Fill the box with numerals then tick the appropriate above ground level (*AGL*) or above sea level (*ASL*) or flight level (*FTL*).
Runway used	Use the two-digit runway designator, if relevant.
Departure point	This is usually an aerodrome listed in the AIP but, if not, define it best you can.
Destination point	As for departure point above.
Nearest reporting point (NRP)	These are designated NRP promulgated in the AIP and associated charts. **Complete for all operational occurrences including Bird Incidents**

Data field	Filling advice
Distance and bearing from NRP	The first box is distance in nautical miles (nm), and the second box is degrees true. **Complete for all operational occurrences including Bird Incidents**
The next 4 boxes	Tick the appropriate flight rules being operated, *VFR or IFR,* followed by the flight conditions at the time of the occurrence, *VMC or IMC.*
Nature of flight	The two boxes referring to scheduled or non-scheduled are relevant to air transport operations only, while the boxes referring to domestic, international, and ETOPS could be relevant to any type of operation. The remaining boxes are self-explanatory but note that there is an "*other" (specify)* box if you are not able to find the type of flight in the detailed boxes.
Flight Phase	Tick as appropriate, or detail in the *other* box.
Effect on flight	Tick as appropriate, or detail in the *other* box. Note that more than 1 effect may apply.

Table 3. Block headed Description of Occurrence on page 1

Data field	Filling advice
Description of occurrence	This is a narrative field for you to fill, in plain Mongolian or English, giving as full a description as possible. See the note under the box to use a separate piece of paper if needed.
Pilot in command's name	Fill in the given names, in full, followed by the surname of the pilot in command, if known to the submitter
Licence number	This is the pilot's licence number
Pilot flight hours in last 90 days	If known to the submitter.
Flight hours on type	If known to the submitter. Type means *aircraft type.*
Total flight hours	If known to the submitter.
Last checked	If known to the submitter. Place a tick in the relevant box.
by - name	If known to the submitter. This is the name of the person who conducted the check flight you ticked in the previous box.
Date checked	If known to the submitter. This is the date of the flight check you ticked in the box above.
Check pilot's ID	If known to the submitter. If you don't know, leave it blank as the CAA database will generate this information.

Table 4. Block headed Type of Occurrence on page 2

Data field	Filling advice
Accident/incident	This block provides you with a choice of descriptors for you to tick the relevant field or fields and has another field called *other (specify)* if the descriptors do not fit the circumstances.
Airspace Incident	The first field, Airspace ID - e.g. AA/TMA/C, is the airspace designation as promulgated in the AIP and associated charts. The remaining fields provide you with a choice of descriptors for you to tick the relevant field or fields and has another field called *other (specify)* if the descriptors do not fit the circumstances.
Facility malfunction	Facility ID, Name, and Facility Type, are promulgated in the AIP and associated charts consisting of a two letter designator, usually named after the aerodrome it serves, and the type such as *NDB, VOR*, and the like. The remaining fields provide you with a choice of descriptors for you to tick the relevant field or fields and has another field called *other (specify)* if the descriptors do not fit the circumstances.
Aerodrome occurrence	This block of fields provides you with a choice of descriptors for you to tick the relevant field or fields and has another field called *other (specify)* if the descriptors do not fit the circumstances.
Dangerous goods	This block of fields provides you with a choice of descriptors for you to tick the relevant field or fields and has another field called *other (specify)* if the descriptors do not fit the circumstances. The field labelled mis/non-declaration means an article or substance classified as a dangerous goods mis-declared or not declared at all.
Bird Hazard	The fields are self explanatory, though you may have problems in identifying the species. If this is the case describe the bird if possible.
Aircraft defect/engineering details	As the title suggests these fields are usually filled by a maintenance organisation or LAME. The terminology used in the fields should be familiar to the persons filling out the fields. If you do not know the client ID leave it blank as the CAA database will generate the ID.
Engineering Description of Incident	This is a narrative, usually filled out by a maintenance organisation or LAME.
EDTO Incident	A check box on the CA005 form, labelled "ETOPS" on older printings of the form. Tick if applicable

Table 5. Block headed *Submitter's Details*

Data field	Filling advice
All	These fields are self-explanatory but, again, if you do not know your client ID leave it blank as the CAA data base will generate the ID.

Submit investigation report

In accordance with rule 12.59, Certificate Holders are required to submit investigation reports no later than 90 days after the occurrence. These reports should be submitted using form CA005i, Occurrence Investigation Report or in a format acceptable to CAA.

Further advice on completing an investigation report can be found in AC12-2 Occurrence Investigation.

Quick guide table

Notification, Investigation and Reporting of Occurrences

New CA005 forms are developed from time to time, for example:

- CA005RPAS - Occurrence report - Remotely piloted aircraft systems (RPAS/UAVs);
- CA005SKYDIVE, Occurrence Report - Adventure Aviation Skydiving Operations

Because of this, anyone involved in an accident or incident is advised to ensure they are submitting the correct form by checking the CAA website at https://www.mcaa.gov.mn/Forms under 005.

The table below outlines responsibilities and timeframes for the most common occurrences:

Type of OCCURRENCE	**Initial NOTIFICATION (as soon as practicable)**	**Provide DETAILS (to CAA within 10 days for accidents or 14 days for incidents)**	**Submit INVESTIGATION Report (to CAA within 90 days)**
Accident	Pilot-in-command (or operator) Notify CAA 976-98985525 976-71282056 976-71282240 976-71282040 report@mcaa.gov.mn *Rule 12.51 or 12.55*	Pilot-in-command (or operator) Form CA005 *Rule 12.53 or 12.57*	
Serious incident or Immediate hazard to aircraft operations	Certificate holder or person involved Notify CAA 976-98985525 976-71282056 976-71282240 976-71282040 report@mcaa.gov.mn *Rule 12.55(a)*	Certificate holder or person involved The appropriate form CA005 *Rule 12.57*	Certificate holder Form CA005 or CA005D or CA005i *Rule 12.59*
Aircraft, Dangerous Goods, Facility Malfunction, Defect or Security incidents	Certificate holder or person involved Notify CAA 976-98985525 976-71282056 976-71282240 report@mcaa.gov.mn Rule 12.55(a)	Certificate holder The appropriate form CA005 *Rule 12.57(a)(1)*	Certificate holder Form CA005 or CA005D or CA005i *Rule 12.59*

Airspace incident	Pilot in Command Form CA005 976-98985525 976-71282056 976-71282240 976-71282040 report@mcaa.gov.mn *Rule 12.55(c)*	Pilot-in-command Certificate holder The appropriate form CA005 *Rule 12.57(a)(1) &* *12.57(a)(3)*	Certificate holder Form CA005 or CA005i *Rule 12.59*
Bird incident	Pilot in Command Form CA005 or CA005B 976-98985525 976-71282056 976-71282240 976-71282040 report@mcaa.gov.mn *Rule 12.55(c)*	Pilot-in-command The appropriate form CA005 *Rule 12.57(a)(3)*	
EDTO Incident	Certificate holder Notify CAA within 72 hours Form CA005 976-98985525 976-71282056 976-71282240 976-71282040 report@mcaa.gov.mn *Rule 12.55(e)*	Certificate holder The appropriate form CA005 *Rule 12.57*	Certificate holder Form CA005 or CA005i *Rule 12.59*
All other incidents	976-98985525 976-71282056 976-71282240 976-71282040 report@mcaa.gov.mn	Person involved Form CA005 *Rule 12.57(a)(2)*	

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