CIVIL AVIATION AUTHORITY
OF NEW ZEALAND
Te Mana Rererangi Tūmatanui o Aotearoa

Advisory Circular
AC12-1

Revision 6

30 July 2025

Mandatory Occurrence Notification and Information

General

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

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

Purpose

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

Related Rules

This AC relates specifically to Part 12 Subpart B, *Notification, Investigation, and Reporting, of Occurrences*.

Change Notice

Revision 6 of this AC updates rule references to align with the Civil Aviation Act 2023 (CA Act 2023). It also updates the reference to the new occurrences reporting form and updates CAA contact details. It reorders Appendices and adds advice about the online occurrence reporting form. Lastly, we have added a Version History.

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Version History

History Log

Revision No.	Effective Date	Summary of Changes
AC12-1, Rev 0	1 April 1997	Initial issue.
AC12-1, Rev 1	1 April 2002	General update and reformatting
AC12-1, Rev 2	27 April 2007	Renumbered from AC 12-01 to AC 12-1 as part of a project to standardise the numbering of all Acs.
AC12-1, Rev 3	16 May 2007	Deleted an out-of-date fax and telephone number for notification of accidents and serious incidents. Amended time period for notification of incidents to 14 days to align with Part 12. Removed information on airborne collision advisory system traffic alerts.
AC12-1, Rev 4	9 May 2012	Added • requirement to Appendix A under Other incidents to report suspected unapproved parts • emergency equipment to the examples of defect incidents • extended diversion time operation (EDTO) requirement. Updated contact details for reporting and runway incursions information.
AC12-1, Rev 5	11 May 2021	Updated contact details and guidance on reporting requirements, covering PBN-related incidents and accidents and reinforcing the definition of 'aircraft' covered by this guidance.

AC12-1, Rev 6	30 July 2025	Updates rule references to align with the CA Act 2023. Updates the reference to the new occurrences reporting form. Reorders Appendices and adds advice about the online occurrence reporting form. Adds a Version History.

Table of Contents

Introduction

1. This AC outlines the obligations of participants to report incidents and occurrences to CAA, explains the reasons for this, and provides advice on how best to do this.

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

Definitions

2. Many of the following definitions are either from Part 1, Definitions and Abbreviations or the CA Act 2023. They have been included here for easy reference.

Accident	1. an occurrence associated with the operation of an aircraft that: a) in the case of an aircraft intended to be flown with any person on board, takes place between— (i) the time that any person boards the aircraft with the intention of flight; and (ii) the time that— A. all persons on board have disembarked; and B. the engine or any propellers or rotors have come to rest; and b) in the case of an aircraft intended to be flown without any person on board, takes place between— (i) the time that the aircraft is ready to move with the purpose of flight; and (ii) the time that— A. the aircraft comes to rest at the end of the flight; and B. the primary propulsion system is shut down 2. The occurrence must be one in which— a) a person is fatally or seriously injured as a result of— (i) being in the aircraft; or (ii) direct contact with any part of the aircraft, including any part that has become detached from the aircraft; or (iii) direct exposure to jet blast; or b) the aircraft sustains damage or structural failure that— (i) adversely affects the structural strength, performance, or flight characteristics of the aircraft; and (ii) would normally require major repair or replacement of the affected component; or c) the aircraft is missing or is completely inaccessible 3. …. does not include— a) an injury that is self-inflicted or inflicted by another person; or

	b) an injury to a stowaway hiding outside the areas normally available to passengers and crew 4. ….. damage or structural failure does not include— a) engine failure or damage where the damage is limited to the engine (including its cowlings or its accessories); or b) damage that is limited to propellers, wing tips, antennas, probes, vanes, tyres, brakes, wheels, fairings, panels, landing gear doors, windscreens, the aircraft skin (including small dents or puncture holes in the aircraft skin), minor damage to main rotor blades or landing gear, or damage resulting from hail or bird strikes (including holes in the radome). **Note*:*** a significant change in this definition is the inclusion of unmanned or uncrewed aircraft (see 1(b) above: "an *aircraft intended to be flown without any person on board"*). However, a related amendment to rule 12.1(b)(1) nevertheless excludes Part 12 from applying to accidents or incidents involving "unmanned aircraft". This means that, for the time being the status quo position continues, so that drone/RPAS accidents or incidents are generally *not* subject to Part 12 reporting. Any specific accident reporting requirements applying to Part 102 operators of unmanned aircraft must comply with the procedures outlined in the Part 102 holder's exposition – see rule 102.21(a)(3).
Aircraft	any machine that can derive support in the atmosphere from the reactions of the air otherwise than by the reactions of the air against the surface of the earth. **Note:** Persons submitting reports should refer to this definition when deciding whether the machine involved in an accident or serious incident is classed as an aircraft by CAA. If in doubt, report it anyway.
Aircraft category	any one of the following classes of aircraft: aeroplane, balloon, glider, hang glider, helicopter, or microlight
Incident	any occurrence, other than an accident, that is associated with the operation of an aircraft and affects, or could affect, the safety of operation

