



CIVIL AVIATION ADVISORY PUBLICATION

CAAP 57

(October 28, 2011)

VOLUNTARY OCCURRENCE REPORTING SYSTEM

GUIDANCE ON THE REQUIREMENTS OF VOLUNTARY REPORTING PROGRAM BY INDIVIDUALS, UAE OPERATORS, FOREIGN OPERATORS IN UAE AND ORGANISATIONS.

1. PURPOSE

The purpose of this Civil Aviation Advisory Publication (CAAP) is to provide interpretative material and guidance for the Voluntary Occurrence Reporting System in order to contribute to the improvement of air safety by ensuring that relevant data on safety is reported, collected, stored, protected and disseminated.

The Voluntary Occurrence Reporting System is established in order to facilitate collection of information on actual or potential safety deficiencies that may not be captured by the mandatory incident reporting system (ROSI) and is managed totally independent from all other reporting systems. Therefore the sole objective of Voluntary Occurrence Reporting is to collect information which will be utilized to a more proactive approach to safety with the ultimate goal the prevention of accidents, serious incidents and incidents.

It is not the purpose of this activity to attribute blame or liability.

2. REFERENCES

This CAAP is based on:

- (a) UAE Civil Aviation Law No. 20 of 1991,
- (b) UAE Civil Aviation Regulations CAR OPS 1.420 (b) (1), (2), (4) & CAR OPS 3.420 (b) (1), (2), (4),
- (c) ICAO Annex 13,
- (d) ICAO DOC 9859 ,
- (e) Directive 2003/42/EC of the European Parliament and of the Council and Industry best practices.



3. STATUS OF THIS CAAP

This is the first issue of CAAP 57 – VOLUNTARY OCCURENCE REPORTING SYSTEM Dated 28 October 2011. It will remain in effect unless withdrawn or superseded.

4. APPLICABILITY

This CAAP applies to all UAE operators operating in or outside UAE territory, foreign operators operating to/from and in the UAE territory and to all individuals involved in civil aviation within UAE.

RECORD OF AMENDMENTS

Revision No	Date of Issue	Date Entered	Entered by
Original	Oct 2011	Oct 2011	Safety Policy & Regulation Section

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Check GCAA's Website to verify current version before using **this publication**
(<http://www.gcaa.gov.ae/ar/pages/default.aspx>)



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5. BACKGROUND INFORMATION

- The rate of accidents in civil aviation has remained fairly constant in the last decade; nevertheless there is concern that the forecast traffic increase could lead to an increase in the number of accidents in the near future.
- CAR PART VI chapter 3 establishing the fundamental principles governing the investigation of civil aviation accidents and incidents aims at preventing accidents by facilitating the expeditious holding of investigations.
- Experience has shown that often before an accident occurs, a number of incidents and numerous other deficiencies that preceded the accident have shown the existence of safety hazards.
- The improvement of the safety of civil aviation requires a better knowledge of these occurrences to facilitate analysis and trend monitoring in order to initiate corrective action.
- When an occurrence involves aircraft registered or operated in the UAE, this occurrence should be reported even when it happened outside the territory of the UAE.
- GCAA has established a mandatory reporting System (See GCAA CAAP 22)
- Various categories of personnel working in civil aviation observe occurrences, the reporting of which may positively contribute towards the prevention of accidents, and should therefore report them.
- The efficiency of detection of potential hazard would be greatly enhanced by the exchange of information on such occurrences.

Therefore the GCAA established a voluntary occurrence 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.

6. DEFINITIONS

Accident. An occurrence associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until



such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down, in which:

- a) a person is fatally or seriously injured as a result of:
 - being in the aircraft, or
 - direct contact with any part of the aircraft, including parts which have become detached from the aircraft, or
 - 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, and
 - would normally require major repair or replacement of the affected component, *except* for engine failure or damage, when the damage is limited to a single engine, (including its cowlings or accessories), to propellers, wing tips, antennas, probes, vanes, tires, brakes, wheels, fairings, panels, landing gear doors, windscreens, the aircraft skin (such as small dents or puncture holes), or for minor damages to main rotor blades, tail rotor blades, landing gear, and those resulting from hail or bird strike (including holes in the radome); or
- c) the aircraft is missing or is completely inaccessible.

Incident. An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation.

Occurrence. An operational interruption, defect, fault or other irregular circumstance that has or may have influenced flight safety and that has not resulted in an accident or serious incident, hereinafter referred to as 'accident or serious incident', as defined in this CAAP.

Serious incident. An incident involving circumstances indicating that there was a high probability of an accident and associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down.



7. MANAGEMENT OF THE VOLUNTARY OCCURRENCE REPORTING SYSTEM

Voluntary Occurrence Reporting System will function under direct supervision of the coordinator.

