

The background of the slide is a light gray gradient with several realistic water droplets of various sizes scattered across it. The droplets have highlights and shadows, giving them a three-dimensional appearance.

# UNIT 22: ONBOARD PASSENGER OPERATIONS

**P6** OUTLINE THE REPORTING PROCEDURES FOR ENSURING CIVIL  
AVIATION AUTHORITY (CAA) COMPLIANCE

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

- ACCURATE AND TIMELY REPORTING OF RELEVANT INFORMATION RELATED TO HAZARDS, INCIDENTS OR ACCIDENTS IS A FUNDAMENTAL ACTIVITY OF SAFETY MANAGEMENT. THE DATA USED TO SUPPORT SAFETY ANALYSES ARE REPORTED BY MULTIPLE SOURCES. ONE OF THE BEST SOURCES OF DATA IS DIRECT REPORTING BY FRONT-LINE PERSONNEL, SINCE THEY OBSERVE HAZARDS AS PART OF THEIR DAILY ACTIVITIES. A WORKPLACE IN WHICH PERSONNEL HAVE BEEN TRAINED AND ARE CONSTANTLY ENCOURAGED TO REPORT THEIR ERRORS AND EXPERIENCES IS A PREREQUISITE FOR EFFECTIVE SAFETY REPORTING.

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

- IN SUPPORT OF THE STATE SAFETY PROGRAMME (SSP) AND SERVICE PROVIDER'S SAFETY MANAGEMENT SYSTEM (SMS), THE CIVIL AVIATION AUTHORITY ESTABLISHED A VOLUNTARY REPORTING SYSTEM (CENTRAL REPORTING SYSTEM). THE PURPOSE OF THIS SYSTEM IS TO CAPTURE HAZARDS AND INCIDENTS THAT ARE NOT CAPTURED IN THE MANDATORY REPORTING SYSTEM (AS PER CAR PART 12 PROVISIONS). ORGANISATIONS, SERVICE PROVIDERS AND OPERATORS ARE REQUIRED TO ESTABLISH SAFETY DATA COLLECTION AND ANALYSIS SYSTEMS. THIS WILL ENABLE SERVICE PROVIDERS AND OPERATORS TO IDENTIFY AND CAPTURE HAZARDS AND USE THIS DATA TO PERFORM SAFETY RISK ASSESSMENT AND IMPLEMENT THE NECESSARY MEASURES TO MITIGATE RISKS.

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

THERE ARE FIVE BASIC CHARACTERISTICS THAT ARE UNIVERSALLY ASSOCIATED WITH EFFECTIVE SAFETY REPORTING SYSTEMS. EFFECTIVE HAZARD REPORTING IS A KEY COMPONENT OF SAFETY MANAGEMENT. ONCE REPORTED, DATA ON HAZARDS CAN BE ANALYSED WITH OTHER DATA SOURCES TO SUPPORT THE SAFETY RISK MANAGEMENT (SRM) AND SAFETY ASSURANCE (SA) PROCESSES.

- INFORMATION
- FLEXIBILITY
- LEARNING
- ACCOUNTABILITY
- WILLINGNESS

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

- DEFECTIVE EQUIPMENT
- SAFETY INCIDENTS

AIR SAFETY REPORT

CAP 382

THE MANDATORY OCCURRENCE REPORTING SCHEME (MORS)

CONFIDENTIAL HUMAN FACTORS INCIDENTS REPORTING PROGRAMME (CHIRP)

- MEDICAL AND SECURITY INCIDENTS ON-BOARD

IN-FLIGHT ACCIDENT REPORT

CABIN SAFETY REPORT

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

THE OBJECTIVE OF THE MOR SCHEME IS TO CONTRIBUTE TO THE IMPROVEMENT OF FLIGHT SAFETY BY ENSURING THAT RELEVANT INFORMATION ON SAFETY IS REPORTED, COLLECTED, STORED, PROTECTED AND DISSEMINATED. THE SOLE OBJECTIVE OF OCCURRENCE REPORTING IS THE PREVENTION OF ACCIDENTS AND INCIDENTS AND NOT TO ATTRIBUTE BLAME OR LIABILITY.

THE PRIMARY RESPONSIBILITY FOR SAFETY RESTS WITH THE MANAGEMENT OF THE ORGANISATIONS INVOLVED (MANUFACTURERS, OPERATORS, MAINTENANCE ORGANISATIONS ETC). THE CAA'S RESPONSIBILITY IS TO PROVIDE THE REGULATORY FRAMEWORK WITHIN WHICH THE INDUSTRY MUST WORK AND THEREAFTER TO MONITOR PERFORMANCE TO BE SATISFIED THAT REQUIRED STANDARDS ARE SET AND MAINTAINED. THE MANDATORY OCCURRENCE REPORTING SCHEME IS AN ESTABLISHED PART OF THE CAA' S MONITORING FUNCTION AND IS COMPLEMENTARY TO THE NORMAL DAY-TO-DAY PROCEDURES AND SYSTEMS.

