

Partial Translation for AirAsia Group Internally Reference ONLY



Advisory Circular

CAAC Aviation Safety Office

No.: AC-396-08R3

Issuance Date: Nov 27th, 2023

List of Examples of Occurrence

Note: This English translation covers items applicable to AirAsia operations, and it is for AirAsia internal reference only. In case of any inconsistency between this English translation and the official Chinese version, the official Chinese version shall always prevail.

Event Samples

This Advisory Circular (AC) lists the main samples of those events defined in "Civil Aviation Safety Information Management Regulations" (CCAR- 396-R3).

I. Applicability

This Advisory Circular (AC) is applicable for event information reports of CAAC, CAAC Regional Administration Bureau, China Civil Aviation Safety Supervision Administration Bureau/Safe Operation Supervision Office, civil aviation enterprises and institutions registered in the People's Republic of China and their employees, and is also applicable for event information report of foreign country public air transport carrier (that implements the operation inside the national territory of the People's Republic of China) and their employees. During the report of event information, the report shall be made in compliance with those event samples in this Advisory Circular (AC) and in accordance with the time limits and procedures required in "Civil Aviation Safety Information Management Regulations".

II. Purpose

These event samples are only used to specify the event report standards, divide the event category, analyze and master different types of event characteristics, timely observe the safety potential, control the risk, and prevent civil aviation accidents.

III. Compilation Reference

This Advisory Circular (AC) has been compiled in accordance with "Civil Aviation Safety Information Management Regulations" and with reference to "The Classification-Definition and Instruction of Aviation Events" issued by ICAO General Classifications Group.

IV. Terminology and Definition

1. Event

An event refers to the aircraft damage, personnel injury or death or other condition (that affects flight safety) arising in the aircraft operation phase or airport traffic zone, and these events are divided into civil aircraft accidents, civil aircraft incidents and general events of civil aircraft according to the classification of event levels, and are divided into an emergency event and non-emergency event according to the classification of an event report.

2. Occurrence related organization(relevant entity)

Occurrence related organizations refer to aviation organizations that are related to the incident who are able to provide safety information about the occurrence, such as the operator (and its branch company) or other service providers.

3. Operation Phase

Operation phase refers to the time that a personnel boarded the aircraft in preparation for the flight operation until the personnel leaves the aircraft.

4. Block Time

Time from the aircraft starts to move on its own power until the aircraft stops. Flight crew member refers to the pilot and flight engineer that perform their tasks in the aircraft cockpit during the flight.

5. In Flight

Time from the aircraft reaches takeoff power until the aircraft lands and decelerates to the maximum straight line taxi speed. (including RTO)

6. Airport Movement Area

Airport movement area refers to ground movement area used for aircraft takeoff and landing and relevant operation inside the airport, including the runway, taxiway, and ramp area, etc.

7. Flight Crew Member

Flight crew member refers to the pilot and flight engineer that perform their tasks in the aircraft cockpit during the flight.

8. Aircraft Damage

Aircraft damage refers to the systematic safety or physical integrity defect of the aircraft (including its components and sub-systems), for example, the indication

of crack, deformation, dent, scratch, notch, separation, delamination, or ablation, etc.

9. Aircraft Suffer Damage

Aircraft suffer damage refers to that the aircraft damage level is lower than the aircraft dispatch standard. The overhaul fee for the damage of the aircraft that is used by training organizations for instruction flight and maximum certification takeoff weight is below 5700 KG exceeds the value of brand-new aircraft in the same category or comparable category by 10% (included).

10. Personnel Injury

The judgment of personnel injury is subject to the "Human Body Injury Degree Evaluation Standard" issued by the Supreme People's Court, the Supreme People's Procuratorate, the Ministry of Public Security, and the Department of Justice.

11. Foreign Object

A foreign object refers to a lifeless object in the airport movement area that could potentially cause danger to the operation.