The present Coordinator is:

Mr. Abdulati Al Fadil

P.O. Box 6558,

Abu Dhabi, UAE.

Tel: 02 405 4502

Email : aalfadil@gcaa.gov.ae

Information provided will be de-identified at the level of Coordinator. It is assured that no punitive action will be taken on such voluntary reporting made unless infringement relates to unlawful/criminal/ deliberate gross negligent unsafe actions.

Information related to this CAAP is sorted according to the below policy:

- Information concerning criminal offenses, which will be referred promptly to Security Authorities and the GCAA/Safety Affairs.
- information concerning accidents, which will be referred promptly to the GCAA/AAI and the GCAA/Safety Affairs; and

Note: Reports discussing criminal activities or accidents are not de-identified prior to their referral to the entities outlined above.

- time-critical information which, after de-identification, will be promptly referred to the GCAA/Safety Affairs and other interested parties.

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 Coordinator might elect to communicate in case there is a need for additional clarification.

8. REPORTING TIME

There is no time limitation to submit a report.



9. CONTENTS OF THE VOLUNTARY OCCURRENCE REPORT

See Appendix B for the Voluntary Occurrence Reporting form which currently contains the following fields:

First Name of the reporter or name of the reporting entity (optional) .

Last Name of the reporter (optional).

Phone Number of the reporter (optional).

e-mail address of the reporter (optional).

Country from where the report was submitted (optional).

Company name for which the report is submitted (optional).

Occurrence Details, which is the only Mandatory Field where the reporter will provide a detailed description of the occurrence. The description ideally should include, but is not limited to, information regarding the reporter as well as date, time, place, flight details, aircraft involved, etc.

Examples of reporting could include :

- a. 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.
- b. In case of maintenance reporter, the description should ideally address if it was associated with:
 - A log book entry,
 - training, if it is a factor,
 - work cards, manuals, lighting, briefing, if it is an issue,
 - the occurrence observed (was the occurrence observed during inspection, testing, repair, scheduled maintenance?),
 - maintenance (was the snag deferred when the problem was detected),
 - the outcome of the occurrence (was there any similar event in the past?)



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

- procedures (incomplete, inaccurate, inadequate, prone to misinterpretation, etc.),
- documentation (deficiencies, incorrect or misleading wording, out of date version, etc.),
- training (deficiencies, out of date content or curriculum, etc.),
- equipment (operation, ergonomics, maintenance, reliability, defects, etc.),
- working environment (ambient noise, temperature, lighting, furniture, etc.),
- communications (breakdowns, confusion, call-sign confusion, poor English Language Proficiency, etc.),
- Duty hours issues,
- weather if relevant.

d. In case of a cabin crew reporter information should ideally include, but is not limited to:

- flight information such as number of passengers, route, destination, time since take off, departure time, etc.
- aircraft information such as aircraft model, number of seats, number of exits,
- cabin activity such boarding service, tray service, cart service, safety related duties, etc.
- weather information,
- lighting information,
- what was the reporter's location in the aircraft during the event,
- what was the reporter's activity at the time of the event,
- if the event resulted in a passenger injury,



- if the passenger was involved,
 - if it was a crew member injured.
- e. 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.
- f. 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.)

10. LANGUAGE OF THE REPORT

Reports may be submitted in both English or 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.

11. EFFECTIVE DATE

VOLUNTARY OCCURRENCE REPORTING SYSTEM described in this CAAP will be fully effective on 01 January 2011.

12. VOLUNTARY OCCURRENCE REPORTING SYSTEM ACCESS

See Appendix A

There is no Access Control, as the web site is freely available to all users, and the GCAA shall not keep nor try to identify the reporter.



Appendix A web site

See GCAA Website for “VOLUNTARY OCCURRENCE REPORTING SYSTEM” access

<http://www.gcaa.gov.ae/en/pages/voluntaryreportingform.aspx>



Appendix B VORSY form

RELATED LINKS

- Aviation Decrypted Terminologies
- Services Fees
- Customer Charter
- Surveys

RELATED LINKS

UAE Airports

- Dubai-Dhabi Airport
- Dubai Airport
- Sharjah Airport
- Ras Al Khaimah Airport
- Rajah Airport
- Ajman Airport

International Organizations

Technical Group websites

Useful Links

Beware of Fraud Emails

There have been cases of fraudulent emails being sent from public domains in the name of GCAA. Do not Respond to any email that asks for bank account changes or business information.

Communicate With the Prime Minister

Voluntary Occurrence Reporting System

- All fields marked with * are mandatory.
- Characters field for case sensitive.
- Maximum file size of the attachment should not exceed more than 1 MB.

Note: You may choose to remain anonymous. In case you do, you will not give us the following:

Firstname:

Lastname:

Phone Number:

Email address:

Company Name:

Country:

Occurrence Details:

Attachment: Browse

Type the characters you see in the picture below:

Characters: