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Autoriteti i Aviacionit Civil i Kosovës  
Autoritet Civilnog Vazduhoplovstva Kosova  
Civil Aviation Authority of Kosovo

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# Occurrence Reporting in Civil Aviation

Information and Guidance Manual

## Foreword

Pursuant to Regulation 01/2009 on Occurrence Reporting in Civil Aviation, which transposes into Kosovo's national legal order the Directive 2003/42/EC, the persons listed in the Regulation shall report aviation occurrences to the Civil Aviation Authority of Kosovo (CAAK). Such reporting contributes to the improvement of the safety of civil aviation through better knowledge of these occurrences to facilitate analysis and trend monitoring for initiating corrective actions.

The CAAK has set up the ECCAIRS (European Co-ordination Centre for Aviation Incident Reporting Systems) system in its office and at the Prishtina International Airport "Adem Jashari" LKIA for facilitating the reporting of occurrences by all persons who have a duty to report such occurrences. The CAAK will subsequently integrate its systems with the EU ECCAIRS central office for exchange of occurrence information, and for facilitating effective analysis and monitoring of safety critical information.

The purpose of this manual is to describe the CAAK - Occurrence Reporting System and to provide guidance to those who, by the associated legislation, are involved in its operation.

The manual is available to the public and to the industry and shall be made available on the CAAK web site.

In order for the System to make a real contribution to flight safety in civil aviation in Kosovo, it is primordial that all concerned are fully aware of its aims and its requirements.

The CAAK will welcome any comment and suggestions for the improvement of both the System and this manual. Such comments should be addressed to Director General of the CAAK at the address below.

### Channels of Reporting

Occurrence reporting shall be done using the ECCAIRS system installed on specific computers located in the Prishtina International Airport "Adem Jashari" LKIA. The facility shall be available to airlines, airport staff, air traffic control personnel and all others who may need to report an occurrence.

Persons who are unable to access the ECCAIRS computers may also send the Completed Occurrence Report Forms to:

**Civil Aviation Authority of Kosovo (CAAK)**  
**Ahmet Krasniqi Street n.n. (Arbëria)**  
**10000, Prishtina**  
**Republic of Kosovo**

In some cases, particularly overseas, the use of e-mail, fax or SITA may be necessary to minimize delays in the transmission of occurrence information.

E-mail: **mor@caa-ks.org**  
Fax: **+381 (0)38 211 009**  
Tel: **+381 (0)38 248 629**  
Out of hours emergency: **+377 (0)44 613 567**  
SITA: **PRNCAXH**

When an Occurrence Report Form is not available, the relevant information may be passed in letterform. Should additional information be required, the CAAK may send a standard Occurrence Report Form to the person initiating the report for completion.

For those occurrences, which it is considered, include particularly dangerous or potentially dangerous circumstances requiring the immediate passing of information to the CAAK, the telephone should be used. In all such cases written confirmation of the available details of the occurrence should be passed on as quickly as possible, preferably by email or fax.

**Dritan Gjonbalaj**  
Director General  
Civil Aviation Authority of the Republic of Kosovo

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	<b>Name and position</b>	<b>Date</b>	<b>Signature</b>
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## Terms and Definitions

Term	Definition
<i>Aeroplane</i>	An aircraft heavier than air, propelled by an engine, which gets the lift in flight primarily due to aerodynamic reactions on the surfaces which remain immovable in specific flight conditions.
<i>Authority</i>	Means Civil Aviation Authority of the Republic of Kosovo
<i>Aircraft</i>	Any machine that can derive support in the atmosphere from the reactions of the air, other than the reactions of the air against the earth's surface.
<i>Aircraft avionics</i>	A term designating any electronic device – including its electrical part – for use in an aircraft, including radio, automatic flight control and instrument systems.
<i>Aircraft – category</i>	Classification of aircraft according to specified basic characteristics, e.g. aeroplane, helicopter, glider, free balloon.
<i>Aircraft certificated for single-pilot operation</i>	A type of aircraft which the State of Registry has determined, during the certification process, can be operated safely with a minimum crew of one pilot.
<i>Aircraft required to be operated with a co-pilot.</i>	A type of aircraft that is required to be operated with a co-pilot, as specified in the flight manual or by the air operator certificate.
<i>Aircraft – type</i>	All aircraft of the same basic design including all modifications thereto except those modifications which result in a change in handling or flight characteristics.
<i>Airmanship</i>	The consistent use of good judgement and well developed knowledge, skills and attitudes to accomplish flight objectives.
<i>Airship</i>	An aircraft lighter than air propelled by an engine.
<i>Approved training</i>	Training conducted under special curricula and supervision approved by a Contracting State that, in the case of flight crew members, is conducted within an approved training organization.
<i>Approved training organization</i>	An organization approved by a Contracting State in accordance with the requirements of Annex 1, 1.2.8.2 and Appendix 2 to perform flight crew training and operating under the supervision of that State.
<i>Audit</i>	An independent and systematic review whether processes and activities are performed according to published standards and instructions. Audit may be Internal (organization being audited by itself) or External (organization being audited by another organization).
<i>Balloon</i>	An aircraft lighter than air, without an engine. <i>Note. - For the purposes of this Manual, this definition applies to free balloon.</i>
<i>Commercial air transport</i>	An aircraft operation involving the transport of passengers, cargo or mail for remuneration or hire.

<i>operation.</i>	
<i>Competency</i>	A combination of skills, knowledge and attitudes required to perform a task to the prescribed standard.
<i>Competency element</i>	An action that constitutes a task that has a triggering event and a terminating event that clearly defines its limits, and an observable outcome.
<i>Competency unit</i>	A discrete function consisting of a number of competency elements.
<i>Co-pilot</i>	A licensed pilot serving in any piloting capacity other than as pilot-in-command but excluding a pilot who is on board the aircraft for the sole purpose of receiving flight instruction.
<i>Credit</i>	Recognition of alternative means or prior qualifications.
<i>Cross-country</i>	A flight between a point of departure and a point of arrival following a pre-planned route using standard navigation procedures.
<i>Dual instruction time</i>	Flight time during which a person is receiving flight instruction from a properly authorized pilot on board the aircraft.
<i>Error</i>	An action or inaction by an operational person that leads to deviations from organizational or the operational person's intentions or expectations. <i>Note – See Attachment E of Annex 13 – Aircraft Accident and Incident Investigation for a description of operational personnel.</i>
<i>Error management</i>	The process of detecting and responding to errors with countermeasures that reduce or eliminate the consequences of errors and mitigate the probability of further errors or undesired states. <i>Note. - See Attachment C to Chapter 3 of the Procedures for Air Navigation Services – Training (PANS-TRG, Doc 9868) and Circular 314 – Threat and Error Management (TEM) in Air Traffic Control* for a description of undesired states.</i>
<i>Finding</i>	See Non-Conformance
<i>Flight crew member</i>	A licensed crew member charged with duties essential to the operation of an aircraft during a flight duty period.
<i>Flight plan</i>	Specified information provided to air traffic services units, relative to an intended flight or portion of a flight of an aircraft.
<i>Flight simulator</i>	See Flight simulation training device.
<i>Flight time – aeroplanes</i>	The total time from the moment an aeroplane first moves for the purpose of taking off until the moment it finally comes to rest at the end of the flight. <i>Note. - Flight time as here defined is synonymous with the term “block to block” time or “chock to chock” time in general usage which is measured from the time an aeroplane first moves for the purpose of taking off until it finally stops at the end of the flight.</i>
<i>Function specific training</i>	Training that is aimed at providing a detailed study of the requirements of the Technical Instructions applicable to the function for which the person is responsible.
<i>General Aviation Organisation</i>	Organisation (e.g. sports and recreational training organisation, aero-club, etc.) to be certified / approved or under safety oversight process by CAAK

<i>General Familiarisation Training</i>	Training that is aimed at providing familiarity with the general requirements of the Technical Instructions.
<i>Glider</i>	An aircraft heavier than air, without an engine, which gets the lift in flight primarily due to aerodynamic reactions on the surfaces which remain immovable in specific flight conditions.
<i>Glider flight time</i>	The total time occupied in flight, whether being towed or not, from the moment the glider first move for the purpose of taking off until the moment it comes to rest at the end of the flight.
<i>Helicopter</i>	A heavier-than-air aircraft supported in flight chiefly by the reactions of the air on one or more power driven rotors on substantially vertical axes.
<i>Human performance</i>	Human capabilities and limitations which have an impact on the safety and efficiency of aeronautical operations.
<i>Inspection</i>	Examination whether particular activity or procedure is performed according to published standards and instructions.
<i>Instrument flight time</i>	Time during which a pilot is piloting an aircraft solely by reference to instruments and without external reference points.
<i>Instrument ground time</i>	Time during which a pilot is practising, on the ground, simulated instrument flight in a flight simulation training device approved by the Licensing Authority.
<i>Instrument time</i>	Instrument flight time or instrument ground time.
<i>Licensing Authority</i>	The Authority designated by a Contracting State as responsible for the licensing of personnel.
<i>Likely</i>	In the context of the medical provisions in Chapter 6, <i>likely</i> means with a probability of occurring that is unacceptable to the medical assessor.
<i>Night</i>	The hours between the end of evening civil twilight and the beginning of morning civil twilight or such other period between sunset and sunrise, as may be prescribed by the appropriate authority. <i>Note. - Civil twilight ends in the evening when the centre of the sun's disc is 6 degrees below the horizon and begins in the morning when the centre of the sun's disc is 6 degrees below the horizon.</i>
<i>Non-conformance</i>	Deviation from requirement prescribed by applicable rules and regulations, international standards or Authority internal standards. Such deviation requires corrective action.
<i>Organisation</i>	Organisation (e.g. training organisation, etc.) to be certified/ approved or under safety oversight process by CAAK
<i>Performance criteria</i>	Simple, evaluative statements on the required outcome of the competency element and a description of the criteria used to judge whether the required level of performance has been achieved.
<i>Pilot (to)</i>	To manipulate the flight controls of an aircraft during flight time.
<i>Pilot-in-command.</i>	The pilot designated by the operator, or in the case of general aviation, the owner, as being in command and charged with the safe conduct of a flight.
<i>Pilot-in-command</i>	Co-pilot performing, under the supervision of the pilot-in-

<i>under supervision</i>	command, the duties and functions of a pilot-in-command, in accordance with a method of supervision acceptable to the Licensing Authority.
<i>Powered-lift</i>	A heavier-than-air aircraft capable of vertical take-off, vertical landing, and low-speed flight, which depends principally on engine-driven lift devices or engine thrust for the lift during these flight regimes and on nonrotating aerofoil(s) for lift during horizontal flight.
<i>Problematic use of substances</i>	The use of one or more psychoactive substances by aviation personnel in a way that: a) constitutes a direct hazard to the user or endangers the lives, health or welfare of others; and/or b) causes or worsens an occupational, social, mental or physical problem or disorder.
<i>Psychoactive substances</i>	Alcohol, opioids, cannabinoids, sedatives and hypnotics, cocaine, other psychostimulants, hallucinogens, and volatile solvents, whereas coffee and tobacco are excluded.
<i>Quality system</i>	Documented organizational procedures and policies; internal audit of those policies and procedures; management review and recommendation for quality improvement.
<i>Rated air traffic controller</i>	An air traffic controller holding a licence and valid ratings appropriate to the privileges to be exercised.
<i>Rating</i>	An authorization entered on or associated with a licence and forming part thereof, stating special conditions, privileges or limitations pertaining to such licence.
<i>Recommendation</i>	A direction that does not require mandatory corrective action. Usually, guidance how to improve procedure or process.
<i>Recurrent training (also called refresher training)</i>	Training given at intervals of not more than two years to ensure a person's knowledge remains at the required level so they can continue to carry out their responsibilities fully.
<i>Rendering (a licence) valid</i>	The action taken by a Contracting State, as an alternative to issuing its own licence, in accepting a licence issued by any other Contracting State as the equivalent of its own licence.
<i>Safety training</i>	Training that covers the hazards presented by dangerous goods, safe handling and emergency response procedures.
<i>Sign a maintenance release (to).</i>	To certify that maintenance work has been completed satisfactorily in accordance with the applicable Standards of airworthiness, by issuing the maintenance release referred to in Annex 6.
<i>Significant</i>	In the context of the medical provisions in Chapter 6, <i>significant</i> means to a degree or of a nature that is likely to jeopardize flight safety.
<i>Solo flight time</i>	Flight time during which a student pilot is the sole occupant of an aircraft.
<i>Standard</i>	Requirement or set of requirements regulating specific matter.
<i>Technical Instructions</i>	The latest effective edition of the Technical Instructions for the Safe Transport of Dangerous Goods by Air, including the Supplement and any addenda, approved and published by decision of the

	Council of the International Civil Aviation Organisation (ICAO Doc 9284 - AN/905).
<i>Threat</i>	Events or errors that occur beyond the influence of an operational person, increase operational complexity and must be managed to maintain the margin of safety.
<i>Training programme</i>	A method that has been developed for providing training, which consists of a tutored course, associated material (such as handouts, overheads, videos, exercises, etc.), an examination paper and the instructor's notes.
<i>Training provider</i>	A method that has been developed for providing training, which consists of a tutored course, associated material (such as handouts, overheads, videos, exercises, etc.), an examination paper and the instructor's notes.

