



**مقررات هواپیمایی کشوری جمهوری اسلامی ایران**

**Civil Aviation Regulation of IR.IRAN**

**مقررات گزارش دهی ایمنی**

**CAO.IRI Safety Reporting Regulation**

*DATE: July 2018*

*ISSUE: Draft 01*

*REVISION: 00*



DRAFT





## TABLE OF CONTENTS

Objectives _____	9
Definitions _____	9
Subject matter and scope _____	11
Mandatory reporting _____	11
Voluntary reporting _____	14
Collection and storage of information _____	15
Quality and content of occurrence reports _____	16
CAO.IRI Central Repository _____	17
Exchange of information _____	17
Dissemination of information stored in the CAO.IRI Central Repository _____	18
Processing of requests and decisions _____	18
Record of requests and exchange of information _____	19
Occurrence analysis and follow-up at national level _____	20
Occurrence analysis and follow up a collaborative approach _____	21
Confidentiality and appropriate use of information _____	22
Protection of the information source _____	23
Updating of the Appendixes _____	24
Exercise of the delegation _____	Error! Bookmark not defined.
Authority procedure _____	25
Access to documents and protection of personal data _____	25
Penalties _____	25
Amendment to Regulation ICAR 113 _____	25
Repeals _____	26
<b>LIST OF REQUIREMENTS APPLICABLE TO THE MANDATORY AND VOLUNTARY OCCURRENCE REPORTING SCHEMES _____</b>	<b>27</b>
<b>INTERESTED PARTIES _____</b>	<b>31</b>
<b>REQUEST FOR INFORMATION FROM THE CAO.IRI CENTRAL REPOSITORY _____</b>	<b>32</b>



## ***Safety Reporting Regulation of the Civil Aviation Organization***

### **On the reporting, analysis and follow-up of occurrences in civil aviation,**

Acting in accordance with the ordinary legislative procedure (2), whereas:

- (1) A high general level of safety should be ensured in civil aviation in the **IR of IRAN** and every effort should be made to reduce the number of accidents and incidents with a view to ensuring public confidence in aviation transport.
- (2) The rate of fatal accidents in civil aviation has remained fairly constant over the last decade. Nevertheless, the number of accidents could rise over the decades to come, due to an increase in air traffic and an increase in the technical complexity of aircraft.
- (3) Regulation ICAR 113 of the Ministry of Cabinet aims to prevent accidents by facilitating the prompt holding of efficient and high-quality accident and incident investigations. In the event of an accident or a serious incident, notification of the occurrence is also subject\\ to Regulation ICAR 113.
- (4) Existing legislative acts of the IR of IRAN, in particular Civil Aviation Act of the IR of IRAN and its implementing regulations, impose obligations on certain organisations to establish occurrence reporting systems in the context of their safety management systems. Compliance with Civil Aviation Act and its implementing regulations should not exempt organisations from compliance with this Regulation. Likewise, compliance with this Regulation should not exempt organisations from compliance with Civil Aviation Act and its implementing regulations. However, this should not give rise to two parallel reporting systems, and Civil Aviation Act, its implementing regulations, and this Regulation should be seen as complementary.
- (5) Experience has shown that accidents are often preceded by safety-related incidents and deficiencies revealing the existence of safety hazards. Safety information is therefore an important resource for the detection of potential safety hazards. In addition, whilst the ability to learn from an accident is crucial, purely reactive systems have been found to be of limited use in continuing to bring forward improvements. Reactive systems should therefore be complemented by proactive systems which use other types of safety information to make effective improvements in aviation safety. The IR of IRAN, the CAO.IRI and organisations should contribute to the improvement of aviation safety through the introduction of more proactive and evidence based safety systems which focus on accident prevention based on the analysis of all relevant safety information, including information on civil aviation occurrences.



- (6) In order to improve aviation safety, relevant civil aviation safety information should be reported, collected, stored, protected, exchanged, disseminated and analysed, and appropriate safety action should be taken on the basis of the information collected. This proactive and evidence-based approach should be implemented by organisations as part of their safety management system and by the CAO.IRI.
- (7) The imposition on organisations of occurrence reporting obligations should be proportionate to the size of the organisation concerned and the scope of its activity. It should therefore be possible, in particular for smaller organisations, to decide to join or merge functions related to occurrence handling within the organisation, to share occurrence reporting tasks with other organisations of the same nature or to outsource the collection, evaluation, processing, analysis and storage of details of occurrences to specialised entities approved by the CAO.IRI. Such entities should comply with the protection and confidentiality principles established by this Regulation. The outsourcing organisation should maintain appropriate control of the outsourced tasks and should be ultimately accountable and responsible for the application of the requirements prescribed by this Regulation.
- (8) It is necessary to ensure that front-line aviation professionals report occurrences that pose a significant risk to aviation safety. Voluntary reporting systems should complement the mandatory reporting systems, and both should allow individuals to report details of aviation safety-related occurrences. Mandatory and voluntary reporting systems should be set up within organisations and the CAO.IRI. The information collected should be transferred to the CAO.IRI for appropriate monitoring in order to enhance aviation safety. Organisations should analyse those occurrences that could have an impact on safety, in order to identify safety hazards and take any appropriate corrective or preventive action. Organisations should send the preliminary results of their analyses to the CAO.IRI and should also send the final results if those results identify an actual or potential aviation safety risk. The CAO.IRI should put in place a similar procedure for those occurrences that have been directly submitted and should adequately monitor the organisation's assessment and any corrective or preventive action taken.
- (9) Various categories of staff working or otherwise engaged in civil aviation witness events which are of relevance to accident prevention. They should therefore have access to tools enabling them to report such events, and their protection should be guaranteed. In order to encourage staff to report occurrences and enable them to appreciate more fully the positive impact which occurrence reporting has on air safety, they should be regularly informed about action taken under occurrence reporting systems.
- (10) The hazards and risk associated with complex motor-powered aircraft are very different from those associated with other types of aircraft. Therefore, while the entire aviation sector should be covered by this Regulation, the obligations imposed by it should be proportionate to the sphere of activity and the complexity of different types of aircraft. Accordingly, information collected on occurrences involving aircraft other than complex



motor- powered ones should be subject to simplified reporting obligations which are better suited to that branch of aviation.

- (11) The development of other means of collecting safety information in addition to the systems required by this Regulation should be encouraged, with a view to collecting further information which could contribute to the improvement of aviation safety. Where organisations have existing and well-functioning safety information collection systems, they should be allowed to continue to use those systems alongside the systems to be established for the purpose of this Regulation.
- (12) The authority responsible for investigating accidents and incidents within the IR of IRAN should have full access to details of occurrences collected and occurrence reports stored by CAO.IRI, in order to decide which incidents require an accident and incident investigation, as well as to identify where lessons can be learned in the interest of aviation safety and to fulfill its obligations.
- (13) It is essential to have high-quality and complete data, as analysis and trends derived from inaccurate data may show misleading results and may lead to effort being focused on inappropriate action. In addition, such inaccurate data may lead to a loss of confidence in the information produced by occurrence reporting schemes. In order to ensure the quality of occurrence reports, and to facilitate their completeness, they should contain certain minimum information, which may vary depending on the occurrence category. In addition, procedures should be implemented for checking the quality of information and avoiding inconsistency between an occurrence report and the details of the occurrence that were initially collected. Moreover, with the support of the Commission, adequate guidance material should be developed, notably to ensure the quality and to facilitate the completeness of data as well as the consistent and uniform integration of data into databases. Workshops should also be organised, notably by the CAO.IRI, to provide necessary support.
- (14) The CAO.IRI should develop a risk classification scheme to ensure the identification of any rapid action needed when looking at high-risk individual safety occurrences. That scheme should also enable key risk areas to be identified from aggregated information. Such a scheme should help the relevant entities in their assessment of occurrences and in determining where best to focus their efforts. A risk classification scheme should facilitate an integrated and harmonized approach to risk management across the Iranian aviation system and thus enable organisations and the CAO.IRI to focus on safety improvement efforts in a harmonized manner.
- (15) A risk classification scheme should also both enable key risk areas within IR of IRAN to be identified on the basis of aggregated information from the country perspective and support the work done in the area of the IR of Iran Aviation Safety Programme and its Aviation Safety Plan. Appropriate support should be given by the CAO.IRI to ensure consistent and uniform risk classification across IR of IRAN.



- (16) To facilitate information exchange, occurrence reports should be stored in databases which should be compatible with the ECCAIRS software (the software used by all many organisations and by the CAO.IRI Central Repository to store occurrence reports) and with the ADREP taxonomy (the International Civil Aviation Organisation (ICAO) taxonomy, also used for the ECCAIRS software). The CAO.IRI should provide technical support for the interoperability of the systems.
- (17) Organisations should store occurrence reports derived from details of occurrences collected under the mandatory and, where applicable, the voluntary reporting systems in one or more databases. It should be possible for the complexity of the database to be proportionate to the size of the organisation concerned and/or its significance with respect to the objectives of this Regulation, and it should at least consist of a data file containing common mandatory data fields and, where applicable, specific mandatory data fields.
- (18) An occurrence involving an aircraft registered in IR of IRAN or operated by an organisation established in IR of IRAN should be reported even if it happened outside the territory of the IR of IRAN.
- (19) Reserved.
- (20) The objective of the exchange of information on occurrences should be the prevention of aviation accidents and incidents. It should not be used to attribute blame or liability or to establish benchmarks for safety performance.
- (21) The most efficient way to ensure the exchange of large quantities of safety information between the organisations establish in IR of IRAN, is through the CAO.IRI Central Repository, provided that CAO.IRI, its departments and the organizations have predefined access to it.
- (22) All safety-related information derived from occurrence reports collected in IR of IRAN should be transferred in the CAO.IRI Central Repository in a timely manner. This should include the collection of information on incidents but also information on accidents and serious incidents investigated pursuant to ICAR 113.
- (23) This Regulation should apply to information on occurrences which is stored in the databases of organisations and the CAO.IRI.
- (24) All safety-related information contained in the CAO.IRI Central Repository should be available to the authority responsible for investigating accidents and incidents within the IR of IRAN.
- (25) It should be possible for interested parties to request access to certain information contained in the CAO.IRI Central Repository, subject to the rules concerning the confidentiality of such information and the anonymity of the persons involved.
- (26) As CAO.IRI have the best knowledge of interested parties established in IR of IRAN, it



should be for CAO.IRI to deal with requests from interested parties established in the territory IR of IRAN. The CAO.IRI should also deal with requests from interested parties from third countries or from international organisations.