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

EXPERIENCE HAS SHOWN THAT ACCIDENTS ARE OFTEN PRECEDED BY SAFETY-RELATED INCIDENTS AND DEFICIENCIES THEREBY REVEALING THE EXISTENCE OF SAFETY HAZARDS. THEREFORE, SAFETY DATA IS AN IMPORTANT RESOURCE FOR THE DETECTION OF POTENTIAL SAFETY HAZARDS. IN ADDITION, WHILST THE ABILITY TO LEARN FROM AN ACCIDENT IS CRUCIAL, PURELY REACTIVE SYSTEMS HAVE BEEN FOUND TO BE OF LIMITED USE IN CONTINUING TO BRING FORWARD IMPROVEMENTS. REACTIVE SYSTEMS SHOULD BE COMPLEMENTED BY PROACTIVE SYSTEMS, WHICH USE OTHER TYPES OF SAFETY DATA, TO MAKE EFFECTIVE IMPROVEMENTS IN AVIATION SAFETY.

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

THE PRIMARY OBJECTIVE OF OCCURRENCE REPORTING IS TO MONITOR, DISSEMINATE AND RECORD FOR ANALYSIS, CRITICAL OR POTENTIALLY CRITICAL SAFETY OCCURRENCES. IT IS NOT INTENDED TO COLLECT AND MONITOR THE NORMAL FLOW OF DAY-TO-DAY DEFECTS/INCIDENTS ETC. THE LATTER IS AN IMPORTANT PART OF THE OVERALL FLIGHT SAFETY TASK BUT OTHER PROCEDURES AND SYSTEMS EXIST TO CARRY OUT THIS FUNCTION. IN THE MAIN THESE COMPRISE INDUSTRY RESPONSIBILITIES MONITORED OVERALL BY THE CAA. WHEN APPROPRIATE, SUCH SYSTEMS ALSO PROVIDE THE NECESSARY RECORDS FOR STATISTICAL PURPOSES. IN ORDER TO ACHIEVE THE ABOVE OBJECTIVES FOR OCCURRENCE REPORTING, THE CRITERIA FOR A REPORTABLE OCCURRENCE NEED TO BE SET ABOVE, IN TERMS OF THE EFFECT ON SAFETY, THE NORMAL DAY-TO-DAY DEFECTS OR MINOR INCIDENTS.



# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

- IN THE CASE OF OCCURRENCES ARISING FROM, OR RELATING TO, DEFECTS IN THE AIRCRAFT, ITS EQUIPMENT OR ANY ITEM OF GROUND EQUIPMENT, IT IS IMPORTANT THAT THE APPROPRIATE MANUFACTURER(S) BE ADVISED OF THE OCCURRENCE AS SOON AS POSSIBLE. THE CAA THEREFORE EXPECTS THAT ANY ORGANISATION WHICH RAISES AN OCCURRENCE REPORT (OR WHICH HAS BEEN MADE AWARE OF A REPORT RAISED BY AN INDIVIDUAL EMPLOYEE) WILL PASS A COPY OF THE REPORT TO THE APPROPRIATE AIRCRAFT OR EQUIPMENT MANUFACTURER(S) AS SOON AS POSSIBLE, UNLESS IT IS KNOWN THAT THE ORIGINATOR HAS ALREADY DONE SO.

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

IN THE CASE OF INCIDENTS AFFECTING GROUND INSTALLATIONS OR SERVICES, E.G. AERODROME AND/OR AIR TRAFFIC CONTROL, THOSE RESPONSIBLE FOR THOSE SERVICES SHOULD ALSO BE INFORMED.

A MANUFACTURER OR MAINTENANCE ORGANISATION OF AIRCRAFT, COMPONENTS OR EQUIPMENT IS NOT EXPECTED TO REPORT TO THE CAA, AS A MATTER OF ROUTINE, THOSE OCCURRENCES INVOLVING PRODUCTS THAT HAVE BEEN REPORTED TO IT BY AN OPERATOR/INDIVIDUAL, IF THE OPERATOR/INDIVIDUAL HAS ALREADY REPORTED THE OCCURRENCE TO THE CAA

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

THE CAA ADMINISTERS THE HEALTH AND SAFETY AT WORK ACT 2015 IN RESPECT OF THE AVIATION SECTOR, FOR AIRCRAFT WHILE IN OPERATION. THIS INCLUDES WORK TO PREPARE AN AIRCRAFT FOR IMMINENT FLIGHT; WORK ON BOARD AN AIRCRAFT FOR THE PURPOSE OF IMMINENT FLIGHT OR WHILE IN OPERATION; AND AIRCRAFT AS WORKPLACES WHILE IN OPERATION, IE, WHILE THE AIRCRAFT IS TAXIING, TAKING OFF, FLYING OR LANDING