## Abbreviations

Abbr.	Meaning
<b>A</b>	Aeroplane
<b>A/C</b>	Aircraft
<b>AMC</b>	Acceptable Means of Compliance
<b>CA</b>	Corrective Action
<b>CAAK</b>	Civil Aviation Authority of the Republic of Kosovo
<b>CFI</b>	Chief Flying Instructor
<b>CGI</b>	Chief Ground Instructor
<b>CL</b>	Checklist
<b>CPL</b>	Commercial Pilot Licence
<b>CRE</b>	Class Rating Examiner
<b>CRI</b>	Class Rating Instructor
<b>EASA</b>	European Aviation Safety Agency
<b>FCL</b>	Flight Crew Licensing
<b>FE</b>	Flight Examiner
<b>FI</b>	Flight Instructor
<b>FIE</b>	Flight Instructor Examiner
<b>FNPT</b>	Flight and Navigation Procedures Trainer
<b>FRM</b>	Forms
<b>FTD</b>	Flight Training Device
<b>FTO</b>	Flight Training Organisation
<b>FSD</b>	Flight Safety Department
<b>GA</b>	General Aviation
<b>GPL</b>	Glider Pilot Licence
<b>HR</b>	Human Resource
<b>HT</b>	Head of Training
<b>IASA</b>	International Aviation Safety Assessments
<b>IATA</b>	International Air Transport Association
<b>ICAO</b>	International Civil Aviation Organisation
<b>IEM</b>	Interpretive and Explanatory Material
<b>IFR</b>	Instrument Flight Rules
<b>IMC</b>	Instrument Meteorological Conditions
<b>INT</b>	Internal Document
<b>ISO</b>	International Standard Organisation
<b>IT</b>	Information Technologies
<b>JAA</b>	Joint Aviation Authorities
<b>JAR</b>	Joint Aviation Requirements
<b>MCC</b>	Multi Crew Co-operation
<b>ME</b>	Multi-engine
<b>MEP</b>	Multi-engine Piston

<b>MET</b>	Multi-engine Turbo-prop
<b>MPA</b>	Multi-pilot Aeroplane
<b>NCR</b>	Non-conformity Report
<b>NM</b>	Nautical Miles
<b>OML</b>	Operational Multicrew Limitation
<b>OSL</b>	Operational Safety Pilot Limitation
<b>OTD</b>	Other Training Devices
<b>PF</b>	Pilot Flying
<b>PIC</b>	Pilot-In-Command
<b>PICUS</b>	Pilot-in-Command Under Supervision
<b>PNF</b>	Pilot Not Flying
<b>PPL</b>	Private Pilot Licence
<b>PUB</b>	Public Document
<b>QMS</b>	Quality Management System
<b>R/F</b>	Radiotelephony
<b>SE</b>	Single-engine
<b>SET</b>	Single-engine (Turbo-prop)
<b>SFE</b>	Synthetic Flight Examiner
<b>SFI</b>	Synthetic Flight Instructor
<b>SIM</b>	Simulator
<b>SPA</b>	Single-pilot Aircraft
<b>SPH</b>	Single-pilot Helicopter
<b>SPIC</b>	Student Pilot-In-Command
<b>STD</b>	Synthetic Training Devices
<b>TMG</b>	Touring Motor Glider
<b>TR</b>	Type Rating
<b>TRE</b>	Type Rating Examiner
<b>TRI</b>	Type Rating Instructor
<b>TRTO</b>	Type Rating Training Organisation
<b>VFR</b>	Visual Flight Rules
<b>VMC</b>	Visual Meteorological Conditions
<b>ZFTT</b>	Zero Flight Time Training

## Statement by the Director General of CAAK

### Confidentiality of Reports

It is fundamental to the purpose of the Aviation Occurrence Reporting System that the substance of reports should be disseminated where necessary in the interest of flight safety. Without prejudice to the proper discharge of its responsibilities in this regard, the CAAK will not disclose the name of the person submitting the report or of a person to whom it relates unless required to do so by law or unless, in either case, the person concerned authorizes disclosure.

Should any flight safety follow-up action arising from a report be necessary, the CAAK will take all reasonable steps to avoid disclosing the identity of the reporter or of those individuals involved in the reportable occurrence.

### Assurance Regarding Prosecution

The CAAK gives an assurance that its primary concern is to secure free and uninhibited reporting and that it will not be its policy to institute proceedings in respect of unpremeditated or inadvertent breaches of the law which come to its attention only because they have been reported under the System, except in cases involving dereliction of duty amounting to gross negligence.

### Action in Respect of Licenses

The CAAK has a duty to vary, revoke or suspend a license as appropriate if it ceases to be satisfied that the holder of the license is competent, medically fit and a fit person to exercise the privileges of the license. If an occurrence report suggests that the license holder does not satisfy these requirements, it will take appropriate licensing action. For example, if the report indicates that the license holder requires further training, it may suspend his license until he has undergone such training. If a report should indicate that the license holder may not be a fit person to exercise the privileges of his license, the fact that he has reported the occurrence will be taken into account in determining his fitness and will weigh heavily in his favour. Although the CAAK recognizes that, in practice, licensing action may be regarded as having a punitive effect; there can be no question of action being taken by the CAAK on a license as a punitive measure.

The purpose of license action is solely to ensure safety and not to penalize the license holder. In all such cases, when considering what action to take, the CAAK will take into account all relevant information about the circumstances of the occurrence and about the license holder which is available to it, in line with Article 9 of the Regulation No. 1/2009 on Occurrence Reporting in Civil Aviation.

### **Possible Action by Employers**

Where a reported occurrence indicated an unpremeditated or inadvertent lapse by an employee, the CAAK would expect the employer to act responsibly and to share its view that free and full reporting is the primary aim, and that every effort should be made to avoid action that may inhibit reporting. The CAAK will, accordingly, make it known to employers that, except to the extent that action is needed in order to ensure safety, and except in such flagrant circumstances as are described under the heading 'Prosecution' above, it expects them, pursuant to Article 9.4 of the Regulation No. 1/2009 on Occurrence Reporting in Civil Aviation to refrain from disciplinary or punitive action which might inhibit their staff from duly reporting incidents of which they may have knowledge.

### **Protection of the Interests of the License Holder**

It is recognized that where a license holder is a member of an association or trade union, he is at liberty to inform that association or union of any prosecution or action by the CAAK in respect of his license, and seek their assistance.

At any hearing conducted by the CAAK, in respect of a license held by a member of an association or trade union, a representative of that body may accompany the license holder and address the CAAK on his behalf.

Dritan Gjonbalaj  
Director General  
Civil Aviation Authority of the Republic of Kosovo

## Chapter 1

### The Objectives of the System

- 1.1 The objectives of the CAAK Aviation Occurrence Reporting System are as follows:
- a) To ensure that the CAAK is advised of hazardous or potentially hazardous incidents and defects (hereafter referred to as occurrences),
  - b) To ensure that knowledge of these occurrences is disseminated so that other persons and organizations may learn from them,
  - c) To enable an assessment to be made by those concerned (whether inside or outside the CAAK) 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,
- 1.2 The overall objective of the CAAK in establishing this System is to make use of the reported information to further advance aviation safety and not to attribute blame or liability.

## Chapter 2

### Division of Responsibilities

2.1 In order to achieve the above objectives, the Aviation Occurrence Reporting System is not intended to replace or reduce the duties and responsibilities of all organizations and personnel within the air transport industry. The primary responsibility for safety rests with the management of the organizations involved (operators, maintenance organizations, air traffic services and airports). The CAAK's 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 Aviation Occurrence Reporting System is an established part of the CAAK's monitoring function and is complementary to the normal day to day procedures and systems (e.g. Company approvals, etc.); it is not intended to duplicate or supersede these.

It is thus no less incumbent upon any organization:

- a) to record occurrences; and,
- b) in conjunction with the appropriate organization and when necessary the CAAK, to investigate occurrences in order to establish the causes sufficiently to devise, promulgate and implement any necessary remedial and preventative actions.

2.2 In relation to all reported occurrences, including those raised by its own personnel, the CAAK will;

- a) evaluate each occurrence report received;
- b) decide which occurrences require investigation by the CAAK in order to discharge the CAAK's functions and responsibilities;
- c) make such checks as it considers necessary to ensure that operators, manufacturers, maintenance, repair and overhaul organizations, air traffic control services and aerodrome operators are taking any necessary remedial and preventative action in relation to reported occurrences;
- d) take the steps necessary in order to persuade foreign aviation authorities and organizations to take any necessary remedial and preventative action in relation to reported occurrences;
- e) assess and analyse the information reported in order to detect safety problems which may not be apparent to individual reporters;
- f) make available the information derived from the occurrence reports in accordance with the relevant CAAK policies;
- g) make available the results of studies of the data provided to those who will use them for the benefit of aviation safety;

- h) where appropriate, issue specific advice or instructions to particular sections of the aviation industry;
- i) where appropriate, take action in relation to legislation, requirements or guidance, e.g. revisions of the Regulations, amendments to Flight Manuals and Operations Manuals, introduction of mandatory modifications and inspections, amendments to maintenance schedules, terms of approval, and licenses, issue of Aeronautical Information Circulars, Airworthiness Notices, etc.

## Chapter 3

### Aircraft Accident and Incident Investigation

3.1 The requirements and procedures for aircraft accident and incident investigation are covered in Title II, Chapter V, Article 31 - Aeronautical Accident and Incident Investigations Commission of the Law No. 03/L-051 on Civil Aviation in Kosovo.

3.2 The Aeronautical Accidents and Incidents Investigation Commission (AAIIC) is responsible for aviation-related accident and incident investigations within Kosovo or affecting Kosovo registered aircraft wherever they may be. The AAIIC's Regulation ZKM-KHAIA-001/R Establishing the Fundamental Principles for Investigation of the Aeronautical Accidents and Incidents in the Republic of Kosovo of 15 April 2010 specifies the requirements for the investigation of accidents and serious incidents. The investigation of accidents and serious incidents is the responsibility of the AAIIC and not the CAAK. The AAIIC is a unit within the Office of the Prime Minister and is independent of the CAAK.

3.3 Whenever required or advisable, the AAIIC shall work in association with other national and international bodies engaged in the same function. Whenever the AAIIC conducts or participates in such an investigation, the AAIIC shall prepare a detailed report on that investigation and submit such report to the Government and the Assembly as soon as possible but no later than six (6) months after such investigation has been completed. The purpose of the investigation shall be to determine the probable cause or causes of the accident or incident and to prevent the repetition of similar accidents and incidents; it shall not seek to attribute blame or liability and shall not prejudge any other investigation that may be undertaken by any other organ.

3.4 The investigation shall be conducted in conformity with the provision of Annex 13 to the Convention on International Civil Aviation. The State of Registry, the State of Manufacture, the State of Design and the State of the Operator shall be given the right to appoint accredited representatives to participate in the investigation, and any findings of the investigation shall be communicated to such States, as well as to ICAO. Observers from other States may be invited to attend the investigation at the discretion of the body of experts conducting the investigation.

