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ADVISORY

SAFETY MANAGEMENT SYSTEM AND OCCURRENCE REPORTING

1. AUTHORITY

1.1 This circular is issued by the Executive Chairman of the Instituto de Aviação Civil de Moçambique (IACM) in pursuance of powers vested in him under Article 31 of Law N^o 21/2009 of 21 September and Article 12 of Resolution 19/2011 of 30 November.

2. PURPOSE

2.1 This Advisory Circular (AC) provides guidance on the development and maintenance of safety management system and mandatory reporting of occurrences as required by the Authority. This Advisory Circular also includes a description of the Service Difficulty reporting system for reporting of failures, malfunctions and defects to the Authority and the State of design.

2.2 The safety management system described in this Circular meets the requirements of the safety management system referred to under MOZCARs Part 121 Civil Aviation Regulations.

3. DEFINITIONS

3.1 The following definitions apply:

3.2 An occurrence includes an incident, serious incident or accident;

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

- a) A person is fatally or seriously injured as a result of-
 - (i) Being in the aircraft;

- (ii) Direct contact with any part of the aircraft, including parts which have become detached from the aircraft; or,
- (iii) Direct exposure to jet blast, except when the injuries are from natural causes, self-inflicted or inflicted by other persons, or when the injuries are to stowaways hiding outside the areas normally available to the passengers and crew; or
- b) The aircraft sustains damage or structural failure which adversely affects the structural strength, performance or flight characteristics of the aircraft;
- c) The aircraft would normally require major repair or replacement of the affected component; except for engine failure or damage, when the damage is limited to the engine, its cowlings or accessories; or for damage limited to propellers, wing tips, antennas, tyres, brakes, fairings, small dents or puncture holes in the aircraft skin; or
- d) The aircraft is missing or is completely inaccessible.

3.4 A dangerous goods accident is an occurrence associated with and related to the transport of dangerous goods which results in fatal or serious injury to a person or major property damage.

3.5 An incident is an occurrence other than an accident associated with the operation of an aircraft which affects or could affect the safety of operation;

3.6 A dangerous goods incident is an occurrence, other than a dangerous goods accident, associated with and related to the transport of dangerous goods, not necessarily occurring on board an aircraft, which results in injury to a person, property damage, fire, breakage, spillage, leakage of fluid or radiation or other evidence that the integrity of the packing has not been maintained. Any occurrence relating to the transport of dangerous goods which seriously jeopardizes the aircraft or its occupants is also deemed to constitute a dangerous goods incident;

3.7 A serious incident is an incident involving circumstances indicating that an accident nearly occurred;

3.8 A hazard is any condition, event or circumstance which could induce an accident, incident or failure;

3.9 Risk is the consequence of accepting a hazard.

4. REQUIREMENTS

4.1 MOZCARs Part 121 an AOC holder is required to establish and maintain a safety management system, which may be integrated with his Quality System to –

- (a) Identify actual and potential safety hazards.
- (b) Ensure that remedial action necessary to maintain acceptable level of safety is implemented; and
- (c) Provide for continuous monitoring and regular assessment of safety level achieved; and

(d) The appointment of a person accountable for managing the system.

4.2 A Safety Management System must include the following elements which must also be described in the appropriate manuals:

- a) Qualifications of the flight safety person;
- b) Responsibilities of the flight safety person;
- c) Training for the flight safety person;
- d) Incident management;
- e) Flight Safety committee;
- f) Emergency response planning; and
- g) Communication and safety education.

4.3 MOZCARs Part 121 prescribes the regulatory requirements for a safety management system.

5. OBJECTIVE OF SAFETY MANAGEMENT SYSTEM

5.1 The objective of a safety management system is to prevent aircraft accidents, thus improving public confidence in the safety of air travel, saving lives and money and reducing suffering.