Section 1 : Subpart B – Notification, Investigation, and Reporting of Occurrences

Rule 12.51 Initial Notification of accident

3. CAA must be notified of accidents as soon as practicable. See Section 2 for appropriate contact details for CAA.

Rule 12.53 Full notification of accident details

4. Occurrence details of accidents need to be provided to CAA on the Occurrence reporting form, which is available here:

   https://www.aviation.govt.nz/safety/notify-us/electronic-occurrence-reporting/

5. CAA has determined that some third-party software systems can be an acceptable means of compliance for providing details of accidents and incidents. It is recommended that participants who are considering this contact CAA at triage@caa.govt.nz before deciding what system to use, to check that it will be workable.

Rule 12.55 Notification of incident

6. This is the main rule that determines which kinds of incidents must be notified, and by whom. Participants should check the rule under paras (a), (b) and (c) to see which obligation(s) apply and who is responsible for reporting. It may be the relevant certificate holder, the PIC or if not, then certain other people involved in the incident – see para (b).

7. The rules do not require all incidents to be notified: Normally, only 'serious incidents' or incidents that are 'an immediate hazard to the safety of an aircraft operation" must be notified. There are also specific requirements for incidents involving aircraft used to perform an extended diversion time operation (EDTO), see rule 12.55(e).

8. Most incidents need to be notified 'as soon as practicable'. That means without delay, or else only allowing any realistically unavoidable delay. For EDTO-related incidents, the specific timeframe required is within 72 hours.

9. Refer to Section 2 for contact details for CAA.

Note: *See para (d) and Appendix A for examples of 'incidents' and 'serious incidents' and for specific information that is sought, for various types of incident, if it is available or ascertainable. However, participants should not delay an initial notification if not all information is immediately available – prompt notification is more important. Missing details can be obtained later, and be provided under rule 12.57.*

Rule 12.57 Details of incident

10. This rule requires further or more complete details to be provided about incidents that are required to be notified under rule 12.55. Submitters have 14 days to collect and provide the details. Using the appropriate CAA form specified in 12.57(b) helps participants to provide complete details.

11. There is no need to duplicate notifications. If the participant has already notified all details on the appropriate form in their rule 12.55 initial notification, then this is sufficient. Participants should contact CAA (Triage, Assessment and Coordination Team) to find out if further details are required.

12. As in the section on rule 12.53, CAA has determined that some third-party software systems can be an acceptable means of compliance for providing details of accidents and incidents. Contact CAA (Triage, Assessment and Coordination Team) for more information and advice.

Section 2 — Channels of communication

13. The CAA website provides the latest contact details at https://www.aviation.govt.nz/about-us/contact-us/.

Accident and serious incident or immediate hazard notification.

14. To notify CAA of an accident and/or serious incident:

- Use the occurrence report form at https://occurrencereporting.services.aviation.govt.nz/
- Email: triage@caa.govt.nz, or
- Freephone: 0508 ACCIDENT (222 433) at any time. This is a toll-free phone for receiving accident notifications. This number is monitored 24 hours every day of the week. If a report is made via this telephone, a CAA representative will request details of the accident.

Incident notification

15. To advise CAA of a notifiable incident:

- Use the occurrence report form at https://occurrencereporting.services.aviation.govt.nz/
- Freephone: 0508 4 SAFETY (472 338). (Messages are stored when calls are made out of normal working hours)
- Email the occurrence reporting form to triage@caa.govt.nz

Accident and Incident details

16. If you are unable to email or phone, send a report to:

Triage, Assessment and Coordination Team
Civil Aviation Authority of New Zealand
PO Box 3555
Wellington 6140

Confidential address

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

Triage, Assessment and Coordination Team
Civil Aviation Authority of New Zealand
PO Box 3555
Wellington 6140

or
Phone: 0508 4 SAFETY (472 338). (Messages are stored when calls are received out of working hours).