3.5 To achieve the maximum analytical and statistical benefit from an occurrence record system it is necessary that accidents be included. The term 'occurrence' as used in the Occurrence Reporting System therefore includes accidents, serious incidents and other incidents. Close liaison is maintained between the AAIIC and the CAAK based on their Memorandum of Understanding (MOU) of 16 December 2009. The MOU details exchange of information of periodic reports for the occurrences reported to the CAAK, which are submitted to the AAIIC for inclusion in the records. CAAK also, in case it is informed of a serious incident or accident, immediately notifies the responsible person at AAIIC, who will lead the investigation.

3.6 Because of the close relationship between aircraft accidents, serious incidents, incidents and other occurrences, and between the regulations pertaining to their investigation, the following definitions and explanations are included as guidance.

The ICAO Annex 13 - Aircraft Accident and Incident Investigation contains the following definitions:

**Accident:** An occurrence associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, in which:

a) a person suffers a fatal or serious injury as a result of:

- being in the aircraft, or
- direct contact with any part of the aircraft, including parts which have become detached from the aircraft, or
- 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

b) the aircraft sustains damage or structural failure which

- adversely affects the structural strength, performance or flight characteristics of the aircraft, and
- would normally require major repair or replacement of the affected component,

except for engine failure or damage, when the damage is limited to the engine, its cowlings or accessories; or for damage limited to propellers, wing tips, antennas, tires, brakes, fairings, small dents or puncture holes in the aircraft skin; or

c) the aircraft is missing or is completely inaccessible.

**Serious Incident:** Means an incident involving circumstances indicating that an accident nearly occurred.

**Incident:** Means an occurrence, other than an accident, associated with the operation of an aircraft which affects, or would affect, the safety of operation.

3.7 To report an accident or serious incident to the Aeronautical Accidents and Incidents Investigation Commission, the following contact details should be used, e-mail address: kreshnik.gashi@ks-gov.net , phone number: +381 (0)38 200 14 622.

3.8 In addition to accidents and serious incidents, which shall be investigated by the AAIC, there are a large number of incidents and other occurrences which are required to be reported under this Aviation Occurrence Reporting System, and which shall be investigated by the CAAK. It should be noted that the CAAK is empowered to carry out

an investigation of any type of occurrence should it so decide, including other types of inquiries such as enforcement of regulations.

3.9 It should also be noted that nothing prevents other agencies (such as air traffic services and airports) and aviation companies (such as airlines, operators and maintenance organizations) from conducting their own investigation of an accident, incident or other occurrence for purposes within their specific competence, such as their safety management system or accident prevention programme.

## Chapter 4

### The Regulation

4.1 The reporting requirements to the Occurrence Reporting in Civil Aviation System are contained in the Regulation No. 1/2009 on Occurrence Reporting in Civil Aviation, dated 01 September 2009 (*the Regulation*). The lists of occurrences to be reported are reproduced in the *Annexes 1* and *2* of the Regulation.

## Chapter 5

### Applicability

#### 5.1 Category of Aircraft Involved

In the case of organizations providing a service or facility for aircraft operating over or in Kosovo (e.g. air traffic services, airfields, etc.) any occurrence meeting the required criteria should be reported regardless of the nationality of the aircraft involved.

#### 5.2 Persons Required to Report

The occurrences covered by Article 3 of the Regulation shall be reported to the CAAK by every person listed below in the exercise of his/her functions:

- i) the operator or commander of an aircraft used by an operator for which the CAAK ensures safety oversight of operations;
- ii) a person who carries on the business of designing, manufacturing, maintaining or modifying an aircraft, or any equipment or part thereof, under the oversight of the CAAK;
- iii) a person who signs a certificate of maintenance review, or of release to service in respect of an aircraft, or any equipment or part thereof, under the oversight of the CAAK;
- iv) a person who performs a function which requires him/her to be authorised by the CAAK as an air traffic controller or as a flight information officer;
- v) a manager of an airport;
- vi) a person who performs a function connected with the installation, modification, maintenance, repair, overhaul, flight-checking or inspection of air navigation facilities for which the CAAK ensures responsibility;
- vii) a person who performs a function connected with the ground-handling of aircraft, including fuelling, servicing, loadsheet preparation, loading, de-icing and towing at an airport.

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

#### 5.3 Voluntary Reporting

In addition to the system of mandatory reporting, the CAAK has put in place a system of voluntary reporting to collect and analyse information on observed deficiencies in aviation which are not required to be reported under the system of mandatory reporting, but which are perceived by the reporter as an actual or potential hazard.

The CAAK ensures that relevant disidentified safety information deriving from the analysis of confidential reporting is stored and made available to all parties so that it can be used for improving safety in aviation.

The CAAK encourages voluntary reporting to the same criteria across the whole spectrum of civil aviation operations. The CAAK's procedures for processing, recording and disclosing reports do not, therefore, differentiate between voluntary and mandatory reports.

## 5.4 Items to be Reported

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

5.4.2 In deciding whether or not to report an occurrence, the following must be borne in mind. 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.

5.4.3 A report should also be submitted on any occurrence which involves, for example, a defective condition or unsatisfactory behaviour 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.

5.4.4 It is of great importance to the success of the reporting system 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.

5.4.5 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 flight safety task but procedures and systems already exist to carry out this function. In the main these comprise industry responsibilities monitored overall by the CAAK. 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 CAAK 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.

5.4.6 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.

## Chapter 6

### Reporting Procedure

#### 6.1 Submission of Reports

6.1.1 The Regulation 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 organization involved. Therefore, wherever possible, the CAAK encourages the use of agency and 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 CAAK. 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 CAAK 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 CAAK in accordance with the AD, the company must tell him if his report has been passed on to the CAAK or not. If not, and the employee is convinced that it should, he must have the right to insist that the report be passed to the CAAK or to report it directly to the CAAK himself. 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.

6.1.2 In the case of occurrences arising from, or relating to, defects in the aircraft, its equipment or any item of ground equipment, it is important that the appropriate manufacturer(s) be advised of the occurrence as soon as possible. The CAAK therefore expects that any organization which raises an occurrence report (or which has been made aware of a report raised by an individual employee) will pass a copy of the report to the appropriate aircraft or equipment manufacturer(s) as soon as possible, unless it is known that the originator has already done so. In the case of incidents affecting ground installations or services, e.g. aerodrome and/or air traffic control, those responsible for those services should also be informed. The original report should list all addressees to whom it has been sent.

6.1.3 Individuals may submit an occurrence report directly to CAAK 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. When appropriate (paragraph 6.1.2 above), the employer, in turn, should then advise the aircraft or equipment manufacturer(s).

6.1.4 Reports must be dispatched within 72 hours of the event, unless exceptional circumstances prevent this. Nevertheless, when the circumstances of an occurrence are

judged to be particularly hazardous, the CAAK expects to be advised of the essential details by the fastest possible means, preferably using the ECCAIRS system or e-mail/telephone/fax/telex. This should be followed up within 72 hours by a full written report to the CAAK with appropriate copies as per paragraph 6.1.2 and 6.1.3 above. The CAAK is dependent upon the judgment of those responsible for submitting reports to establish which occurrences are in this category. Conversely, 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 72 hours, to delay the dispatch of the report.

6.1.5 Should the initial report be incomplete in respect of any item of information required by the Regulation, a further report containing this information must be made within 72 hours of the information becoming available. Prompt advice to the CAAK on the results of investigations and the actions taken to control the situation will minimize or may render unnecessary direct CAAK involvement in the investigative activity. The CAAK 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.

6.1.6 A maintenance, overhaul or repair organization of aircraft, components or equipment is not expected to report to the CAAK, as a matter of routine, those occurrences involving products which have been reported to it by an operator/individual, if the operator/individual has already reported the occurrence to the CAAK. The primary duty for reporting in such cases will rest with the operator/individual. The above organizations should report any such occurrence which they think is reportable, as per the guidance, if they know that the operator concerned has not done so.

6.1.7 Where a repair organization, over hauler, etc. is in doubt as to the applicability of the reporting requirements, e.g. it discovers a defect in a piece of equipment which cannot be associated with a particular aircraft, or even a type of aircraft, it should, nevertheless, make a report in order to ensure that it has complied with the Regulation. The CAAK would, in any case, wish the organization, or individual, to report voluntarily such defects on equipment fitted to aircraft types not subject to mandatory reporting.

## 6.2 Confidential Reports

If any reporter considers that it is essential that his/her identity not be revealed, the report itself should be clearly annotated 'CONFIDENTIAL'. The request will be respected and the reporter will be contacted personally, either by the Director General of CAAK or his Deputy. CAAK cannot, of course, guarantee confidentiality when an occurrence is reported separately by another party or where the caveat on prosecution in the statement by the Director General of CAAK in this Manual applies, i.e. 'dereliction of duty amounting to gross negligence'. Reporters submitting a Confidential Report must accept that effective investigation may be inhibited. Nevertheless, the CAAK would rather have a Confidential Report than no report at all.

### 6.3 Investigation and Provision of Supplementary Information

The Regulation does not require the provision of supplementary information on reportable occurrences, except when specifically requested by the CAAK. However, the efficiency of the CAAK's follow-up work and the standard of the information service it can provide will be greatly improved if reporting organizations keep the CAAK informed of major developments in their investigations of occurrences. The CAAK seeks the co-operation of all reporting organizations in this respect.

### 6.4 The CAAK Occurrence Report Forms

To facilitate consistent reporting and subsequent storage and analysis of data, six standard report forms (AACK/DSF/OR-FRM 01, AACK/DSF/OR-FRM 02, AACK/DSF/OR-FRM 03, AACK/DSF/OR-FRM 04, AACK/DSF/OR-FRM 05 and AACK/DSF/OR-FRM 06) are available on the ECCAIRS system and ideally should be used. 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 CAAK model. Certainly any 'in house' document(s), use of which will require CAAK approval, should seek at least the same information as is required to be reported on the appropriate CAAK form(s). The three CAAK forms are:

- a) Form AACK/DSF/OR-FRM 01 (see Appendix A) is to be used for all types of occurrence except:
  - i) Air traffic occurrences reported by Air Traffic Controllers, and
  - ii) Air traffic services ground equipment occurrences reported by Air Traffic Engineers.
- b) Form AACK/DSF/OR-FRM 02 (see Appendix A) for use solely by Air Traffic Controllers and Flight Information Service Officers when reporting ATS occurrences.
- c) Form AACK/DSF/OR-FRM 03 (see Appendix A) for use solely by Air Traffic Engineers for all occurrences associated with Air Traffic Service Ground Equipment.
- d) Form AACK/DSF/OR-FRM 04 (see Appendix A) is to be used for occurrences associated with and related to the transport of dangerous goods that are contained in cargo, mail or baggage. This form should also be used to report any occasion when undeclared or misdeclared dangerous goods are discovered in cargo, mail or unaccompanied baggage.
- e) Form AACK/DSF/OR-FRM 05 (see Appendix A) is to be used for occurrences associated with and related to the carriage of dangerous goods by a passenger or crew on their person or in their carry on or checked-in baggage. Goods found prior to or during check-in are not required to be reported.
- f) Form AACK/DSF/OR-FRM 06 (see Appendix A) is to be used for birdstrike related occurrences.

## **6.5 Completion of the Forms**

Sample occurrence report forms and advise on their completion are contained in Appendix A.

## Chapter 7

### Reporting by Air Traffic Controllers

7.1 Reports (including AIRPROX, wake vortex incidents and bird strikes) should be submitted in accordance with the procedures in this manual using Report Form OR-FRM 02.

## Chapter 8

### Reporting by Aerodrome Engineers

8.1 Reports should be submitted in accordance with this manual following the instructions and using Report Form OR-FRM 03. The reporting action must not interfere in any way with existing local reporting schemes (i.e. ground fault reports), which may take precedence where immediate engineering action is appropriate.

## Chapter 9

### Reporting of Ground Communications or Navigation Equipment Faults by Aircraft Commanders

9.1 All faults which meet the criteria for a reportable occurrence must be reported by the aircraft commander using the standard Occurrence Report or approved company form, and submitted through the normal Occurrence Reporting channels. In urgent cases an aircraft commander may request the air traffic controller by RTF to complete a form on his behalf.