5.2 A safety management system should be designed to prevent personal injury and property losses resulting from accidents and incidents. The design criteria should include: motivation of safe actions through establishment of a dynamic corporate safety culture; identification of hazards to safe operations; working with other departments within the organisation to develop and implement safety interventions; monitoring intervention strategies to validate effectiveness; and communicating the results throughout the organisation.

6. GUIDANCE FOR THE ESTABLISHMENT OF A SAFETY MANAGEMENT SYSTEM

6.1 Further guidance on the establishment of a safety management system and flight data monitoring can be found in the following documents:

- a) ICAO Doc 9422 (Accident Prevention Manual); and
- b) ICAO Doc 9376 (Preparation of an Operational Manual).

6.2 Operators should make use of these documents to support the Regulations requirements in the development of their safety management system required by MOZCARs Part 121.

7. MANAGEMENT AND RISK ASSESSMENT

7.1 *Management*

7.1.1 The slogan “safety is everybody’s business” means that everyone should be aware of the consequences of his mistakes and strive not only to avoid them but also to create an atmosphere in which the potential for problems due to mistakes is highlighted before it becomes an incident or accident. Everyone should also remain alert to detect hazards and take appropriate action including reporting, to prevent them developing into an incident or accident. For example, if a loose article is detected on the ramp, it is in everyone’s interest to remove it and report it as appropriate. Motivating an interest and awareness of safe aviation practices by all persons involved in operations must be one of the first steps of a safety management system.

7.1.2 Executive management would nominate a person to be responsible for managing the safety management system. This would normally be the Director (or Manager) Flight Safety who would act as a flight safety advisor (FSA), advising management on methods to improve safety. Requirements for a Director of Flight Safety are developed further at Appendix A of this AC.

7.1.3 The responsibility for safety and thus safety management in any organisation ultimately rests with executive management, because of the control of resources. Executive management is responsible for fostering the basic motivation so that each employee develops an awareness of safety. To achieve this, executive management must ensure that the proper working environment, adequate training and supervision and the correct facilities and equipment are available. Executive management’s responsibilities for safety go well beyond financial provisions. Encouragement and active support of safety management systems must be clearly visible to all staff if such systems are to be effective. For example, in addition to determining who was responsible for an incident or accident, executive management should also seek the underlying factors that induced the human error. Such an investigation may well indicate faults in executive management’s own policies and procedures.

7.1.4 Complacency or a false sense of security should not be allowed to develop as a result of long periods without an accident or serious incident. An organisation with a good safety record is not necessarily a safe organisation. Good fortune rather than good management practices may be responsible for what appears to be a safe operation.

7.1.5 On the whole, executive management’s attitudes and behaviour have a profound effect on staff. For example, if executive management is willing to accept a lower standard of maintenance, then the lower standard can easily become the norm. Or, if the company is in serious financial difficulties, staff may be tempted or pressured into lowering their margins of safety by “cutting corners”, as a gesture of loyalty to the company, or even self-interest in retaining their jobs. Consequently, such practices can and often do lead to the introduction of hazards.

7.1.6 Morale within an organisation also affects safety. Low morale may develop for many reasons but nearly always leads to loss of pride in one’s work, an erosion of self-discipline and other hazard creating conditions.

7.2 Risk Assessment

7.2.1 A hazard is any condition, event or circumstance which could induce an accident, incident or failure; risk is the consequence of accepting a hazard. It is imperative that all staff are made aware of hazards and the consequences of such acceptance. Risk-taking is an accepted fact of commercial life, and can therefore influence executive management's attitudes towards safety. An illustration of this fact could be executive management's acceptance of non-standard equipment in an aircraft fleet rather than spending additional money to standardize the equipment. This will almost certainly introduce hazards since variations in the equipment installed in the same aircraft type are known to have caused accidents.

