

18 October 2012  
FOIA reference: F0001412

Dear XXXX

I am writing in respect of your recent application of 5 October 2012, for the release of information held by the Civil Aviation Authority (CAA).

Your request:

*“Is there any system for recording the occasions on which a pilot, or other flight deck crew, falls asleep while they are supposed to be in charge of an aircraft?”*

*If so how many such reports have you logged for each of the last five years? 2007,2008, 2009, 2010 and 2011.*

*Please provide me with all the information you hold for any of these incidents that took place in the 2011 calendar year”.*

Our response:

In assessing your request in line with the provisions of the Freedom of Information Act 2000 (FOIA), we are pleased to be able to provide the information below.

The CAA's MOR Scheme is intended to record reportable occurrences which endangered or which, if not corrected, would have endangered an aircraft, its occupants or any other person.

We have searched the database for reports of pilots falling asleep whilst in charge of an aircraft for each of the last five years 2007 to 2011 inclusive and attached a summary of those reports retrieved. We have however, removed identifying information from these reports as this information is exempt from disclosure under section 44 of the FOIA.

Section 44 of the FOIA provides that information is exempt information if its disclosure is prohibited by, or under, any enactment. Under Section 23 of the Civil Aviation Act 1982, information which relates to a particular person (which includes a company or organisation) and has been supplied to the CAA pursuant to an Air Navigation Order (ANO) is prohibited from disclosure (a copy of this exemption can be found enclosed).

For more information about the Mandatory Occurrence Reporting scheme, please refer to CAP382 which can be found at: [www.caa.co.uk/cap382](http://www.caa.co.uk/cap382)

For information, reports may also be made through the UK Confidential Human Factors Incident Reporting Programme (CHIRP) is operated by the CHIRP Charitable Trust.

**Civil Aviation Authority**

Aviation House GW Gatwick Airport South Crawley West Sussex England RH6 0YR [www.caa.co.uk](http://www.caa.co.uk)  
Telephone 01293 768512 [rick.chatfield@caa.co.uk](mailto:rick.chatfield@caa.co.uk)

Depersonalised data from reports is recorded in a secure database maintained by the Trust. Further information can be found on their website: [www.chirp.co.uk](http://www.chirp.co.uk)

If you are not satisfied with how we have dealt with your request in the first instance you should approach the CAA in writing at:-

Mark Stevens  
External Response Manager  
Civil Aviation Authority  
Aviation House  
Gatwick Airport South  
West Sussex  
RH6 0YR

[mark.stevens@caa.co.uk](mailto:mark.stevens@caa.co.uk)

The CAA has a formal internal review process for dealing with appeals or complaints in connection with Freedom of Information requests. The key steps in this process are set in the attachment.

Should you remain dissatisfied with the outcome you have a right under Section 50 of the Freedom of Information Act to appeal against the decision by contacting the Information Commissioner at:-

Information Commissioner's Office  
FOI/EIR Complaints Resolution  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF  
[www.ico.gov.uk/complaints.aspx](http://www.ico.gov.uk/complaints.aspx)

Should you wish to make further Freedom of Information requests, please use the e-form at <http://www.caa.co.uk/foi>.

Yours sincerely

Rick Chatfield  
Information Rights and Enquiries Officer

## **CAA INTERNAL REVIEW & COMPLAINTS PROCEDURE**

- The original case to which the appeal or complaint relates is identified and the case file is made available;
- The appeal or complaint is allocated to an Appeal Manager, the appeal is acknowledged and the details of the Appeal Manager are provided to the applicant;
- The Appeal Manager reviews the case to understand the nature of the appeal or complaint, reviews the actions and decisions taken in connection with the original case and takes account of any new information that may have been received. This will typically require contact with those persons involved in the original case and consultation with the CAA Legal Department;
- The Appeal Manager concludes the review and, after consultation with those involved with the case, and with the CAA Legal Department, agrees on the course of action to be taken;
- The Appeal Manager prepares the necessary response and collates any information to be provided to the applicant;
- The response and any necessary information is sent to the applicant, together with information about further rights of appeal to the Information Commissioners Office, including full contact details.

**Freedom of Information Act: Section 44**

(1) Information is exempt information if its disclosure (otherwise than under this Act) by the public authority holding it-

- (a) is prohibited by or under any enactment,
- (b) is incompatible with any Community obligation, or
- (c) would constitute or be punishable as a contempt of court.

(2) The duty to confirm or deny does not arise if the confirmation or denial that would have to be given to comply with section 1(1)(a) would (apart from this Act) fall within any of paragraphs (a) to (c) of subsection (1).