- (27) Information contained in occurrence reports should be analysed, and safety risks identified. Any appropriate consequent action for improving aviation safety should be identified and implemented in a timely manner. Information on the analysis and follow-up of occurrences should be disseminated within organisations and the CAO.IRI, since providing feedback on occurrences that have been reported incentivises individuals to report occurrences. Where applicable and when possible, information on the analysis and follow-up of occurrences should also be provided to individuals who have directly reported occurrences to the CAO.IRI. Such feedback should comply with the rules on confidentiality and protection of the reporter and the persons mentioned in occurrence reports pursuant to this Regulation.
- (28) This Regulation should assist CAO.IRI and organisations in managing aviation safety risks. The safety management systems of organisations are complemented by the safety management (system) of the CAO.IRI. While organisations manage safety risks associated with their specific activities, the CAO.IRI manage safety risks for the aviation systems as a whole, addressing common safety risks for aviation in IR of IRAN. The responsibilities of the CAO.IRI should not exonerate organisations from their direct responsibilities in managing safety inherent in the products and in the services they provide. For that purpose, organisations should collect and analyse information on occurrences in order to identify and mitigate hazards associated with their activities. They should also assess associated safety risks and allocate resources to take prompt and appropriate safety risk mitigation measures. The overall process should be monitored by the CAO.IRI, which should, when necessary, require that additional action be taken to ensure that the safety deficiencies are correctly addressed. On the other hand, the CAO.IRI should complement the safety management systems of the organisations.
- (29) When determining the action to be included within the IR of IRAN Aviation Safety Programme and its Safety Plan, and in order to ensure that the action is evidence-based, CAO.IRI should use the information derived from the occurrence reports that have been collected and from their analysis. IR of IRAN Aviation Safety Programme and its Safety Plan are complemented at international level by the Global Aviation Safety Plan (GASP).
- (30) Since the objective of aviation safety improvement cannot be sufficiently achieved by the organisation because reporting systems operated by organisations in isolation are less efficient than a coordinated network with exchange of information allowing identification of possible safety problems and key risk areas at state level, analysis at organisations level should be complemented by analysis and follow-up at state level in order to ensure better prevention of aviation accidents and incidents. This state level task should be carried out by a network of aviation safety analysts in coordination with the CAO.IRI. It should be possible for that network to decide, by consensus, to invite observers to their meetings, including industry employees or representatives.



- (31) The IR of Iran Aviation Safety Programme and the Safety Plan should benefit in particular from the work of the network of aviation safety analysts for the purpose of determining what action needs to be implemented at state level from an evidence based perspective.
- (32) The general public should be provided with general aggregated information on the level of aviation safety in IR of IRAN. That information should cover, in particular, trends and analysis deriving from the implementation of this Regulation, as well as information in an aggregated form on the content of the CAO.IRI Central Repository, and may be provided by publishing safety performance indicators (SPI).
- (33) The civil aviation safety system is established on the basis of feedback and lessons learned from accidents and incidents. Occurrence reporting and the use of occurrence information for the improvement of safety depend on a relationship of trust between the reporter and the entity in charge of the collection and assessment of the information. This requires strict application of rules on confidentiality. The purpose of protecting safety information from inappropriate use, and of limiting access to the CAO.IRI Central Repository solely to interested parties participating in the improvement of civil aviation safety, is to ensure the continuing availability of safety information so that appropriate and timely preventive action can be taken and aviation safety improved. In this context, sensitive safety information should be protected in an appropriate way and its collection should be ensured by guaranteeing its confidentiality, protecting its source and ensuring the confidence of staff working in civil aviation in occurrence reporting systems. Appropriate measures should be put in place to ensure that information collected through occurrence reporting schemes is kept confidential and that access to the CAO.IRI Central Repository is restricted. National rules on freedom of information should take into account the necessary confidentiality of such information. The information collected should be adequately protected from unauthorised use or disclosure. It should be used strictly for the purpose of maintaining or improving aviation safety and should not be used to attribute blame or liability.
- (34) In order to ensure the confidence of employees or contracted personnel in the occurrence reporting system of the organisation, the information contained in occurrence reports should be protected appropriately and should not be used for purposes other than maintaining or improving aviation safety. The internal ‘just culture’ rules adopted by organisations pursuant to this Regulation should contribute in particular to the achievement of this objective. In addition, the limitation of the transmission of personal details, or of information allowing the identification of the reporter or of the other persons mentioned in occurrence reports, by a clear separation between the departments handling occurrence reports and the rest of the organisation, may be an efficient way to achieve this objective.
- (35) A reporter or a person mentioned in occurrence reports should be adequately protected. In this context, occurrence reports should be disidentified and details relating to the identity of the reporter and of the persons mentioned in occurrence reports should not be entered into databases.



- (36) In addition, the civil aviation system should promote a ‘safety culture’ facilitating the spontaneous reporting of occurrences and thereby advancing the principle of a ‘just culture’. ‘Just culture’ is an essential element of a broader ‘safety culture’, which forms the basis of a robust safety management system. An environment embracing ‘safety culture’ principles should not prevent action being taken where necessary to maintain or improve the level of aviation safety.
- (37) A ‘just culture’ should encourage individuals to report safety-related information. It should not, however, absolve individuals of their normal responsibilities. In this context, employees and contracted personnel should not be subject to any prejudice on the basis of information provided pursuant to this Regulation, except in cases of willful misconduct or where there has been manifest, severe and serious disregard with respect to an obvious risk and profound failure of professional responsibility to take such care as is evidently required in the circumstances, causing foreseeable damage to a person or to property, or seriously compromising the level of aviation safety.
- (38) In order to encourage reporting of occurrences, it should be appropriate to protect not only reporters, but also persons mentioned in the occurrence reports concerned. However, such protection should not exonerate those persons from their reporting obligations under this Regulation. In particular, in a situation where a person is mentioned in an occurrence report and has himself or herself the obligation to report that same occurrence, and intentionally fails to report it, then that person should lose his or her protection and face penalties in application of this Regulation.
- (39) Without prejudice to national criminal law and the proper administration of justice, it is important to clearly demarcate the extent of the protection of the reporter and other persons mentioned in occurrence reports from prejudice or prosecution.
- (40) In order to enhance the confidence of individuals in the system, the handling of occurrence reports should be organised in such a way as to appropriately safeguard the confidentiality of the identity of the reporter and other persons mentioned in occurrence reports with regard to fostering a ‘just culture’. The aim, wherever possible, should be to enable an independent occurrence handling system to be established.
- (41) Staff of organisations and of the CAO.IRI who are involved in the evaluation, processing or analysis of occurrences have a significant role to play in the identification of safety hazards and safety deficiencies. Experience shows that when occurrences are analysed with the benefit of hindsight following an accident, the analysis leads to the identification of risks and deficiencies that might otherwise not have been identified. It is possible, therefore, that the persons involved in the evaluation, processing or analysis of occurrences may fear potential consequences in terms of prosecution before judicial authorities. Without prejudice to national criminal law and the proper administration of justice, juridical authorities of IR of IRAN should not institute proceedings against persons who, in the CAO.IRI, are involved in the evaluation, processing or analysis of occurrences in respect of decisions taken as part of their duties which subsequently, and with the benefit



of hindsight, prove to have been erroneous or ineffective but which, when they were taken and on the basis of the information available at that time, were proportional and appropriate.

- (42) Employees and contracted personnel should have the opportunity to report breaches of the principles delimiting their protection as established by this Regulation, and should not be penalized for so doing. CAO.IRI should define the consequences for those who infringe the principles of protection of the reporter and of other persons mentioned in occurrence reports and should adopt remedies or impose penalties as appropriate.
- (43) Individuals may be discouraged from reporting occurrences by the fear of self-incrimination and the potential consequences in terms of prosecution before judicial authorities. The objectives of this Regulation can be achieved without interfering unduly with the justice systems of IR of IRAN. It is therefore appropriate to provide that unpremeditated or inadvertent infringements of the law that come to the attention of the CAO.IRI solely through reporting pursuant to this Regulation should not be the subject of disciplinary, administrative or legal proceedings, unless where otherwise provided by applicable national criminal law. However, the rights of third parties to institute civil proceedings should not be covered by this prohibition and should be subject only to national law.
- (44) Nevertheless, in the context of developing a ‘just culture’ environment, IR of IRAN should retain the option of extending the prohibition on using occurrence reports as evidence against reporters in administrative and disciplinary proceedings to civil or criminal proceedings.
- (45) In addition, the cooperation between safety authorities and judicial authorities should be enhanced and formalised by means of advance arrangements between themselves which should respect the balance between the various public interests at stake and which should in particular cover, for example, access to and the use of occurrence reports contained in the CAO.IRI Central Repository's databases.
- (46) To support the increased responsibilities of the CAO.IRI under this Regulation, it should be given sufficient resources to enable it to carry out the additional tasks assigned to it.
- (47) Reserved.
- (48) Reserved.
- (49) In order to ensure uniform conditions for the implementation of this Regulation, implementing powers should be conferred on the CAO.IRI.
- (50) Reserved.
- (51) Penalties should, in particular, be applicable against any person who or entity which, contrary to this Regulation, misuses information protected by this Regulation; acts in a



prejudicial manner against the reporter or other persons mentioned in occurrence reports, except in cases where the exemptions laid down in this Regulation apply; does not establish an environment appropriate for allowing the collection of details of occurrences; does not analyse the information collected; does not act to address any safety or potential safety deficiencies detected; or does not share the information collected in application of this Regulation,

HAVE ADOPTED THIS REGULATION:

## ***Article 1***

### **Objectives**

1. This Regulation aims to improve aviation safety by ensuring that relevant safety information relating to civil aviation is reported, collected, stored, protected, exchanged, disseminated and analyzed.

This Regulation ensures:

- a) that, where appropriate, safety action is taken in a timely manner based on analysis of the information collected;
  - b) the continued availability of safety information by introducing rules on confidentiality and on the appropriate use of information and through the harmonized and enhanced protection of reporters and persons mentioned in occurrence reports; and
  - c) that aviation safety risks are considered and dealt with at both organizational and national level.
2. The sole objective of occurrence reporting is the prevention of accidents and incidents and not to attribute blame or liability.

