OCCURRENCE REPORTING

CAR-OCR

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FOREWORD

(a) For the purpose of this regulation the competent authority shall be the General Civil Aviation Authority designated by the United Arab Emirates Federal Government, and known in this regulation as the "GCAA".

(b) The provisions defined in this regulation don't replace any other reporting provisions mentioned in other CARs.

(c) This regulation cancels and replaces AMC-22. Any reference to AMC-22 shall be interpreted as reference to CAR-OCR

(d) "Acceptable Means of Compliance" (AMC) illustrate a means, but not the only means, by which the proposed requirement can be met. Organizations are required to comply with the AMC's unless Alternative Means of Compliance have been accepted by the Authority.

(e) "Guidance Material" (GM) is non-binding material that helps to illustrate the meaning of a requirement or specification and is used to support the interpretation of regulations or AMCs.

RECORD OF AMENDMENTS

Amendment	Effectivity Date	Applicability date	Changes Introduced
Issue 01	30th January 2025	01st April 2025	New regulation

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OCR.GEN.105 OBJECTIVE

(a) This regulation aims to improve aviation safety by ensuring that relevant safety information and data relating to civil aviation is reported, collected, stored, protected, exchanged, disseminated and analyzed, this regulation ensures:

(1) That, where appropriate, safety action is taken in a timely manner based on analysis of the information collected;

(2) The continued availability of safety information by introducing rules on confidentiality and on the appropriate use of information and through the harmonised and enhanced protection of reporters and persons mentioned in occurrence reports; and

(3) That aviation safety risks are considered and dealt with.

(b) The sole objective of occurrence reporting is to prevent accidents and incidents and not to attribute blame or liability as long as the attributing blame or liability does not outweigh item a)1 to a)3

AMC.OCR.GEN.105 OBJECTIVE

(a) GCAA Inspectors/Safety Specialists should have full access to all the details of the occurrence reports, in order to determine if a safety investigation is required, as well as where lessons can be learned in the interest of aviation safety and fulfil their oversight obligations.

(b) Organisations should collect and analyze information on occurrences in order to identify and mitigate hazards associated with their activities. As well as assess associated safety risks and allocate resources to take prompt and appropriate safety risk mitigation measures.

GM.OCR.GEN.105 OBJECTIVE

(a) Incident reporting system is complementary to the normal day to day oversight and 'control' systems and is not intended to duplicate or supersede any of them;

(b) Aviation professionals should have access to the tools that facilitate the reporting of safety incidents and hazards that would help in avoiding an accident. In order to encourage reporting, they should be regularly informed about the action taken under the occurrence reporting systems.

(c) Other means of collecting safety information in addition to the systems required by this regulation is encouraged, with a view to collecting further information that could contribute to the improvement of aviation safety.

OCR.GEN.110 SCOPE

(a) The scope of this regulation lays down rules on:

(1) The reporting of occurrences which endanger or which, if not corrected or addressed, would endanger an aircraft, its occupants, any other person, equipment or installation affecting aircraft operations; and the reporting of other relevant safety-related information in that context;

(2) Analysis and follow-up action in respect of reported occurrences and other safety-related information;

(3) The protection of aviation professionals;

(4) Appropriate use of collected safety information;

(5) The dissemination of anonymised information to interested parties for the purpose of providing such parties with the information they need in order to improve aviation safety.

(b) This regulation shall also apply to occurrences and other safety-related information involving GCAA registered unmanned aircraft.

OCR.GEN.115 REPORTING OF ACCIDENTS AND SERIOUS INCIDENTS

In addition to the provisions stated in this regulation, Accident or a Serious Incident shall be reported as per Air Accident and Incident Investigation Regulation (AAIR).

OCR.GEN.120 MANDATORY REPORTING

(a) Organisations shall establish a mandatory reporting system within their management system to facilitate the collection of details of occurrences referred to in this regulation.

(b) Occurrences which may represent a risk to aviation safety and fall into the following categories shall be reported through the mandatory occurrence reporting systems:

(1) Occurrences related to the Operation of the Aircraft (Refer to Annexes A and C), such as:

(i) collision-related occurrences;

(ii) take-off and landing-related occurrences;

(iii) fuel-related occurrences;

(iv) in-flight occurrences;

(v) communication-related occurrences;

(vi) fatigue related occurrences

(vii) occurrences related to injury, emergencies and other critical situations;

(viii) crew incapacitation and other crew-related occurrences;

(ix) meteorological conditions or security-related occurrences;

(x) handling of passengers, baggage, mail and cargo;

(xi) aircraft ground handling and related services.

(2) Occurrences related to Technical Conditions, Maintenance and Repair of Aircraft (Refer to Annexes B and C), such as:

(i) structural defects;

(ii) system malfunctions;

(iii) maintenance and repair problems;

(iv) propulsion problems (including engines, propellers and rotor systems) and auxiliary power unit problems;

(3) Occurrences related to Air Navigation Services and Facilities (Refer to Annex D), such as:

(i) collisions, near collisions or potential for collisions;

(ii) specific occurrences of air traffic management and air navigation services (ATM/ANS);

(iii) ATM/ANS operational occurrences;

(4) Occurrences related to Aerodromes and Ground Services (Refer to Annex E),

(i) occurrences related to aerodrome activities and facilities;

(ii) occurrences related to handling of passengers, baggage, mail and cargo;

(iii) occurrences related to aircraft ground handling and related services.