## Chapter 10

### Retention of Data from Flight Data Recorder (FDR)

10.1 The CAAK expects to use flight recorder data only when this is necessary for the proper investigation of the more significant occurrences. It is not intended to use such data to check on information contained in a written report but to supplement and extend the written information. Examples of the types of occurrence for which flight data records would be most useful are: significant excursion from the intended flight parameters; significant loss of control or control difficulties; unexpected loss of performance; a genuine GPWS warning. However, the more comprehensive recorders fitted to some aircraft are capable of providing valuable data on a wider range of occurrences and the CAAK would expect to make judicious use of such information in relation to appropriate occurrences.

10.2 For this purpose, operators should retain the data from an FDR which is relevant to a reportable occurrence for a period of 14 days from the date of the occurrence being reported to the CAAK, or a longer period if the CAAK so directs.

10.3 The CAAK depends upon the judgment of those responsible for submitting reports to establish which occurrences require the retention of FDR data. It is equally incumbent upon the CAAK to advise the reporting organization, as quickly as possible, when it requires such data.

## Chapter 11

### Processing of Occurrence Reports

#### 11.1 Actions by Civil Aviation Authority of Kosovo (CAAK)

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

- a) evaluate each occurrence report received;
- b) decide which occurrences require investigation by the CAAK in order to discharge the CAAK's functions and responsibilities;
- c) make such checks as it considers necessary to ensure that operators, manufacturers, maintenance, repair and overhaul organisations, air traffic control services and aerodrome operators 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 organisations to take any necessary remedial and preventative action in relation to reported occurrences;
- e) assess and analyse the information reported to it in order to detect safety problems which may not be apparent to individual reporters;
- f) make available the information derived from occurrence reports in accordance with the relevant CAAK Regulations;
- 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, take action in relation to legislation, requirements or guidance, e.g. revisions of the Law No. 03/L-051 on Civil Aviation in Kosovo, amendments to Flight Manuals and Operations Manuals, introduction of mandatory modifications and inspections, amendments to maintenance schedules, terms of approval, and licences, issue of Aeronautical Information Circulars, etc.;
- j) ensure that effective communication is maintained between the Aeronautical Accidents and Incidents Investigation Commission (AAIIC) and CAAK in respect of accident and serious incident investigation and follow up, and that all appropriate areas of CAAK are fully briefed on all matters of significance;
- k) exchange data with EU states in accordance with the requirements of the EU Directive 2003/42/EC of 13 June 2003 on occurrence reporting in civil aviation and the Law No. 03/L-051 on Civil Aviation, Article 86 (as amended).

## 11.2 Occurrences Closed on Receipt

A considerable number of occurrences reported to the CAAK, 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 CAAK, 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.

When necessary the CAAK will liaise with the reporter in making this decision. The ability of the CAAK to close an occurrence on receipt and thus avoid the need for further CAAK 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.

## 11.3 Confidential Reports (see also 6.2)

Confidential reports will be directed to and reviewed by the Director General of CAAK or his deputy who will initiate a dis-identified record. The report will be processed as an occurrence but annotated CONFIDENTIAL. A database entry will be made based on the dis-identified report. (Names of individual persons are not recorded in the database).

## 11.4 Reports outside the remit of the Aviation Occurrence Reporting System

When reporting to the CAAK is through a company system, any reports which do not meet the desired criteria for a reportable occurrence should normally be filtered out by the company. When a report in this category is considered to provide supplementary supporting data for a reportable occurrence, it will be treated as the latter. The classification by the CAAK 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 is known to, and appreciated by, all individuals with responsibility for initiating occurrence reports.

## 11.5 Data Records and Provision of Information

The computer record for each occurrence comprises three main groups of data:

- a) a range of identification and progress data,
- b) a narrative,
- c) a number of key phrases, selected from an extensive lexicon.

The data from the records required for the purposes of furthering flight safety will be made available on request. The CAAK shall not be required to make available such information if it is satisfied that to do so will not further the safety of civil aviation. Where provided, it is the normal practice to dis-identify such information.

# Appendix A - Occurrence Report Forms

## Occurrence Report Form (AACK/DSF/OR-FRM 01)



### OCCURRENCE REPORT

When completed, please send to: **Civil Aviation Authority of Kosovo (CAAK)**  
 Ahmet Krasniqi Street n.n. (Arbëria)  
 10000, Prishtina  
 Kosovo  
 E-mail: [mor@caa-ks.org](mailto:mor@caa-ks.org)  
 Fax: +381 (0)38 211 009, Mob: +377 (0)44 613 567

Are you concerned about the confidentiality of this report and wish to be contacted before it is processed?  
 If so, please ensure you provide us with your contact details.  
 CONFIDENTIAL?  Yes  No

<b>OPERATOR</b>		<b>AIRCRAFT TYPE &amp; SERIES</b>		<b>REGISTRATION</b>		<input type="checkbox"/> DAY <input type="checkbox"/> NIGHT <input type="checkbox"/> TWILIGHT
<b>LOCATION/POSITION/RW</b>		<b>DATE (dd.mm.yyyy)</b>		<b>TIME OF EVENT (HH:MM)</b> : UTC		

FLIGHT NO.	ROUTE FROM	ROUTE TO	<input type="checkbox"/> FL <input type="checkbox"/> ALT/HT (FT)	IAS (KT)	<input type="checkbox"/> IFR <input type="checkbox"/> VFR	TCAS RA		ETOPS	
						<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> YES	<input type="checkbox"/> NO

NATURE OF FLIGHT	<input type="checkbox"/> PASSENGER	<input type="checkbox"/> POSITIONING	<input type="checkbox"/> TEST	<input type="checkbox"/> BUSINESS	<input type="checkbox"/> SURVEY	<input type="checkbox"/> CLUB/GROUP	<input type="checkbox"/> PARACHUTING	<input type="checkbox"/> POLICE
	<input type="checkbox"/> FREIGHT	<input type="checkbox"/> FERRY	<input type="checkbox"/> TRAINING	<input type="checkbox"/> AGRICULTURAL	<input type="checkbox"/> PLEASURE	<input type="checkbox"/> PRIVATE	<input type="checkbox"/> TOWING	<input type="checkbox"/> EMS

FLIGHT PHASE	<input type="checkbox"/> PARKED	<input type="checkbox"/> TAKE-OFF	<input type="checkbox"/> CLIMB	<input type="checkbox"/> DESCENT	<input type="checkbox"/> APPROACH	<input type="checkbox"/> CIRCUIT	<input type="checkbox"/> HOVER
	<input type="checkbox"/> TAXIING	<input type="checkbox"/> INITIAL CLIMB	<input type="checkbox"/> CRUISE	<input type="checkbox"/> HOLDING	<input type="checkbox"/> LANDING	<input type="checkbox"/> AEROBATICS	

ENVIRONMENTAL DETAILS												
WIND		CLOUD		PRECIPITATION		OTHER METEOROLOGICAL CONDITIONS				RUNWAY STATE		
DIRN.	SPEED (kt)	TYPE	HT (ft)	<input type="checkbox"/> RAIN	<input type="checkbox"/> SLEET	VISIBILITY	ICING	TURBULENCE	OAT (°C)	<input type="checkbox"/> DRY	<input type="checkbox"/> ICE	<input type="checkbox"/> SLUSH
				<input type="checkbox"/> SNOW	<input type="checkbox"/> HAIL					<input type="checkbox"/> WET	<input type="checkbox"/> SNOW	
				<input type="checkbox"/> LIGHT	<input type="checkbox"/> MODERATE	<input type="checkbox"/> KM	<input type="checkbox"/> NONE	<input type="checkbox"/> LIGHT	<input type="checkbox"/> NONE			<b>CATEGORY</b>
				<input type="checkbox"/> HEAVY		<input type="checkbox"/> NM	<input type="checkbox"/> MODERATE	<input type="checkbox"/> MODERATE	<input type="checkbox"/> SEVERE			<input type="checkbox"/> I
							<input type="checkbox"/> SEVERE	<input type="checkbox"/> SEVERE				<input type="checkbox"/> II
												<input type="checkbox"/> III

**BRIEF TITLE**

**DESCRIPTION OF OCCURRENCE**

Any procedures, manuals, pubs. (AIC, AD, SB, etc.) directly relevant to occurrence and (where appropriate) compliance state of aircraft, equipment or documentation.	
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**ADVICE ON THE COMPLETION OF THE CAAK OCCURRENCE REPORT FORM –  
AACK/DSF/OR-FRM 01**

**1. GENERAL**

- 1.1 Reporters must provide the information required by the Regulation 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 Where reports of either in-flight or ground occurrences are channelled to the CAAK via an organisation, any relevant information which is not readily available to the person preparing the initial report should, wherever possible, be added by the person submitting the report on behalf of the organisation. Alternatively, where this is not possible within the required timescale, the outstanding information should be submitted as a supplementary report.
- 1.4 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.
- 1.5 **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 AACK/DSF/OR-FRM 01 should prominently annotate all reports 'ETOPS'.

**2. THE FOLLOWING ARE BRIEF NOTES AGAINST EACH BLOCK:**

- 2.1 **Operator, Aircraft Type & Series.** 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:

<b>Parked</b>	On ramp with flight crew on board.
<b>Taxiing</b>	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.
<b>Take-off</b>	Start of take-off run to lift-off.
<b>Init Climb</b>	Lift-off to a height of 1500 ft or aircraft 'clean-up' whichever occurs last.
<b>Climb</b>	End of initial climb to top of climb.
<b>Cruise</b>	Top of climb to top of descent including en-route climb or descent.
<b>Descent</b>	Top of descent to a height of 1500 ft.
<b>Holding</b>	Flying to a set procedure at a point which intentionally delays the aircraft, usually according to a set procedure at a 'fix'.
<b>Approach</b>	A height of 1500 ft to threshold.
<b>Landing</b>	Threshold to end of landing run.
<b>Circuit</b>	Flying to a set pattern in the vicinity of an airfield with intention of landing.
<b>Aerobatics</b>	Deliberate aerobatic manoeuvres, including spinning.
<b>Hover</b>	Airborne and stationary.

The Nature of Flight descriptions listed on the report are defined as follows:

## Occurrence Report Form

<b>Passenger</b>	Carriage of passengers.
<b>Freight</b>	Carriage of Cargo.
<b>Positioning</b>	Positioning without revenue load to/from point of departure/arrival of revenue flight.
<b>Ferry</b>	Flight to a base where the necessary maintenance or alterations can be performed.
<b>Test</b>	Check of serviceability, issue or renewal of C of A, experimental or development flying.
<b>Training</b>	Training course or examination for any standard of licence or rating type training, continuation training.
<b>Business</b>	Carriage of company staff in aircraft owned or hired by a company.
<b>Agricultural</b>	Aerial application, crop spraying, top dressing, etc.
<b>Survey</b>	Aerial photographic or mapping survey.
<b>Pleasure</b>	Commercial pleasure flying. e.g. sightseeing.
<b>Club/Group</b>	Flying other than training by members in a club or group aircraft.
<b>Private</b>	Other than club/group flying or training.
<b>Parachuting</b>	Carriage of parachutists for the purpose of parachuting.
<b>Towing</b>	Towing of gliders, banners, etc.
<b>Police</b>	Aircraft operating on a Police Aircraft Operating Certificate.
<b>EMS</b>	Patient transport, emergency medical service, accident response.

### 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 organisation to avoid a recurrence.

### 4. GROUND STAFF/REPORTING ORGANISATION

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

- 4.1 In the case of reports submitted from a component manufacturer or overhaul/repair agency, the information in this block will provide the primary identification data for the occurrence. Nevertheless, if any of the information contained in paragraph 2 is available and is relevant it should also be provided.
- 4.2 The ground phases listed on the Form are defined as follows:

<b>Maintenance</b>	Aircraft on maintenance, overhaul or repair or at the manufacturer's facility.
<b>Ground Handling</b>	Movements of aircraft on the ground other than as defined in 'Taxiing'.
<b>Unattended</b>	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

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**Occurrence Report Form**

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of the appropriate reference numbers and the compliance status of the aircraft, equipment, facility or organisation is 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 Authority, 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 organisation; whether the report is mandatory or voluntary and whether the report may be disseminated in the interests of air safety.
- 5.2 The provision of the reporter's address and telephone number is optional and is intended for an individual who may wish to be contacted by this means rather than at his place of employment.