7.2.2 A person may act in an unsafe manner because he may not have correctly assessed the risks involved in his action. Risk perception and acceptance varies according to the situation. In certain situations a person may be tempted to take risks that he would not normally take. Therefore, when attempting to determine why a person's response to a situation was inadequate, it is important to consider all the factors that may have affected him, including his perception and the risks involved.

7.2.3 Risk, which may be considered the opposite of safety, can exist in a safety environment. Since an element of risk is present in most human activities, risk taking is familiar to everyone in his normal daily life. In aviation, risk will be present as long as aircraft fly and this truth has resulted in efforts to reduce or control risk by all possible means. While aviation by its very nature comprises of risks, it is also an area where the penalties for failure are high. Accordingly, the taking of risks needs to be carefully weighed against the perceived benefits.

7.2.4 Risks are usually categorized by the broad areas they threaten, such as assets, income and legal liability. In the aviation industry, accidents usually involve all three areas. Since accidents can be considered as involuntary and unscheduled expenditures, a safety management system must have procedures to achieve an acceptable level of safety by all persons involved in operations as required by MOZCARs Part 121.

8. OCCURRENCE REPORTING SCHEME

8.1 The Objectives of the Scheme

8.1.1 The overall objective of the occurrence reporting scheme required by MOZCARs Part 121 of The Civil Aviation Regulations is to enable the collation and assessment of relevant incident and accident reports in order to identify adverse trends or to address deficiencies in the interest of flight safety. The objective is to use reported information to improve the level of flight safety and not to attribute blame.

8.1.2 The detailed objectives of the scheme are:

- a) To enable an assessment of the safety implications of each relevant incident and accident to be made, including previous similar occurrences, so that any necessary action can be initiated; and
- b) To ensure that knowledge of relevant incidents and accidents is disseminated so that other persons and Organisation may learn from them.

8.1.3 The scheme is an essential part of the overall monitoring function; it is complementary to the normal day to day procedures and 'control' systems and is not intended to duplicate or supersede any of them. The scheme is a tool to identify those occasions where routine procedures have failed.

8.1.4 Occurrences should remain in the database when judged reportable by the person submitting the report as the significance of such reports may only become obvious at a later date.

8.1.5 Under MOZCARs Part 121 a pilot in command is required to submit a report to the Authority of any occurrences that endanger or could endanger the safety of operation. It is also important that an operator distinguishes between the Mandatory Reporting requirements for reporting all occurrences that endanger or could endanger the safety of operations as required by MOZCARs and the Service Difficulty Report (SDR) requirements for reporting of failures, malfunctions defects and other occurrences which cause or might cause adverse effects on the continued airworthiness of an aircraft as required by Regulations. The SDR system is described in more detail at Appendix B.

8.1.6 In addition to the Occurrence Report MZ11018 an operator, is also required to complete and submit the SDR form MZ11019 as described in Appendix B, for any occurrence which endangers or could endanger the safety of operations which arise from –

- a) Any failure, malfunction or defect in the aircraft , its equipment or any item of ground support equipment; or
- b) Which causes or could cause adverse effects on continuing airworthiness of an aircraft.

8.2 Occurrences that Must be Reported

8.2.1 Incidents that have to be reported and responsibilities for submitting reports are described in MOZCARs Part 121, and MOZCATs 121. In addition MOZCARs Part 43, require reporting of failures, malfunctions, defects and other occurrences that might cause adverse effects on the continued airworthiness of aircraft. The number of variables in aircraft operations is so great that it is very difficult to provide a complete list of items or conditions which should be reported. For example, loss of a single hydraulic system on an aircraft with only one such system is critical; on a type with three or four systems it could be less critical. A relatively minor problem in one set of circumstances can, when these circumstances change, result in a hazardous situation. The rule should be: "If in doubt - report." Nevertheless, Appendix C is a list of occurrences which should be reported.