(c) The following persons shall report the occurrences defined in paragraph (b) using the internal mandatory occurrence or GCAA Mandatory Occurrence reporting system, or both for the purpose of mandatory safety incident reporting:

(1) The pilot in command, or, in cases where the pilot in command is unable to report the occurrence, any other crew member next in the chain of command; including Unmanned aircraft pilot;

(2) A person engaged in designing, manufacturing, continuous airworthiness monitoring, maintaining or modifying an aircraft, or any equipment or part;

(3) A person who signs an airworthiness review certificate, or a release to service in respect of an aircraft or any equipment or part;

(4) A person who performs a function which requires him or her to be authorised by the GCAA as a staff member of an air navigation service provider entrusted with responsibilities related to air navigation services;

(5) A person who performs a function connected with the safety management of an airport;

(6) A person who performs a function connected with the installation, modification, maintenance, repair, overhaul, flight-checking or inspection of air navigation facilities;

(7) A person who performs a function connected with the ground handling of aircraft, including fuelling, load sheet preparation, loading, de-icing and towing at an airport.

(8) The organisation and persons above shall report occurrences in a timely manner, as per section OCR.GEN.150 unless exceptional circumstances prevent this.

(d) Organisation shall report the details of occurrences collected in accordance with paragraph (a) to the GCAA using GCAA mandatory reporting system.

GM OCR.GEN.120 MANDATORY REPORTING

The mandatory reporting system established by GCAA comprises of the following systems wherein safety and security incident information are collected with respect to the area of aviation activity the incident relates to:

(a) ROSI AOAW – Aircraft Operations and Airworthiness related incidents.

(b) ROSI ATC – Air Traffic Control related incidents.

(c) ROSI AOP – Aerodrome Operations related incidents.

(d) ROSI BWI – Bird and Wildlife strike related Incidents

(e) RODGO – Dangerous Goods related incidents

(f) ROSB – Security Breaches related incidents.

OCR.GEN.125 VOLUNTARY REPORTING

(a) Each organisation shall establish an internal voluntary reporting system as part of their management system to facilitate the collection of:

(1) Details of occurrences that may not be captured by the mandatory reporting system;

(2) Other safety-related information which is perceived by the reporter as an actual or potential hazard to aviation safety;

(b) Each organisation shall report to the Authority, in a timely manner, details of occurrences and safety-related information which have been collected pursuant to paragraph (a) and which may involve an actual or potential aviation safety risk.

(c) Each organisation shall ensure that their employees are made aware of the GCAA Voluntary Reporting System (VORSY) – (Refer to Annex F).

OCR.GEN.130 COLLECTION AND STORAGE OF INFORMATION

(a) Each organisation shall have a database for the storage of all information relating to incidents, serious incidents, accidents and safety hazards received through the internal mandatory and/or voluntary reporting systems,

(b) Each organisation shall designate one or more persons to handle independently the collection, evaluation, processing, analysis and storage of details of occurrences reported;

(c) Each organisation shall store occurrence reports drawn up on the basis of details of occurrences collected in one or more databases.

(d) The handling of the reports shall be done with a view to preventing the use of information for purposes other than safety, and shall appropriately safeguard the confidentiality of the identity of the reporter and of the persons mentioned in occurrence reports, with a view to promoting a 'just culture'.

AMC OCR.GEN.130 COLLECTION AND STORAGE OF INFORMATION

When a Safety Management System is implemented, the collection and storage of information may be managed under SMS.

OCR.GEN.135 QUALITY AND CONTENT OF OCCURRENCE REPORTS

(a) In order to ensure quality occurrence reports, and to facilitate the investigation, the reports shall contain complete and comprehensive information on the safety occurrence reported;

(b) Organisations shall establish data quality checking processes to improve data consistency, notably between the information collected initially and the report stored and submitted to the GCAA;

OCR.GEN.140 OCCURRENCE ANALYSIS AND FOLLOW-UP

(a) Organisations shall develop a process to analyse occurrences collected in order to identify the safety hazards associated with identified occurrences or groups of occurrences. Based on that analysis; the organisation shall determine any appropriate corrective or preventive action, required to improve aviation safety;

(b) When appropriate corrective or preventive action is identified, the organisation shall:

(1) Implement that action in a timely manner; and

(2) Establish a process to monitor the implementation and effectiveness of the action.

(c) Organisations shall regularly provide their employees and contracted personnel with information concerning the analysis of, and follow-up on, occurrences for which preventive or corrective action is taken;

(d) Organisations shall report for those occurrences notified to the GCAA, the final results of the analysis, where required, as soon as they are available and, in principle, no later than three months from the date of notification of the occurrence; Instances where the investigation results will take longer than 3 months are to be advised to the GCAA.

(e) The GCAA may request organisations to transmit to it the preliminary or final results of the analysis of any occurrence of which it has been notified but in relation to which it has received no follow-up or only the preliminary results.

GM OCR.GEN.140 (d) OCCURRENCE ANALYSIS AND FOLLOW-UP

The GCAA may consider the report non acceptable and ask for a revised version if it lacks comprehensive details.

OCR.GEN.145 CONFIDENTIALITY OF REPORTS

Organisation shall establish and implement principle of confidentiality of report.

GM OCR.GEN.145 CONFIDENTIALITY OF REPORTS

Refer to UAE State Safety Program (SSP) Appendix 7: UAE policy on protection of safety data, safety information and related sources.

OCR.GEN.150 NOTIFICATION AND REPORTING TIME

Reports shall be submitted to the GCAA within the timeframe indicated in the table below, unless exceptional circumstances prevent this.

Operator Type	Classification of Occurrences	Reporting Time to the GCAA
All organisations	Accidents, and Serious Incidents	• Immediate Notification to Duty Investigator on +971 50 641 4667; • Immediate notification to the Principal Inspector and not later than 24 hours of becoming aware of the Accident/Serious Incident. • A mandatory occurrence report must be submitted within 72 hours of becoming aware of the occurrence.
	Incidents	A mandatory occurrence report shall be submitted within 3 working days of becoming aware of the occurrence.
	Security related accident, serious incident or any critical emergency	Initial Report to to the AVSEC Duty Investigator on +971 50 642 4911 and an email to AVSEC-DI@gcaa.gov.ae and followed by an occurrence report through ROSB within 48 hours of becoming aware of the occurrence.
	Dangerous Goods related Accidents, Serious Incidents & Occurrences	Occurrence report through RODGO within 72 hours of becoming aware of the occurrence.