12. Floating Foreign Objects

Floating foreign objects refers to refers to balloons (excluding tethered balloons, unmanned autonomous balloons, and sounding balloons, etc.) and various materials such as blocks, strips, flags, nets, bags, films, etc., with a side length or diameter of 0.3 meters or more that may float in the airport and surrounding areas, potentially affecting flight safety and easily lifted by the wind.

13. Aircraft Landing and Takeoff Ground Protection Zone

The Aircraft Landing and Takeoff Ground Protection Zone refer to the runway, the portion of the taxiway between applicable runway holding positions and the runway, the unpaved areas within a 75-meter range on each side of the runway centerline, the critical area/sensitive area of the instrument landing system, and the runway end safety area.

14. Runway Incursion

A runway incursion is an incident at an airport where an unauthorized aircraft, vehicle, or person is present on the Aircraft Landing and Takeoff Ground Protection Zone.

15. Affect the safe operation of aircraft

Include but are not limited to the situation that could lead to RTO, avoidance manoeuvres, in-flight holding, change or abandon of the approach, diversion, air turn back, runway incursion, runway inspection, emergency braking or aircraft damage.

V. Operation Principle

1. The event samples consist of emergency event samples and non-emergency event samples. After the occurrence of this event, they shall firstly follow the sample of an urgent event to make the judgment and then shall judge whether this is a non-urgent event or not.
2. For urgent events, the relevant entities with the occurrence of this event shall fill out and report the "Civil Aviation Safety Information Report Form". For a non-urgent event, the relevant entity with the occurrence of this event shall refer to the classification of non-emergency event samples (aircraft operation, aircraft maintenance, ground support, airport operation, and ATC support), in order to ensure whether the local entity needs to fill out and report "Civil Aviation Safety Information Report Form".
3. For those warning events involved with the event sample, relevant entities with the occurrence of this event shall make the report. If it is concluded after this event that this warning is a spurious warning, a phone call report could be omitted, but the "Civil Aviation Safety Information Report Form" is still required to be filled in. For those spurious smoke warnings caused by PAX and GPWS warnings caused by database error, refer to the handling of spurious warnings.
4. During the test flight, air show, training, and calibration flight, any condition that is required by these items is not applicable for the event sample. Any item in excess of item requirements shall be reported in accordance with the event sample.
5. For those events that are not included in these event samples, if this event involves aviation safety, refer to urgent event report.
6. This AC has become effective from January 1, 2024, and "Event Samples"(AC-396-08R2) shall be abolished at the same time.

VI. The Samples of Urgent Events in Air Transportation Operation

1. The in-flight collision, crash or forced landing of the aircraft.
2. During the flight, the aircraft becomes uncontrollable, lapses into the stall or a stall warning arises for cumulative 3 seconds (included).
3. During the flight, the aircraft collided with an obstacle (including airborne/aerial object) or any part other than the L/G wheel (skid, tailing loop, and buoy) contacts the ground/water.
4. Fly safe altitude that requires a recovery action, or trigger terrain warning PULL UP warning.
5. Overshoot/deviate the runway or touch down on the ground outside the taxiway or runway.
6. The runway incursion arose during the aircraft takeoff phase, or during the landing phase when an aircraft is below 60 M AAL.
7. On the closed runway, unassigned runway, the occupied runway or the taxiway, the aircraft carry out takes off or rejects the takeoff, or performs a go-around from a height below airport elevation + 300 M during the landing.
Note (a) : Excluding the situation that preceding traffic occupies the runway for a prolonged period leading to the subsequent aircraft performs a go-around
Note (b) : Including the situation that during the go-around, the aircraft subsequently descends below airport elevation +300M
8. Flight crew incapacitation in flight that he could not perform his duty, caused by alcohol, fatigue, illness, food poisoning, injury or drug.
9. The condition that flight crew member needs to use oxygen in an emergency situation. For example
 - a. It arises that the aircraft reaches the cabin altitude that oxygen mask is automatically deployed;
 - b. It arises that flight crew members need to use oxygen and perform the emergency descent in accordance with FCOM requirements;
 - c. It arises during the flight that flight crew members need to use

oxygen due to any smoke or toxic fume.