8.2.2 To facilitate consistent reporting and subsequent storage and analysis of data, Occurrence Report MZ11018 (see Appendix D) ideally should be used for all mandatory occurrence reports except bird strike reports required by MOZCARs Part 121, which should be reported on MZ11020 (see example at Appendix E). Service difficulty reports (SDR) must be made on Form MZ110019 (See Appendix B). Organisations may wish to use an occurrence report form designed to meet their own requirements. In such cases the 'in house' document(s) should, as far as possible, follow the general format of the MZ11018

8.2.3 MOZCARs Part 121 Regulations deals specifically with the reporting of dangerous goods incidents and accidents which must be reported on Form MZ11021 (See Appendix F). To assist the ground services in preparing for the landing of an aircraft in an emergency situation, it is essential that adequate and accurate information about any dangerous goods on board be given to the appropriate air traffic services unit. Wherever possible this information should include the proper shipping name and/or the UN/ID number, the class/division and for Class 1 the compatibility group, any identified subsidiary risk(s), the quantity and the location on board the aircraft. When it is not considered possible to include all the information, those parts thought most relevant in the circumstances, such as the UN/ID numbers or classes or divisions and quantity, should be give.

9. RESPONSIBILITIES OF OPERATOR AND ORGANISATION

9.1 *Action by Operator and Organisation*

9.1.1 Where a reported occurrence indicates an unpremeditated or inadvertent lapse by an employee, the Authority would expect the Operator or Organisation to act responsibly and to share its view that free and full reporting is the primary aim, and that every effort should be made to avoid action that may inhibit reporting. The Authority will, accordingly, make it known to operators and organisations that, except to the extent that action is needed in order to ensure safety, and except in cases involving dereliction of duty amounting to gross negligence, it expects them to refrain from disciplinary or punitive action which might inhibit their staff from duly reporting incidents of which they may have knowledge.

9.1.2 The primary responsibility for safety rests with the management of the Organisation involved (Air Operators, Maintenance Organisation, etc). The Occurrence Reporting Scheme is an established part of the Operator's monitoring involving the recording of occurrences, the investigation of occurrences in conjunction with the appropriate organisation (e.g. Aircraft and Equipment Manufacturer, Operating Agency, Maintenance Organisation) and when necessary the Authority, to investigate occurrences in order to establish the cause sufficiently to devise, promulgate and implement any necessary remedial and preventive action.

9.2 *Submission of Reports*

9.2.1 Although the Regulations sometimes refer to individuals required to report occurrences, the operator or organisation has the responsibility for the management of the occurrence reporting scheme required by his flight safety management systems. When an individual making a report is a person having a duty to report to the Authority in accordance with the Regulations, the operator/organisation must tell him if his report has been passed on to the Authority or not. If not, and the employee is convinced that it should be, he must have the right to insist that the report be passed to the Authority or to report it directly to the Authority himself. Procedures to ensure that this right of the individual reporter is maintained must be incorporated in the organisation's reporting procedures and be clearly stated in the relevant instructions to staff.

9.2.2 An individual may submit an occurrence report directly to the Authority should he wish to do so, but in the interest of flight safety he would be strongly advised also to notify his operator/organisation, preferably by a copy of the report, unless confidentiality is considered essential.

9.2.3 Reports must be despatched within 72 hours of the event, unless exceptional circumstances prevent this. Nevertheless, when the circumstances of an occurrence are judged to be particularly hazardous, the Authority expects to be advised of the essential details by the fastest possible means (e.g. email/telephone/fax/telex). This should be followed up within 72 hours by a full written report to the Authority.

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

9.2.5 In the case of technical failures or service difficulty reports, the availability of photographs and/or preservation of damaged parts will greatly facilitate the subsequent investigation.

9.2.6 Where a maintenance organisation is in doubt about the applicability of the reporting requirements, e.g. it discovers a defect in a piece of equipment which cannot be associated with a particular aircraft, or even a type of aircraft, it should, nevertheless, make a report in order to ensure that it has complied with the Regulations. The Authority would, in any case, wish the organisation, or individual, to report voluntarily such defects on equipment fitted to aircraft types not subject to mandatory reporting.