ANNEX A: OCCURRENCES RELATED TO THE OPERATION OF THE AIRCRAFT

The following is a list of occurrences associated with the operation of aircraft, categorized by the activities in which they are commonly observed, based on experience, to facilitate reporting of those occurrences. Although this list is non-exhaustive, any occurrence not included but that has occurred or has the potential to affect the safety of operations must be reported to the GCAA.

(a) AIR OPERATIONS

(1) Flight preparation

(i) Use of incorrect data or erroneous entries into equipment used for navigation or performance calculations which has or could have endangered the aircraft, its occupants or any other person.

(ii) Carriage or attempted carriage of dangerous goods in contravention of applicable legislations including incorrect labelling, packaging and handling of dangerous goods.

(2) Aircraft preparation

(i) Incorrect fuel type or contaminated fuel.

(ii) Missing, incorrect or inadequate De-icing/Anti-icing treatment.

(3) Take-off and landing

(i) Taxiway or runway excursion.

(ii) Actual or potential taxiway or runway incursion.

(iii) Final Approach and Take-off Area (FATO) incursion.

(iv) Any rejected take-off.

(v) Inability to achieve required or expected performance during take-off, go-around or landing.

(vi) Actual or attempted take-off, approach or landing with incorrect configuration setting.

(vii) Tail, blade/wingtip or nacelle strike during take-off or landing.

(viii) Approach continued against air operator stabilised approach criteria.

(ix) Continuation of an instrument approach below published minimums with inadequate visual references.

(x) Precautionary or forced landing.

(xi) Short Landing occurrences, when an aircraft touches down earlier than the touchdown zone of the runway and, long landing occurrences, when an aircraft touches down after the touchdown zone of the runway.

(xii) Hard landing.

(xiii) Go-around/Missed Approach due to hazardous or potentially hazardous situation including rejected landing.

(4) Any phase of flight

(i) Loss of control.

(ii) Aircraft upset, exceeding normal pitch attitude, bank angle or airspeed inappropriate for the conditions. Level bust (a deviation of more than 300ft) Activation of any flight envelope protection, including stall warning, stick shaker, stick pusher and automatic protections.

(iii) Unintentional deviation from intended or assigned track of the lowest of twice the required navigation performance or 10 nautical miles.

(iv) Exceedance of aircraft flight manual limitation.

(v) Operation with incorrect altimeter setting.

(vi) Jet blast or rotor and prop wash occurrences which have or could have endangered the aircraft, its occupants or any other person.

(vii) Misinterpretation of automation mode or of any flight deck information provided to the flight crew which has or could have endangered the aircraft, its occupants or any other person.

(5) Other types of occurrences

(i) Unintentional release of cargo or other externally carried equipment.

(ii) Loss of situational awareness (including environmental, mode and system awareness, spatial disorientation, and time horizon).

(iii) Any occurrence where the human performance has directly contributed to or could have contributed to an accident or a serious incident.

(iv) Misinterpretation of automation mode or of any flight deck information provided to the flight crew which has or could have endangered the aircraft, its occupants or any other person.

(v) Diversion or Air return due to operational or technical issues where the flight is unable to continue to its flight planned destination.

(vi) Exceedances in approved Flight Duty Time Limitations (FDTL) scheme occurring due to operational, scheduling, or unforeseen circumstances.

(b) TECHNICAL OCCURRENCES

(1) Structure and systems

(i) Loss of any part of the aircraft structure in flight.

(ii) Loss of a system.

(iii) Loss of redundancy of a system.

(iv) Leakage of any fluid which resulted in a fire hazard or possible hazardous contamination of aircraft structure, systems or equipment, or which has or could have endangered the aircraft, its occupants or any other person.

(v) Fuel system malfunctions or defects, which had an effect on fuel supply and/or distribution.

(vi) Malfunction or defect of any indication system when this results in misleading indications to the crew.

(vii) Abnormal functioning of flight controls such as asymmetric or stuck/jammed flight controls (for example: lift (flaps/slats), drag (spoilers), attitude control (ailerons, elevators, rudder) devices).

(2) Propulsion (including engines, propellers and rotor systems) and auxiliary power units (APUs)

(i) Failure or significant malfunction of any part or controlling of a propeller, rotor or powerplant.

(ii) Damage to or failure of main/tail rotor or transmission and/or equivalent systems.

(iii) Flameout, in-flight shutdown of any engine or APU when required (for example: ETOPS (Extended range Twin engine aircraft Operations), MEL (Minimum Equipment List)).

(iv) Engine operating limitation exceedance, including overspeed or inability to control the speed of any high-speed rotating component (for example: APU, air starter, air cycle machine, air turbine motor, propeller or rotor).

(v) Failure or malfunction of any part of an engine, powerplant, APU or transmission resulting in any one or more of the following:

- thrust-reversing system failing to operate as commanded;
- inability to control power, thrust or rpm (revolutions per minute);
- non-containment of components/debris.

(c) INTERACTION WITH AIR NAVIGATION SERVICES AND AIR TRAFFIC MANAGEMENT

(1) Unsafe ATC (Air Traffic Control) clearance.

(2) Prolonged loss of communication with ATS (Air Traffic Service) or ATM Unit.

(3) Conflicting instructions from different ATS Units potentially leading to a loss of separation.

(4) Misinterpretation of radio-communication which has or could have endangered the aircraft, its occupants or any other person.

(5) Callsign confusion leading to potential miscommunication or errors that can result in an unsafe situation such as flight path, flight level conflicts, etc.