**6. Acknowledgement of Reports**

- 6.1 If, acknowledgement of reports is required, please contact the CAAK direct on e-mail: [mor@caa-ks.org](mailto:mor@caa-ks.org) or mobile number: +377 (0)44 613 567.

**6.2 Confidential Reports**

An occurrence may be reported confidentially. If the report is 'CONFIDENTIAL' please tick the box 'Yes' on top of the form to annotate confidentiality of the report, and if it is sent to CAAK's address, mark the envelope 'Personal for the Director General of CAAK'. The second copy need not be forwarded to local management. The CAAK will respect the confidentiality and contact you personally.

### ATS Occurrence Report Form (AACK/DSF/OR-FRM 02)



#### ATS OCCURRENCE REPORT

NOTES: (i) See Instructions and Explanatory Notes.

(ii) When completed, please send to:

**Civil Aviation Authority of Kosovo (CAAK)**

Ahmet Krasniqi Street n.n. (Arbëria) | 10000, Prishtina | Kosovo

E-mail: [mor@caa-ks.org](mailto:mor@caa-ks.org)

Fax: +381 (0)38 211 009, Mob: +377 (0)44 613 567

(iii) Fill in boxes 1-57 as required.

Please complete this form online or print, fill in and send it to the above address.

Are you concerned about the confidentiality of this report and wish to be contacted before it is processed? If so, please ensure you provide us with your contact details.

CONFIDENTIAL?  Yes  No

CATEGORIES OF OCCURRENCE									
1	<input type="checkbox"/> ACCIDENT		<input type="checkbox"/> AIRPROX		<input type="checkbox"/> INCIDENT		<input type="checkbox"/> INFRINGEMENT		
2 Occurrence Position			3 <input type="checkbox"/> FL <input type="checkbox"/> ALT/HT (FT)		4 Date (dd.mm.yyyy)		5 Time (HH:MM) _____ UTC		
7 OPERATOR		8 CALLSIGN/REGN		9 TYPE		10 FROM		11 TO	
12 SSR CODE		13 MODE C DISPLAYED		14 IFR/VFR/SVFR		15 <input type="checkbox"/> Yes <input type="checkbox"/> No		16 <input type="checkbox"/> IFR <input type="checkbox"/> VFR <input type="checkbox"/> SVFR	
17		18		19		20		21 <input type="checkbox"/> Yes <input type="checkbox"/> No	
22		23		24		25		26 <input type="checkbox"/> Yes <input type="checkbox"/> No	
27		28		29		30		31 <input type="checkbox"/> IFR <input type="checkbox"/> VFR <input type="checkbox"/> SVFR	
32 RTF Frequencies		33 Radar Equipment		34 Equipment Unserviceabilities		35 QNH		36 Runway in use	
37 CLASS OF AIRSPACE			38 TYPE OF AIRSPACE					39 TYPE OF ATS SERVICE	
<input type="checkbox"/> A <input type="checkbox"/> C <input type="checkbox"/> E <input type="checkbox"/> G			<input type="checkbox"/> ATZ <input type="checkbox"/> CTA <input type="checkbox"/> CVSM <input type="checkbox"/> Prohibited area <input type="checkbox"/> RVSM <input type="checkbox"/> Transitional area <input type="checkbox"/> Other					<input type="checkbox"/> Radar <input type="checkbox"/> Approach <input type="checkbox"/> Other	
<input type="checkbox"/> B <input type="checkbox"/> D <input type="checkbox"/> F			<input type="checkbox"/> CBA <input type="checkbox"/> CTR <input type="checkbox"/> Danger area <input type="checkbox"/> TMA <input type="checkbox"/> Restricted area <input type="checkbox"/> TSA <input type="checkbox"/> Unknown					<input type="checkbox"/> Radar Control <input type="checkbox"/> Traffic Service <input type="checkbox"/> ADC <input type="checkbox"/> ALR	
								<input type="checkbox"/> Aerodrome <input type="checkbox"/> Area <input type="checkbox"/> Procedural Control <input type="checkbox"/> Radar Service <input type="checkbox"/> Basic Service <input type="checkbox"/> GMC	
40 Was prescribed separation lost?		41 Min Separation		42 Alert Activation		43 Traffic info given by ATC?		44 Avoiding action given by ATC?	
<input type="checkbox"/> Yes <input type="checkbox"/> No		Horizontal _____ NM Vertical _____ ft		<input type="checkbox"/> Collision <input type="checkbox"/> TCAS <input type="checkbox"/> SMF <input type="checkbox"/> Conflict Alert <input type="checkbox"/> STCA		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No	
45 BRIEF TITLE Summary									
46 NARRATIVE - use a diagram if necessary (Aerodromes submit weather report including local and regional QNH).									
continue on a separate sheet if necessary.									
47 Name		48 On duty as		49 ATS Unit		50 Time since last break _____ UTC		51 Start time of shift _____ UTC	
52 Radar recordings Held <input type="checkbox"/> Yes <input type="checkbox"/> No		53 RTF recordings Held <input type="checkbox"/> Yes <input type="checkbox"/> No		54 List other agencies advised		55 Date/Sign			
56 Address									
57 E-mail Address					Telephone				

**ADVICE ON THE COMPLETION OF THE CAAK ATS OCCURRENCE REPORT FORM –  
AACK/DSF/OR-FRM 02**

**USE AND EXPLANATION OF TERMS IN BOX 1**

ACCIDENT:	A Kosovo reportable accident.
AIRPROX:	An AIRPROX is 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** *(Please also refer to manual of ATS procedures)*

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

**BOX 1:** Should the Occurrence involve more than one category, tick both categories.

**BOXES 7 TO 14**  
**BOXES 15 TO 22**  
**BOXES 23 TO 30** } These boxes cater for up to three involved aircraft. Use the narrative for additional aircraft.

**BOX 40:** **Must** be completed if prescribed separation was required to be achieved in accordance with manual of ATS procedures.

**BOX 41:** 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.

**BOX 45:** This box should contain a simple, one-line statement summarizing the Occurrence, i.e. 'Coordination problems', 'Level bust', 'Overload' etc.

**BOX 52/53:** 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 ATS Manual and any local procedures.

**BOX 54:** It is important to ensure that any **involved** agency (e.g. Pilot, Operator, ATSU) is informed of the reporting action. This box should also indicate those organisations required by ATS Manual to be informed (e.g. Aeronautical Accident and Incident Investigations Commission (AAIIC)).

**REPORTING TIME**

Report must be dispatched within 72 hours of the event unless exceptional circumstances prevent this.

**ACKNOWLEDGEMENT OF REPORTS**

If, acknowledgement of reports is required, please contact the CAAK direct on e-mail: mor@caa-ks.org or mobile number: +377 (0)44 613 567.

**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 Safety Data evaluation and any follow-up investigation.

**CONFIDENTIAL REPORTS**

An occurrence may be reported confidentially. If the report is 'CONFIDENTIAL' please tick the box 'Yes' on top of the form to annotate confidentiality of the report, and if it is sent to CAAK's address, mark the envelope 'Personal for the Director General of CAAK'. The second copy need not be forwarded to local management. BOXES 47 to 57 should be completed. The CAAK will respect the confidentiality and contact you personally.

### ATS Engineering Occurrence Report Form (AACK/DSF/OR-FRM 03)



#### ATS ENGINEERING OCCURRENCE REPORT

NOTES: (i) See Instructions and Explanatory Notes.

(ii) When completed, please send to:

**Civil Aviation Authority of Kosovo (CAAK)**

Ahmet Krasniqi Street n.n. (Arbëria) | 10000, Prishtina | Kosovo

E-mail: [mor@caa-ks.org](mailto:mor@caa-ks.org)

Fax: +381 (0)38 211 009, Mob: +377 (0)44 613 567

(iii) Fill in boxes 1-26 as appropriate.

Are you concerned about the confidentiality of this report and wish to be contacted before it is processed? If so, please ensure you provide us with your contact details.

CONFIDENTIAL?  Yes  No

Please complete this form online or print, fill in and send it to the above address.

<b>1 Categories of Occurrence</b> <input type="checkbox"/> ACCIDENT <input type="checkbox"/> INCIDENT <input type="checkbox"/> PROCEDURAL <input type="checkbox"/> FAILURE <input type="checkbox"/> HAZARD					
<b>2 Occurrence Location</b>	<b>3 Date (dd.mm.yyyy)</b> _____	<b>5 Duration</b>	<b>6 ATS Facility</b> <input type="checkbox"/> RTF <input type="checkbox"/> Radar <input type="checkbox"/> Nav-aid <input type="checkbox"/> Other:		<b>7 Service Affected</b>
	<b>4 Time (HH:MM)</b> ____:____ UTC				
<b>8 Equipment Type/Manufacturer</b>		<b>9 Frequency</b>	<b>10 Callsign</b>	<b>11 Equipment Location</b>	
<b>12 Facility Configuration</b> <input type="checkbox"/> In service   or <input type="checkbox"/> Out of service <input type="checkbox"/> Main-Mode   or <input type="checkbox"/> Standby/Test <input type="checkbox"/> Channel A(1)   or <input type="checkbox"/> B(2)   or <input type="checkbox"/> Other:  External Information Source:		<b>13 Equipment Status</b> <input type="checkbox"/> Planned <input type="checkbox"/> Unplanned Outage <input type="checkbox"/> Serviceable <input type="checkbox"/> Unserviceable <input type="checkbox"/> Degraded <input type="checkbox"/> Routine <input type="checkbox"/> Corrective Maintenance <input type="checkbox"/> Modification <input type="checkbox"/> Replacement		<b>14 Previous Defects/ Occurrences?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Known	<b>15 RTF Frequencies/ Radar Sources</b>
<b>16 NARRATIVE</b> - use a diagram if necessary (attach copies of all relevant information)					
continue on additional forms if necessary.					
<b>17 Recordings impounded</b> <input type="checkbox"/> No <input type="checkbox"/> Yes - Details:	<b>18 Can the information be disseminated in the interests of flight safety?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	<b>20 Name</b>			
		<b>21 Organisation/Position</b>			
<b>19 Other fault report action</b> <input type="checkbox"/> ATC Manual <input type="checkbox"/> Local Reporting <input type="checkbox"/> Other:		<b>22 Address &amp; Telephone number</b> (if the reporter wishes to be contacted privately)			
<b>23 Start time and duration of shift</b>	<b>24 Date (dd.mm.yyyy)</b> _____	<b>25 Signature</b> .....	<b>26 E-mail</b>		

**ADVICE ON THE COMPLETION OF THE CAAK ATS ENGINEERING OCCURRENCE REPORT FORM –  
AACK/DSF/OR-FRM 03****USE AND EXPLANATION OF TERMS IN BOX 1**

Tick one or more category of Occurrence.

ACCIDENT:	A Kosovo 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 Regulation 1/2009 on Occurrence Reporting and TP 05 - Occurrence Reporting in Civil Aviation - Information and Guidance Manual.

**EXPLANATORY NOTES** *(Please also refer to manual of ATS procedures)*

GENERAL:	<i>Try to complete all boxes. If NOT APPLICABLE use N/A, or if NOT KNOWN use N/K. Jargon and uncommon abbreviations are to be avoided.</i>
BOX 2:	Location where the Occurrence happened.
BOX 5:	The period over which the Occurrence condition existed. Instantaneous, indefinite or unknown classifications must be identified.
BOX 6:	The facility type <b>must</b> be ticked or stated.
BOX 7:	More than one element <b>could</b> be circled.

**DETAILS OF THE EQUIPMENT ATTRIBUTING TO THE OCCURRENCE**

BOX 9:	<b>Frequency</b> (Radio) appropriate to equipment and occurrence, if applicable.
BOX 10:	<b>Callsign</b> - NAVAID identification, SSR code or RTF callsign.
BOX 11:	<b>Location</b> - identify station or other physical location of equipment.
BOX 12:	More than one element <b>could</b> 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 <b>could</b> be ticked. 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**

If, acknowledgement of reports is required, please contact the CAAK direct on e-mail: mor@caa-ks.org or mobile number: +377 (0)44 613 567.