Section 3 — Background information

CAA's Responsibilities

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

    (a) Analysing all accident and incident notifications and details

    (b) Notifying TAIC of accidents and incidents in accordance with section 50 of the CA Act 2023

    (c) Evaluating occurrences to identify those that warrant direct CAA follow-up and to direct such submissions to the appropriate section for action

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

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

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

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

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

    (i) Providing statistics and analyses of the incident data to establish trends and to determine when corrective action is desirable[1], and

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

Occurrence information collection objectives

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

Confidentiality of Identity

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

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

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

[1] A useful resource is the CAA Occurrences dashboard, which can be viewed at this link: Occurrence and activity dashboard | aviation.govt.nz

22. Rule 12.61 has been removed to avoid inconsistencies with the CA Act 2023, section 465, Disclosure or publication of information, which provides for consideration of confidentiality in alignment with the Privacy Act 2020 and the Official Information Act 1982 and CAA's obligations under New Zealand and international civil aviation regulations.

Protection of Safety Information

23. Rule 12.63 has been removed to avoid inconsistencies with the CA Act 2023, Subpart 9—Protections in relation to accident and incident notifications under subpart 5 of Part 2, sections 339-341, which provide the similar protections to those that were formerly included in rule 12.63.

Section 4 — Incidents that need to be notified to CAA

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

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

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

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

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

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

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

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

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

Serious incidents

32. While the Definitions section of the AC provides definitions for an incident and Rule Part 1 provides a definition for a serious incident, the following examples should assist in determining whether it is necessary to submit a report.

33. Part 12 requires notification of serious incidents to CAA as soon as practicable. ICAO Annex 13 provides a list of examples of serious incidents.

34. 'Serious incident' means an incident involving circumstances indicating that an accident nearly occurred. (As per the definition from Part 1).

35. The incidents listed below are typical examples of a 'serious incident', but the list is not exhaustive:

- near collisions requiring an avoidance manoeuvre to avoid a collision or an unsafe situation or when an avoidance action would have been appropriate
- controlled flight into terrain only marginally avoided
- aborted take-off on a closed or engaged runway

- take-off from a closed or engaged runway with marginal separation from obstacles
- landing or attempted landings on a closed or engaged runway
- gross failure to achieve predicted performance during take-off or climb
- fires and smoke in the passenger compartment, in cargo compartments, or engine fires, even though the fires were extinguished by the use of extinguishing agents, or
- aircraft structural failures or engine disintegrations not classified as an accident.

Other types of incidents

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

37. Participants may like to rearrange these incident groups, in operating manuals and procedures, to suit the operation's way of working.

Airspace incidents

Air traffic service (ATS) personnel impairment

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

ATS incidents

(a) Provision of incorrect altimeter setting

(b) Failure or inadequacy of prescribed let-down procedures

(c) Misidentification of aircraft

(d) Incorrect transmission, receipt or interpretation of significant messages

(e) Less separation between aircraft than that prescribed for the situation

(f) Unauthorised infringement of any form of designated airspace.

Flight crew interpretation of information and instructions

(a) Incorrect setting of an SSR code

(b) Incorrect setting of an altimeter sub-scale

(c) Flight at a level, or on a route, different from that allocated:

(d) Flight outside the applicable position or altitude tolerances for operation on RNAV or RNP routes, and in RVSM or RNP airspace, or

(e) Incorrect receipt, or interpretation, of significant radiotelephone messages.

Airborne Collision Avoidance System (ACAS/TCAS):

Resolution advisory

Bird incidents

(a) A collision between an aircraft and one or more birds

(b) One or more birds pass the aircraft inside the wingspan, or

(c) One or more birds pass sufficiently close to an aircraft in flight to cause alarm to the pilot.

Defect incidents

(a) Damage to any primary structure, or any damage to secondary structure, that consequently created a hazard or could have created a hazard to the aircraft, unless it is minor accidental damage readily evident and notified to the aircraft operator at the time it occurred

(b) Damage or deterioration found as a result of a special inspection or check. For example, an Airworthiness Directive (AD)

(c) Separation from the aircraft, in flight, of any part of the aircraft

(d) Significant defects or damage found as a result of a heavy landing, or a turbulence, check, or

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

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

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

Aircraft systems

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

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

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

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

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

In-service defects

(a) Failure or malfunction of engines

(b) Loss or shutdown of any engine

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

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

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

(f) Failure or malfunction of aircraft systems and equipment

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

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

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

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

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

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

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

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

  (ii) the indication is confirmed as false after landing, for example, fire or smoke warning, door warning, and the like

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

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

  (ii) the indication is confirmed as false after landing, for example, stall warning (stick shake), stall protection (stick push), over-speed warning, and the like

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

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

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

(r) Loss of cabin pressurisation

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

(t) For twin engine aircraft approved for extended range operations (EDTO) there are additional reporting requirements. Refer to AC121-1, *Extended diversion time operations and polar area operations*, or

(u) For helicopters: defects causing, or likely to cause, failure of rotors, or rotor drive systems.