(6) Intentional deviation from ATC instruction which has or could have endangered the aircraft, its occupants or any other person.

(d) EMERGENCIES AND OTHER CRITICAL SITUATIONS

(1) Any event leading to the declaration of an emergency (‘Mayday’ or ‘PAN call’).

(2) Any burning, melting, smoke, fumes, arcing, overheating, fire or explosion.

(3) Contaminated air in the cockpit or in the passenger compartment which has or could have endangered

the aircraft, its occupants or any other person.

(4) Failure to apply the correct non-normal or emergency procedure by the flight or cabin crew to deal with an emergency.

(5) Use of any emergency equipment or non-normal procedure affecting in-flight or landing performance.

(6) Failure of any emergency or rescue system or equipment which has or could have endangered the aircraft, its occupants or any other person.

(7) Uncontrollable cabin pressure.

(8) Critically low fuel quantity or fuel quantity at destination below required final reserve fuel.

(9) Any use of crew oxygen system by the crew.

(10) Incapacitation of any member of the flight or cabin crew that results in the reduction below the minimum certified crew complement.

(11) Crew fatigue impacting or potentially impacting their ability to safely perform their flight duties, shall be reported. The following are few examples of reportable scenarios:

(i) When crew members' ability to safely perform their flight duties is compromised.

(ii) Instances where fatigue impairs cognitive abilities, reaction times, and decision-making skills, posing a risk to flight safety.

(iii) Cases where fatigue is reported due to exceedances of the FDTL limits approved by the GCAA.

(iv) Situations where human factors or performance contribute to fatigue.

(v) Fatigue reports resulting from training programmes or those that influence the objectives of training programmes.

(vi) Fatigue reports due to rosters and crew scheduling.

(e) EXTERNAL ENVIRONMENT AND METEOROLOGY

(1) A collision or a near collision on the ground or in the air, with another aircraft, terrain or obstacle.

(2) ACAS RA (Airborne Collision Avoidance System, Resolution Advisory).

(3) Activation of genuine ground collision system such as GPWS (Ground Proximity Warning System)/TAWS (Terrain Awareness and Warning System) ‘warning’.

(4) Wildlife strike including bird strike which resulted in damage or no damage to the aircraft.

(5) Foreign object damage/debris (FOD).

(6) Unexpected encounter of poor runway surface conditions.

(7) Wake-turbulence encounters.

(8) Interference with the aircraft by firearms, fireworks, flying kites, laser illumination, high powered lights, lasers, Remotely Piloted Aircraft Systems, model aircraft or by similar means.

(9) A lightning strike which resulted in damage to the aircraft or loss or malfunction of any aircraft system.

(10) A hail encounter which resulted in damage to the aircraft or loss or malfunction of any aircraft system.

(11) Severe turbulence encounter or any encounter resulting in injury to occupants or deemed to require a 'turbulence check' of the aircraft.

(12) A significant wind shear or thunderstorm encounter which has or could have endangered the aircraft, its occupants or any other person.

(13) Icing encounter resulting in handling difficulties, damage to the aircraft or loss or malfunction of any aircraft system.

(14) Volcanic ash encounter.

(f) GROUND HANDLING SPECIFIC OCCURRENCES

(1) Incorrect handling or loading of passengers, baggage, mail or cargo, likely to have a significant effect on aircraft mass and/or balance (including significant errors in load sheet calculations).

(2) Boarding equipment removed leading to endangerment of aircraft occupants.

(3) Incorrect stowage or securing of baggage, mail or cargo likely in any way to endanger the aircraft, its equipment or occupants or to impede emergency evacuation.

(4) Transport, attempted transport or handling of dangerous goods which resulted or could have resulted in the safety of the operation being endangered or led to an unsafe condition (for example: dangerous goods incident or accident as defined in the ICAO Technical Instructions (1)).

(5) Non-compliance on baggage or passenger reconciliation.

(6) Non-compliance with required aircraft ground handling and servicing procedures, especially in de-icing, refuelling or loading procedures, including incorrect positioning or removal of equipment.

(7) Significant spillage during fuelling operations.

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

(9) Loading of contaminated or incorrect type of fuel or other essential fluids (including oxygen, nitrogen, oil and potable water).

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

(11) Failure, malfunction or defect of ground equipment used for ground handling, resulting in damage or potential damage to the aircraft (for example: tow bar or GPU (Ground Power Unit)).

(12) Failure, malfunction or defect of ground equipment used for ground handling, that results in FOD on the movement area.

(13) Missing, incorrect or inadequate de-icing/anti-icing treatment.

(14) Damage to aircraft by ground handling equipment or vehicles including previously unreported damage.

(15) Any occurrence where the human performance has directly contributed to or could have contributed to an accident or a serious incident.

(16) unattended vehicles or motorised GSE, when positioned at or near the aircraft with engine running.

(g) SECURITY

(1) Bomb threat or hijack.

(2) Intoxicated, violent or unruly passengers.

(3) Discovery of a stowaway.

ANNEX B: OCCURRENCES RELATED TO TECHNICAL CONDITIONS, MAINTENANCE AND REPAIR OF THE AIRCRAFT

The following is a list of occurrences associated with technical conditions, maintenance and repair of the aircraft, categorized by the activities in which they are commonly observed, based on experience, to facilitate reporting of these occurrences. Although this list is non-exhaustive, any occurrence not included but that has occurred or has the potential to affect the safety of operations must be reported to the GCAA.

(a) MANUFACTURING

Products, parts, or appliances released from the production organization with deviations from applicable design data that could lead to a potential unsafe condition as identified with the holder of the type-certificate or design approval.

(b) DESIGN

Any failure, malfunction, defect, or other occurrence related to a product, part, or appliance which has resulted in or may result in an unsafe condition.

