



管 理 文 件

中国民用航空局航空安全办公室

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**Partial Translation for Internal  
Reference ONLY**

运输航空公司一般事件判定指南

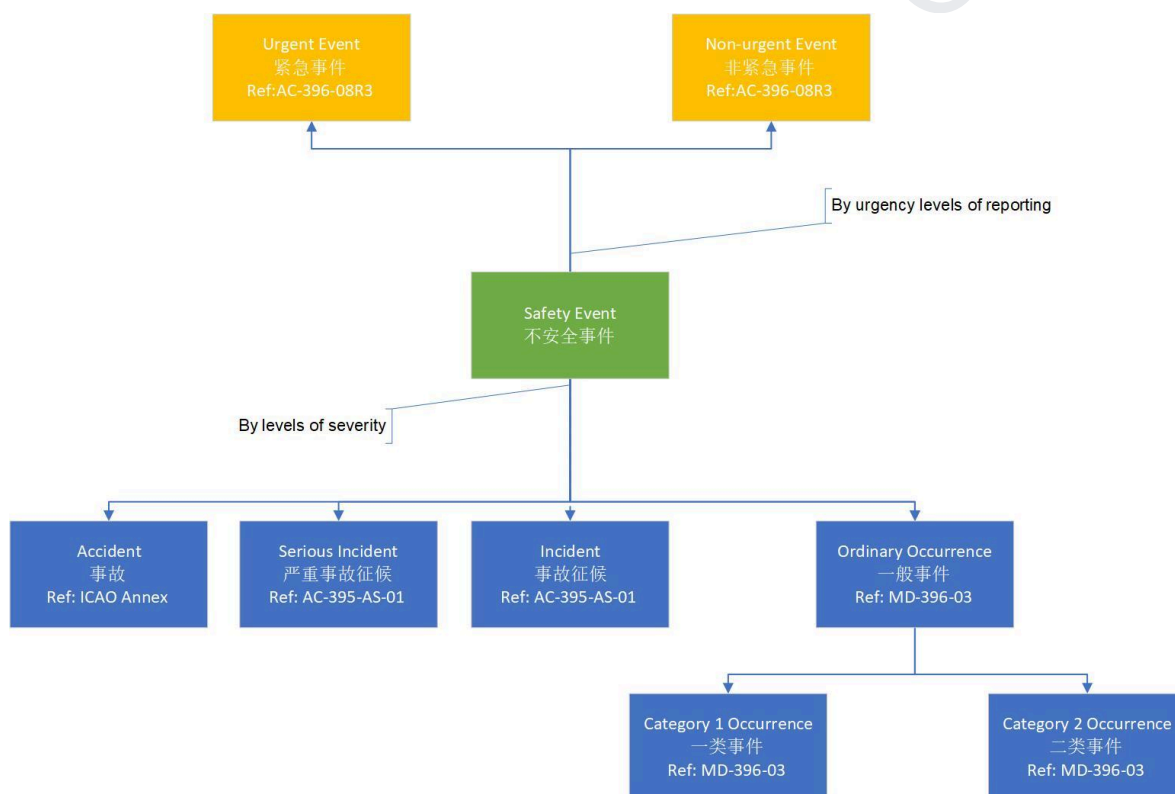
Air Transportation Ordinary Occurrence

## 1. Background

As a recap of previous documents, per CCAR369 and the relevant regulations, all safety events in China are classified as follows:

1. Based on **urgency levels** of reporting, all safety events are classified as Non-Urgent Events and Urgent Events
2. Based on the **severity level**, all safety events are classified as Accident, Serious Incident, Incident and Occurrence

For the convenience of reference by operators, AC-395-AS-01 was published by CAAC to define urgent and non-urgent events. All operators are required to ensure the timely reporting of any safety events that fall under these criteria. Meanwhile, AC-395-AS-01 was published to define Accident, Serious Incident and Incident.



On Mar 2025, MD-396-03 is published to further define Occurrence. This document is understood to be a supplementary document to AC-395-AS-01 to cover the definition of the fourth category. In this MD, all Occurrence was further classified into Category 1 and Category 2 occurrences. Below are the translated versions of these Ordinary Occurrences.