## ***Article 2***

### **Definitions**

For the purposes of this Regulation the following definitions apply:

- 1) 'reporter' means a natural person who reports an occurrence or other safety-related information pursuant to this Regulation;
- 2) 'aircraft' means 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;



- 3) 'incident' means an incident within the meaning of Regulation ICAR 113;
- 4) 'serious incident' means a serious incident within the meaning of Regulation ICAR 113;
- 5) 'accident' means an accident within the meaning of Regulation ICAR 113;
- 6) 'disidentified information' means information arising from occurrence reports from which all personal data such as names or addresses of natural persons have been removed;
- 7) 'occurrence' means any safety-related event which endangers or which, if not corrected or addressed, could endanger an aircraft, its occupants or any other person and includes in particular an accident or serious incident;
- 8) 'organisation' means any organization, providing aviation services and/or which employs, contracts or uses the services of persons required to report occurrences in accordance with Article 4(6);
- 9) 'anonymisation' means the removal from occurrence reports of all personal details relating to the reporter and to the persons mentioned in occurrence reports and any details, including the name of the organisation(s) involved in the occurrence, which may reveal the identity of the reporter or of a third party or lead to that information being inferred from the occurrence report;
- 10) 'hazard' means a condition or an object with the potential to cause or contribute to an aircraft incident or accident;
- 11) 'accident and incident investigation authority' means the permanent national civil aviation accident and incident investigation authority conducting or supervising accident and incident investigations as referred to in Article 3 of Regulation ICAR 113;
- 12) 'just culture' means a culture in which front-line operators or other persons are not punished for actions, omissions or decisions taken by them that are commensurate with their experience and training, but in which gross negligence, willful violations and destructive acts are not tolerated;
- 13) 'SQAD' is the abbreviation for Safety and Quality Assurance Department of CAO.IRI.
- 14) 'interested party' means any natural or legal person or any official body, whether or not having its own legal personality, that is in a position to participate in the improvement of aviation safety by having access to information on occurrences exchanged by CAO.IRI and which falls within one of the categories of interested parties set out in Appendix II of this Regulation;
- 15) 'IR of IRAN Aviation Safety Programme' means an integrated set of legal acts and activities aimed at managing civil aviation safety in IR of IRAN;
- 16) 'IR of IRAN Aviation Safety Plan' means safety issues assessment and the related action plan at national level;
- 17) Reserved.



- 18) 'safety management system' means a systematic approach to managing aviation safety including the necessary organisational structures, accountability, responsibilities, policies and procedures, and includes any management system that, independently or integrated with other management systems of the organisation, addresses the management of safety.

### ***Article 3***

#### **Subject matter and scope**

- 1) This Regulation lays down rules on:
  - a) the reporting of occurrences which endanger or which, if not corrected or addressed, would endanger an aircraft, its occupants, any other person, equipment or installation affecting aircraft operations; and the reporting of other relevant safety-related information in that context;
  - b) analysis and follow-up action in respect of reported occurrences and other safety-related information;
  - c) the protection of aviation professionals;
  - d) appropriate use collected safety information;
  - e) the integration of information into the CAO.IRI Central Repository; and
  - f) the dissemination of anonymised information to interested parties for the purpose of providing such parties with the information they need in order to improve aviation safety.
- 2) This Regulation applies to occurrences and other safety-related information involving civil aircraft, with the exception of aircraft referred to in Article 2 of Civil Aviation Act ratified on 1948.

### ***Article 4***

#### **Mandatory reporting**

- 1) Occurrences which may represent a significant risk to aviation safety and which fall into the following categories shall be reported by the persons listed in paragraph 6 through the mandatory occurrence reporting systems pursuant to this Article:
  - a) occurrences related to the operation of the aircraft, such as:
    - i. collision-related occurrences;
    - ii. take-off and landing-related occurrences;
    - iii. fuel-related occurrences;



- iv. in-flight occurrences;
  - v. communication-related occurrences;
  - vi. occurrences related to injury, emergencies and other critical situations; (vii) crew incapacitation and other crew-related occurrences;
  - vii. meteorological conditions or security-related occurrences;
- b) occurrences related to technical conditions, maintenance and repair of aircraft, such as:
- i. structural defects;
  - ii. system malfunctions;
  - iii. maintenance and repair problems;
  - iv. propulsion problems (including engines, propellers and rotor systems) and auxiliary power unit problems;
- c) occurrences related to air navigation services and facilities, such as:
- i. collisions, near collisions or potential for collisions;
  - ii. specific occurrences of air traffic management and air navigation services (ATM/ANS);
  - iii. ATM/ANS operational occurrences;
- d) occurrences related to aerodromes and ground services, such as:
- i. occurrences related to aerodrome activities and facilities;
  - ii. occurrences related to handling of passengers, baggage, mail and cargo;
  - iii. occurrences related to aircraft ground handling and related services.
- 2) Each organisation established in IR of IRAN shall establish a mandatory reporting system to facilitate the collection of details of occurrences referred to in paragraph 1.
- 3) CAO.IRI shall establish a mandatory reporting system to facilitate the collection of details of occurrences including the collection of details of occurrences collected by organisations pursuant to paragraph 2.
- 4) The CAO.IRI shall establish a mandatory reporting system to facilitate the collection of details of occurrences, including the collection of details of occurrences collected by organisations established outside of IR of IRAN which have been certified or approved by CAO.IRI.
- 5) The CAO.IRI has adopted a list classifying occurrences ,in appendix IV Section I to V, to be referred to when reporting occurrences pursuant to paragraph 1.

This appendix also includes a separate list classifying occurrence applicable to aircraft other than complex motor-powered aircraft. The list is a simplified version of the list referred to in the first subparagraph and, where appropriate, is adapted to the specificities of that branch of aviation.



- 6) The following natural persons shall report the occurrences referred to in paragraph 1 through the system established in accordance with paragraph 2 by the organisation which employs, contracts or uses the services of the reporter or, failing that, through the system established in accordance with paragraph 3 by CAO.IRI, or in case of organization established outside of IR of IRAN through the system established in accordance with paragraph 4 by the CAO.IRI:
  - a) the pilot in command, or, in cases where the pilot in command is unable to report the occurrence, any other crew member next in the chain of command of an aircraft registered in IR of IRAN or an aircraft registered outside IR of IRAN but used by an operator for which CAO.IRI ensures oversight of operations or an operator established in IR of IRAN;
  - b) a person engaged in designing, manufacturing, continuous airworthiness monitoring, maintaining or modifying an aircraft, or any equipment or part thereof, under the oversight of CAO.IRI;
  - c) a person who signs an airworthiness review certificate, or a release to service in respect of an aircraft or any equipment or part thereof, under the oversight of a CAO.IRI;
  - d) a person who performs a function which requires him or her to be authorised by CAO.IRI as a staff member of an air traffic service provider entrusted with responsibilities related to air navigation services or as a flight information service officer;
  - e) a person who performs a function connected with the safety management of an airport to which Part ADR and/or CAD 6009 of CAO.IRI applies;
  - f) a person who performs a function connected with the installation, modification, maintenance, repair, overhaul, flight-checking or inspection of air navigation facilities for which CAO.IRI ensures the oversight;
  - g) a person who performs a function connected with the ground handling of aircraft, including fuelling, load-sheet preparation, loading, de-icing and towing at an airport covered by CAD6009 of CAO.IRI.
- 7) The persons listed in paragraph 6 shall report occurrences within 72 hours of becoming aware of the occurrence, unless exceptional circumstances prevent this.
- 8) Following notification of an occurrence, any organisation established in IR of IRAN shall report to CAO.IRI, as referred to in Article 6(3), the details of occurrences collected in accordance with paragraph 2 of this Article as soon as possible, and in any event no later than 72 hours after becoming aware of the occurrence.
- 9) Following notification of an occurrence, each organisation established outside of IR of IRAN which is certified or approved by the CAO.IRI shall report to the CAO.IRI, as referred to in Article 6(3), the details of occurrences collected in accordance with paragraph 2 as soon as possible, and in any event no later than 72 hours after becoming aware of the occurrence.



## Article 5

### Voluntary reporting

- 1) Each organisation established in IR of IRAN shall establish a voluntary reporting system to facilitate the collection of:
  - a) details of occurrences that may not be captured by the mandatory reporting system;
  - b) other safety-related information which is perceived by the reporter as an actual or potential hazard to aviation safety.
- 2) CAO.IRI shall establish a voluntary reporting system to facilitate the collection of:
  - a) details of occurrences that may not be captured by the mandatory reporting system;
  - b) other safety-related information which is perceived by the reporter as an actual or potential hazard to aviation safety.

That system shall also include, but shall not be limited to, the collection of information transferred by organisations pursuant to paragraph 5 or organisations pursuant to paragraph 6.
- 3) Reserved.
- 4) The voluntary reporting systems shall be used to facilitate the collection of details of occurrences and safety-related information:
  - a) not subject to mandatory reporting pursuant to Article 4(1);
  - b) reported by persons who are not listed in Article 4(6).
- 5) Each organisation established in IR of IRAN shall report to CAO.IRI, in a timely manner, details of occurrences and safety-related information which have been collected pursuant to paragraph 1 and which may involve an actual or potential aviation safety risk.
- 6) Reserved.
- 7) CAO.IRI and organisations may establish other safety information collection and processing systems to collect details of occurrences that might not be captured by the reporting systems referred to in Article 4 and in paragraphs 1, 2 and 3 of this Article. Those systems may include reporting to entities other than those set out in Article 6(3) and may involve the active participation of:
  - a) the aviation industry;
  - b) professional organisations of aviation staff.
- 8) Reserved.



## Article 6

### Collection and storage of information

- 1) Each organisation established in IR of IRAN shall designate one or more persons to handle independently the collection, evaluation, processing, analysis and storage of details of occurrences reported pursuant to Articles 4 and 5.

The handling of the reports shall be done with a view to preventing the use of information for purposes other than safety, and shall appropriately safeguard the confidentiality of the identity of the reporter and of the persons mentioned in occurrence reports, with a view to promoting a 'just culture'.

- 2) By agreement with CAO.IRI, small organisations may put in place a simplified mechanism for the collection, evaluation, processing, analysis and storage of details of occurrences. They may share those tasks with organisations of the same nature, while complying with the rules on confidentiality and protection pursuant to this Regulation.
- 3) CAO.IRI has designated SQAD to establish a mechanism to independently collect, evaluate, process, analyse and store details of occurrences reported pursuant to Articles 4 and 5.

The handling of the reports shall be done with a view to preventing the use of information for purposes other than safety, and shall appropriately safeguard the confidentiality of the identity of the reporter and of the persons mentioned in occurrence reports, with a view to promoting a 'just culture'.

- 4) Reserved.
- 5) Organisations shall store occurrence reports drawn up on the basis of details of occurrences collected in accordance with Articles 4 and 5 in one or more databases.
- 6) The SQAD shall store occurrence reports drawn up on the basis of details of occurrences collected in accordance with Articles 4 and 5 in the CAO.IRI Central Repository's database.
- 7) Relevant information on accidents and serious incidents collected or issued by accident and incident investigation authorities shall also be stored in the CAO.IRI Central Repository's database.
- 8) Reserved.
- 9) Accident and incident investigation authority shall have full access to CAO.IRI Central Repository database referred to in paragraph 6 for the purpose of discharging their responsibilities pursuant to ICAR 113.
- 10) Reserved.



## *Article 7*

### **Quality and content of occurrence reports**

- 1) Occurrence reports referred to in Article 6 shall contain at least the information listed in Appendix I to this Regulation.
- 2) Occurrence reports referred to in paragraphs 5 and 6 of Article 6 shall include a safety risk classification for the occurrence concerned. That classification shall be reviewed and if necessary amended, and shall be endorsed by the Safety and Quality Assurance Department, in accordance with the risk classification scheme referred to in paragraph 5 of this Article.
- 3) Organisations and CAO.IRI shall establish data quality checking processes to improve data consistency, notably between the information collected initially and the report stored in the database.
- 4) The databases referred to in paragraphs 5 and 6 of Article 6 shall use formats which are:
  - (a) standardised to facilitate information exchange; and
  - (b) compatible with the ECCAIRS software and the ADREP taxonomy.
- 5) CAO.IRI through the network of aviation safety analysts, referred to in Article 14(2), shall develop a risk classification scheme to enable the organisations and herself to classify occurrences in terms of safety risk. In so doing, CAO.IRI shall take into account the need for compatibility with existing risk classification schemes.