Remark: This list is applicable to occurrences occurring on a product, part, or appliance covered by the type-certificate, restricted type-certificate, supplemental type-certificate, ETSO authorization, major repair design approval or any other relevant approval deemed to have been issued

(c) MAINTENANCE AND CONTINUING AIRWORTHINESS MANAGEMENT

(1) Serious structural damage (for example: cracks, permanent deformation, delamination, debonding, burning, excessive wear, or corrosion) found during maintenance of the aircraft or component.

(2) Serious leakage or contamination of fluids (for example: hydraulic, fuel, oil, gas or other fluids).

(3) Failure or malfunction of any part of an engine or powerplant and/or transmission resulting in any one or more of the following:

(4) non-containment of components/debris;

(5) failure of the engine mount structure.

(6) Damage, failure or defect of propeller, which could lead to in-flight separation of the propeller or any major portion of the propeller and/or malfunctions of the propeller control.

(7) Damage, failure or defect of main rotor gearbox/attachment, which could lead to in-flight separation of the rotor assembly and/or malfunctions of the rotor control.

(8) Significant malfunction of a safety-critical system or equipment including emergency system or equipment during maintenance testing or failure to activate these systems after maintenance.

(9) Incorrect assembly or installation of components of the aircraft found during an inspection or test procedure not intended for that specific purpose.

(10) Wrong assessment of a serious defect, or non-compliance with MEL and Technical logbook procedures.

(11) Serious damage to Electrical Wiring Interconnection System (EWIS).

(12) Any defect in a life-controlled critical part causing retirement before completion of its full life.

(13) The use of products, components or materials, from unknown, suspect origin, or unserviceable critical components.

(14) Misleading, incorrect or insufficient applicable maintenance data or procedures that could lead to significant maintenance errors, including language issue.

(15) Incorrect control or application of aircraft maintenance limitations or scheduled maintenance.

(16) Releasing an aircraft /component to service from maintenance in case of any non-compliance which endangers the flight safety.

(17) Serious damage caused to an aircraft during maintenance activities due to incorrect maintenance or use of inappropriate or unserviceable ground support equipment that requires additional maintenance actions.

(18) Identified burning, melting, smoke, arcing, overheating or fire occurrences.

(19) Any occurrence where the human performance, including fatigue of personnel, has directly contributed to or could have contributed to an accident or a serious incident.

(20) Significant malfunction, reliability issue, or recurrent recording quality issue affecting a flight recorder system (such as a flight data recorder system, a data link recording system or a cockpit voice recorder system) or lack of information needed to ensure the serviceability of a flight recorder system.

ANNEX C: OCCURRENCES RELATED TO AIRCRAFT OTHER THAN COMPLEX MOTOR-POWERED AIRCRAFT, INCLUDING SAILPLANES AND LIGHTER-THAN-AIR VEHICLES

The following is a list of occurrences associated with aircraft other than complex motor-powered aircraft, including sail places and lighter than air aircraft, categorized by the activities in which they are commonly observed, based on experience, to facilitate reporting of these occurrences. Although this list is non-exhaustive, any occurrence not included but that has occurred or has the potential to affect the safety of operations must be reported to the GCAA.

(a) AIRCRAFT OTHER THAN COMPLEX MOTOR-POWERED AIRCRAFT EXCLUDING SAILPLANES AND LIGHTER-THAN-AIR VEHICLES

(1) Air Operations

(i) Unintentional loss of control.

(ii) Landing outside of intended landing area.

(iii) Inability or failure to achieve required aircraft performance expected in normal conditions during take-off, climb or landing.

(iv) Runway incursion

(v) Runway excursion.

(vi) Any flight which has been performed with an aircraft which was not airworthy, or for which flight preparation was not completed, which has or could have endangered the aircraft, its occupants or any other person.

(vii) Unintended flight into IMC (Instrument Meteorological Conditions) conditions of aircraft not IFR (Instrument flight rules) certified, or a pilot not qualified for IFR, which has or could have endangered the aircraft, its occupants or any other person.

(viii) Unintentional release of cargo.

(2) Technical Occurrences

(i) Abnormal severe vibration (for example: aileron or elevator ‘flutter’, or of propeller).

(ii) Any flight control not functioning correctly or disconnected.

(iii) A failure or substantial deterioration of the aircraft structure.

(iv) A loss of any part of the aircraft structure or installation in flight.

(v) A failure of an engine, rotor, propeller, fuel system or other essential system.

(vi) Leakage of any fluid which resulted in a fire hazard or possible hazardous contamination of aircraft structure, systems or equipment, or risk to occupants.

(3) Interaction with Air Navigation Services and Air Traffic Management

(i) Interaction with Air Navigation Services (for example: incorrect services provided, conflicting communications or deviation from clearance) which has or could have endangered the aircraft, its occupants or any other person.

(ii) Airspace infringement.

(4) Emergencies and Other Critical Situations

(i) Any occurrence leading to an emergency call.

(ii) Fire, explosion, smoke, toxic gases or toxic fumes in the aircraft.

(iii) Incapacitation of the pilot leading to inability to perform any duty.

(5) External Environment and Meteorology

(i) A collision on the ground or in the air, with another aircraft, terrain or obstacle (1).

(ii) A near collision, on the ground or in the air, with another aircraft, terrain or obstacle (1) requiring an emergency avoidance manoeuvre to avoid a collision.

(iii) Wildlife strike including bird strike which resulted in damage to the aircraft or loss or malfunction of any essential service.

(iv) Interference with the aircraft by firearms, fireworks, flying kites, laser illumination, high powered lights lasers, Remotely Piloted Aircraft Systems, model aircraft or by similar means.

(v) A lightning strike resulting in damage to or loss of functions of the aircraft.

(vi) Severe turbulence encounter which resulted in injury to aircraft occupants or in the need for a post-flight turbulence damage check of the aircraft.