Dangerous goods (DG) incidents

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

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

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

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

(e) Incorrect labelling or packaging of DG, or

(f) Incorrect loading of DG in the aircraft.

Facility malfunction incidents

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

Aircraft incident

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

Injury to a person

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

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

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

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

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

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

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

(c) The declaration of an emergency

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

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

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

Failure or malfunction of engines

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

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

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

Failure or malfunction of aircraft systems and equipment

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

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

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

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

Incidents affecting all aircraft

(a) Fire or explosion

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

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

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

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

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

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

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

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

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

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

(c) Heavy landing– a landing deemed to require a *heavy landing check*

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

(e) Lightning strike

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

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

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

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

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

(k) Serious loss of braking action

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

(m) Significant loss of control from any cause

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

(o) Significant inadvertent reduction in airspeed

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

(q) GPWS/TAWS *warning* when:

(i) the aircraft comes into closer proximity to the ground than had been planned or anticipated

(ii) the warning is experienced in IMC, or at night, and is established as having been triggered by a high rate of descent (Mode 1)

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

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

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

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

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

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

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

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

(a) Loading of incorrect fuel quantities likely to have a significant effect on aircraft endurance, performance, balance, or structural strength

(b) Loading of contaminated, or incorrect type of, fuel or other essential fluids

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

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

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

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

Extended diversion time operations (EDTO)

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

Additional rotorcraft related incidents

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

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

(c) Mast bumping in flight

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

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

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

Security incidents

(a) Unlawful seizure of an aircraft

(b) An attempted unlawful seizure of an aircraft

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

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

(e) Placing, or causing to be placed, or attempting to place, on an aircraft in service, by any means whatsoever, a device or substance which is likely—

(i) to destroy that aircraft

(ii) to cause damage to it that renders it incapable of flight, or

(iii) to cause damage to it that is likely to endanger its safety in flight

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

(g) Unlawfully using any device, substance, or weapon, at an aerodrome to:

(i) use violence against a person which causes, or is likely to cause serious injury or death, or

(ii) destroy, or seriously damage, an aerodrome facility, or an aircraft on the aerodrome

(h) Attempted break-in to a parked aircraft

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

(j) Unlawful attempt to take on board an aircraft:

(i) any firearm

(ii) any ammunition

(iii) any explosive substance or device, or any other injurious substance or device of any kind whatsoever, which could be used to endanger the safety of the aircraft or of persons on board the aircraft, or

(iv) any other dangerous or offensive weapon, or any dangerous instrument of any kind whatsoever.

Promulgated information incidents

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

(a) Aeronautical information publication

(b) Map

(c) Chart

(d) Manual

(e) Digital database or information presented online, or

(f) Meteorological information.

Aerodrome incidents

(a) Failure or significant malfunction of aerodrome lighting

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

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

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

(e) Significant spillage of fuel on aerodrome aprons

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

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

(h) Runway incursions, defined by ICAO as 'Any occurrence at an aerodrome involving the incorrect presence of an aircraft, vehicle or person on the protected area of a surface designated for the landing and take-off of aircraft'[2]

[2] ICAO Doc 4444 - PANS-ATM

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

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

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

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

Other incidents

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

(a) A failure, or malfunction, of ground equipment used for testing or checking aircraft systems and equipment, when the required routine inspection and test procedures did not clearly identify the problem before safe operation of the aircraft could have been affected

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

(c) Minor loading errors at a particular aerodrome

(d) GPWS nuisance warning at a particular aerodrome

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

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

Appendix A – Notification, Investigation and Reporting of Occurrences

CAA has developed new occurrence reporting forms, which can be found here:

https://www.aviation.govt.nz/safety/notify-us/electronic-occurrence-reporting/

Anyone involved in an accident or incident can ensure they are submitting correctly by checking the CAA website at: https://www.aviation.govt.nz/safety/notify-us/

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

Type of OCCURRENCE	**Initial NOTIFICATION (as soon as practicable)**	**Provide DETAILS (to CAA within 10 days for accidents or 14 days for incidents)**	**Submit INVESTIGATION Report (to CAA within 90 days)**
Accident	PIC (or operator) Notify CAA 0508 ACCIDENT 0508 222 433 *Rule 12.51 or 12.55*	PIC (or operator) Occurrence reporting form *Rule 12.53 or 12.57*	
Serious incident or Immediate hazard to aircraft operations	Certificate holder or person involved Notify CAA 0508 ACCIDENT 0508 222 433 *Rule 12.55(a)*	Certificate holder or person involved Occurrence reporting form *Rule 12.57*	Certificate holder Occurrence reporting form or email triage@caa.govt.nz with the investigation report *Rule 12.59*

Submitting an investigation report

In accordance with rule 12.59, certificate holders are required to submit investigation reports no later than 90 days after the occurrence. These reports should be emailed to CAA at triage@caa.govt.nz.