9.2.7 An operator must report dangerous goods accidents and incidents to the Authority and the appropriate authority of the State in which the accident or incident occurred in accordance with the reporting requirements of those appropriate authorities.

9.2.8 An operator must report any occasion when undeclared or mis-declared dangerous goods are discovered in cargo. Such a report must be made to the Authority and the appropriate authorities of the State in which this occurred. An operator must also report any occasion when dangerous goods not permitted under the Technical Instructions are discovered in passenger's baggage. Such a report must be made to the appropriate authority of the State in which this occurred.

9.2.9 In the event of an aircraft accident or serious incident, the operator of an aircraft carrying dangerous goods as cargo must provide information, without delay, to emergency services responding to the accident or serious incident about the dangerous goods on board, as shown on the copy of the information to the pilot-in-command. As soon as possible, the operator must also provide this information to the Authority and the appropriate authorities of the State in which the accident or serious incident occurred.

9.2.10 In the event of an aircraft incident, the operator of an aircraft carrying dangerous goods as cargo must, if requested to do so, provide information without delay to the emergency services responding to the incident and to the appropriate authority of the State in which the incident occurred, about the dangerous goods on board, as shown on the copy of the information to the pilot-in-command.

10. EVALUATION OF INCIDENT AND ACCIDENT INFORMATION

10.1 *Flight Data Monitoring and Analysis Programme*

10.1.1 An operator of an aeroplane of a maximum certified take off mass in excess of 27,000 kg, evaluation of incident and accident information must include the establishment and maintenance of a flight data monitoring and analysis programme as part of the safety management system. An operator may contract out the operation of a flight data monitoring and analysis programme to another party, but must retain overall responsibility for the maintenance of such a programme.

10.1.2 The manager of the safety management system is accountable for the discovery of issues and the transmission of these to the relevant manager(s) responsible for the process(es) concerned. The latter are accountable for taking appropriate and practicable safety action within a reasonable period of time that reflects the severity of the issue.

10.1.3 A flight data monitoring and analysis programme will allow an operator to:

- a) Identify areas of operational risk and quantify current safety margins;
- b) Identify and quantify operational risks by highlighting when non-standard, unusual or unsafe circumstances occur;
- c) Use flight data information on the frequency of occurrence, combined with an estimation of the level of severity, to assess the safety risks and to determine the safety risks which may become unacceptable if the discovered trend continues;
- d) Put in place appropriate procedures for remedial action once an unacceptable risk, either actually present or predicted by trending, has been identified;
- e) Confirm the effectiveness of any remedial action by continued monitoring.

10.1.4 Flight data monitoring and analysis techniques include using the in-flight digital data for the following:

- a) Monitoring for deviations from flight manual limits and standard operating procedures. A set of core events should be selected to cover the main areas of interest to the operator. A sample list is at Appendix G. The event detection limits should be continuously reviewed to reflect the operator's current operating procedures;
- b) Monitoring all flights through a system of snapshots of information to determine what is normal practice;
- c) Collection and measurement of flight data to support the analysis process. Examples of this type of data could include the numbers of flights flown and analysed, aircraft and sector details sufficient to generate rate and trend information.

10.2 *Monitoring Tools*

10.2.1 The effective assessment of information obtained from digital flight data is dependent upon the provision of appropriate information technology tool sets. A

programme set of tools for this purpose may include: annotated data trace displays, engineering unit listings, visualization for the most significant incidents, access to interpretative material, links to other safety information, and statistical presentations.

10.2.2 Where this function is contracted out, the operator must ensure that the contractor is suitably equipped for the task.

10.3 Education and Publication

Sharing safety information is a fundamental principle of aviation safety in helping to reduce accident rates. The operator should pass on the lessons learnt to all relevant personnel and, where appropriate, industry. Media used may include: newsletters, flight safety magazines, highlighting examples in training and simulator exercises, periodic reports to industry and the regulatory authority.