(vii) Icing including carburettor icing which has or could have endangered the aircraft, its occupants or any other person.

(b) SAILPLANES (GLIDERS)

The following is a list of occurrences associated with Sailplanes (Gliders), categorized by the activities in which they are commonly observed, based on experience, to facilitate reporting of these occurrences. Although this list is non-exhaustive, any occurrence not included but that has occurred or has the potential to affect the safety of operations must be reported to the GCAA.

(1) Air Operations

(i) Unintentional loss of control.

(ii) An occurrence where the sailplane pilot was unable to release either the winch cable or the aerotow rope and had to do so using emergency procedures.

(iii) Any release of the winch cable or the aerotow rope if the release has or could have endangered the sailplane, its occupants or any other person.

(iv) In the case of a powered sailplane, an engine failure during take-off.

(v) Any flight which has been performed with a sailplane which was not airworthy, or for which an incomplete flight preparation has or could have endangered the sailplane, its occupants or any other person.

(2) Technical Occurrences

(i) Abnormal severe vibration (for example: aileron or elevator 'flutter', or of propeller).

(ii) Any flight control not functioning correctly or disconnected.

(iii) A failure or substantial deterioration of the sailplane structure.

(iv) A loss of any part of the sailplane structure or installation in flight.

(3) Interaction with Air Navigation Services and Air Traffic Management

(i) Interaction with air navigation services (for example: incorrect services provided, conflicting communications or deviation from clearance) which has or could have endangered the sailplane, its occupants or any other person.

(ii) Airspace infringements.

(4) Emergencies and Other Critical Situations

(i) Any occurrence leading to an emergency call.

(ii) Any situation where no safe landing area remains available.

(iii) Fire, explosion, smoke, or toxic gases or fumes in the sailplane.

(iv) Incapacitation of the pilot leading to inability to perform any duty.

(5) Eternal Environment and Meteorology

(i) A collision on the ground or in the air, with an aircraft, terrain or obstacle (1).

(ii) A near collision, on the ground or in the air, with an aircraft, terrain or obstacle (1) requiring an emergency avoidance manoeuvre to avoid a collision.

(iii) Interference with the sailplane by firearms, fireworks, flying kites, laser illumination, high powered lights lasers, Remotely Piloted Aircraft Systems, model aircraft or by similar means.

(iv) A lightning strike resulting in damage to the sailplane.

(c) LIGHTER-THAN-AIR VEHICLES (BALLOONS AND AIRSHIPS)

The following is a list of occurrences associated with Lighter-than-Air Vehicles (Balloons and Airships), categorized by the activities in which they are commonly observed, based on experience, to facilitate reporting of these occurrences. Although this list is non-exhaustive, any occurrence not included but that has occurred or has the potential to affect the safety of operations must be reported to the GCAA.

(1) Air Operations

(i) Any flight which has been performed with a lighter-than-air vehicle which was not airworthy, or for which an incomplete flight preparation has or could have endangered the lighter-than-air vehicle, its occupants or any other person.

(ii) Unintended permanent extinction of the pilot light.

(2) Technical Occurrences

(i) Failure of any of the following parts or controls: dip tube on fuel cylinder, envelope pulley, control line, tether rope, valve seal leak on burner, valve seal leak on fuel cylinder, carabiner, damage to fuel line, lifting gas valve, envelope or ballonet, blower, pressure relief valve (gas balloon), winch (tethered gas balloons).

(ii) Significant leakage or loss of lifting gas (for example: porosity, unseated lifting gas valves).

(3) Interaction with Air Navigation Services and Air Traffic Management

(i) Interaction with air navigation services (for example: incorrect services provided, conflicting communications or deviation from clearance) which has or could have endangered the lighter-than-air vehicle, its occupants or any other person.

(ii) Airspace infringement.

(4) Emergencies and Other Critical Situations

(i) Any occurrence leading to an emergency call.

(ii) Fire, explosion, smoke or toxic fumes in the lighter-than-air vehicle (beyond the normal operation of the burner).

(iii) Lighter-than-air vehicle's occupants ejected from basket or gondola.

(iv) Incapacitation of the pilot leading to inability to perform any duty.

(v) Unintended lift or drag of ground crew, leading to fatality or injury of a person.

(5) External Environment and Meteorology

(i) A collision or near collision on the ground or in the air, with an aircraft, terrain or obstacle (including vehicle) which has or could have endangered the lighter-than-air vehicle, its occupants or any other person.

(ii) Interference with the lighter-than-air vehicle by firearms, fireworks, flying kites, laser illumination, high powered lights lasers, Remotely Piloted Aircraft Systems, model aircraft or by similar means.

(iii) Unexpected encounter of adverse weather conditions which has or could have endangered the lighter-than-air vehicle, its occupants or any other person.

ANNEX D: OCCURRENCES RELATED TO AIR NAVIGATION SERVICES, AND ASSOCIATED FACILITIES

The following is a list of occurrences associated with air navigation services and associated facilities, categorized by the activities in which they are commonly observed, based on experience, to facilitate reporting of these occurrences. Although this list is non-exhaustive, any occurrence not included but that has occurred or has the potential to affect the safety of operations must be reported to the GCAA.

(a) AIRCRAFT-RELATED OCCURRENCES

(1) A collision or a near collision on the ground or in the air, between an aircraft and another aircraft, terrain or obstacle (including vehicle), including near-controlled flight into terrain (near CFIT)

(2) Separation minima infringement.

(3) Inadequate separation – in the absence of prescribed minima, a situation in which aircraft were perceived to pass too close to each other for pilots to ensure safe separation.

(4) ACAS RAs.

(5) Wildlife strike including bird strike.

(6) Taxiway or runway excursion.

(7) Actual or potential taxiway or runway incursion.

(8) Final Approach and Take-off Area (FATO) incursion.

(9) Aircraft deviation from ATC clearance.