Participants can also email this address if they have questions about what to include in their report.

Advice can also be found in AC12-2, *Occurrence Investigation*.

Appendix B– Filling in paper forms

Introduction

In cases where it is not possible for participants to submit online, using the occurrence reporting forms, CAA has retained the old paper forms.

Please check the CAA website under the Forms pages https://www.aviation.govt.nz/about-us/forms/ to find the right form.

CAA can accept emails and PDFs of the forms, in situations where participants are unable to access the occurrence reporting form.

Filling in paper forms

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

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

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

Table 1. First block on page 1

Data field	Filling advice
Date of occurrence	Use the format day/month/year. Make sure you have it right if you use UTC time!
Time	Fill the time box and then tick the appropriate box as NZ Standard time (NZST) or NZ daylight saving time (NZDT) or Co-ordinated universal time (UTC).
Location	**Do not use abbreviations or Designators** Plain text in relationship to a city, town, settlement, or the like. An example would be 10 nm south of Napier. Avoid using place names that will not easily be recognised by persons from outside the local area.
Aircraft manufacturer and model	You will find this in the aircraft flight manual.
Aircraft Registration	Include where an aircraft is involved. Include nationality marks for non ZK- aircraft.
Operator	This is the holder of the aircraft certificate of registration, or the person entitled to possession of the aircraft for 28 days or more, or the pilot's employer. Usually the operator is ~~it~~ is the person that authorised the flight or the organisation they work for.
Client ID	If you know it, fill it, otherwise leave it blank as the CAA data base will generate it.
POB (Persons on Board)	Required for several incident types, so include if known.

Number of Injuries	Only required for accidents, however injuries should be reported if they occur for any incident.

Table 2. Block headed *Operational Details* on page 1

Data field	Filling advice
	This block is for accidents and in-flight incidents when relevant.
Flight No./Call sign/Unique Identifier	This is usually applicable to an airline operation or an air ambulance operation or some of the training flights.
Altitude	Fill the box with numerals then tick the appropriate above ground level (*AGL*) or above sea level (*ASL*) or flight level (*FL*).
Runway used	Use the two-digit runway designator, if relevant.
Departure point	This is usually an aerodrome listed in the AIP but, if not, define it best you can.
Destination point	As for departure point above.
Nearest reporting point (NRP)	Nearest aerodrome promulgated in the AIP and associated charts. **Complete for all operational occurrences including Bird Incidents**
Distance and bearing from NRP	The first box is distance in nautical miles (nm), and the second box is degrees true. **Complete for all operational occurrences including Bird Incidents**
The next 4 boxes	Tick the appropriate flight rules being operated, *VFR or IFR,* followed by the flight conditions at the time of the occurrence, *VMC or IMC.*
Nature of flight	The two boxes referring to scheduled or non-scheduled are relevant to air transport operations only, while the boxes referring to domestic, international, and EDTO could be relevant to any type of operation. The remaining boxes are self-explanatory but note that there is an '*other' (specify)* box if you are not able to find the type of flight in the detailed boxes.
Flight Phase	Tick as appropriate, or detail in the *other* box.
Effect on flight	Tick as appropriate, or detail in the *other* box. Note that more than 1 effect may apply.

Table 3. Block headed *Description of Occurrence* on page 1

Data field	Filling advice
Description of occurrence	This is a narrative field for you to fill, in plain English, giving as full a description as possible. See the note under the box to use a separate piece of paper if needed.
Pilot in command's name	Fill in the given names, in full, followed by the surname of the pilot in command, if known to the submitter.
Licence number	This is the pilot's licence number.

Table 4. Block headed *Type of Occurrence* on page 2

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

Engineering Description of Incident	This is a narrative, usually filled out by a maintenance organisation or LAME.
EDTO Incident	A check box labelled 'ETOPS' on older printings of the form. Tick if applicable.

Table 5. Block headed *Submitter's Details*

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