Agenda Item 4:   **GASR Project Status**
                      • **GSI/3 – Effective Error and Incident Reporting - Status of Project 1 -**
                       Effective Flow of Hazard Information

(Presented by the Secretariat)

SUMMARY
This working paper reflects State responses and progress with the use of Global Aviation Safety Roadmap (GASR) with GSI/3 Project 1 of from the CAR and SAM Regions.

References:
• Annex 13 – Chapter 8 - Appendix E.   • Global Aviation Safety Roadmap (GASR) Workshop (Bogotá, Colombia 19 to 23 May 2008).   • WP/02 - First Meeting of the Interim Steering Committee for the creation of the Regional Aviation Safety Group-Pan American (RASG-PA)   (Mexico D.F., Mexico, 4 and 5 August 2008.)

Strategic Objectives:	*This working paper is related to Strategic Objectives A and D.*

1.   Introduction

1.1   The global safety initiative 3 (GSI/3) of the Global Aviation Safety Roadmap (GASR), which deals with the problems and impediments with reporting errors and incidents and, consequently, the results from the Global Aviation Safety Roadmap (GASR) Workshop carried out in Bogota, Colombia, from 19 to 23 May 2008, when GSI/3 was analyzed, indicated the following impediments with reporting errors and incidents:

- Legislation and Standards development and implementation
- Implementation of reporting tools
- Training activities
- Regional cooperation

1.2 Reporting of errors and incidents is essential for the free flow of data to assess system safety and correct deficiencies on a continuous basis. The reporting typically comes from voluntary reports by aviation professionals or from recordings that are intended to be used only for safety purposes. It is essential to protect such safety information from inappropriate use in order to ensure its continued availability. The use of safety information for other than safety-related purposes can inhibit the future availability of such information, with an adverse effect on safety.

1.3 Objective A of GSI/3 defined within part two of Global Aviation Safety Roadmap Implementation document, points out that States must introduce legislative changes to support the "just culture", and hence encourage open reporting systems, and data be collected solely for the purpose of improving aviation safety.

1.4 Likewise, GSI/3, Objective B, defined in part two of the Global Aviation Safety Roadmap document, assigns ICAO the implementation to review activities review from States aimed at identifying existent gaps in its legislative action and encourage openly notification and develop a plan to close gaps.

1.5 In order to achieve these two objectives, it is first necessary to collect information on laws, regulations and implemented programmes to promote the effective flow of information on hazards from the States and analyze their effectiveness. With the information gathered, proposals for amendments could be developed for the legislation, regulations and model programmes on hazard reporting.

1.6 The RASG-PA Secretariat and the Interim Steering Committee circulated a survey, shown as **Appendix A** to this paper, in order to obtain information from States on legislative, regulations and programmes implemented by the States to encourage the flow of aviation safety hazard and incident data and analyze their effectiveness.

1.7 The results of the mentioned survey can act to generate plans for legislation, standards and information on model hazard programme amendments and consequently be integrated into respective State national legislation. These models will be developed by legislative experts and standards provided by the States and supervised by the NACC and SAM Regional Offices.

1.8 Once the models are developed, a Seminar/Workshop on the effective flow of hazard information is required in order to initiate a follow-up plan on the material previously developed in compliance with the last two impediments identified by the GSI/3 gap analysis conducted during the Bogota, Colombia Workshop.

2. Report of Project 1 GSI/3

2.1 The responses to the survey mentioned in para 1.6 above has not been as expected. Only Barbados, Cuba, Ecuador and Uruguay have responded; therefore, the information received does not constitute a homogeneous representation of the regions in order to be able to create the necessary information, taking into consideration the existence of different languages and different legal systems.

2.2   The transition to a unified reporting system that maintains proactive investigations according to the SMS starts by analyzing the current situation and subsequently comparing it to the one expected by the States/Territories/International Organizations. It includes a "just culture" for reporting information without the fear of repercussion or penalty for reporting errors and involuntary actions carried out by the performance of duties on the job.

3.   Suggested action

3.1   The First Regional Aviation Safety Group – Pan America Meeting (RASP-PA/01) is encouraged to:

a)   take note of the information contained in the working paper;

b)   provide the information requested in Appendix A to this working paper; and,

c)   participate in the implementation of the RASG-PA Project 1 (GSI/3).

– – – – – – – – – – – – – – – – –

APPENDIX A

Questionnaire on legislation, regulations and programmes to promote the flow of safety risk information

References:

1. Global Safety Initiative # 3 (GSI/3) of the ICAO Global Aviation Safety Plan
2. Global Aviation Safety Roadmap (GASR)
3. Report of the Global Aviation Safety Roadmap Workshop (Bogotá, Colombia, 19 to 23 May 2008.)

Background:

Error and incident reporting are essential elements of the free flow of data that is required to assess aviation system safety on a continuous basis and to correct deficiencies when warranted. The reporting typically comes from voluntary reports by aviation professionals that may be self-incriminating or from recordings that are intended to be used only for safety purposes. It is essential to protect such safety information from inappropriate use in order to ensure its continued availability. The use of safety information for other than safety-related purposes can inhibit the future availability of such information with an adverse effect on safety.

A "Just Culture" is defined as an atmosphere of trust in which people are encouraged and even rewarded for providing essential safety-related information, even if self-incriminating, but in which all parties clearly understand which types of behaviors are acceptable or unacceptable.

In the GASR, the term "open reporting" refers to incident reporting. Such reporting is *open* in the sense that it encourages reporting and use beyond that which is mandated. It is also *confidential* in that the reporter's identity is protected.

Open reporting systems are intended to:

- Clearly identify and understand the hazards or risks
- Protect the identity of persons reporting information

State legislation must include provisions that protect privacy, prevent self-incrimination and properly apportion criminal liability for actions. Without these basic features full disclosure of safety related information will be extremely difficult.

The following questionnaire seeks to collect information on implementation of legislation, regulations and programmes to promote the flow of safety risk information.

1. Indicate the status of **legislation** implemented in your State that promotes the effective flow of aviation safety hazard and incident information.

---

a) Legislation approved, *indicate date of approval by governmental entity, attaching documentation.*

---

b) If in process of approval, *indicate estimated date of approval by governmental entity, attaching documentation of legislation.*

---

c) The legislation has not been developed yet.

---

2. Indicate the status of your State with reference to the implementation of **regulations** to promote the effective flow of aviation safety hazard and incident information.

---

a) If the regulation is approved, *indicate the date of approval, attaching a copy of the regulation.*

---

b) If in process of approval, *indicate the expected approval date and attach documentation of the regulation.*

---

c) The regulation has not been developed yet.

3.   Has your State developed a **programme** to promote the effective flow of critical operational safety information.

    a) Yes *(attach copy of the programme).*
    b) Implementation in process *(attach copy of the programme).*
    c) No, the programme has not been developed yet.

4.   **Additional information** *(attach any relevant information).*

- END -