## 2. Ordinary Occurrences Definitions

### Article 3: Category 1 Events / 一类事件

- Article 3 Item 3.1: Failure to follow procedures, resulting in minor injuries to personnel either during flight or during ground operations.
- Article 3 Item 3.2: Aircraft taxi out before completing de/anti-icing, taxi out to the de-icing area are excluded.
- Article 3 Item 3.3: Aircraft taxied without removing flight control locks, hooks, pitot tube covers, or static port plugs.
- Article 3 Item 3.4: Runway or taxiway excursions occurred during ground phases of flight.
- Article 3 Item 3.5: ICAO Category C runway incursion.
- Article 3 Item 3.6: Takeoff or landing conducted without air traffic control clearance.
- Article 3 Item 3.7: Rejected takeoff after passing V1 speed.
- Article 3 Item 3.8: Tail strike occurred during takeoff, landing, or go-around.
- Article 3 Item 3.9: Takeoff performed with landing gear safety pins installed.
- Article 3 Item 3.10: Aircraft dispatched in violation of release conditions.
- Article 3 Item 3.11: In-flight cabin altitude warning, excluding false alerts.
- Article 3 Item 3.12: Altitude deviation of 500 feet or more from assigned level.
- Article 3 Item 3.13: Communication loss:  $\geq 20$  minutes in en-route phase, or  $\geq 6$  minutes during approach or tower control.
- Article 3 Item 3.14: Deviation from SID, STAR, IAP or missed approach  $> 5$  km or  $> 2 \times$  RNP; measured when communication is restored.
- Article 3 Item 3.15: Deviation exceeding 20 km from the centerline of assigned route or airway; measured when communication is restored.
- Article 3 Item 3.16: Stall warning or stick shaker activation lasting between 2 and 3 seconds, excluding false activations.
- Article 3 Item 3.17: Terrain avoidance warnings (e.g., PULL UP, TERRAIN) triggered, or CFIT risk index between 70 and 75.
- Article 3 Item 3.18: Flight conducted below minimum obstacle clearance or safe altitude.
- Article 3 Item 3.19: Diversion to the nearest suitable airport caused by human error.
- Article 3 Item 3.20: Engine damage resulting from exceedance of engine operating limits in AFM/FCOM/AMM.
- Article 3 Item 3.21: Takeoff with foreign object ingestion affecting engine, landing gear, or system performance.
- Article 3 Item 3.22: In-flight detachment of components leading to aircraft damage below dispatch limits.
- Article 3 Item 3.23: Approach towards a wrong/undesigned, occupied or closed runway, descent below 1500 ft (IFR) or 660 ft (VFR).
- Article 3 Item 3.24: Remaining fuel upon landing less than 40 minutes endurance, calculated as per the OM.
- Article 3 Item 3.25: Dangerous goods leak or displacement causing aircraft damage or minor injuries.
- Article 3 Item 3.26: Fire or smoke from cargo located outside the safety lines of the aircraft stand or equivalent area.
- Article 3 Item 3.27: Aircraft damage due to staff mishandling leads to repair cost  $\geq$  ¥100,000.
- Article 3 Item 3.28: Ground collision involving a taxiing aircraft within the airport movement area.

- Article 3 Item 3.29: Other events similar in nature to those listed above.

#### Article 4: Category 2 Events / 二类事件

- Article 4 Item 4.1: Injury to ground personnel in the airport area due to staff mishandling, even outside flight operating hours.
- Article 4 Item 4.2: After maintenance to critical systems such as engine, landing gear, hydraulic, fuel or flight control systems, a maintenance error, such as missing out of check, missing out of installation, or wrong installation occurred, yet the aircraft taxied out.
- Article 4 Item 4.3: The aircraft taxied out without the removal of landing gear safety pins, including nose wheel turn locks.
- Article 4 Item 4.4: Push back or towing aircraft without inserting the towing pin or switching the bypass switch to towing position.
- Article 4 Item 4.5: During pushback/towing, the aircraft deviated from the designated runway or taxiway.
- Article 4 Item 4.6: Category D runway incursion.
- Article 4 Item 4.7: Inadequate execution of release procedures resulted in an unauthorised takeoff.
- Article 4 Item 4.8: The aircraft took off without the required flight logbook, technical logbook, or other recording documents.
- Article 4 Item 4.9: The aircraft departed without carrying the airworthiness certificate, registration certificate, radio license, and other necessary documents.
- Article 4 Item 4.10: The aircraft took off without the crew possessing valid documentation.
- Article 4 Item 4.11: The use of incorrect or non-conforming base data caused load and balance errors, resulting in takeoff.
- Article 4 Item 4.12: Loading errors exceeding the final revised limits led to the aircraft's departure.
- Article 4 Item 4.13: The presence of foreign objects or prohibited dangerous goods enabled the aircraft to take off.
- Article 4 Item 4.14: A communication loss occurred for 10 minutes or more in the area, or for 3 minutes or more during approach or tower control.
- Article 4 Item 4.15: Deviating from the designated SID, STAR, IAP or the go-around procedure for more than 3 nm.
- Article 4 Item 4.16: A deviation exceeding 15 km from the assigned route or airway centerline was observed.
- Article 4 Item 4.17: A return or diversion was executed due to human error.
- Article 4 Item 4.18: Speeds exceeding VMO by +20 knots or MMO by +0.05 Mach (inclusive) for 3 seconds or more were recorded.
- Article 4 Item 4.19: Speeds exceeding the limits for flaps/slats or landing gear by 10 knots (inclusive) or more for 3 seconds or more were observed.
- Article 4 Item 4.20: The aircraft exceeded the flaps/slats altitude limit by 500 feet (inclusive) or more.
- Article 4 Item 4.21: A pitch angle above +25° or below -10°, or a bank angle exceeding 45°, was maintained for 3 seconds (inclusive) or more (excluding transient wind shear effects).
- Article 4 Item 4.22: The maximum in-flight vertical load factor was exceeded.

