CIVIL AVIATION ADVISORY PUBLICATION
CAAP 57

VOLUNTARY REPORTING SYSTEM (VORSY)

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

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1.   PURPOSE

The purpose of this Civil Aviation Advisory Publication (CAAP) is to provide interpretative material and guidance for the Voluntary Reporting System (VORSY). VORSY 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), from all aviation stakeholders and is managed totally independent from all other reporting systems. The system ensures that relevant data on safety is reported, collected, stored, protected and disseminated.

It is not the purpose of this activity to attribute blame or liability. The system is also designed to accept anonymous reports.

2.   REFERENCES

This CAAP is based on:

(a) UAE Federal Act No. 20 (1991) Promulgating the Civil Aviation Law
(b) UAE Federal Act No. (4) of 1996 Regarding General Authority of Civil Aviation,
(c) UAE Civil Aviation Regulations
(d) Annex 19 to the Convention on International Civil Aviation,
(e) ICAO DOC 9859,
(f) Directive 2003/42/EC of the European Parliament and of the Council
(g) Directive 2004/36/CE of the European Parliament and of the Council and
(h) Industry best practices.

3. STATUS OF THIS CAAP

This is the second revision of CAAP 57 – VOLUNTARY REPORTING SYSTEM Dated 08 April 2014. It will remain in effect unless withdrawn or superseded.

4. APPLICABILITY

This CAAP applies to all UAE civil aviation service providers 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.

5. EFFECTIVE DATE

VOLUNTARY REPORTING SYSTEM, described in this CAAP, will be fully effective with immediate effect from 08 April 2014.

6. REVISION HIGHLIGHTS

Affected section/para	Brief Description
Title	"Foreign Operators in UAE" changed to "Foreign Operators"
Whole Document	The name "Voluntary Occurrence Reporting System (VORSY)" changed to "Voluntary Reporting System (VORSY)".
2 (d)	ICAO Annex 13 changed to ICAO Annex 19
2 (g)	Added reference "Directive 2004/36/CE of the European Parliament and of the Council"
7.3	Deleted
7.7	Added "ROSI"
8	Added – Definition of Hazard
9.1	Changes to Introduction
9.2	VORSY Coordinator changed to VORSY Administrator. Contact details removed.
10	Elaboration added to reporting time
11	Contents changed as per new VORSY form
13	Effective date changed to "with immediate effect"
Appendix "A" & "B"	Deleted
Whole Document	Editorial changes

7.   TABLE OF CONTENTS

8.   BACKGROUND INFORMATION

7.1   Air transport is one of the safest forms of travel. The rate of accidents in civil aviation has remained fairly constant since 2004, however the traffic is expected to almost double by 2030 and this could involve an increased number of accidents.

7.2   The UAE is therefore faced with a significant challenge if it wants to continue protect its citizens, residents and travelling public.

7.3   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.

7.4   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.

7.5   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.

7.6   GCAA has established a mandatory reporting System (ROSI)(See GCAA CAAP 22)

7.7   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.

7.8   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.

7.9   The efficiency of detection of potential hazard would be greatly enhanced by the exchange of information on such occurrences.

The following points are fundamental for the effectiveness of Voluntary Reporting Systems:

Trust - The reporters must be certain that the information will not be used against them; otherwise they will be reluctant to report their mistakes. A positive Safety Culture in an organisation provides the foundations of a successful occurrence reporting system.

Non-punitive - The reporting person must be protected against legal, administrative or disciplinary sanctions, except in case of gross negligence, criminal activity or intent.

Inclusive Reporting Base - The systematic approach to safety management requires that voluntary reporting be targeted at all aspects of aircraft operation, such as flight operation, cabin safety, aircraft maintenance, air navigation services, aerodrome operation, etc. Also, collecting information on the same occurrence from different perspectives provides for a complete analysis and understanding of events, and consequently of the hazards and their effects.

Confidentiality - Non-punitive systems are based on confidential reporting. The person reporting an event must be sure that his identity and other information will not be disclosed, however, it may be used to identify any other physical or legal personalities involved.

Ease of reporting - Submitting a report should be as easy as possible for the reporter. The reporting forms should be readily available to anyone wishing to file a report. They should be easy to compile, provide adequate space for narrative and make maximum use of the "tick off" format. The forms should encourage safety improvement suggestions, such as how to prevent reoccurrence of a hazard or deal with it.

Acknowledgement - To encourage further submission of reports the service provider should clearly communicate to its personnel that the voluntary reports are a valuable safety asset and acknowledge the efforts made by reporting persons. Whenever possible, feedback on the actions taken in response to a report shall be provided to the reporting person.

Promotion - The de-identified information received from the voluntary reporting system should be made available to the aviation community in a timely manner. A variety of information dissemination methods should be used to achieve maximum exposure, for example monthly newsletters, periodic summaries, safety bulletins published on internet etc. Such promotional activity may help motivate people to further improve the reporting of safety occurrences.

Therefore the GCAA 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.

9.   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.

Hazard. A hazard is generically defined by safety practitioners as a condition or an object with the potential to cause death, injuries to personnel, damage to equipment, structures or environment, loss of material, or reduction of the ability to perform a prescribed function.

10.   MANAGEMENT OF THE VOLUNTARY OCCURRENCE REPORTING SYSTEM

10.1   Introduction

Aviation safety today is about looking ahead, so safety concerns may be addressed adequately, proactively and to every possible extent predictively. The GCAA routinely monitors aviation industry service providers' activities to identify precursors and trends in order to prevent future accidents.

The objective of VORSY is to capture hazards which may not have been reported through other channels like Reporting of Safety Incidents (ROSI) etc.

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.

10.2   VORSY Administrator

Voluntary Reporting System will be managed by a VORSY Administrator who will be the only person authorised to receive VORSY reports. The administrator will de-identify all reports before assigning them to concerned Directors for their response. All data regarding the identity of the reporter will be treated as highly confidential by the administrator. Upon completion of necessary inquiry/investigation, the administrator will update risk register with the outcomes of the investigation/inquiry and provide feedback to the reporter (where reporter has submitted contact details)

10.3   Reporting procedure

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.

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.

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.

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.

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.

The VORSY Administrator will de-identify all reports before sending the request for information to any entity. Additionally he 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.

Information related to this CAAP is sorted according to the below policy, following their de-identification:

- Information concerning criminal offenses, which will be referred promptly to Security Authorities and the GCAA Safety Affairs Sector.
- Information concerning accidents, which will be referred promptly to the GCAA AAI Sector and the GCAA Safety Affairs Sector; and
- Time-critical information which, after de-identification, will be promptly referred to the GCAA Safety Affairs Sector and other interested parties.
- 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.

10.4   Reports (examples)

Examples of reporting could include:

10.4.1   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.

10.4.2   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?)

10.4.3   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 time (hours on duty) issues,
- weather if relevant.

10.4.4   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 a passenger was involved,
- if the crewmember was injured.

10.4.5   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.

10.4.6   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.).

10.5   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.

11.   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.

12.   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

13.   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.

14.   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.