**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 Safety Data evaluation and any follow-up investigation.

**CONFIDENTIAL REPORTS**

An occurrence may be reported confidentially. If the report is 'CONFIDENTIAL' please tick the box 'Yes' on top of the form to annotate confidentiality of the report, and if it is sent to CAAK's address, mark the envelope 'Personal for the Director General of CAAK'. The second copy need not be forwarded to local management. BOXES 20 to 26 should be completed. The CAAK will respect the confidentiality and contact you personally.

## Dangerous Goods Occurrences Report Form (AACK/DSF/OR-FRM 04)



### DANGEROUS GOODS OCCURRENCE REPORT

See the Notes on the next page of this form. *Those boxes where the heading is in italics need only be completed if applicable.*

When completed, please send to: **Civil Aviation Authority of Kosovo (CAAK)**  
Ahmet Krasniqi Street n.n. (Arbëria)  
10000, Prishtina, Kosovo  
E-mail: [mor@caa-ks.org](mailto:mor@caa-ks.org)  
Fax: +381 (0)38 211 009, Mob: +377 (0)44 613 567

Are you concerned about the confidentiality of this report and wish to be contacted before it is processed? If so, please ensure you provide us with your contact details.

CONFIDENTIAL?  Yes  No

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

## Dangerous Goods Occurrence Report Form

Description of the occurrence (continuation):

**Notes:**

1. It is important that this form is completed in as much detail as possible; this will help to avoid delays in processing the report and unnecessary additional work by both the reporter and the CAAK.
2. Any type of dangerous goods occurrence must be reported, irrespective of whether the dangerous goods are contained in cargo, mail or baggage.
3. A dangerous goods accident is an occurrence associated with and related to the transport of dangerous goods which results in fatal or serious injury to a person or major property damage. For this purpose, a serious injury is an injury which is sustained by a person in an accident and which: (a) requires hospitalisation for more than 48 hours, commencing within 7 days from the date the injury was received; or (b) results in a fracture of any bones (except simple fractures of fingers, toes or nose); or (c) involves lacerations which cause severe haemorrhage, nerve, muscle or tendon damage; or (d) involves injury to any internal organ; or (e) involves second or third degree burns, or any burns affecting more than 5% of the body surface; or (f) involves verified exposure to infectious substances or injurious radiation. A dangerous goods accident may also be an aircraft accident; in which case the normal procedure for reporting of air accidents must be followed.
4. A dangerous goods incident is an occurrence, other than a dangerous goods accident, associated with and related to the transport of dangerous goods, not necessarily occurring on board an aircraft, which results in injury to a person, property damage, fire, breakage, spillage, leakage of fluid or radiation or other evidence that the integrity of the packaging has not been maintained. Any occurrence relating to the transport of dangerous goods which seriously jeopardises the aircraft or its occupants is also deemed to constitute a dangerous goods incident.
5. This form should also be used to report any occasion when undeclared or misdeclared dangerous goods are discovered in cargo, mail or unaccompanied baggage or when accompanied baggage contains dangerous goods which passengers or crew are not permitted to take on board aircraft.
6. An initial report should be despatched within 72 hours of the occurrence, to the Authority of the State (a) in which the aircraft is registered (if applicable); and (b) in which the incident occurred, unless exceptional circumstances prevent this. The initial report may be made by any means but a written report should be sent as soon as possible, even if all the information is not available.
7. Copies of all relevant documents and any photographs should be attached to this report.
8. Completed reports must be sent to the Civil Aviation Authority of Kosovo (CAAK), Ahmet Krasniqi Street n.n. (Arbëria), 10000, Prishtina; E-mail address: [mor@caa-ks.org](mailto:mor@caa-ks.org), Fax no: +381 (0)38 211 009, Mob no: +377 (0)44 613 567; and any other competent authority required by the Technical Instructions.
9. Providing it is safe to do so, all dangerous goods, packagings, documents, etc, relating to the occurrence must be retained until after the initial report has been sent to the Authorities referred to in 5. and 7. above and they have indicated whether or not these should continue to be retained.

**Confidential Reports**

An occurrence may be reported confidentially. If the report is 'CONFIDENTIAL' please tick the box 'Yes' on top of the form to annotate confidentiality of the report, and if it is sent to CAAK's address, mark the envelope 'Personal for the Director General of CAAK'. The second copy need not be forwarded to local management. BOXES 20 to 26 should be completed. The CAAK will respect the confidentiality and contact you personally.

## Birdstrike Occurrences Report Form (AACK/DSF/OR-FRM 05)

**BIRDSTRIKE OCCURRENCE REPORT**

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 Kosovo (CAAK)**  
Ahmet Krasniqi Street n.n. (Arbëria)  
10000, Prishtina, Kosovo  
E-mail: [mor@caa-ks.org](mailto:mor@caa-ks.org)  
Fax: +381 (0)38 211 009, Mob: +377 (0)44 613 567

Are you concerned about the confidentiality of this report and wish to be contacted before it is processed?  
If so, please ensure you provide us with your contact details.

CONFIDENTIAL?  Yes  No

1. Aircraft Operator	2. Aircraft Make / Model	3. Call Sign Arrival / Departure																																															
4. Aircraft Registration	5. Date of Occurrence _____	6. Local Time of Occurrence _____ Hrs (24 hr) <input type="checkbox"/> Dawn <input type="checkbox"/> Day <input type="checkbox"/> Dusk <input type="checkbox"/> Night																																															
7. Aerodrome	8. Runway in Use	9. Location if En Route (Nearest Town / Reference)																																															
10. Height (AGL)	11. Speed (IAS)																																																
12. Phase of Flight <input type="checkbox"/> A. Parked <input type="checkbox"/> B. Taxi <input type="checkbox"/> C. Take-off Run <input type="checkbox"/> D. Climb <input type="checkbox"/> E. En Route <input type="checkbox"/> F. Descent <input type="checkbox"/> G. Approach <input type="checkbox"/> H. Landing Roll	13. Part(s) of Aircraft Struck or Damaged																																																
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20. Pilot Warned of Birds <input type="checkbox"/> Yes <input type="checkbox"/> No																																																	
21. Remarks (Describe damage, injuries and other pertinent information)																																																	
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25. Name and title of person making report	26. Signature/Date _____	27. Address and tel. no.																																															

## Birdstrike Occurrence Report Form

**ADVICE ON THE COMPLETION OF THE BIRDSTRIKE OCCURRENCE REPORT FORM –  
AACK/DSF/OR-FRM 05**

1. Aircraft Operator - This can be an airline (Abbreviations are OK - Operator's ICAO Designator), business, government agency (Kosovo Police, Kosovo Security Force, etc.) or if a private pilot - his/her name.
2. Aircraft Make/Model - Abbreviations are OK, but to include the model (e.g. B737-200, A330-200).
3. Call Sign - The assigned arrival / departure radio call sign of the aircraft.
4. Aircraft Registration - This means nationality and registration marks of the aircraft.
5. Date of Occurrence - Give the local date, not the ZULU or GMT date.
6. Local Time of Occurrence - Check the appropriate light conditions and fill in the hour and minute local time, use the 24 clock.
7. Aerodrome - Use the aerodrome name or 4/3 letter code. If a foreign aerodrome, use the full name or 4/3 letter code and location (city/country).
8. Runway in Use - Self explanatory.
9. Location if En Route - Put the name of the nearest city and state.
10. Height AGL - Put the feet above ground level at the time of the strike (if you don't know, use MSL and indicate this). For take-off run and landing roll, it must be 0.
11. Speed (IAS) - Speed at which the aircraft was traveling when the strike occurred.
12. Phase of Flight - Phase of flight during which the strike occurred. Take-off run and landing roll should both be 0 AGL.
13. Part(s) of Aircraft Struck or Damaged - Check which parts were struck and damaged. If a part was damaged but not struck indicate this with a check on the damaged column only and indicate in Remarks (#21) why this happened (e.g., the landing gear might be damaged by deer strike, causing the aircraft to flip over and damage parts not struck by deer).
14. Effect on Flight - You can check more than one and if you check "Other", please explain in Remarks (#21).
15. Sky Condition - Check the one that applies.
16. Precipitation - You may check more than one.
17. Bird Species - Try to be accurate. If you don't know, put unknown and some description. Collect feathers or remains for identification for damaging strikes.
18. Number of birds seen and/or struck - check the box in the Seen column with the correct number if you saw the birds (or other wildlife) before the strike and check the box in the Struck column to show how many were hit. The exact number, can be written next to the box.
19. Size of Bird(s) - Check what you think is the correct size (e.g. sparrow = small, gull = medium and geese = large).
20. Pilot Warned of Birds - Check the correct box (even if it was an ATIS warning or NOTAM).
21. Remarks - Be as specific as you can. Include information about the extent of the damage, injuries, anything you think would be helpful to know. (e.g. number of birds ingested).
22. Aircraft time out of service - Record how many hours the aircraft was out of service.
23. Estimated cost of repairs or replacement - This may not be known immediately, but the data can be sent at a later date or put down a contact name and number for this data.
24. Estimated other cost - Include loss of revenue, fuel, hotels, etc. (see directions for #23).
25. Name and title of person making report - The name is helpful if questions arise about the information on the form. The title can be Pilot, Tower, Airport Operations, Airline Operations, Flight Safety, etc.
26. Signature/Date - Signature of the person making report and the date the form was filled out.
27. Address and tel. no. - Address and phone number of the person making report.

**CONFIDENTIAL REPORTS**

An occurrence may be reported confidentially. If the report is 'CONFIDENTIAL' please tick the box 'Yes' on top of the form to annotate confidentiality of the report, and if it is sent to CAAK's address, mark the envelope 'Personal for the Director General of CAAK'. The second copy need not be forwarded to local management. BOXES 25 to 27 should be completed. The CAAK will respect the confidentiality and contact you personally.

## Appendix B - Occurrences to be Reported

### 1 Introduction

- 1.1 The formal definition of a reportable occurrence is contained in the applicable legislation and further amplified in this TP. This appendix provides examples of events that fall within these criteria. Reporters should ensure that the content of their reports meets the criteria and guidance laid out below. Whilst the Appendix lists the majority of occurrences that should be reported it cannot be completely comprehensive and any other occurrences judged, by those involved, to meet the criteria should be reported.
- 1.2 The Occurrence Reporting System 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 system aims to identify those occurrences where the routine control procedures have failed. To achieve this objective the criteria for a reportable occurrence needs to be set above (in terms of the effects on safety) the normal day-to-day defects and minor incidents.
- 1.3 Those occurrences that 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 that 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. Judgement by the reporter of the degree of hazard or potential hazard involved is therefore essential in many cases.
- 1.4 In the case of organisations providing a service or facility for aircraft operating over or in Kosovo (e.g. Air Traffic Services, airfields, etc.) any occurrence meeting the required criteria should be reported regardless of the nationality of the aircraft involved.

### Part 1: List of Aircraft Operations, Maintenance, Repair and Manufacture - Related Occurrences to be Reported

Note 1: Although this Part lists the majority of reportable occurrences, it is not completely comprehensive. Any other occurrences, which are judged by those involved to meet the criteria, should also be reported.

Note 2: This Part does not include accidents.

Note 3: Occurrences to be reported are those where the safety of operation was or could have been endangered or which could have led to an unsafe condition. If in the view of the reporter an occurrence did not endanger the safety of the operation but if repeated in different but likely circumstances would create a hazard, then a report should be made.

What is judged to be reportable on one class of product, part or appliance may not be so on another and the absence or presence of a single factor, human or technical, can transform an occurrence into an accident or serious incident.

Note 4: Specific operational approvals, e.g. "RVSM" (reduced vertical separation minima), "ETOPS" (extended range twin operations), "RNAV" (area navigation), or a design or maintenance programme, may have specific reporting requirements for failures or malfunctions associated with that approval or programme.