The CAO.IRI shall develop that scheme by 15 May 2020.

- 6) Reserved.
- 7) The CAO.IRI shall, by means of implementing acts, adopt the arrangements for the implementation of the CAO.IRI risk classification scheme.
- 8) The CAO.IRI shall support the organizations in their task of data integration, including for example in:
  - a) the integration of the minimum information referred to in paragraph 1;
  - b) the risk classification of occurrences referred to in paragraph 2; and
  - c) the establishment of data quality checking processes referred to in paragraph 3.
- 9) CAO.IRI shall provide that support in such a way as to contribute to the harmonisation of the data entry process across IR of IRAN, in particular by providing to staff working in the bodies or entities referred to in Article 6(1) and (3):
  - a) guidance material;
  - b) workshops; and
  - c) appropriate training.



## *Article 8*

### **CAO.IRI Central Repository**

1. The CAO.IRI shall manage a Central Repository to store all occurrence reports collected in the IR of IRAN.
2. Organizations shall, in agreement with the SQAD, update the CAO.IRI Central Repository by transferring to it all information relating to safety stored in their databases referred to in Article 6(5).
3. The department within CAO.IRI which have duties related to occurrence handling shall agree with the SQAD for transferring to the CAO.IRI Central Repository all occurrence reports collected by themselves under CAO.IRI specific operating regulations related to their scope of activity as well as the information collected pursuant to Articles 4(9) and 5(5).
4. The SQAD shall adopt the arrangements for the management of the CAO.IRI Central Repository as referred to in paragraph 1 and 2.

## *Article 9*

### **Exchange of information**

- 1) Safety oversight departments of CAO.IRI shall participate in an exchange of information by making all information relating to safety available to the SQAD, through the CAO.IRI Central Repository.

Occurrence reports shall be transferred to the CAO.IRI Central Repository no later than 10 working days after having been received by departments of CAO.IRI.

Occurrence reports shall be updated whenever necessary with additional information relating to safety.

- 2) Accident and incident investigation authority of IR of IRAN shall also transfer information related to accidents and serious incidents to the CAO.IRI Central Repository as follows:
  - a) during the course of the investigation: preliminary factual information on accidents and serious incidents;
  - b) when the investigation is completed:
    - i. the final investigation report; and
    - ii. when available, a summary in English of the final investigation report.



- 3) Organizations or CAO.IRI shall forward all pertinent safety-related information to the relevant section of other organization or the CAO.IRI as soon as possible if, while collecting details of occurrences or when storing occurrence reports or carrying out an analysis in accordance with Article 13(6), it identifies safety matters which it considers either:
  - a) to be of interest to other organization or the CAO.IRI; or
  - b) to possibly require safety action to be taken by other organization or the CAO.IRI.

## *Article 10*

### **Dissemination of information stored in the CAO.IRI Central Repository**

- 1) Accident and incident investigation authority, within IR of IRAN shall have secure full online access to information on occurrences contained in the CAO.IRI Central Repository.  
The information shall be used in accordance with Articles 15 and 16.
- 2) Interested parties listed in Appendix II may request access to certain information contained in the CAO.IRI Central Repository.  
Interested parties shall address requests for information to the SQAD.
- 3) Subject to ICAR 113, information contained in the CAO.IRI Central Repository relating to ongoing accident and incident investigations conducted in accordance with that Regulation shall not be disclosed to interested parties pursuant to this Article.
- 4) For security reasons, interested parties shall not be granted direct access to the CAO.IRI Central Repository.

## *Article 11*

### **Processing of requests and decisions**

- 1) Requests for information contained in the CAO.IRI Central Repository shall be submitted using forms approved by safety and quality assurance department. Those forms shall contain at least the items set out in Appendix III of this Regulation.
- 2) SQAD which receives a request shall verify that:
  - a) the request is made by an interested party;
  - b) Reserved.
- 3) SQAD which receives a request shall evaluate on a case-by-case basis whether the request is justified and practicable.



SQAD may supply information to interested parties on paper or by using secure electronic means of communication.

- 4) Where the request is accepted, the SQAD shall determine the amount and the level of information to be supplied. Without prejudice to Articles 15 and 16, the information shall be limited to what is strictly required for the purpose of the request.

Information unrelated to the interested party's own equipment, operations or field of activity shall be supplied only in aggregated or anonymised form. Information in non-aggregated form may be provided to the interested party if it provides a detailed written justification. That information shall be used in accordance with Articles 15 and 16.

- 5) The SQAD shall supply interested parties listed in point (b) of Appendix II only with information relating to the interested party's own equipment, operations or field of activity.
- 6) When receiving a request from an interested party listed in point (a) of Appendix II, SQAD may take a general decision to supply information on a regular basis to that interested party, provided that:
  - a) the information requested is related to the interested party's own equipment, operations or field of activity;
  - b) the general decision does not grant access to the entire content of the database;
  - c) the general decision relates only to anonymised information.
- 7) The interested party shall use the information received pursuant to this Article subject to the following conditions:
  - a) the interested party shall use the information only for the purpose specified in the request form, which should be compatible with the objective of this Regulation as stated in Article 1; and
  - b) the interested party shall not disclose the information received without the written consent of the SQAD and shall take the necessary measures to ensure appropriate confidentiality of the information received.
- 8) The decision to disseminate information pursuant to this Article shall be limited to what is strictly required for the purpose of its user.

## *Article 12*

### **Record of requests and exchange of information**

The SQAD shall:

- 1) record each request received and the action taken pursuant to that request;
- 2) make available the updated list of requests received and action taken.



## *Article 13*

### **Occurrence analysis and follow-up at national level**

- 1) Each organisation established in IR of IRAN shall develop a process to analyse occurrences collected in accordance with Articles 4(2) and 5(1) in order to identify the safety hazards associated with identified occurrences or groups of occurrences.

Based on that analysis, each organisation shall determine any appropriate corrective or preventive action, required to improve aviation safety.

- 2) When, following the analysis referred to in paragraph 1, an organisation established in IR of IRAN identifies any appropriate corrective or preventive action required to address actual or potential aviation safety deficiencies, it shall:

- a) implement that action in a timely manner; and
- b) establish a process to monitor the implementation and effectiveness of the action.

- 3) Each organisation established in IR of IRAN shall regularly provide its employees and contracted personnel with information concerning the analysis of, and follow up on, occurrences for which preventive or corrective action is taken.

- 4) Where an organisation established in IR of IRAN identifies an actual or potential aviation safety risk as a result of its analysis of occurrences or group of occurrences reported pursuant to Articles 4(8), it shall transmit to the CAO.IRI, within 30 days from the date of notification of the occurrence by the reporter:

- a) the preliminary results of the analysis performed pursuant to paragraph 1, if any; and
- b) any action to be taken pursuant to paragraph 2.

The organisation shall report the final results of the analysis, where required, as soon as they are available and, in principle, no later than three months from the date of notification of the occurrence.

CAO.IRI may request organisations to transmit to it the preliminary or final results of the analysis of any occurrence of which it has been notified but in relation to which it has received no follow-up or only the preliminary results.

- 5) Reserved.
- 6) CAO.IRI shall develop a process to analyse the information relating to occurrences which are directly reported to it in accordance with Articles 4(6) and 5(2) in order to identify the safety hazards associated with those occurrences. Based on that analysis, they shall determine any appropriate corrective or preventive action required to improve aviation safety.
- 7) When, following the analysis referred to in paragraph 6, CAO.IRI identifies any appropriate corrective or preventive action required to address actual or potential aviation safety deficiencies, it shall:



- a) implement that action in a timely manner; and
  - b) establish a process to monitor the implementation and effectiveness of the action.
- 8) For each occurrence or group of occurrences monitored in accordance with paragraph 4, CAO.IRI shall have access to the analysis made and shall appropriately monitor action taken by the organisations for which it is respectively responsible.

If CAO.IRI concludes that the implementation and the effectiveness of the reported action is inappropriate to address actual or potential safety deficiencies, it shall ensure that additional appropriate action is taken and implemented by the relevant organisation.

- 9) Where available, information relating to the analysis and the follow-up of individual occurrences or groups of occurrences obtained pursuant to this Article shall be stored in the CAO.IRI Central Repository, in accordance with Article 8(2) and (3), in a timely manner and no later than two weeks after their reception.
- 10) CAO.IRI shall use information obtained from the analysis of occurrence reports to identify remedial action to be taken, if any, within the IR of IRAN Aviation Safety Programme.
- 11) In order to inform the public of the level of safety in civil aviation, CAO.IRI shall publish a safety review at least once a year. The safety review shall:
- a) contain aggregated and anonymised information on the type of occurrences and safety related information reported through the mandatory and voluntary reporting systems;
  - b) identify trends;
  - c) identify the action it has taken.
- 12) CAO.IRI may also publish anonymised occurrence reports and risk analysis outcomes.

## ***Article 14***

### **Occurrence analysis and follow up a collaborative approach**

- 1) CAO.IRI and organizations shall, in collaboration, participate regularly in the exchange and analysis of information contained in the CAO.IRI Central Repository.

Without prejudice to the confidentiality requirements laid down in this Regulation, observers or experts may be invited on a case- by-case basis, where appropriate.

- 2) CAO.IRI shall collaborate through a network of aviation safety analysts. The network of aviation safety analysts shall contribute to the improvement of aviation safety in IR of IRAN, in particular by performing safety analysis in support of the IR of IRAN Aviation Safety Programme and the IR of IRAN Aviation Safety Plan.



- 3) CAO.IRI shall support the activities of the network of aviation safety analysts by, for example, providing assistance for the preparation and organisation of the meetings of the network.
- 4) CAO.IRI shall include information about the result of information analysis referred to in paragraph 1 in the annual safety review .

## *Article 15*

### **Confidentiality and appropriate use of information**

- 1) CAO.IRI and the organisations, in accordance with the national law, shall take the necessary measures to ensure the appropriate confidentiality of the details of occurrences received by them pursuant to Articles 4, 5 and 10.

CAO.IRI or each organisation established in IR of IRAN shall process personal data only to the extent necessary for the purposes of this Regulation.

- 2) Without prejudice to the provisions relating to the protection of safety information in ICAR 113, information derived from occurrence reports shall be used only for the purpose for which it has been collected.