(10) Aircraft deviation from applicable air traffic management (ATM) regulation:

(11) aircraft deviation from applicable published ATM procedures;

(12) airspace infringement including unauthorised penetration of airspace;

(13) deviation from aircraft ATM-related equipment carriage and operations, as mandated by applicable regulations.

(14) Call sign confusion related occurrences.

(15) RPAS/Drones/UAS related occurrences.

(b) DEGRADATION OR TOTAL LOSS OF SERVICES OR FUNCTIONS

(1) Inability to provide ATM services or to execute ATM functions:

(i) inability to provide air traffic services or to execute air traffic services functions;

(ii) inability to provide airspace management services or to execute airspace management functions;

(iii) inability to provide air traffic flow management and capacity services or to execute air traffic flow management and capacity functions.

(2) Missing or significantly incorrect, corrupted, inadequate or misleading information from any support service, including relating to poor runway surface conditions.

(3) Failure of communication service

(4) Failure of surveillance service,

(5) Failure of data processing and distribution function or service.

(6) Failure of navigation service.

(7) Failure of ATM system security which had or could have a direct negative impact on the safe provision of service.

(8) Significant ATS sector/position overload leading to a potential deterioration in service provision.

(9) Incorrect receipt or interpretation of significant communications, including lack of understanding of the language used, when this had or could have a direct negative impact on the safe provision of service.

(10) Prolonged loss of communication with an aircraft or with other ATS unit.

(c) OTHER OCCURRENCES

(1) Declaration of an emergency (‘Mayday’ or ‘PAN’ call).

(2) Significant external interference with Air Navigation Services (for example radio broadcast stations transmitting in the FM band, interfering with ILS (instrument landing system), VOR (VHF Omni Directional Radio Range) and communication).

(3) Interference with an aircraft, an ATS unit or a radio communication transmission including by firearms, fireworks, flying kites, laser illumination, high-powered lights lasers, Remotely Piloted Aircraft Systems, model aircraft or by similar means.

(4) Fuel dumping.

(5) Bomb threat or hijack.

(6) Fatigue impacting or potentially impacting the ability to perform safely the air navigation or air traffic duties.

(7) Any occurrence where the human performance has directly contributed to or could have contributed to an accident or a serious incident.

(8) Breach of duty time limitations.

(9) Low visibility Operation (LVO)

ANNEX E: OCCURRENCES RELATED TO AERODROMES AND GROUND SERVICES

The following is a list of occurrences associated with aerodromes and ground services, categorized by the activities in which they are commonly observed, based on experience, to facilitate reporting of these occurrences. Although this list is non-exhaustive, any occurrence not included but that has occurred or has the potential to affect the safety of operations must be reported to the GCAA.

(a) AIRCRAFT AND AERODROME-RELATED OCCURRENCES

(1) A collision or near collision, on the ground or in the air, between an aircraft and another aircraft, terrain or obstacle.

(2) Runway or taxiway incursion.

(3) Runway or taxiway excursion.

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

(5) Push-back, power-back or taxi interference by vehicle, equipment or person.

(6) Foreign object on the aerodrome movement area which has or could have endangered the aircraft, its occupants or any other person.

(7) Passengers or unauthorised person left unsupervised on apron.

(8) Fire, smoke, explosions in aerodrome facilities, vicinities and equipment which has or could have endangered the aircraft, its occupants or any other person

(9) Aerodrome security-related occurrences (for example: unlawful entry, sabotage, bomb threat).

(10) Wildlife strike including bird strike.

(11) Final Approach and Take-off Area (FATO) incursion or excursion.

(12) Aircraft or vehicle failure to follow clearance, instruction or restriction while operating on the movement area of an aerodrome (for example: wrong runway, taxiway or restricted part of an aerodrome).

(13) Presence of obstacles on the aerodrome or in the vicinity of the aerodrome which are not published in the AIP (Aeronautical Information Publication) or by NOTAM (Notice to Airmen) and/or that are not marked or lighted properly.

(14) Jet blast, rotor down wash or propeller blast effect.

(15) Declaration of an emergency (‘Mayday’ or ‘PAN’ call).

(b) DEGRADATION OR TOTAL LOSS OF SERVICES OR FUNCTIONS

(1) Loss or failure of communication between:

(i) aerodrome, vehicle or other ground personnel and air traffic services unit or apron management service unit;

(ii) apron management service unit and aircraft, vehicle or air traffic services unit.

(2) Significant failure, malfunction or defect of aerodrome equipment or system which has or could have endangered the aircraft or its occupants.

(3) Significant deficiencies in aerodrome lighting, marking or signs.

(4) Failure of the aerodrome emergency alerting system.

(5) Rescue and firefighting services not available according to applicable requirements.

(c) OTHER OCCURRENCES

(1) Fire, smoke, explosions in aerodrome facilities, vicinities and equipment which has or could have endangered the aircraft, its occupants or any other person.

(2) Aerodrome security related occurrences (for example: unlawful entry, sabotage, bomb threat).

(3) Absence of reporting of a significant change in aerodrome operating conditions which has or could have endangered the aircraft, its occupants or any other person.

(4) Significant spillage during fuelling operations.

(5) Failure to handle poor runway surface conditions.

(6) Any occurrence where the human performance has directly contributed to or could have contributed to an accident or a serious incident.

(7) Passengers or unauthorised person left unsupervised on apron.

ANNEX F: VOLUNTARY REPORTING SYSTEM (VORSY).

The GCAA has established a voluntary reporting system to facilitate collection of data information on actual or potential safety deficiencies that may not be captured by the mandatory incident reporting system.

All aviation stakeholders are encouraged to utilise VORSY in order to voluntarily report safety information that may be critical to identify potential hazards.

It is the intent of this program to resolve safety concerns through corrective actions rather than through punishment or enforcement.