## CONTENTS:

- 1 Aircraft Flight Operations**
- 2 Aircraft Technical**
- 3 Aircraft Maintenance and Repair**
- 4 Ground Services and Facilities**

### **1 Aircraft Flight Operations**

#### **1.1 Operation of the aircraft**

- a) Avoidance manoeuvres:
  - risk of collision with another aircraft, terrain or other object or an unsafe situation when avoidance action would have been appropriate;
  - an avoidance manoeuvre required to avoid a collision with another aircraft, terrain or other object;
  - an avoidance manoeuvre to avoid other unsafe situations.
- b) Take-off or landing incidents, including precautionary or forced landings. Incidents such as under-shooting, overrunning or running off the side of runways. Take-offs, rejected take-offs, landings or attempted landings on a closed, occupied or incorrect runway. Runway incursions.
- c) Inability to achieve predicted performance during take-off or initial climb.
- d) Critically low fuel quantity or inability to transfer fuel or use total quantity of usable fuel.
- e) Loss of control (including partial or temporary) regardless of cause.
- f) Occurrences close to or above V1 resulting from or producing a hazardous or potentially hazardous situation (e.g. rejected take-off, tail strike, engine-power loss etc.).
- g) Go around producing a hazardous or potentially hazardous situation.
- h) Unintentional significant deviation from airspeed, intended track or altitude (more than 300 ft) regardless of cause.
- i) Descent below decision height/altitude or minimum descent height/altitude without the required visual reference.
- j) Loss of position awareness relative to actual position or to other aircraft.

- k) Breakdown in communication between flight crew "CRM" (crew resource management) or between flight crew and other parties (cabin crew, ATC [air traffic control] engineering).
- l) Heavy landing - a landing deemed to require a "heavy landing check".
- m) Exceedance of fuel imbalance limits.
- n) Incorrect setting of an "SSR" (secondary surveillance radar) code or of an altimeter subscale.
- o) Incorrect programming of, or erroneous entries into, equipment used for navigation or performance calculations, or use of incorrect data.
- p) Incorrect receipt or interpretation of radio-telephony messages.
- q) Fuel system malfunctions or defects, which had an effect on fuel supply and/or distribution.
- r) Aircraft unintentionally departing from a paved surface.
- s) Collision between an aircraft and any other aircraft, vehicle or other ground object.
- t) Inadvertent and/or incorrect operation of any controls.
- u) Inability to achieve the intended aircraft configuration for any flight phase (e.g. landing gear and gear doors, flaps, stabilisers, slats etc.).
- v) A hazard or potential hazard which arises as a consequence of any deliberate simulation of failure conditions for training, system checks or training purposes.
- w) Abnormal vibration.
- x) Operation of any primary warning system associated with manoeuvring the aircraft e.g. configuration warning, stall warning (stick shaker), over-speed warning etc. unless:
  - i) the crew conclusively established that the indication was false and provided that the false warning did not result in difficulty or hazard arising from the crew response to the warning; or
  - ii) operated for training or test purposes.
- y) "GPWS" (Ground Proximity Warning System)/"TAWS" (Terrain Awareness And Warning System) "warning" when:
  - i) the aircraft comes into closer proximity to the ground than had been planned or anticipated; or
  - ii) the warning is experienced in instrument meteorological conditions or at night and is established as having been triggered by a high rate of descent (mode 1); or
  - iii) the warning results from failure to select landing gear or landing flaps by the appropriate point on the approach (mode 4); or
  - iv) any difficulty or hazard arises or might have arisen as a result of crew response to the "warning" e.g. possible reduced separation from other traffic.

This could include warning of any mode or type i.e. genuine, nuisance or false.

- z) GPWS/TAWS "alert" when any difficulty or hazard arises or might have arisen as a result of crew response to the "alert".
- aa) ACAS RA (Air Collision Avoidance System, Resolution Advisory). Note: TCAS (Traffic alert and Collision Avoidance System) is a form of ACAS. All ACAS RAs should be reported, regardless of the cause.
- bb) Jet or prop blast incidents resulting in significant damage or serious injury.
- cc) Landing at the wrong airfield.

## 1.2 Emergencies

- a) Fire, explosion, smoke or toxic or noxious fumes, even though fires were extinguished.
- b) The use of any non-standard procedure by the flight or cabin crew to deal with an emergency when:
  - i) the procedure exists but is not used;
  - ii) the procedure does not exist;
  - iii) the procedure exists but is incomplete or inappropriate;
  - iv) the procedure is incorrect;
  - v) the incorrect procedure is used.
- c) Inadequacy of any procedures designed to be used in an emergency, including when being used for maintenance, training or test purposes.
- d) An event leading to an emergency evacuation.
- e) Depressurization.
- f) The use of any emergency equipment or prescribed emergency procedures in order to deal with a situation.
- g) An event leading to the declaration of an emergency ('MAYDAY' or 'PAN').
- h) Failure of any emergency system or equipment, including all exit doors and lighting, to perform satisfactorily, including when being used for maintenance, training or test purposes.
- i) Events requiring any use of emergency oxygen by any crew member.

## 1.3 Crew incapacitation

- a) Incapacitation of any member of the flight crew, including that which occurs prior to departure if it is considered that it could have resulted in incapacitation after take-off.
- b) Incapacitation of any member of the cabin crew which renders them unable to perform essential emergency duties.

## 1.4 Injury

Occurrences which have or could have led to significant injury to passengers or crew but which are not considered reportable as an accident. This applies from the point when the affected passenger or crew member (with the intention of flight) steps into the aircraft until the point where the passenger or crew member disembarks from the aircraft, and at all times in between whilst they are in the aircraft. It does not apply to passenger or crew injuries sustained outside of the aircraft.

## 1.5 Meteorology

- a) A lightning strike which resulted in damage to the aircraft or loss or malfunction of any essential service.
- b) A hail strike which resulted in damage to the aircraft or loss or malfunction of any essential service.
- c) Severe turbulence encounter, an encounter resulting in injury to occupants or deemed to require a 'turbulence check' of the aircraft.
- d) A windshear encounter.
- e) Icing encounter resulting in handling difficulties, damage to the aircraft or loss or malfunction of any essential service.

## 1.6 Security

- a) Unlawful interference with the aircraft including a bomb threat or hijack.
- b) Difficulty in controlling intoxicated, violent or unruly passengers.
- c) Discovery of a stowaway.

## 1.7 Other occurrences

- a) Repetitive instances of a specific type of occurrence which in isolation would not be considered "reportable" but which due to the frequency with which they arise, form a potential hazard.
- b) A bird strike which resulted in damage to the aircraft or loss or malfunction of any essential service.
- c) All wake-turbulence encounters, regardless of the effect on the aircraft. Severe encounters, meeting the definition of an occurrence, e.g. involving max control input, high angles of pitch/bank, the need to 'go-around' etc, should also be reported to the CAAK.
- d) Targeting of an aircraft with a laser or high-powered light.

- e) Any other occurrence of any type considered to have endangered or which might have endangered the aircraft or its occupants on board the aircraft or persons on the ground.

## 2 Aircraft Technical

### 2.1 Structural

Not all structural failures need to be reported. Engineering judgment is required to decide whether a failure is serious enough to be reported. The following examples can be taken into consideration:

- a) Damage to a principal structural element (PSE) that has not been designated as damage-tolerant (life-limited element). PSEs are those which contribute significantly to carrying flight, ground, and pressurization loads, and the failure of which could result in a catastrophic failure of the aircraft;
- b) Defect or damage exceeding admissible damages to a PSE that has been designated as damage-tolerant;
- c) Damage to or defect exceeding allowed tolerances of a structural element, the failure of which could reduce the structural stiffness to such an extent that the required flutter, divergence or control reversal margins are no longer achieved;
- d) Damage to or defect of a structural element, which could result in the liberation of items of mass that may injure occupants of the aircraft;
- e) Damage to or defect of a structural element, which could jeopardize proper operation of systems. See 2.2 below;
- f) Loss of any part of the aircraft structure in flight.

### 2.2 Systems

The following general criteria applicable to all systems are proposed (see Appendix for examples):

- a) Loss, significant malfunction or defect of any system, subsystem or set of equipment when standard operating procedures, drills etc. could not be satisfactorily accomplished.
- b) Inability of the crew to control the system, for example:
  - i) uncommanded actions;
  - ii) incorrect and/or incomplete response, including limitation of movement or stiffness;
  - iii) runaway;
  - iv) mechanical disconnection or failure;
- c) Failure or malfunction of the exclusive function(s) of the system (one system could integrate several functions);

- d) Interference within or between systems;
- e) Failure or malfunction of the protection device or emergency system associated with the system;
- f) Loss of redundancy of the system;
- g) Any occurrence resulting from unforeseen behaviour of a system;
- h) For aircraft types with *single* main systems, subsystems or sets of equipment:  
the loss, significant malfunction or defect in *any* main system, subsystem or set of equipment.
- i) For aircraft types with *multiple* independent main systems, subsystems or sets of equipment:  
the loss, significant malfunction or defect of *more than one* main system, subsystem or set of equipment.
- j) Operation of any primary warning system associated with aircraft systems or equipment unless the crew conclusively established that the indication was false, provided that the false warning did not result in difficulty or hazard arising from the crew response to the warning;
- k) Leakage of hydraulic fluids, fuel, oil or other fluids which resulted in a fire hazard or possible hazardous contamination of aircraft structure, systems or equipment, or risk to occupants;
- l) Malfunction or defect of any indication system when this results in the possibility of misleading indications to the crew;
- m) Any failure, malfunction or defect if it occurs at a critical phase of the flight and is relevant to the system operation;
- n) Significant shortfall of the actual performances compared to the approved performance which resulted in a hazardous situation (taking into account the accuracy of the performance-calculation method) including braking action, fuel consumption etc.;
- o) Asymmetry of flight controls; e.g. flaps, slats, spoilers, etc.

The Appendix to this Schedule gives a list of examples of reportable occurrences resulting from the application of these general criteria to specific systems.

### **2.3 Propulsion (including engines, propellers and rotor systems) and Auxiliary Power Units (APUs)**

- a) Flameout, shutdown or malfunction of any engine.
- b) Overspeed or inability to control the speed of any high-speed rotating component (for example: APU, air starter, air cycle machine, air turbine motor, propeller or rotor).
- c) Failure or malfunction of any part of an engine or powerplant resulting in any one or more of the following:

- i) non-containment of components/debris;
  - ii) uncontrolled internal or external fire, or hot gas breakout;
  - iii) thrust in a direction different from that demanded by the pilot;
  - iv) thrust-reversing system failing to operate or operating inadvertently;
  - v) inability to control power, thrust or revolutions per minute;
  - vi) failure of the engine mount structure;
  - vii) partial or complete loss of a major part of the powerplant;
  - viii) dense visible fumes or concentrations of toxic products sufficient to incapacitate crew or passengers;
  - ix) inability, by use of normal procedures, to shutdown an engine;
  - x) inability to restart a serviceable engine.
- d) An uncommanded thrust/power loss, change or oscillation which is classified as a Loss of Thrust or power Control (LOTC):
- i) for a single-engine aircraft; or
  - ii) where it is considered excessive for the application; or
  - iii) where this could affect more than one engine in a multi-engine aircraft, particularly in the case of a twin-engine aircraft; or
  - iv) for a multi-engine aircraft where the same, or similar, engine type is used in an application where the event would be considered hazardous or critical.
- e) Any defect in a life-controlled part causing its withdrawal before completion of its full life.
- f) Defects of common origin which could cause an in-flight shut-down rate so high that there is the possibility of more than one engine being shut down on the same flight.
- g) An engine limiter or control device failing to operate when required or operating inadvertently.
- h) Exceedance of engine parameters.
- i) Foreign Objects Damage (FOD).

### 2.3.1 Propellers and transmission

- a) Failure or malfunction of any part of a propeller or powerplant resulting in any one or more of the following:
  - i) an overspeed of the propeller;
  - ii) the development of excessive drag;
  - iii) a thrust in the opposite direction to that commanded by the pilot;
  - iv) a release of the propeller or any major portion of the propeller;

- v) a failure that results in excessive imbalance;
- vi) the unintended movement of the propeller blades below the established minimum in-flight low-pitch position;
- vii) an inability to feather the propeller;
- viii) an inability to change propeller pitch;
- ix) an uncommanded change in pitch;
- x) an uncontrollable torque or speed fluctuation;
- xi) the release of low-energy parts.