CAO.IRI and organisations shall not make available or use the information on occurrences:

- a) in order to attribute blame or liability; or
  - b) for any purpose other than the maintenance or improvement of aviation safety.
- 3) CAO.IRI and organizations when discharging their obligations under Article 14 in relation to the information contained in the CAO.IRI Central Repository, shall:
    - a) ensure the confidentiality of the information; and
    - b) limit the use of the information to what is strictly necessary in order to discharge their safety-related obligations without attributing blame or liability; in this respect, the information shall be used in particular for risk management and for analysis of safety trends which may lead to safety recommendations or actions, addressing actual or potential safety deficiencies.
  - 4) CAO.IRI shall establish and implement advance administrative arrangements with the competent authorities for the administration of justice. These administrative arrangements shall seek to ensure the correct balance between the need for proper administration of justice, on the one hand, and the necessary continued availability of safety information, on the other.



## Article 16

### Protection of the information source

- 1) For the purposes of this Article, 'personal details' includes in particular names or addresses of natural persons.
- 2) Each organisation established in IR of IRAN shall ensure that all personal details are made available to staff of that organisation other than persons designated in accordance with Article 6(1) only where absolutely necessary in order to investigate occurrences with a view to enhancing aviation safety.

Disidentified information shall be disseminated within the organisation as appropriate.

- 3) CAO.IRI shall ensure that no personal details are ever recorded in the national database referred to in Article 6(6). Such disidentified information shall be made available to all relevant parties, for example to allow them to discharge their obligations in relation to aviation safety improvement.
- 4) Reserved.
- 5) The SQAD shall not be prevented from taking any action necessary for maintaining or improving aviation safety.
- 6) Without prejudice to applicable national criminal law, CAO.IRI personnel shall refrain from instituting proceedings in respect of unpremeditated or inadvertent infringements of the law which come to their attention only because they have been reported pursuant to Articles 4 and 5.

The first subparagraph shall not apply in the cases referred to in paragraph 10. CAO.IRI may retain or adopt measures to strengthen the protection of reporters or persons mentioned in occurrence reports.

- 7) If disciplinary or administrative proceedings are instituted under national law, information contained in occurrence reports shall not be used against:
  - a) the reporters; or
  - b) the persons mentioned in occurrence reports.

The first subparagraph shall not apply in the cases referred to in paragraph 10.

CAO.IRI may retain or adopt measures to strengthen the protection of reporters or persons mentioned in occurrence reports. It is recommended that juridical authorities in cooperation with CAO.IRI extend that protection to civil or criminal proceedings.

- 8) CAO.IRI may adopt or maintain in force legislative provisions ensuring a higher level of protection for reporters or for persons mentioned in occurrence reports than those established in this Regulation.



- 9) Except where paragraph 10 applies, employees and contracted personnel who report or are mentioned in occurrence reports collected in accordance with Articles 4 and 5 shall not be subject to any prejudice by their employer or by the organisation for which the services are provided on the basis of the information supplied by the reporter.
- 10) The protection under paragraphs 6, 7 and 9 of this Article shall not apply to any of the following situations:
- a) in cases of willful misconduct;
  - b) where there has been a manifest, severe and serious disregard of an obvious risk and profound failure of professional responsibility to take such care as is evidently required in the circumstances, causing foreseeable damage to a person or property, or which seriously compromises the level of aviation safety.
- 11) Each organisation established in IR of IRAN shall, after consulting its staff representatives, adopt internal rules describing how ‘just culture’ principles, in particular the principle referred to in paragraph 9, are guaranteed and implemented within that organisation.
- The body designated pursuant to paragraph 12 may ask to review the internal rules of the organisations established in IR of IRAN before those internal rules are implemented.
- 12) SQAD is responsible for the implementation of paragraphs 6, 9 and 11. Employees and contracted personnel may report to SQAD alleged infringements of the rules established by this Article. Employees and contracted personnel shall not be penalised for reporting alleged infringements.
- Where appropriate, the SQAD shall advise the relevant authorities of IR of IRAN concerning remedies or penalties in application of Article 21.
- 13) Reserved.

## *Article 17*

### **Updating of the appendices of this regulation**

SQAD shall be empowered in order to:

- a) update the list of mandatory data fields in occurrence reports laid down in Appendix I and/or the list of classifying occurrences in civil aviation to be mandatorily reported laid down in Appendix IV where, in the light of experience gained in the application of this Regulation, changes prove necessary in order to improve aviation safety;
- b) update the request for the CAO.IRI Central Repository information form provided in Appendix III, to take account of experience gained and of new developments;
- c) align any of the Appendices with the ECCAIRS software and the ADREP taxonomy, as well as with international agreements and national laws.



With a view to updating the list of mandatory fields, the network of aviation safety analysts referred to in Article 14(2) shall provide CAO.IRI with appropriate opinion(s).

## ***Article 18***

**Reserved**

## ***Article 19***

**Implementing procedure(s)**

- 1) SQAD shall develop all procedures regarding implementation of this regulation within CAO.IRI and publish these procedures as a CAD to inform all stakeholders.

## ***Article 20***

**Access to documents and protection of personal data**

- 1) With the exception of Articles 10 and 11, which establish stricter rules on access to the data and information contained in the CAO.IRI Central Repository, this Regulation shall apply without prejudice to the national legal acts related to protection of personal data.

## ***Article 21***

**Penalties**

CAO.IRI shall lay down the rules on penalties applicable to infringements of this Regulation. The penalties provided for shall be effective, proportionate and dissuasive.

## ***Article 22***

**Amendments to other CAO.IRI regulations**

All other occurrence reporting requirements within safety regulations promulgated by CAO.IRI shall be reviewed to meet the principles of this Regulation. Any However, this Regulation is complementary of the existing Regulations on the Occurrence Reporting.



Existing CAO.IRI specific operating regulations (implementing regulations), impose obligations on certain organisations to establish occurrence reporting systems. Compliance with those regulations should not exempt organisations from compliance with this Regulation. Likewise, compliance with this Regulation should not exempt organisations from compliance with those regulations. However, this should not give rise to two parallel reporting systems, and all these regulations should be seen as complementary.

For this purpose, existing CAO.IRI specific operating regulations and in particular the requirements relating to occurrence reporting within those regulations shall be reviewed and amended if needed, to be in accordance with this Regulation.

### ***Article 23***

**Reserved .**

### ***Article 24***

#### **Entry into force and application**

- 1) This Regulation shall enter into force by 1 January 2019 following that of its publication in the Rules and Regulations page of the CAO.IRI website ([www.cao.ir/rules](http://www.cao.ir/rules)).
- 2) According to procedures defined by CAD 4000 and by 28 July 2018, CAO.IRI shall publish and share the draft version of this Regulation in order to collect stakeholders opinions and shall revise this regulation according to the approved opinions.



## *APPENDIX I*

### **LIST OF REQUIREMENTS APPLICABLE TO THE MANDATORY AND VOLUNTARY OCCURRENCE REPORTING SCHEMES**

Note: The data fields must be completed with the information requested. If it is not possible for the CAO.IRI to include that information because it has not been provided by the organisation or the reporter, the data field may be completed with the value 'unknown'. However, with a view to ensuring that the appropriate information is transmitted, use of that 'unknown' value should, to the best extent possible, be avoided, and the report should, where possible, be completed with the information later.

#### 1. COMMON MANDATORY DATA FIELDS

When entering, in their respective databases, information on every occurrence mandatorily reported and, to the best extent possible, every occurrence voluntarily reported, organisations and CAO.IRI must ensure that occurrence reports recorded in their databases contain at least the following information:

- (1) **Headline**
  - Headline
- (2) **Filing Information**
  - Reporting Entity (Containing organization name)
  - Report Identification
  - Report Status
- (3) **When**
  - UTC Date & Time
  - Local Date & Time
- (4) **Where**
  - State/Area of Occurrence
  - Location of Occurrence
- (5) **Classification**
  - Highest Damage
  - Injury Level
  - Occurrence Category
- (6) **Narrative**



— Narrative Language

— Narrative

(7) Events

— Event Type & Phase

(8) Risk classification/grade

2. SPECIFIC MANDATORY DATA FIELDS

2.1. Aircraft-related data fields

When entering, in their respective databases, information on every occurrence mandatorily reported and, to the best extent possible, every occurrence voluntarily reported, organisations and CAO.IRI must ensure that occurrence reports recorded in their databases contain at least the following information:

(1) Aircraft Identification

- State of Registry
- Make/Model/Series
- Aircraft serial number
- Aircraft Registration
- Call sign
- Year Built

(2) Aircraft Operation

- Operator
- Type of operation

(3) Aircraft Description

- Aircraft Category
- Propulsion Type
- Mass Group

(4) History of Flight

- Last Departure Point
- Planned Destination
- Flight Phase
- Operation Range (Domestic or International)



— Schedule Type (Schedule or Non-Schedule)

(5) Weather

— Weather relevant

**2.2. Data fields relating to air navigation services**

When entering, in their respective databases, information on every occurrence mandatorily reported and, to the best extent possible, every occurrence voluntarily reported, organisations and CAO.IRI must ensure that occurrence reports recorded in their databases contain at least the following information:

(1) ATM relation

- ATM contribution
- Service affected (effect on ATM service)

(2) ATS Unit Name

**2.2.1. Separation Minima Infringement/Loss of Separation and Airspace Infringement-related data fields**

When entering, in their respective databases, information on every occurrence mandatorily reported and, to the best extent possible, every occurrence voluntarily reported, organisations and CAO.IRI must ensure that occurrence reports recorded in their databases contain at least the following information:

(1) Airspace

- Airspace type
- Airspace class
- FIR/UIR name

**2.3. Aerodrome-related data fields**

When entering, in their respective databases, information on every occurrence mandatorily reported and, to the best extent possible, every occurrence voluntarily reported, organisations and CAO.IRI must ensure that occurrence reports recorded in their databases contain at least the following information:

(1) Location Indicator (ICAO indicator of the airport)

(2) Location on the aerodrome

**2.4. Aircraft damage or personal injury-related data fields**

When entering, in their respective databases, information on every occurrence mandatorily reported and, to the best extent possible, every occurrence voluntarily reported, organisations and CAO.IRI must ensure that occurrence reports recorded in their databases contain at least the following information:



(1) Severity

— Highest Damage

— Injury Level

(2) Injuries to persons

— Number of injuries on ground (fatal, serious, or minor)

— Number of injuries on aircraft (fatal, serious, or minor)

DRAFT



## APPENDIX II

### INTERESTED PARTIES

- a) List of interested parties which may receive information on the basis of a case-by-case decision under Article 11(4) or on the basis of a general decision under Article 11(6):
- 1) Manufacturers: designers and manufacturers of aircraft, engines, propellers and aircraft parts and appliances, and their respective associations; designers and manufacturers of air traffic management (ATM) systems and constituents; designers and manufacturers of systems and constituents for air navigation services (ANS); designers and manufacturers of systems and equipment used on the air side of aerodromes
  - 2) Maintenance: organisations involved in the maintenance or overhaul of aircraft, engines, propellers and aircraft parts and appliances; in the installation, modification, maintenance, repair, overhaul, flight checking or inspection of air navigation facilities; or in the maintenance or overhaul of aerodrome air side systems, constituents and equipment
  - 3) Operators: airlines and operators of aircraft and associations of airlines and operators; aerodrome operators and associations of aerodrome operators
  - 4) Air navigation services providers and providers of ATM-specific functions
  - 5) Aerodrome service providers: organisations in charge of ground handling of aircraft, including fuelling, load-sheet preparation, loading, de-icing and towing at an aerodrome, as well as rescue and firefighting, or other emergency services
  - 6) Aviation training organisations
  - 7) Third-country organisations: governmental aviation authorities and accident investigation authorities from third countries
  - 8) International aviation organisations
  - 9) Research: public or private research laboratories, centers or entities; or universities engaged in aviation safety research or studies
- b) List of interested parties which may receive information on the basis of a case-by-case decision under Article 11(4) and (5):
- 1) Pilots (on a personal basis)
  - 2) Air traffic controllers (on a personal basis) and other ATM/ANS staff carrying out safety-related tasks
  - 3) Engineers/technicians/air traffic safety electronics staff/aviation (or aerodrome) managers (on a personal basis)
  - 4) Professional representative bodies of staff carrying out safety-related tasks.