**Section 23 of the Civil Aviation Act is such a statutory prohibition. Accordingly, the obligations of the CAA to comply with Section 23 are unaffected by the Freedom of Information Act.**

*Under Section 23, information supplied to the CAA in connection with its regulatory functions and which relates to a particular individual or organisation must not be disclosed by the CAA unless such disclosure is authorised by one of the exceptions contained in Section 23 itself.*

## Safety Regulation Group

Safety Data

Aviation House  
Gatwick Airport South  
West Sussex  
RH6 0YR

Direct Dial 01293 573220  
Direct Fax 01293 573972  
E-mail sdd@caa.co.uk

Switchboard 01293 567171  
Fax 01293 573999

*These records were retrieved from the UK CAA Mandatory Occurrence Reporting (MOR) system by a member of Safety Data*

*The MOR system records include information reported to the CAA, information obtained from CAA investigations, and deductions by CAA staff based on the available information. The authenticity of the contents or the absence of errors and omissions cannot be guaranteed. Records in this system commenced on 1 January 1976 coincident with the introduction of Mandatory Occurrence Reporting in the UK, but occurrences reported voluntarily are also included, and no distinction is made between them.*

**Note: Any data provided from these records are made available on the understanding that they are only to be used for purposes of flight safety and must not be used for other purposes.**

**SUBJECT: Reports of pilots falling asleep regardless of aircraft nationality.**

**PERIOD: All reports between 01 Jan 2007 to 31 Dec 2011 inclusive.**

<b>A/C Type :</b>	B757	<b>Occurrence Number :</b>	<b>200707716</b>
<b>Flight Phase :</b>	Cruise	<b>Occurrence Date :</b>	07 Aug 2007
<b>Classification :</b>	Occurrences	<b>Location :</b>	En Route
<b>Events :</b>	Flight Crew Occurrence	<b>Location Info :</b>	

**Pretitle :**

*Flight deck crew tiredness.*

**Precis :**

The Captain left the flight deck for a 'comfort break', having checked with the F/O whether he was tired. Having been absent for approximately 10 - 15mins, during which the F/O undertook normal flight deck activity, the Captain tried to raise the flight deck using L1 handset, with no response. Due to an earlier reported problem with the L1 handset (later confirmed by engineering), the Captain tried L2 handset but again with no response. Flight deck access was obtained using the lock number code. First Officer found "slumped over the controls", appearing to be asleep. Immediate radio check with Madrid ATC with no problems. The crew were debriefed soon after the event and the Captain and F/O differ in their opinion as to whether the F/O was actually asleep as opposed to resting his eyes. The F/O considered he had been adequately rested and his AME confirmed there was no underlying medical reason for tiredness. The operator re-iterated the importance of proper rest before duty during the F/O's debrief. FTL provisions had been properly followed by the operator and the incident occurred immediately after the F/O had completed two consecutive days off. The operator has reviewed all Operations Manual advice and concluded that all areas are satisfactorily covered except for guidance on planned "napping" when two pilots are on the flight deck. An amendment has been drafted and will be included once discussions on the subject with BALPA have been successfully concluded.

**Note: Any data provided from these records are made available on the understanding that they are only to be used for purposes of flight safety and must not be used for other purposes.**

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<b>A/C Type :</b>	A319	<b>Occurrence Number :</b>	<b>201006347</b>
<b>Flight Phase :</b>	Flight	<b>Occurrence Date :</b>	30 Jun 2010
<b>Classification :</b>	Occurrences	<b>Location :</b>	
<b>Events :</b>	Miscellaneous Non-AD Occurrence	<b>Location Info :</b>	

**Pretitle :**

*Alleged unrealistic rostering causing flight crew fatigue. Captain allegedly fell asleep for a short while on turnaround.*

**Precis :**

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<b>A/C Type :</b>	B767	<b>Occurrence Number :</b>	<b>201106876</b>
<b>Flight Phase :</b>	Cruise	<b>Occurrence Date :</b>	10 Jun 2011
<b>Classification :</b>	Occurrences	<b>Location :</b>	En Route
<b>Events :</b>	A/c Structure Failure / Malfunction Crew Illness / Incapacitation	<b>Location Info :</b>	

**Pretitle :**

*Emergency entry to flight deck required using emergency code. On entry First Officer initially appeared unconscious.*

**Precis :**

Following a break, the Captain was unable to gain re-entry to flight deck using normal code and required assistance of Cabin Services Director (CSD) and use of emergency entry code. This sounded for the full 30secs before door automatically allowed entry. On entry to flight deck, First Officer appeared unconscious but came round on shaking. First Officer believes he had just fallen asleep briefly, although he had shown no signs of tiredness previously during flight. After checking First Officer was fit to continue, CSD was allowed to leave flight deck. First Officer's fitness monitored for remainder of flight.

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