10.4 Avoiding Conflict with Investigation Requirements

Accident and incident data requirements specified in Part VII of the Civil Aviation (Instruments and Equipment) Regulations take precedence over the requirements of a flight data monitoring and analysis programme. In these cases the flight data recorder data should be retained as part of the investigation data.

10.5 Consistency of Reporting

10.5.1 Every crew member has a responsibility to report events described in MOZCARs Part 121 and MOZCATs, using the company occurrence reporting scheme.

10.5.2 Significant risk-bearing incidents detected by flight data monitoring and analysis will therefore normally be the subject of mandatory occurrence reporting by the crew. If this is not the case then the crew should submit a retrospective report that will be included under the normal accident prevention and flight safety process without prejudice.

10.6 Handling of Flight Monitoring and Analysis Data

10.6.1 The data recovery strategy should ensure a sufficiently representative capture of flight information to maintain an overview of operations. Data analysis should be performed at an appropriate frequency to enable action to be taken on significant safety issues.

10.6.2 The data retention strategy should aim to provide the greatest safety benefits practicable from the available data. A full data set should be retained until the action and review processes are complete; thereafter, a reduced data set relating to closed issues can be maintained for longer term trend analysis. Programme managers may wish to retain samples of full-flight data (de-identified) for various safety purposes (detailed analysis, training, benchmarking etc.).

10.6.3 Data access and security policy should restrict information access to authorised persons. When data access is required for airworthiness and maintenance purposes, a procedure should be in place to prevent disclosure of crew identity.

10.7 Procedure Document

10.7.1 A procedure document for the use of flight data for the flight monitoring and analysis programme should be signed by all parties (airline management, flight crew member representatives nominated either by the union or the flight crew themselves) and, as a minimum, should define.

- a) The aim of the flight data monitoring and analysis programme;
- b) A data access and security policy that should restrict access to information to specifically authorized persons identified by their position;
- c) The method to obtain de-identified crew feedback on those occasions that require specific flight follow-up for contextual information; where such crew contact is required the authorised person(s) need not necessarily be the programme manager, or safety manager, but could be a third party (broker) mutually acceptable to unions or staff and management;
- d) The data retention policy and accountability including the measures taken to ensure the security of the data;
- e) The conditions under which, on rare occasions, advisory briefing or remedial training should take place; this should always be carried out in a constructive and non-punitive manner;
- f) The conditions under which the confidentiality may be withdrawn for reasons of gross negligence or significant continuing safety concern;
- g) The participation of flight crew member representative(s) in the assessment of the data, the action and review process and the consideration of recommendations;
- h) The policy for publishing the findings resulting from the flight data monitoring and analysis programme.

10.8 Airborne Systems and Equipment

10.8.1 Airborne systems and equipment used to obtain data used for the flight data monitoring and analysis programme may range from an already installed full quick access recorder, in a modern aircraft with digital systems, to a basic crash protected recorder in an older or less sophisticated aircraft. The analysis potential of the reduced data set available in the latter case may reduce the safety benefits obtainable.

10.8.2 The operator shall ensure that flight data monitoring and analysis use does not adversely affect the serviceability of equipment required for accident investigation.

11. RESPONSIBILITIES OF THE CIVIL AVIATION AUTHORITY IN FLIGHT SAFETY MANAGEMENT SYSTEMS

11.1 The primary responsibility for safety rests with the management of the Organisation involved (operators, maintenance organisations, manufacturers etc). The responsibility of the Authority is to provide the regulatory framework within which the civil aviation industry must work and thereafter to monitor performance to be satisfied that required standards are set and maintained.