## *APPENDIX III*

### REQUEST FOR INFORMATION FROM THE CAO.IRI CENTRAL REPOSITORY

1) Name:

Function/position:

Company:

Address:

Tel:

E-mail:

Date:

Nature of business:

Category of interested party (see Appendix II to CAO.IRI Safety Reporting Regulation)

2) Information requested (please be as specific as possible; include the relevant date/period in which you are interested):

3) Reason for the request:

4) Explain the purpose for which the information will be used:

5) Date by which the information is requested:

6) The completed form should be sent, via e-mail, to: [Safety@cao.ir](mailto:Safety@cao.ir)

7) Access to information

The SQAD is not required to supply any requested information. It may do so only if it is confident that the request is compatible with this Regulation. The requestor commits itself and its organisation to restrict the use of the information to the purpose it has described under point 4. It is also recalled that information provided on the basis of this request is made available only for the purposes of flight safety as provided in this Regulation and not for other purposes such as, in particular, attributing blame or liability or for commercial purposes.

The requestor is not allowed to disclose information provided to it to anyone without the written consent of the SQAD.

Failure to comply with these conditions may lead to a refusal of access to further information from the CAO.IRI Central Repository and, where applicable, to the imposition of penalties.

8) Date, place and signature:



DRAFT



## *Appendix IV*

### **LIST CLASSIFYING OCCURRENCES IN CIVIL AVIATION TO BE MANDATORILY REPORTED**

The detailed classification of the occurrences to be referred to when reporting, through mandatory reporting systems, occurrences pursuant to Article 4(1) is set out in Section I to V to this Appendix.

The division in categories of occurrences to be reported provided for in Article 4(1) was established in order to allow the identification, by the persons designated by Article 4(6), of the occurrences to be reported by each of them. In line with that objective, the lists of occurrences should be divided following the categories to which reporters should refer, according to their respective situation, in accordance with this Regulation.

### *Section I*

#### **OCCURRENCES RELATED TO THE OPERATION OF THE AIRCRAFT**

Remark: This Section is structured in such a way that the pertinent occurrences are linked with categories of activities during which they are normally observed, according to experience, in order to facilitate the reporting of those occurrences. However, this presentation must not be understood as meaning that occurrences must not be reported in case they take place outside the category of activities to which they are linked in the list.

#### **1. AIR OPERATIONS**

##### **1.1. Flight preparation**

- (1) Use of incorrect data or erroneous entries into equipment used for navigation or performance calculations which has or could have endangered the aircraft, its occupants or any other person.
- (2) Carriage or attempted carriage of dangerous goods in contravention of applicable legislations including incorrect labelling, packaging and handling of dangerous goods.

##### **1.2. Aircraft preparation**

- (1) Incorrect fuel type or contaminated fuel.
- (2) Missing, incorrect or inadequate De-icing/Anti-icing treatment.

##### **1.3. Take-off and landing**

- (1) Taxiway or runway excursion.
- (2) Actual or potential taxiway or runway incursion.



- (3) Final Approach and Take-off Area (FATO) incursion.
- (4) Any rejected take-off.
- (5) Inability to achieve required or expected performance during take-off, go-around or landing.
- (6) Actual or attempted take-off, approach or landing with incorrect configuration setting.
- (7) Tail, blade/wingtip or nacelle strike during take-off or landing.
- (8) Approach continued against air operator stabilised approach criteria.
- (9) Continuation of an instrument approach below published minimums with inadequate visual references.
- (10) Precautionary or forced landing.
- (11) Short and long landing.
- (12) Hard landing.

#### **1.4. Any phase of flight**

- (1) Loss of control (in flight).
- (2) Aircraft upset, exceeding normal pitch attitude, bank angle or airspeed inappropriate for the conditions.
- (3) Level bust.
- (4) Activation of any flight envelope protection, including stall warning, stick shaker, stick pusher and automatic protections (ex: speed warning ...).
- (5) Unintentional deviation from intended or assigned track of the lowest of twice the required navigation performance or 10 nautical miles.
- (6) Exceedance of aircraft flight manual limitation.
- (7) Operation with incorrect altimeter setting.
- (8) Jet blast or rotor and prop wash occurrences which have or could have endangered the aircraft, its occupants or any other person.
- (9) Misinterpretation of automation mode or of any flight deck information provided to the flight crew which has or could have endangered the aircraft, its occupants or any other person.

#### **1.5. Other types of occurrences**

- (1) Unintentional release of cargo or other externally carried equipment.
- (2) Loss of situational awareness (including environmental, mode and system awareness, spatial disorientation, and time horizon).



- (3) Any occurrence where the human performance has directly contributed to or could have contributed to an accident or a serious incident.

## **2. TECHNICAL OCCURRENCES**

### **2.1. Structure and systems**

- (1) Loss of any part of the aircraft structure in flight.
- (2) Loss of a system.
- (3) Loss of redundancy of a system.
- (4) Leakage of any fluid which resulted in a fire hazard or possible hazardous contamination of aircraft structure, systems or equipment, or which has or could have endangered the aircraft, its occupants or any other person.
- (5) Fuel system malfunctions or defects, which had an effect on fuel supply and/or distribution.
- (6) Malfunction or defect of any indication system when this results in misleading indications to the crew.
- (7) Abnormal functioning of flight controls such as asymmetric or stuck/jammed flight controls (for example: lift (flaps/slats), drag (spoilers), attitude control (ailerons, elevators, rudder) devices).

### **2.2. Propulsion (including engines, propellers and rotor systems) and auxiliary power units (APUs)**

- (1) Failure or significant malfunction of any part or controlling of a propeller, rotor or powerplant.
- (2) Damage to or failure of main/tail rotor or transmission and/or equivalent systems.
- (3) Flameout, in-flight shutdown of any engine or APU when required (for example: ETOPS (Extended range Twin engine aircraft Operations), MEL (Minimum Equipment List)).
- (4) Engine operating limitation exceedance, including 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).
- (5) Failure or malfunction of any part of an engine, powerplant, APU or transmission resulting in any one or more of the following:
  - (a) thrust-reversing system failing to operate as commanded;
  - (b) inability to control power, thrust or rpm (revolutions per minute);
  - (c) non-containment of components/debris.



### **3. INTERACTION WITH AIR NAVIGATION SERVICES (ANS) AND AIR TRAFFIC MANAGEMENT (ATM)**

- (1) Unsafe ATC (Air Traffic Control) clearance.
- (2) Prolonged loss of communication with ATS (Air Traffic Service) or ATM Unit.
- (3) Conflicting instructions from different ATS Units potentially leading to a loss of separation.
- (4) Misinterpretation of radio-communication which has or could have endangered the aircraft, its occupants or any other person.
- (5) Intentional deviation from ATC instruction which has or could have endangered the aircraft, its occupants or any other person.

### **4. EMERGENCIES AND OTHER CRITICAL SITUATIONS**

- (1) Any event leading to the declaration of an emergency ('Mayday' or 'PAN call').
- (2) Any burning, melting, smoke, fumes, arcing, overheating, fire or explosion.
- (3) Contaminated air in the cockpit or in the passenger compartment which has or could have endangered the aircraft, its occupants or any other person.
- (4) Failure to apply the correct non-normal or emergency procedure by the flight or cabin crew to deal with an emergency.
- (5) Use of any emergency equipment or non-normal procedure affecting in-flight or landing performance.
- (6) Failure of any emergency or rescue system or equipment which has or could have endangered the aircraft, its occupants or any other person.
- (7) Uncontrollable cabin pressure.
- (8) Critically low fuel quantity or fuel quantity at destination below required final reserve fuel
- (9) Any use of crew oxygen system by the crew.
- (10) Incapacitation of any member of the flight or cabin crew that results in the reduction below the minimum certified crew complement.
- (11) Crew fatigue impacting or potentially impacting their ability to perform safely their flight duties.

### **5. EXTERNAL ENVIRONMENT AND METEOROLOGY**

- (1) A collision or a near collision on the ground or in the air, with another aircraft, terrain or obstacle (obstacle includes vehicles).
- (2) ACAS RA (Airborne Collision Avoidance System, Resolution Advisory).



- (3) Activation of genuine ground collision system such as GPWS (Ground Proximity Warning System)/TAWS (Terrain Awareness and Warning System) ‘warning’.
- (4) Wildlife strike including bird strike.
- (5) Foreign object damage/debris (FOD).
- (6) Unexpected encounter of poor runway surface conditions.
- (7) Wake-turbulence encounters.
- (8) Interference with the aircraft by firearms, fireworks, flying kites, laser illumination, high powered lights, lasers, Remotely Piloted Aircraft Systems, model aircraft or by similar means.
- (9) A lightning strike which resulted in damage to the aircraft or loss or malfunction of any aircraft system.
- (10) A hail encounter which resulted in damage to the aircraft or loss or malfunction of any aircraft system.
- (11) Severe turbulence encounter or any encounter resulting in injury to occupants or deemed to require a ‘turbulence check’ of the aircraft.
- (12) A significant wind shear or thunderstorm encounter which has or could have endangered the aircraft, its occupants or any other person.
- (13) Icing encounter resulting in handling difficulties, damage to the aircraft or loss or malfunction of any aircraft system.
- (14) Volcanic ash encounter.

**6. SECURITY (Reserved)**



## ***SECTION II***

### **OCCURRENCES RELATED TO TECHNICAL CONDITIONS, MAINTENANCE AND REPAIR OF THE AIRCRAFT**

#### **1. MANUFACTURING**

Products, parts or appliances released from the production organisation with deviations from applicable design data that could lead to a potential unsafe condition as identified with the holder of the type-certificate or design approval.