10. The firing or smoking inside or outside of the aircraft, fire from the engine, or the triggering of engine fire warning. (including other smoke warning being triggered in flight)
Note: Excludes smoke from the wheel well caused by the brake or the smoke from the food inside the oven
11. Uncontained turbine engine failure, or a condition that the engine shuts down or needs to be shut down during the flight.
12. System defect, part separation, or weather phenomenon that causes the difficulty of aircraft control during the flight, or the aircraft flies outside approved flight envelope, or other circumstances. (includes flight crew reports of flight control difficulties)
13. Takeoff, initiate the final approach or landing below operation minima.
14. The aircraft takes off when the control surface splint, landing gear safety pins, hook, pitot tube guide, static pressure plug or tail skid is not removed.
15. The condition that it is required for a flight crew member to declare distress condition (Mayday), emergency condition (Pan Pan), setting transponder to 7700 or emergency evacuation.
Note: Excludes declared emergency caused by passenger illness / medical condition or weather circumnavigation.
16. During the flight, when the separation between the aircraft drops below the defined separation or simultaneous instrument approach operation is made in the parallel runways, the aircraft enters into the No Transgression Zone (NTZ).
17. Operation in the wrong airways, STAR or SID as compared to the authorized routing or deviation from the authorized STAR or SID. Execution of the wrong go-around procedure leading to avoidance manoeuvres.
18. Loss of navigation, inadvertently flying into a forbidden area, hazardous area, restricted area, artillery area or inadvertently entering or exiting the national border.

19. During the flight, within ATC area control, two-way ground-to-air radio communication is interrupted for more than 20 minutes (included), or within ATC approach or tower area, two-way ground-to-air radio communication is interrupted for more than 3 minutes (included) (Except for the condition that the general aviation airplane uses other methods than airborne equipment to establish the reliable voice communication and contact).

Note: Time of loss-communication is counted from the flight crew or ATC identifies the loss-communication until communication is re-established.

20. The aircraft collides with another aircraft, or the aircraft collides with the vehicle, personnel, equipment, facility or other objects, which causes aircraft damage.
21. The “emergency dispatch level” in the local emergency response plan is activated due to the emergency situation of the aircraft.
22. Any event causes personnel death, serious, or minor injury in the process of aircraft operation, maintenance or ground support.

Note: Injuries caused by illness are excluded.

VII. The Samples of non-urgent Event

Aircraft Operation

1. Any flight crew (During flight phases other than in flight) or cabin crew become incapacitated and unable to perform its prescribed duty, as a result of injury, sickness, fatigue, alcohol, food poisoning, or drug
2. Fail to follow the rules to conduct the deicing/anti-icing operation as per the regulations, subsequently, the aircraft took off.
3. The aircraft does not meet the dispatch condition but is dispatched and took off.
4. Aircraft push-back, engine start, taxi, takeoff or landing without ATC clearance.

5. Occurrence of runway incursion.
6. The aircraft taxi into the wrong taxiway and then cause consequences to the operation of other aircraft or it is necessary to use the towing tug to return this aircraft to the correct taxi route,
7. The aircraft collides with the facility equipment, vehicle, personnel, animal or other objects; the possibility that the aircraft would collide with another aircraft, facility equipment, personnel, or other object exists so it is necessary to exercise emergency actions (stopping, turning or other movement).
8. During the taxi or the flight, the fuel, oil or hydraulic fluid is leaked (Except for the condition that the limitation is not exceeded as per the maintenance manual).
9. The airflow generated from the aircraft powerplant causes damage to aircraft, ground facility/equipment, or personnel injury.
10. The aircraft encounters FOD impact, which causes the aircraft damage.
11. Tire burst, delamination or puncture, or FOD remained after the puncture.
12. The aircraft flight with other unauthorised objects

