

Democratic Socialist Republic of Sri Lanka



Civil Aviation Authority of Sri Lanka

Implementing Standards

(Issued under Sec. 120, Civil Aviation Act No. 14 of 2010)

Title: Voluntary and Confidential Aviation Incident Reporting System

Reference No. : CA-IS-2016-GEN-03 **S.N. :** SLCAIS 052 **Date:** 28th November 2016

Pursuant to Sec. 120 of the Civil Aviation Act No.14 of 2010, Director General of Civil Aviation shall have the power to issue, whenever he considers it necessary or appropriate to do so, such Implementing Standards for the purpose of giving effect to any of the provisions of the Civil Aviation Act, any regulations or rules made thereunder including the Articles of the Convention on International Civil Aviation which are specified in the Schedule to the Act.

Accordingly, the undersigned being the Director General of Civil Aviation do hereby issue the Implementing Standards on **Voluntary and Confidential Aviation Incident Reporting System** as mentioned in the Attachment hereto (Ref: CA-IS-2016-GEN-03-Att.01], for the purpose of giving effect to the provisions in the aforementioned Act and elaborating the requirements to be satisfied for the effective implementation of the International Standards and Recommended Practices contained in the ICAO Annex 13 and Annex 19 to the Convention.

This Implementing Standard shall come into force with immediate effect and continue in force until further notice,

This Implementing Standard shall be applicable to every person under paragraph 5 in the Attachment.

H.M.C. Nimalsiri
Director General of Civil Aviation and
Chief Executive Officer

Civil Aviation Authority of Sri Lanka
04, Hunupitiya Road
Colombo 02.

Enclosure: Attachment No. CA-IS-2016-GEN-03-Att.01

Implementing Standards

SLCAIS 052: Voluntary and Confidential Aviation Incident Reporting System

1. INTRODUCTION

The Voluntary and Confidential Aviation Incident Reporting (VCAIR) System is a voluntary, non-punitive, confidential reporting system established by the Civil Aviation Authority of Sri Lanka (CAASL). This System provides a channel for reporting of aviation incidents and safety deficiencies while protecting the reporter's identity.

The key objective of Voluntary and Confidential Aviation Incident Reporting system is to enhance aviation safety through the collection of reports on actual or potential safety deficiencies that would otherwise not be reported through other channels or that may appear minor, but which nevertheless can allow others to learn from the reporter's experience and even lead to changes in procedures, practices or design. Such reports may involve occurrences, hazards or threats relevant to aviation safety. This Reporting System focuses on systems, human factors, procedures, facilities, services and equipment, rather than on individuals.

This system does not eliminate the need for mandatory reporting of aircraft accidents and incidents to CAASL under the existing law.

2. SCOPE OF THE AREAS COVERED BY THE SYSTEM

The VCAIR System covers following areas;

1. Flight Operations

- 1.1. Departure/climb/cruise/descent/approach/landing/taxing
- 1.2. Aircraft cabin operations
- 1.3. Air proximity events
- 1.4. Weight and Balance/ Aircraft performance

2. Ground Operations

- 2.1. Aircraft ground operations
- 2.2. Movements on the airport
- 2.3. Re fueling operations
- 2.4. Airport conditions, facilities or services
- 2.5. Cargo handling

3. Air Traffic Management

- 3.1. ATC Operations which includes Navigation/Surveillance/Communication
- 3.2. ATC equipment, facilities, services and navigation aids

4. Aircraft Maintenance

- 4.1. Aircraft/engines/ components maintenance
- 4.2. Maintenance/Engineering workplace

5. Design and manufacturing

5.1. Aircraft / engines/components design or production activities

6. Approved training organizations

6.1. Training activities involving a certified training organization

6.2. Training activities involving aircraft emergency/ maintenance

7. Miscellaneous

7.1. Passenger handling operations

7.2. Any other matter amounted with flight safety or air navigation

3. WHAT TO REPORT

Each of the following safety concerns in relation to the safety of civil aviation operations under the areas prescribed above may be reported under VCAIR System. The list is not exhaustive:

1. an incident or circumstance that affects or might affect the safety of aircraft operations;
2. a procedure, practice, action, inaction or condition that a reasonable person would consider endangers, or, if not corrected, would endanger, the safety of air navigation or aircraft operations, for example:
 - i. poor training, behaviour or attitude displayed by an aircraft operator, airport operator, training organization or aeronautical service provider; or
 - ii. insufficient qualifications or experience of employees of the aircraft operator, airport operator, training organization or aeronautical service provider; or
 - iii. scheduling or rostering that contributes to the fatigue of employees; or
 - iv. an aircraft operator, airport operator or aeronautical service provider bypassing safety procedures because of operational or commercial pressures; or
 - v. inadequate airport facilities for safe operations; or
 - vi. unsafe passenger, baggage or cargo management; or
 - vii. inadequate traffic or weather information;
3. Any other matter that affects, or might affect the safety of air navigation or aircraft operations which is not reportable under the mandatory reporting scheme.