#### **2. DESIGN**

Any failure, malfunction, defect or other occurrence related to a product, part, or appliance which has resulted in or may result in an unsafe condition.

Remark: This list is applicable to occurrences occurring on a product, part, or appliance covered by the type- certificate, restricted type-certificate, supplemental type-certificate, ETSO authorisation, major repair design approval or any other relevant approval deemed to have been issued under CAO.IRI Part 21.

#### **3. MAINTENANCE AND CONTINUING AIRWORTHINESS MANAGEMENT**

- (1) Serious structural damage (for example: cracks, permanent deformation, delamination, debonding, burning, excessive wear, or corrosion) found during maintenance of the aircraft or component.
- (2) Serious leakage or contamination of fluids (for example: hydraulic, fuel, oil, gas or other fluids).
- (3) Failure or malfunction of any part of an engine or powerplant and/or transmission resulting in any one or more of the following:
  - (a) non-containment of components/debris;
  - (b) failure of the engine mount structure.
- (4) Damage, failure or defect of propeller, which could lead to in-flight separation of the propeller or any major portion of the propeller and/or malfunctions of the propeller control.
- (5) Damage, failure 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.
- (6) Significant malfunction of a safety-critical system or equipment including emergency system or equipment during maintenance testing or failure to activate these systems after maintenance.
- (7) Incorrect assembly or installation of components of the aircraft found during an inspection or test procedure not intended for that specific purpose.



- (8) Wrong assessment of a serious defect, or serious non-compliance with MEL and Technical logbook procedures.
- (9) Serious damage to Electrical Wiring Interconnection System (EWIS).
- (10) Any defect in a life-controlled critical part causing retirement before completion of its full life.
- (11) The use of products, components or materials, from unknown, suspect origin, or unserviceable critical components.
- (12) Misleading, incorrect or insufficient applicable maintenance data or procedures that could lead to significant maintenance errors, including language issue.
- (13) Incorrect control or application of aircraft maintenance limitations or scheduled maintenance.
- (14) Releasing an aircraft to service from maintenance in case of any non-compliance, which endangers the flight safety.
- (15) Serious damage caused to an aircraft during maintenance activities due to incorrect maintenance or use of inappropriate or unserviceable ground support equipment that requires additional maintenance actions.
- (16) Identified burning, melting, smoke, arcing, overheating or fire occurrences.
- (17) Any occurrence where the human performance, including fatigue of personnel, has directly contributed to or could have contributed to an accident or a serious incident.
- (18) Significant malfunction, reliability issue, or recurrent recording quality issue affecting a flight recorder system (such as a flight data recorder system, a data link recording system or a cockpit voice recorder system) or lack of information needed to ensure the serviceability of a flight recorder system.



## SECTION III

### OCCURRENCES RELATED TO AIR NAVIGATION SERVICES AND FACILITIES

Remark: This Section is structured in such a way that the pertinent occurrences are linked with categories of activities during which they are normally observed, according to experience, in order to facilitate the reporting of those occurrences. However, this presentation must not be understood as meaning that occurrences must not be reported in case they take place outside the category of activities to which they are linked in the list.

#### 1. AIRCRAFT-RELATED OCCURRENCES

- (1) A collision or a near collision on the ground or in the air, between an aircraft and another aircraft, terrain or obstacle <sup>(1)</sup>, including near-controlled flight into terrain (near CFIT).
- (2) Separation minima infringement <sup>(2)</sup>.
- (3) Inadequate separation <sup>(3)</sup>.
- (4) ACAS RAs.
- (5) Wildlife strike including bird strike.
- (6) Taxiway or runway excursion.
- (7) Actual or potential taxiway or runway incursion.
- (8) Final Approach and Take-off Area (FATO) incursion.
- (9) Aircraft deviation from ATC clearance.
- (10) Aircraft deviation from applicable air traffic management (ATM) regulation:
  - (a) aircraft deviation from applicable published ATM procedures;
  - (b) airspace infringement including unauthorised penetration of airspace;
  - (c) deviation from aircraft ATM-related equipment carriage and operations, as mandated by applicable regulations.
- (11) Call sign confusion related occurrences.

#### 2. DEGRADATION OR TOTAL LOSS OF SERVICES OR FUNCTIONS

- (1) Inability to provide ATM services or to execute ATM functions:

---

<sup>1</sup> Obstacle includes vehicle.

<sup>2</sup> This refers to a situation in which prescribed separation minima were not maintained between aircraft or between aircraft and airspace to which separation minima is prescribed.

<sup>3</sup> In the absence of prescribed separation minima, a situation in which aircraft were perceived to pass too close to each other for pilots to ensure safe separation.



- (a) inability to provide air traffic services or to execute air traffic services functions;
  - (b) inability to provide airspace management services or to execute airspace management functions;
  - (c) inability to provide air traffic flow management and capacity services or to execute air traffic flow management and capacity functions.
- (2) Missing or significantly incorrect, corrupted, inadequate or misleading information from any support service <sup>(1)</sup>, including relating to poor runway surface conditions.
  - (3) Failure of communication service.
  - (4) Failure of surveillance service.
  - (5) Failure of data processing and distribution function or service.
  - (6) Failure of navigation service.
  - (7) Failure of ATM system security, which had or could have a direct negative impact on the safe provision of service.
  - (8) Significant ATS sector/position overload leading to a potential deterioration in service provision.
  - (9) Incorrect receipt or interpretation of significant communications, including lack of understanding of the language used, when this had or could have a direct negative impact on the safe provision of service.
  - (10) Prolonged loss of communication with an aircraft or with other ATS unit.

### 3. OTHER OCCURRENCES

- (1) Declaration of an emergency ('Mayday' or 'PAN' call).
- (2) Significant external interference with Air Navigation Services (for example radio broadcast stations transmitting in the FM band, interfering with ILS (instrument landing system), VOR (VHF Omni Directional Radio Range) and communication).
- (3) Interference with an aircraft, an ATS unit or a radio communication transmission including by firearms, fireworks, flying kites, laser illumination, high-powered lights lasers, Remotely Piloted Aircraft Systems, model aircraft or by similar means.
- (4) Fuel dumping.
- (5) Bomb threat or hijack.
- (6) Fatigue impacting or potentially impacting the ability to perform safely the air navigation or air traffic duties.

---

<sup>1</sup> For example: air traffic service (ATS), automatic terminal information service (ATIS), meteorological services, navigation databases, maps, charts, aeronautical information service (AIS), manuals.



- (7) Any occurrence where the human performance has directly contributed to or could have contributed to an accident or a serious incident.

DRAFT



## SECTION IV

### OCCURRENCES RELATED TO AERODROMES AND GROUND SERVICES

#### 1. SAFETY MANAGEMENT OF AN AERODROME

Remark: This Section is structured in such a way that the pertinent occurrences are linked with categories of activities during which they are normally observed, according to experience, in order to facilitate the reporting of those occurrences. However, this presentation must not be understood as meaning that occurrences must not be reported in case they take place outside the category of activities to which they are linked in the list.

##### 1.1. Aircraft- and obstacle-related occurrences

- (1) A collision or near collision, on the ground or in the air, between an aircraft and another aircraft, terrain or obstacle <sup>(1)</sup>.
- (2) Wildlife strike including bird strike.
- (3) Taxiway or runway excursion.
- (4) Actual or potential taxiway or runway incursion.
- (5) Final Approach and Take-off Area (FATO) incursion or excursion.
- (6) Aircraft or vehicle failure to follow clearance, instruction or restriction while operating on the movement area of an aerodrome (for example: wrong runway, taxiway or restricted part of an aerodrome).
- (7) Foreign object on the aerodrome movement area which has or could have endangered the aircraft, its occupants or any other person.
- (8) Presence of obstacles on the aerodrome or in the vicinity of the aerodrome which are not published in the AIP (Aeronautical Information Publication) or by NOTAM (Notice to Airmen) and/or that are not marked or lighted properly.
- (9) Push-back, power-back or taxi interference by vehicle, equipment or person.
- (10) Passengers or unauthorised person left unsupervised on apron.
- (11) Jet blast, rotor down wash or propeller blast effect.
- (12) Declaration of an emergency ('Mayday' or 'PAN' call).

##### 1.2. Degradation or total loss of services or functions

- (1) Loss or failure of communication between:
  - (a) aerodrome, vehicle or other ground personnel and air traffic services unit or apron management service unit;

---

<sup>1</sup> Obstacle includes vehicle.



- (b) apron management service unit and aircraft, vehicle or air traffic services unit.
- (2) Significant failure, malfunction or defect of aerodrome equipment or system which has or could have endangered the aircraft or its occupants.
- (3) Significant deficiencies in aerodrome lighting, marking or signs.
- (4) Failure of the aerodrome emergency alerting system.
- (5) Rescue and firefighting services not available according to applicable requirements.

### 1.3. Other occurrences

- (1) Fire, smoke, explosions in aerodrome facilities, vicinities and equipment which has or could have endangered the aircraft, its occupants or any other person.
- (2) Aerodrome security related occurrences (for example: unlawful entry, sabotage, bomb threat).
- (3) Absence of reporting of a significant change in aerodrome operating conditions which has or could have endangered the aircraft, its occupants or any other person.
- (4) Missing, incorrect or inadequate de-icing/anti-icing treatment.
- (5) Significant spillage during fuelling operations.
- (6) Loading of contaminated or incorrect type of fuel or other essential fluids (including oxygen, nitrogen, oil and potable water).
- (7) Failure to handle poor runway surface conditions.
- (8) Any occurrence where the human performance has directly contributed to or could have contributed to an accident or a serious incident.

## 2. GROUND HANDLING OF AN AIRCRAFT

Remark: This Section is structured in such a way that the pertinent occurrences are linked with categories of activities during which they are normally observed, according to experience, in order to facilitate the reporting of those occurrences. However, this presentation must not be understood as meaning that occurrences must not be reported in case they take place outside the category of activities to which they are linked in the list.

### 2.1. Aircraft- and aerodrome-related occurrences

- (1) A collision or near collision, on the ground or in the air, between an aircraft and another aircraft, terrain or obstacle <sup>(1)</sup>.
- (2) Runway or taxiway incursion.
- (3) Runway or taxiway excursion.

---

<sup>1</sup> Obstacle includes vehicle.



- (4) Significant contamination of aircraft structure, systems and equipment arising from the carriage of baggage, mail or cargo.
- (5) Push-back, power-back or taxi interference by vehicle, equipment or person.
- (6) Foreign object on the aerodrome movement area which has or could have endangered the aircraft, its occupants or any other person.
- (7) Passengers or unauthorised person left unsupervised on apron.
- (8) Fire, smoke, explosions in aerodrome facilities, vicinities and equipment which has or could have endangered the aircraft, its occupants or any other person.
- (9) Aerodrome security-related occurrences (for example: unlawful entry, sabotage, bomb threat).