### **Rotors and transmission**

- b) Damage or defect of main rotor gearbox/attachment which could lead to in-flight separation of the rotor assembly and/or malfunctions of the rotor control.
- c) Damage to tail rotor, transmission and equivalent systems.

### **APU**

- d) Shut down or failure when the APU is required to be available by operational requirements, e.g. ETOPS, MEL.
- e) Inability to shut down the APU.
- f) Overspeed.
- g) Inability to start the APU when needed for operational reasons.

## **2.4 Human factors**

Any incident where any feature or inadequacy of the aircraft design could have led to an error of use that could contribute to a hazardous or catastrophic effect.

## **2.5 Other occurrences**

- a) Any incident where any feature or inadequacy of the aircraft design could have led to an error of use that could contribute to a hazardous or catastrophic effect.
- b) An occurrence not normally considered as reportable (e.g., furnishing and cabin equipment, water systems), where the circumstances resulted in endangering the aircraft or its occupants.
- c) A fire, explosion, smoke or toxic/noxious fumes.
- d) Any other event which could endanger the aircraft, or affect the safety of the occupants of the aircraft, or people or property in the vicinity of the aircraft or on the ground.
- e) Failure or defect of passenger address system resulting in loss of, or inaudible, passenger address system.
- f) Loss of pilot seat control during flight.

### 3 Aircraft Maintenance and Repair

- a) Incorrect assembly of parts or components of the aircraft found during an inspection or test procedure not intended for that specific purpose.
- b) Hot bleed air leak resulting in structural damage.
- c) Any defect in a life-controlled part causing retirement before completion of its full life.
- d) Any damage or deterioration (e.g. fractures, cracks, corrosion, delamination, disbonding etc.) resulting from any cause (e.g. as flutter, loss of stiffness or structural failure) to:
  - i) a primary structure or a Principal Structure Element (PSE) (as defined in the manufacturers' Repair Manual) where such damage or deterioration exceeds allowable limits specified in the Repair Manual and requires a repair or complete or partial replacement;
  - ii) a secondary structure which consequently has or may have endangered the aircraft;
  - iii) the engine, propeller or rotorcraft rotor system.
- e) Any failure, malfunction or defect of any system or equipment, or damage or deterioration thereof found as a result of compliance with an airworthiness directive or other mandatory instruction issued by a regulatory authority, when:
  - i) it is detected for the first time by the reporting organization implementing compliance;
  - ii) on any subsequent compliance, it exceeds the permissible limits quoted in the instruction and/or published repair/rectification procedures are not available.
- f) Failure of any emergency system or equipment, including all exit doors and lighting, to perform satisfactorily, including when being used for maintenance or test purposes.
- g) Non-compliance or significant errors in compliance with required maintenance procedures.
- h) Products, parts, appliances and materials of unknown or suspect origin.
- i) Misleading, incorrect or insufficient maintenance data or procedures that could lead to maintenance errors.
- j) Any failure, malfunction or defect of ground equipment used for testing or checking of aircraft systems and equipment when the required routine inspection and test procedures did not clearly identify the problem, where this results in a hazardous situation.

## **4 Ground Services and Facilities**

### **4.1 Air Navigation Services (ANS)**

See Part 2, list of reportable ANS-related occurrences.

### **4.2 Aerodrome and aerodrome facilities**

- a) Significant spillage during fuelling operations.
- b) Loading of incorrect fuel quantities likely to have a significant effect on aircraft endurance, performance, balance or structural strength.
- c) Failure or significant deterioration of aerodrome aircraft operating surfaces.

### **4.3 Handling of passengers, baggage and cargo**

- a) Significant contamination of aircraft structure, systems and equipment arising from the carriage of baggage or cargo.
- b) Incorrect loading of passengers, baggage or cargo, likely to have a significant effect on aircraft mass and/or balance.
- c) Incorrect stowage of baggage or cargo (including hand baggage) likely in any way to endanger the aircraft, its equipment or occupants or to impede emergency evacuation.
- d) Inadequate stowage of cargo containers or other substantial items of cargo.
- e) Carriage or attempted carriage of dangerous goods in contravention of applicable regulations, including incorrect labelling and packaging of dangerous goods.

### **4.3 Aircraft ground handling and servicing**

- a) Failure, malfunction or defect of ground equipment used for the testing or checking of aircraft systems and equipment when the required routine inspection and test procedures did not clearly identify the problem, where this results in a hazardous situation.
- b) Non-compliance or significant errors in compliance with required servicing procedures.
- c) Loading of contaminated or incorrect type of fuel or other essential fluids (including oxygen and potable water).
- d) Unsatisfactory ground de-icing/anti-icing.

## **Appendix to Part 1**

The following subparagraphs give examples of reportable occurrences resulting from the application of the general criteria to specific systems listed in paragraph 2.2 of Part 1.

**1 Air conditioning/ventilation**

- a) complete loss of avionics cooling;
- b) depressurization.

**2 Autoflight system**

- a) failure of the autoflight system to achieve the intended operation while engaged;
- b) significant reported crew difficulty to control the aircraft linked to auto flight system functioning;
- c) failure of any autoflight system disconnect device;
- d) uncommanded auto flight mode change.

**3 Communications**

- a) failure or defect of passenger address system resulting in loss of or inaudible passenger address;
- b) total loss of communication in flight.

**4 Electrical system**

- a) loss of one electrical distribution system (AC/DC);
- b) total loss or loss of more than one electrical generation system;
- c) failure of the back up (emergency) electrical generation system.

**5 Cockpit/Cabin/Cargo**

- a) pilot seat control loss during flight;
- b) failure of any emergency system or equipment, including emergency evacuation signalling system, all exit doors, emergency lighting, etc.;
- c) loss of retention capability of the cargo loading system.

**6 Fire protection system**

- a) fire warnings, except those immediately confirmed as false;
- b) undetected failure or defect of fire/smoke detection/protection system, which could lead to loss or reduced fire detection/protection;
- c) absence of warning in case of actual fire or smoke.

**7 Flight controls**

- a) asymmetry of flaps, slats, spoilers, etc.;

- b) limitation of movement, stiffness or poor or delayed response in the operation of primary flight control systems or their associated tab and lock systems;
- c) flight control surface runaway;
- d) flight control surface vibration felt by the crew;
- e) mechanical flight control disconnection or failure;
- f) significant interference with normal control of the aircraft or degradation of flying qualities.

## **8 Fuel system**

- a) fuel quantity indicating system malfunction resulting in total loss or wrong indication of fuel quantity on board;
- b) leakage of fuel which resulted in major loss, fire hazard, significant contamination;
- c) 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;
- d) fuel system malfunctions or defects which had a significant effect on fuel supply and/or distribution;
- e) inability to transfer or use total quantity of usable fuel.

## **9 Hydraulics**

- a) loss of one hydraulic system (ETOPS only);
- b) failure of the isolation system;
- c) loss of more than one hydraulic circuit;
- d) failure of the back-up hydraulic system;
- e) inadvertent ram air turbine extension.

## **10 Ice detection/protection system**

- a) undetected loss or reduced performance of the anti-ice/de-ice system;
- b) loss of more than one of the probe-heating systems;
- c) inability to obtain symmetrical wing de-icing;
- d) abnormal ice accumulation leading to significant effects on performance or handling qualities;
- e) crew vision significantly affected.

**11 Indicating/warning/recording systems**

- a) malfunction or defect of any indicating system when the possibility of significant misleading indications to the crew could result in an inappropriate crew action on an essential system;
- b) loss of a red warning function on a system;
- c) for glass cockpits: loss or malfunction of more than one display unit or computer involved in the display/ warning function.

**12 Landing gear system/brakes/tires**

- a) brake fire;
- b) significant loss of braking action;
- c) asymmetrical braking action leading to significant path deviation;
- d) failure of the landing gear free fall extension system (including during scheduled tests);
- e) unwanted landing gear or gear doors extension/retraction;
- f) multiple tire burst.

**13 Navigation systems (including precision approach systems) and air data systems**

- a) total loss or multiple navigation equipment failures;
- b) total or multiple air data system equipment failures;
- c) significant misleading indications;
- d) significant navigation errors attributed to incorrect data or a database coding error;
- e) unexpected deviations in lateral or vertical path not caused by pilot input;
- f) problems with ground navigational facilities leading to significant navigation errors not associated with transitions from inertial navigation mode to radio navigation mode.

**14 Oxygen for pressurized aircraft**

- a) loss of oxygen supply in the cockpit;
- b) loss of oxygen supply to a significant number of passengers (more than 10 %), including when found during maintenance or training or test purposes.

**15 Bleed air system**

- a) hot bleed air leak resulting in fire warning or structural damage;
- b) loss of all bleed air systems;

- c) failure of bleed air leak detection system.

## Part 2: List of Air Navigation Services Related Occurrences to be Reported

Note 1: Although this Part lists the majority of reportable occurrences, it cannot be completely comprehensive. Any other occurrences, which are judged by those involved to meet the criteria, should also be reported.

Note 2: This Part does not include accidents and serious incidents.

Note 3: This Part includes Air Navigation Service (ANS) occurrences which pose an actual or potential threat to flight safety, or can compromise the provision of safe ANS services.

Note 4: The contents of this Part shall not preclude the reporting of any occurrence, situation or condition which, if repeated in different but likely circumstances or allowed to continue uncorrected, could create a hazard to aircraft safety.

- 1 **Near collision incidents** (encompassing specific situations where one aircraft and another aircraft/the ground/a vehicle/person or object are perceived to be too close to each other):
  - a) separation minima infringement;
  - b) inadequate separation;
  - c) "near CFIT" (near-controlled flight into terrain);
  - d) runway incursion where avoiding action was necessary.
  
- 2 **Potential for collision or near collision** (encompassing specific situations having the potential to be an accident or a near collision, if another aircraft is in the vicinity):
  - a) runway incursion where no avoiding action is necessary;
  - b) runway excursion;
  - c) aircraft deviation from ATC clearance;
  - d) aircraft deviation from applicable Air Traffic Management (ATM) regulation:
    - i) aircraft deviation from applicable published ATM procedures;
    - ii) unauthorized penetration of airspace;
    - iii) deviation from aircraft ATM-related equipment carriage and operations, as mandated by applicable regulation(s).
  
- 3 **ATM-specific Occurrences** (encompassing those situations where the ability to provide safe ATM services is affected, including situations where, by chance, the safe operation of aircraft has not been jeopardized). This shall include the following occurrences:
  - a) inability to provide ATM services:
    - i) inability to provide air traffic services;

- ii) inability to provide airspace management services;
  - iii) inability to provide air traffic flow management services;
  - b) failure of Communication function;
  - c) failure of Surveillance function;
  - d) failure of Data Processing and Distribution function;
  - e) failure of Navigation function;
  - f) ATM system security.
- 4 **“ATC” (air traffic control) Navigation and Communications** - significant malfunction or deterioration of service.
- 5 **An aircraft was or could have been endangered by impairment of any member of ground staff** (e.g. ATC, “AD” (aircraft dispatchers), Maintenance, etc.).
- 6 **ATC overload.**
- 7 **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.

## Appendix to Part 2

The following subparagraphs give examples of reportable ATM occurrences resulting from the application of the general criteria listed in paragraph 3 of Part 2.

- 1 Provision of significantly incorrect, inadequate or misleading information from any ground sources, e.g. ATC, Automatic Terminal Information Service (ATIS), meteorological services, navigation databases, maps, charts, manuals, etc.
- 2 Provision of less than prescribed terrain clearance.
- 3 Provision of incorrect pressure reference data (i.e. altimeter setting).
- 4 Incorrect transmission, receipt or interpretation of significant messages when this results in a hazardous situation.
- 5 Separation minima infringement.
- 6 Unauthorised penetration of airspace.
- 7 Unlawful radio communication transmission.
- 8 Failure of ANS ground or satellite facilities.
- 9 Major ATC/ATM failure or significant deterioration of aerodrome infrastructure.
- 10 Aerodrome movement areas obstructed by aircraft, vehicles, animals or foreign objects, resulting in a hazardous or potentially hazardous situation.
- 11 Errors or inadequacies in marking of obstructions or hazards on aerodrome movement areas resulting in a hazardous situation.

12 Failure, significant malfunction or unavailability of airfield lighting.