Note: unauthorised objects include items left in the avionics bay, landing gear bay, access panels, radar fairings, engines, APU, fuel tanks, control surfaces, cargo holds (including objects containing lithium batteries and dangerous goods transported without proper declaration). ,

13. Taking off with an occupant, baggage, mails, cargo, or ballast exceeding the specified LMC (Landing Mass Capacity) or aircraft CG (Center of Gravity) limitations
14. Taking off with incorrect basic data or miscalculation/input discrepancies in the loadsheets compared to the actual load.
15. The leakage of carried articles causes aircraft damage or personnel injury.
16. The slide bag is dropped, or the slide is inadvertently deployed or the emergency exit is opened in an abnormal manner.

17. Abnormal triggering of ELT.
18. The aircraft rejects the takeoff.
19. Fail to complete pre-determined aircraft configuration during the flight.
20. The occurrence of stall warning, stick shaker or activation of relevant automatic protection (ie A-FLOOR).
21. Aircraft pitch angle exceeds $+25^{\circ}$ or -10° , or bank angle exceeds 45° or triggering "BANK ANGLE" alert..
22. Exceed those limitation data in AFM (Aircraft Flight Manual)/FCOM (Flight Crew Operation Manual)/AMM (Aircraft Maintenance Manual), for example, overload (G-value), weight, EGT, vibration value, speed, cabin differential pressure or wheel speed, etc

Note: The landing vertical load factor should be based on the value in the aircraft manual or values of the following standards (whichever is lower): Narrow-body aircraft 2.2 (inclusive), wide-body aircraft 2.0 (inclusive).

23. Aircraft system failure/fault or component absence leading to aborted takeoff, evasive actions, rapid descent, alteration of approach, aborted approach, go-around, diversion, runway occupancy, activation of emergency rescue response procedures at the airport, or necessitating landing at the nearest suitable airport during flight; in-flight occurrence of a cracked cockpit window of the aircraft
24. Situation when the aircraft experiences abnormal pressurization, a change in altitude is required; or the oxygen mask inadvertently deployed
25. Encounter turbulence during the flight, which causes aircraft damage or personnel injury.
26. The aircraft encounters windshear, or windshear warning triggered that requires crew actions to recover.
27. Go around below RA50ft (including the situation that the RA reach or below 50ft during the go around)

28. Air Turn back, divert to the alternate airport, (except for the circumstance of low visibility, strong wind, turbulence, thunderstorm, airport curfew and personal circumstances of the passenger);
29. Aircraft encounter lightning strike, hail strike, or FOD impact, which causes aircraft damage.
30. Due to the accumulation of ice, snow, frost, rain, sand dust or volcano ash on aircraft surfaces which causes significant negative effects on aircraft control and performance.
31. The blood, feather, skin, muscle or limb residues caused by the bird (including the bat) strike is observed on the aircraft and this causes the aircraft damage
32. The personnel injury is caused by unsecured cabin equipment, baggage, or other articles or other circumstances (except for those caused by the passenger).
33. Operating below the MSA or activating of GPWS warning (ie, CAUTION TERRAIN, DONT SINK, TERRAIN)
34. It is required to declare the status of minimum fuel, or the aircraft exceeds fuel imbalance limitation.
35. ACAS (TCAS) RA Alert.
36. The condition that the aircraft encounters such Floating Foreign Objects such as a drone, or kite, and then causes the avoidance manoeuvre of other aircraft. (including those initiated by the flight crew or instructed by the ATC)
37. Fly into the wrong flight route (airway); deviate from the assigned route (airway) by more than 15 KM or deviate from the cleared altitude for more than 60 M; deviate from SID/STAR by more than 5 km or twice of the Required RNP, fly the wrong SID/STAR or Miss approach procedure wrongly carried out.