11.2 In relation to all reported occurrences, including those raised by its own personnel, the Authority will –

- a) Evaluate each occurrence report received;
- b) Decide which occurrences require investigation by the Authority in order to discharge its functions and responsibilities;
- c) Make such checks as it considers necessary to ensure that operators, approved maintenance organisations, air traffic control services and aerodrome operators are taking any necessary remedial and preventive action in relation to reported occurrences;
- d) Take such steps as are open to it to persuade foreign aviation authorities and organisation to take any necessary remedial and preventive action in relation to reported occurrences;
- e) Assess and analyse the information reported to it in order to detect safety problems which may not be apparent to individual reporters;
- f) Make available the results of studies of the data provided to those who will use them for the benefit of air safety;
- g) Where appropriate, issue specific advice or instructions to particular sections of the industry;
- h) Where appropriate, take action in relation to legislation, requirements or guidance,

11.3 The Authority will evaluate all reported occurrences to determine those that require the Authority involvement and follow-up action. These reports will then be classified as “OPEN” by ticking the “OPEN” box at part 7 of the completed occurrence report form KF-053 submitted by the reporting organisation. The Authority will then coordinate with the reporting organisation to ensure satisfactory action. The report will be accepted as “CLOSED” and the “CLOSED” box ticked, only when the Authority is satisfied that appropriate action has been taken to adequately control the identified hazard. The Authority will also record as “CLOSED” all other reports not requiring the Authority follow-up action and will in addition –

- a) Record all occurrences on a database;
- b) Continuously monitor all incoming data for significant hazards or potential hazards using previously stored data, when appropriate and alerting departments and organisation as necessary;
- c) Conduct regular monitoring of stored data to identify hazards or potential hazards;
- d) Carry out searches and analyses of stored data in response to requests from within the Authority or industry and draw attention, by appropriate means, to any lessons learnt.

11.4 Occurrences Closed on Receipt

11.4.1 A number of occurrences reported to the Authority, while meeting the criteria for a

reportable occurrence, may have been adequately dealt with by the reporting organisation. Thus, there is no justification for further investigation by the Authority, although details of the occurrence and action taken do provide valuable information for dissemination and storage purposes. Reports judged to be in this category are CLOSED on receipt by the Authority. The principal justification for closure being that it is evident from the report that existing requirements, procedures, documentation, etc., coupled with the reporter's action, have adequately controlled the identified hazard. When necessary the Authority representative will liaise with the reporter and/or seek advice from appropriate Authority staff in making this decision.

11.4.2 The ability of the Authority to close an occurrence on receipt and thus avoid the need for further investigation by the Authority is very much dependent upon the quality of the information provided in the report and, specifically, information on the action taken by the reporting organisation to control the situation.

11.5 Action in Respect of a Certificate

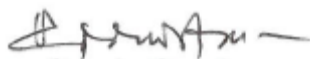
11.5.1 The Authority has a duty to amend, suspend or revoke a certificate as appropriate if it is no longer satisfied that the certificate holder is competent or medically fit to exercise the privileges of the certificate. If an occurrence report suggests that the certificate holder does not satisfy these requirements, the Authority will take appropriate certificate action. For example, if the report indicates that the certificate holder requires further training, the Authority may suspend his certificate until he has undergone such training. If a report should indicate that the certificate holder may not be a fit person to exercise the privileges of his certificate, the fact that he has reported the occurrence will be taken into account in determining his fitness and may weigh in his favour.

11.5.2 In all such cases, when considering what action to take, the Authority will take into account all relevant, available information about the circumstances of the occurrence and about the certificate holder.

11.6 Submission of Reports by Individuals

An individual may submit an occurrence report directly to the Authority should he wish to do so, but in the interest of flight safety he would be strongly advised also to notify his Organisation, preferably by a copy of the report, unless confidentiality is considered essential. When appropriate, the organisation, in turn, should then advise the aircraft or equipment manufacturer(s).

EXECUTIVE CHAIRMAN



Afonso Sande Cuinhane
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