4. WHAT SHOULD NOT BE REPORTED UNDER VCAIR SYSTEM;

- i. Accidents or serious incidents or Criminal activities which are reported under mandatory reporting scheme
- ii. Incidents or events with no aviation safety content
- iii. Personal problems, personality conflicts and industrial relation issues
- iv. Legal/commercial disputes

5. WHO CAN MAKE A REPORT

If a person belong to any of these groups, he can contribute to safety enhancement through the VCAIR System by reporting on actual or potential occurrences, hazards, threats and deficiencies in aviation operations.

- i. Flight and cabin crew members;
- ii. Air traffic controllers;
- iii. Licensed aircraft engineers, technicians or mechanics;
- iv. employees of maintenance, design and manufacturing organizations;
- v. aerodrome ground handling operators;
- vi. airport employees;
- vii. Individuals involved in general aviation
- viii. travelling public or people involved in aviation

6. WHEN TO REPORT

A report should be made when:

- The person who is reporting wish for others to learn and benefit from the incident but are concerned about protecting your identity.
- There is no other appropriate reporting procedure or channel.
- The person who is reporting have tried another reporting procedure or channel but the issue has not been addressed.

Note: It is possible that an incident reported by a person is also reported to the other relevant authorities by a third party. The VCAIR System cannot prevent these authorities from taking the action(s) that they deem necessary, even though the identity of person reporting will be protected by the VCAIR System.

7. PROCESSING OF REPORTS

The CAASL pays particular attention to the need to protect the identity of the reporter when processing of all reports.

Every reports will be read and validated by the VCAIR administrator. The administrator may contact the reporter to make sure he understand the nature and circumstances of the occurrence / hazard reported and/or to obtain the necessary additional information or clarification.

When the administrator is satisfied that the information obtained is complete and coherent, he will de-identify the information and enter the data into the VCAIR System database. Should there be a need to seek inputs from any third party, only the de-identified data will be used.

The VCAIR form, with the date of return annotated, will eventually be returned to the reporter. The administrator will endeavor to complete the processing within ten (10) working days if additional information is not needed. In cases where the administrator needs to discuss with the reporter or consult a third party, more time may be needed.

If the administrator is away from his office for a prolonged period, the alternate administrator will process the report. Reporters can rest assured that every VCAIR report will be read and followed through by either the administrator or the alternate administrator.

8. FEEDBACK TO THE AVIATION COMMUNITY

Relevant de-identified reports and extracts may be shared with the aviation community through periodic publication so that all can learn from the experiences. Relevant authorities and parties can also review their policy and plan for improvements.

If the content of a VCAIR report suggests a situation or condition that poses an immediate or urgent threat to aviation safety, the report will be handled with priority and referred, after de-identification, to the relevant organizations as soon as possible to enable them to take the necessary safety actions.

9. WHAT IS CONFIDENTIAL?

Personal information about the reporter and any person referred to in the report is confidential. Even if the person reporting is not concerned about keeping his identity confidential, information shall not be copied from within or outside organization. The integrity of the confidentiality of the reporter is the main concern of the VCAIR system. If this occurs, further process the report within the VCAIR framework cannot be pursued.

If a person think it's necessary to act on information about a person referred to in the report, he should report this directly to the DGCA, CAASL.

Anonymous reports will not be accepted. This is to ensure that the Administrator can contact the person reporting to obtain or clarify information when necessary, and to also advise the reporter on the action taken or outcome arising from the VCAIR report.


10. REPORTING METHOD

Online – submit a VCAIR report online via CAASL web site (www.caa.lk)

By mail - Complete the VCAIR form and mail it to the following address:

Attention: VCAIR System
Civil Aviation Authority of Sri Lanka
No: 04, Hunupitiya Road
Colombo 02

Voluntary and Confidential Aviation Incident Reporting Form

 <p>Civil Aviation Authority of Sri Lanka Voluntary and Confidential Aviation Incident Reporting Form</p>	<p>CAA/AU/007</p>												
<p>This form is not for reporting of accident, serious incidents or criminal activities. This could be used to report hazards, or safety deficiencies. The completed form shall send to VCAIR System, Civil Aviation Authority of Sri Lanka, No.4, Hunupitiya Road, Colombo 02.</p>													
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