Note: the deviation is calculated at the location where the flight crew and ATC established communication regarding the deviation.

38. Within the ATC control area, two-way ground-to-air radio communication is interrupted for more than 5 minutes (included), or within ATC approach or tower area, two-way ground-to-air radio communication is interrupted for more than 2 minute (included); or setting of transponder at 7600.
39. The interruption of radio communication affects normal aircraft operation.
40. Other circumstances in aircraft damage or personnel injury arises (except those caused by the passenger).

Aircraft Maintenance

1. The aircraft is taxiing when the control surface splint, landing gear safety pins (including nose-wheel steering pin), hook, pitot tube guide, static pressure plug or tail skid are not removed.
2. Refill the wrong fuel, oil, or hydraulic fluid.
3. Leakage of fuel contaminated the apron for areas bigger than 5 square meters.

4. The aircraft does not meet the dispatch condition but is dispatched.
5. The aircraft collides with aircraft, vehicles, equipment, facility or other objects, which causes aircraft damage.
6. The airflow generated from aircraft powerplant causes damage to aircraft, ground facility/equipment, or personnel injury.
7. Abnormal aircraft movement caused by extreme weather conditions, or improper setting of parking brakes or wheel chocks
8. The aircraft encounters FOD impact, which causes aircraft damage.
9. Tire burst, delamination or puncture, or FOD remained after the puncture
10. The aircraft flight with FOD
11. The slide bag is dropped, or the slide is released in an abnormal
12. Abnormal triggering of ELT
13. The separation or loss of aircraft components leads to aircraft below dispatching requirement
14. Aircraft encounter lightning strike, hail strike, or FOD impact, which causes aircraft damage.
15. The blood, feather, skin, muscle or limb residues caused by the bird (including the bat) strike is observed on the aircraft and this causes aircraft damage or the bird strike is arisen within a height of 100 M at the initial climb phase during aircraft takeoff within airport peripheral and within a height of 60 M during approach and landing phases.
16. Other circumstances that aircraft damage or personnel injury arises during maintainence work.

Ground Support

1. The aircraft is taxiing when the control surface splint, landing gear safety

pins (including nose-wheel steering pin), hook, pitot tube guide, static port plug or tail skid is not removed.

2. Refill fuel in incorrect type, or the fuel quantity is incorrectly refilled, which causes into effect to the safe operation of the aircraft.
3. Leakage of fuel contaminated the apron for areas bigger than 5 square meters.
4. The aircraft collides with aircraft, vehicle, equipment, facility or other objects, leading to aircraft damage or personnel injury. or Abnormal aircraft movement caused by extreme weather conditions, or improper setting of parking brakes or wheel chocks
5. The airflow generated from the aircraft powerplant causes damage of aircraft, ground facility/equipment, or personnel injury.
6. The weight or loading position of baggage, mails, cargo, or ballast mismatches with that in the load sheet or weight & balance sheet (in excess of the limitation of last-minute change), and this aircraft takes off.
7. The leakage of carried articles causes aircraft damage or personnel injury, or fire or smoke arises outside the cabin.
8. The carried livestock escapes, which affects the safe operation of the aircraft or airport.
9. Activation of the emergency response in collection stand-by level, due to the circumstances of the aircraft.
10. Other circumstances that aircraft damage or personnel injury arises.

Airport Operation

1. The aircraft, vehicle, or personnel are erroneously present or exist in takeoff or landing protection area inside the airport.
2. The vehicle or personnel are erroneously present in the airport movement zone, which affects the safe aircraft operation(excluding runway incursion).