## **2.2. Degradation or total loss of services or functions**

- (1) Loss or failure of communication with aircraft, vehicle, and air traffic services unit or apron management service unit.
- (2) Significant failure, malfunction or defect of aerodrome equipment or system which has or could have endangered the aircraft or its occupants.
- (3) Significant deficiencies in aerodrome lighting, marking or signs.

## **2.3. Ground handling specific occurrences**

- (1) Incorrect handling or loading of passengers, baggage, mail or cargo, likely to have a significant effect on aircraft mass and/or balance (including significant errors in loadsheet calculations).
- (2) Boarding equipment removed leading to endangerment of aircraft occupants.
- (3) Incorrect stowage or securing of baggage, mail or cargo likely in any way to endanger the aircraft, its equipment or occupants or to impede emergency evacuation.
- (4) Transport, attempted transport or handling of dangerous goods which resulted or could have resulted in the safety of the operation being endangered or led to an unsafe condition (for example: dangerous goods incident or accident as defined in the ICAO Technical Instructions <sup>(1)</sup>).
- (5) Non-compliance on baggage or passenger reconciliation.
- (6) Non-compliance with required aircraft ground handling and servicing procedures, especially in de-icing, refueling or loading procedures, including incorrect positioning or removal of equipment.
- (7) Significant spillage during fuelling operations.
- (8) Loading of incorrect fuel quantities likely to have a significant effect on aircraft endurance, performance, balance or structural strength.

---

<sup>1</sup> Technical Instructions for The Safe Transport of Dangerous Goods by Air (ICAO — Doc 9284).



- (9) Loading of contaminated or incorrect type of fuel or other essential fluids (including oxygen, nitrogen, oil and potable water).
- (10) Failure, malfunction or defect of ground equipment used for ground handling, resulting into damage or potential damage to the aircraft (for example: tow bar or GPU (Ground Power Unit)).
- (11) Missing, incorrect or inadequate de-icing/anti-icing treatment.
- (12) Damage to aircraft by ground handling equipment or vehicles including previously unreported damage.
- (13) Any occurrence where the human performance has directly contributed to or could have contributed to an accident or a serious incident.

DRAFT



## **SECTION V**

### **OCCURRENCES RELATED TO AIRCRAFT OTHER THAN COMPLEX MOTOR-POWERED AIRCRAFT, INCLUDING SAILPLANES AND LIGHTER-THAN-AIR VEHICLES**

For the purposes of this Section:

- (a) 'Aircraft other than complex motor-powered aircraft' means any aircraft other than that defined in CAO.IRI AIR OPS Regulation Part-DEF item 26 and/or Article 2(13) of CAO.IRI Part-M ;
- (b) 'Sailplane' means a heavier-than-air aircraft which is supported in flight by the dynamic reaction of the air against its fixed lifting surfaces, the free flight of which does not depend on an engine, including also hang gliders, paragliders and other comparable craft;
- (c) Reserved.

#### **1. AIRCRAFT OTHER THAN COMPLEX MOTOR-POWERED AIRCRAFT EXCLUDING SAILPLANES AND LIGHTER-THAN-AIR VEHICLES**

Remark: This Section is structured in such a way that the pertinent occurrences are linked with categories of activities during which they are normally observed, according to experience, in order to facilitate the reporting of those occurrences. However, this presentation must not be understood as meaning that occurrences must not be reported in case they take place outside the category of activities to which they are linked in the list.

##### **1.1. Air operations**

- (1) Unintentional loss of control.
- (2) Landing outside of intended landing area.
- (3) Inability or failure to achieve required aircraft performance expected in normal conditions during take-off, climb or landing.
- (4) Runway incursion
- (5) Runway excursion.
- (6) Any flight which has been performed with an aircraft which was not airworthy, or for which flight preparation was not completed, which has or could have endangered the aircraft, its occupants or any other person.
- (7) Unintended flight into IMC (Instrument Meteorological Conditions) conditions of aircraft not IFR (Instrument flight rules) certified, or a pilot not qualified for IFR, which has or could have endangered the aircraft, its occupants or any other person.



- (8) Unintentional release of cargo <sup>(1)</sup>.

## **1.2. Technical occurrences**

- (1) Abnormal severe vibration (for example: aileron or elevator 'flutter', or of propeller).
- (2) Any flight control not functioning correctly or disconnected.
- (3) A failure or substantial deterioration of the aircraft structure.
- (4) A loss of any part of the aircraft structure or installation in flight.
- (5) A failure of an engine, rotor, propeller, fuel system or other essential system.
- (6) Leakage of any fluid, which resulted in a fire hazard or possible hazardous contamination of aircraft structure, systems or equipment, or risk to occupants.

## **1.3. Interaction with air navigation services and air traffic management**

- (1) Interaction with air navigation services (for example: incorrect services provided, conflicting communications or deviation from clearance) which has or could have endangered the aircraft, its occupants or any other person.
- (2) Airspace infringement.

## **1.4. Emergencies and other critical situations**

- (1) Any occurrence leading to an emergency call.
- (2) Fire, explosion, smoke, toxic gases or toxic fumes in the aircraft.
- (3) Incapacitation of the pilot leading to inability to perform any duty.

## **1.5. External environment and meteorology**

- (1) A collision on the ground or in the air, with another aircraft, terrain or obstacle <sup>(2)</sup>.
- (2) A near collision, on the ground or in the air, with another aircraft, terrain or obstacle <sup>(1)</sup> requiring an emergency avoidance maneuver to avoid a collision.
- (3) Wildlife strike including bird strike, which resulted in damage to the aircraft or loss or malfunction of any essential service.
- (4) Interference with the aircraft by firearms, fireworks, flying kites, laser illumination, high powered lights lasers, Remotely Piloted Aircraft Systems, model aircraft or by similar means.
- (5) A lightning strike resulting in damage to or loss of functions of the aircraft.

---

<sup>1</sup> This item applies only to commercial operations within the meaning of Article 2(1) of CAO.IRI AIR OPS Regulation

<sup>2</sup> Obstacle includes vehicle.



- (6) Severe turbulence encounter which resulted in injury to aircraft occupants or in the need for a post-flight turbulence damage check of the aircraft.
- (7) Icing including carburetor icing which has or could have endangered the aircraft, its occupants or any other person.

## **2. SAILPLANES (GLIDERS)**

Remark: This Section is structured in such a way that the pertinent occurrences are linked with categories of activities during which they are normally observed, according to experience, in order to facilitate the reporting of those occurrences. However, this presentation must not be understood as meaning that occurrences must not be reported in case they take place outside the category of activities to which they are linked in the list.

### **2.1. Air operations**

- (1) Unintentional loss of control.
- (2) An occurrence where the sailplane pilot was unable to release either the winch cable or the aerotow rope and had to do so using emergency procedures.
- (3) Any release of the winch cable or the aerotow rope if the release has or could have endangered the sailplane, its occupants or any other person.
- (4) In the case of a powered sailplane, an engine failure during take-off.
- (5) Any flight which has been performed with a sailplane which was not airworthy, or for which an incomplete flight preparation has or could have endangered the sailplane, its occupants or any other person.

### **2.2. Technical occurrences**

- (1) Abnormal severe vibration (for example: aileron or elevator 'flutter', or of propeller).
- (2) Any flight control not functioning correctly or disconnected.
- (3) A failure or substantial deterioration of the sailplane structure.
- (4) A loss of any part of the sailplane structure or installation in flight.

### **2.3. Interaction with air navigation services and air traffic management**

- (1) Interaction with air navigation services (for example: incorrect services provided, conflicting communications or deviation from clearance) which has or could have endangered the sailplane, its occupants or any other person.
- (2) Airspace infringements.

### **2.4. Emergencies and other critical situations**

- (1) Any occurrence leading to an emergency call.



- (2) Any situation where no safe landing area remains available.
- (3) Fire, explosion, smoke, or toxic gases or fumes in the sailplane.
- (4) Incapacitation of the pilot leading to inability to perform any duty.

**2.5. External environment and meteorology**

- (1) A collision on the ground or in the air, with an aircraft, terrain or obstacle <sup>(1)</sup>.
- (2) A near collision, on the ground or in the air, with an aircraft, terrain or obstacle <sup>(1)</sup> requiring an emergency avoidance maneuver to avoid a collision.
- (3) Interference with the sailplane by firearms, fireworks, flying kites, laser illumination, high powered lights lasers, Remotely Piloted Aircraft Systems, model aircraft or by similar means.
- (4) A lightning strike resulting in damage to the sailplane.

**3. LIGHTER-THAN-AIR VEHICLES (BALLOONS AND AIRSHIPS)**

Remark: This Section is structured in such a way that the pertinent occurrences are linked with categories of activities during which they are normally observed, according to experience, in order to facilitate the reporting of those occurrences. However, this presentation must not be understood as meaning that occurrences must not be reported in case they take place outside the category of activities to which they are linked in the list.

**3.1. Air operations**

- (1) Any flight which has been performed with a lighter-than-air vehicle which was not airworthy, or for which an incomplete flight preparation has or could have endangered the lighter-than-air vehicle, its occupants or any other person.
- (2) Unintended permanent extinction of the pilot light.

**3.2. Technical occurrences**

- (1) Failure of any of the following parts or controls: dip tube on fuel cylinder, envelope pulley, control line, tether rope, valve seal leak on burner, valve seal leak on fuel cylinder, carabiner, damage to fuel line, lifting gas valve, envelope or ballonnet, blower, pressure relief valve (gas balloon), winch (tethered gas balloons).
- (2) Significant leakage or loss of lifting gas (for example: porosity, unseated lifting gas valves).

---

<sup>1</sup> Obstacle includes vehicle.



**3.3. Interaction with air navigation services and air traffic management**

- (1) Interaction with air navigation services (for example: incorrect services provided, conflicting communications or deviation from clearance) which has or could have endangered the lighter-than-air vehicle, its occupants or any other person.
- (2) Airspace infringement.

**3.4. Emergencies and other critical situations**

- (1) Any occurrence leading to an emergency call.
- (2) Fire, explosion, smoke or toxic fumes in the lighter-than-air vehicle (beyond the normal operation of the burner).
- (3) Lighter-than-air vehicle's occupants ejected from basket or gondola.
- (4) Incapacitation of the pilot leading to inability to perform any duty.
- (5) Unintended lift or drag of ground crew, leading to fatality or injury of a person.

**3.5. External environment and meteorology**

- (1) A collision or near collision on the ground or in the air, with an aircraft, terrain or obstacle <sup>(1)</sup> which has or could have endangered the lighter-than-air vehicle, its occupants or any other person.
- (2) Interference with the lighter-than-air vehicle by firearms, fireworks, flying kites, laser illumination, high powered lights lasers, Remotely Piloted Aircraft Systems, model aircraft or by similar means.
- (3) Unexpected encounter of adverse weather conditions which has or could have endangered the lighter-than-air vehicle, its occupants or any other person.

---

<sup>1</sup> Obstacle includes vehicle.