Therefore, VORSY will contribute to the improvement of safety by ensuring that relevant information on safety is reported, collected, stored, protected and disseminated.

(a) REPORTING PROCEDURE

(1) Reports submitted via (http://www.gcaa.gov.ae/en/vorsy) will be de-identified at the level of Administrator. It is assured that no punitive action will be taken against the reporter of a voluntary report unless the reported infringement relates to unlawful/criminal/deliberate/gross negligent unsafe actions committed by the reporter.

(2) Individuals may submit a voluntary report directly to GCAA should they so wish, but in the interest of flight safety they are strongly advised also to notify their employers, preferably by a copy of the report, unless confidentiality is considered essential.

(3) The VORSY Administrator will make every possible effort that relevant de-identified safety information derived from the analysis of reports, are made available to all parties so that it can be used for improving safety.

(4) It is understood that the reporter is a person making a disclosure in the public interest, concerning safety. The reporter entrusts the information, assisting the GCAA in taking necessary action in order to enhance safety. The identity of the reporter should not be compromised, as this is considered serious violation of the GCAA work ethics.

(5) The VORSY Administrator is entrusted with the responsibility of protecting the community interest and the safety of the travelling public. Since the reporter provides information to the GCAA with the understanding that the reporter would be protected by the Government, it is a breach of trust to divulge the reporter's identity. Accordingly, the GCAA will make every possible effort not to disclose the name of the person submitting the report unless required to do so by law or unless, the person concerned authorises disclosure.

(6) The VORSY Administrator will de-identify all reports before sending the request for information to any entity. Additionally, VORSY Administrator will not use the text nor the wording provided in the report when communicating with other entities, in order to avoid the possibility of an organisation identifying the reporter's way of writing. In any case the VORSY Administrator will try to amend the text in a way that it will be impossible for anyone to identify the reporter.

(7) Information related to this Annex is sorted according to the below policy, following their deidentification:

(i) Information concerning criminal offenses, which will be referred promptly to Security Authorities and the GCAA Safety Affairs Sector.

(ii) Information concerning accidents, which will be referred promptly to the GCAA AAI Sector and the GCAA Safety Affairs Sector; and

(iii) Time-critical information which, after de-identification, will be promptly referred to the GCAA Safety Affairs Sector and other interested parties.

(iv) All reports will be stored in the VORSY database and will be acted upon.

Note: The reporter may choose to remain anonymous. GCAA will never attempt to identify, nor trace the IP address of the reporter.

(b) EXAMPLES OF REPORTS

Examples of reporting could include:

(1) In case of a flight crew member, the description should ideally address, additional information on the airspace, weather conditions, visibility, location (altitude, distance from or to, etc.), if more than two aircraft were involved, if shift work and/or working conditions were an issue.

(2) In case of maintenance reporter, the description should ideally address if it was associated with:

(i) a log book entry

(ii) training, if it is a factor

(iii) work cards, manuals, lighting, briefing, if it is an issue

(iv) the occurrence observed (was the occurrence observed during inspection, testing, repair, scheduled maintenance),

(v) maintenance (was the snag deferred when the problem was detected),

(vi) the outcome of the occurrence (was there any similar event in the past?)

(3) In the case of an Air Navigation Services staff reporter, information should ideally include, but is not limited to:

(i) procedures (incomplete, inaccurate, inadequate, prone to misinterpretation, etc.),

(ii) Documentation (deficiencies, incorrect or misleading wording, out of date version, etc.),

(iii) training (deficiencies, out of date content or curriculum, etc.),

(iv) equipment (operation, ergonomics, maintenance, reliability, defects, etc.),

(v) working environment (ambient noise, temperature, lighting, furniture, etc.),

(vi) communications (breakdowns, confusion, call-sign confusion, poor English Language Proficiency, etc.),

(vii) duty time (hours on duty) issues,

(viii) weather if relevant.

(4) In case of a cabin crew reporter information should ideally include, but is not limited to:

(i) flight information such as number of passengers, route, destination, time since take off, departure time, etc.

(ii) aircraft information such as aircraft model, number of seats, number of exits,

(iii) cabin activity such boarding service, tray service, cart service, safety related duties, etc.

(iv) weather information,

(v) lighting information,

(vi) what was the reporter's location in the aircraft during the event?

(vii) what was the reporter's activity at the time of the event?

(viii) if the event resulted in a passenger injury,

(ix) if a passenger was involved,

(x) if the crewmember was injured.

(5) In case of a ground handling reporter, information ideally should include the position of the reporter during the event, experience, time of the day/or night, etc.

(6) In case of a passenger reporter ideally as much information as possible. It will be beneficial for the person accessing the voluntary reports to have some background information of the reporter (total years of experience, number of aircraft flown in the past and present, etc.).

(c) FEEDBACK TO THE INDUSTRY

Lessons learnt from such reports will be circulated to members of aviation community by a Safety Bulletin. Specific problems or trends shall be brought to the attention of the appropriate authorities and preventive measures followed up. In case the reporter chooses to provide contact details, the VORSY Administrator might elect to communicate in case there is a need for additional clarification.

(d) REPORTING TIME

There is no time limitation to submit a report. However, in the interest of safety, time critical information may be reported at the earliest opportunity.

(e) CONTENTS OF THE VOLUNTARY REPORT

Voluntary Reporting website page to fill the report can be accessed through the address:

http://www.gcaa.gov.ae/en/vorsy

(f) LANGUAGE OF THE REPORT

Reports may be submitted in both English and Arabic. The web application has the capability to accept any language; therefore, in case the reporter prefers to communicate in another language, the report will be received and processed.

(g) VOLUNTARY REPORTING SYSTEM ACCESS

There is no Access Control, as the web site is freely available to all users, and the GCAA shall not try to identify the reporter if the reports are anonymous.