3. The animal is present within airport traffic movement zone, which affects the safe operation of the airport.
4. The aircraft taxis into wrong taxiway and then causes into the consequences to the operation of other aircraft or it is necessary to use the towing tug to return this aircraft to correct taxi route,
5. The aircraft collides with aircraft, vehicle, equipment, facility or other objects, leading to aircraft damage or personnel injury.
6. The airflow generated from the aircraft powerplant causes into the damage of aircraft, ground facility/equipment, or personnel injury.
7. The failure or improper operation of support facility/equipment within airport traffic movement zone, which affects the safe operation of the aircraft.
8. The part or component separated from the aircraft is observed within airport movement zone, or the FOD that is observed on the taxiway/runway and affects the safe aircraft operation.
9. The aircraft suffers from FOD impact, which causes into aircraft damage.
10. Tire burst, delamination or puncture, or FOD remained after the puncture
11. The carried article catches the fire or smoke outside the cabin, or the fire/smoke is arisen from airport facility or equipment, which affects the safe operation of the aircraft.
12. The blood, feather, skin, muscle or limb residues caused by the bird (including the bat) strike is observed on the aircraft and this causes aircraft damage or the bird strike is arisen within a height of 100 M at the initial climb phase during aircraft takeoff within airport peripheral and within a height of 60m during approach and landing phases.
13. The runway, taxiway or apron surface is damaged, which requires to be closed for maintenance.
14. All or part of failure or abnormal operation of airport electrical supply, visual navaid facility (navaid light, sign, windsock, barrier light, etc.), which affects the safe aircraft operation.

15. Airport communication, navigation, meteorology, or surveillance facility/equipment cannot provide the service, which affects normal aircraft operation.
16. The lifting-off object that affects the safe operation of the aircraft arises within the protection zone.
17. Runway closure due to accumulated snow, ice, or standing water
18. The terminal's low power, core system malfunctions, or abnormal operation of baggage, etc., causing widespread flight delay alerts at the airport.
19. Activation of the emergency response in collection stand-by level, due to the circumstances of the aircraft.
20. Other circumstances that aircraft damage or personnel injury arises.

ATC Support

1. Aircraft push-back, engine start, taxi, takeoff or landing without ATC clearance.
2. Occurrence of runway incursion
3. The aircraft taxi into the wrong taxiway and then causes consequences to the operation of other aircraft or it is necessary to use the towing tug to return this aircraft to the correct taxi route,
4. The aircraft collides with the facility equipment, vehicle, personnel, animal or other objects; the possibility that the aircraft would collide with another aircraft, facility equipment, personnel, or other object exists so it is necessary to exercise emergency actions.
5. Aircraft reject takeoff.
6. Turn back, divert to an alternate airport, discontinue the approach, and go around below airfield + 300 M (except for the circumstance of low visibility, strong wind, turbulence, thunderstorm, airport curfew and

personal circumstance of the passenger); or go around below RA 50ft.

7. The aircraft is below safety altitude MSA, MVA or MEA.
8. Declare of Minimum Fuel.
9. Receive ACAS (TCAS) RA alert reported by the flight crew.
10. The condition that the aircraft encounters such airborne/aerial object as the drone, kite and then causes into the avoidance manoeuvre of other aircraft.
11. Fly into the wrong flight route (airway); deviate from the assigned route (airway) by more than 15 KM or deviate from the cleared altitude for more than 60 M; deviate from SID/STAR by more than 5 km or twice of the Required RNP, fly the wrong SID/STAR, or Miss approach procedure wrongly carried out.
12. Within the ATC area control, two-way ground-to-air radio communication is interrupted for more than 5 minutes (included), or within the ATC approach or tower area, two-way ground-to-air radio communication is interrupted for more than 2 minute (included), or setting of transponder 7600
13. The interruption of radio communication affects normal aircraft operation.
14. Abnormal triggering of ELT
15. Communication, navigation, meteorology, or surveillance facility/equipment cannot provide the service, which affects normal aircraft operation.
16. The aviation meteorology or aviation information (entity) cannot provide the service, which affects the normal operation of aircraft.