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

AIR TRAVEL HAS EMERGED AS ONE OF THE MOST POPULAR, SAFE AND CONVENIENT FORMS OF TRAVEL. IN THE PAST DECADE, THE NUMBER OF PASSENGERS TRAVELLING ON COMMERCIAL AIRLINES HAS INCREASED TO ALMOST TWO BILLION. NEVERTHELESS, DESPITE THE FACT THAT AIR TRAVEL IS GENERALLY SAFE, AN INCREASE IN IN-FLIGHT MEDICAL EMERGENCIES IS EXPECTED, THE NEXT GENERATION OF AIRCRAFTS, SUCH AS THE AIRBUS A380-900 (AIRBUS S.A.S., TOULOUSE, FRANCE) AND THE BOEING 777 LR (BOEING COMMERCIAL AIRPLANES, RENTON, WA, USA), HAVE AN ESTIMATED CRUISING RANGE OF 15 TO 17,000 KM AND A MAXIMUM PASSENGER LOAD OF UP TO 960 PASSENGERS, WHICH WILL FURTHER INCREASE THE CHANCES THAT AN IN-FLIGHT MEDICAL EMERGENCY WILL OCCUR DURING EACH FLIGHT

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

A RECENT STUDY REPORTED PRELIMINARY EVIDENCE THAT THE DOCUMENTATION OF IN-FLIGHT MEDICAL EMERGENCIES IS NOT AS CONSISTENT AS ONE WOULD EXPECT. OF THE 32 EUROPEAN AIRLINES THAT WERE ASKED TO CONTRIBUTE DATA ON IN-FLIGHT MEDICAL EMERGENCIES, ONLY FOUR AIRLINES ON AVERAGE WERE ABLE TO POTENTIALLY PROVIDE THE NECESSARY DATA.

DANGEROUS GOODS ACCIDENTS AND INCIDENTS MUST BE REPORTED WITHIN 72 HOURS SO THAT AN INVESTIGATION BY THE CAA OR THE RELEVANT AUTHORITY CAN ESTABLISH THE CAUSE AND TAKE ACTION TO PREVENT A RECURRENCE WHEREVER POSSIBLE.

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

IN THE UK, AIRCRAFT ACCIDENTS AND SERIOUS INCIDENTS ARE INVESTIGATED BY THE AIR ACCIDENTS INVESTIGATION BRANCH (AAIB) UNDER THE DEPARTMENT OF TRANSPORT (DFT).

THE UNITED KINGDOM CONFIDENTIAL HUMAN FACTORS INCIDENT REPORTING PROGRAMME (CHIRP) IS INTENDED TO IMPROVE THE SAFETY OF THE TRAVELLING PUBLIC AND THAT OF INDIVIDUALS EMPLOYED WITHIN OR ASSOCIATED WITH AVIATION OPERATIONS.

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

## EVENTS THAT ARE SUPPOSED TO BE REPORTED:

- SAFETY AND SECURITY-RELATED INCIDENTS OR OCCURRENCES THAT INVOLVE:
  - THE REPORTER;
  - THE REPORTER'S ORGANIZATION;
  - OTHER PEOPLE OR ORGANIZATIONS WITH WHOM THE REPORTER INTERACTS.
- INCIDENTS/EVENTS THAT HAVE THE POTENTIAL TO INCREASE RISK SUCH AS:
  - MISTAKES AND MISJUDGEMENTS MADE BY THE REPORTER;
  - NON-COMPLIANCE WITH, OR MIS-APPLICATION OF SPECIFIED PROCEDURES AND REGULATIONS;
  - IMPRACTICAL OR INADEQUATE REGULATIONS, RULES OR INSTRUCTIONS;
  - UNSAFE PRACTICES OR DESIGN FEATURES.

# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

## EVENTS THAT ARE NOT SUPPOSED TO BE REPORTED:

- INCIDENTS OR EVENTS THAT HAVE NO AIR SAFETY OR SECURITY CONTENT;
- INDUSTRIAL RELATIONS AND/OR TERMS AND CONDITIONS OF EMPLOYMENT;
- INCIDENTS, OCCURRENCES AND ACCIDENTS FOR WHICH A MANDATORY REPORT MUST BE SUBMITTED.

## SITUATIONS WHEN A CHIRP REPORT MIGHT BE NECESSARY:

- WHEN THE REPORTER IS CONCERNED AND WISHES TO PROTECT THEIR IDENTITY;
- WHEN THE REPORTER WISHES OTHERS TO BENEFIT FROM A VALUABLE 'LESSON LEARNED';
- WHEN OTHER REPORTING PROCEDURES ARE NOT APPROPRIATE OR ARE NOT AVAILABLE;
- WHEN THE REPORTER HAS EXHAUSTED COMPANY OR REGULATORY REPORTING PROCEDURES WITHOUT THE ISSUE HAVING BEEN ADDRESSED.



# REPORTING PROCEDURES FOR ENSURING CAA COMPLIANCE

CAP 382 INCORPORATES THE REQUIREMENTS OF ARTICLE 226 OF THE AIR NAVIGATION ORDER (ANO) 2009. THIS ARTICLE IS THE INCORPORATION INTO UK LAW OF THE REQUIREMENTS OF EU DIRECTIVE 2003/42/EC OF 13 JUNE 2003 ON OCCURRENCE REPORTING IN CIVIL AVIATION.

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