- Article 4 Item 4.23: The aircraft landed with a weight exceeding either its zero-fuel weight or the maximum allowable landing weight (except under special circumstances).
- Article 4 Item 4.24: Taxiway incursions (taxi error or taxi into a parking bay that is not suitable for the aircraft type) that require repositioning with towing service.
- Article 4 Item 4.25: During docking in, the aircraft stopped  $\geq 2\text{m}$  beyond the stop line or centerline.
- Article 4 Item 4.26: Aircraft inadvertent movement  $\geq 2\text{m}$ .
- Article 4 Item 4.27: Airflow from the powerplant caused minor injuries to the aircraft, facilities, or personnel.
- Article 4 Item 4.28: Improper handling resulted in the slide package detaching or being erroneously inflated.
- Article 4 Item 4.29: Discharge of fire extinguisher in engine, APU or the cargo hold. Activation of more than 50% of cabin oxygen masks.
- Article 4 Item 4.30: Refuelling with a non-conforming or incorrect liquid type compromised flight safety.
- Article 4 Item 4.31: An impact in a stationary state required only minor repairs before clearance for flight.
- Article 4 Item 4.32: Cargo leakage or displacement led to aircraft damage or minor injuries.
- Article 4 Item 4.33: The escape of live animals adversely affected flight safety.
- Article 4 Item 4.34: Vehicles or personnel prematurely or mistakenly entering the taxiway resulted in emergency braking of the aircraft.
- Article 4 Item 4.35: Other events of a similar nature.

### 3. Highlight of Change

More importantly, this MD also provides specific thresholds, clarifies severity, and introduces new event categories not previously listed in the previously published ACs. Last but not least, this MD also highlight that for those occurrences that were not previously defined as “Urgent event”, shall be treated as “non-urgent event” to be reported.

#### Add-on items:

- Item 3.24 Remaining fuel upon landing, less than 40 minutes endurance, calculated as per the OM.
- Item 4.1 Injury to ground personnel in the airport area due to staff mishandling, even outside flight operating hours.
- Item 4.2 After maintenance to critical systems such as engine, landing gear, hydraulic, fuel or flight control system, a maintenance error, such as missing out of check, missing out of installation, or wrong installation occurred, yet the aircraft taxis out.
- Item 4.4 Push back or towing aircraft without inserting the towing pin or switching the bypass switch to the towing position.
- Item 4.15 Deviating from the designated SID, STAR, IAP or the go-around procedure for more than 3 nm.
- Item 4.24 Taxiway incursions (taxi error or taxi into a parking bay that is not suitable

for the aircraft type) that require repositioning with towing service.

- Item 4.25 During docking in, the aircraft stopped  $\geq 2\text{m}$  beyond the stop line or centerline
- Item 4.26 Aircraft inadvertent movement  $\geq 2\text{m}$
- Item 4.29 Discharge of fire extinguisher in engine, APU or the cargo hold.
- Item 4.30 Add in incorrect/unqualified fluid (fuel/oil/hydraulic) affecting the safety of operation

#### Modified Items

- Item 3.2 Aircraft taxi out before completing de/anti-icing, taxi out to the de-icing area are excluded. (previous standard use take off)
- Item 3.23 Approach towards a wrong/undesignated, occupied or closed runway, descent below 1500 ft (IFR) or 660 ft (VFR) (previous standard with no altitude definition).
- Item 3.27 Aircraft damage due to staff mishandling, leading to repair cost  $\geq$  ¥100,000 (previous standard with no cost definition)
- Item 4.29 Activation of more than 50% cabin oxygen masks. (The previous standard is defined at the mask drop.)