



**CIVIL AVIATION AUTHORITY BAHAMAS**

**AVIATION SECURITY**

**CONFIDENTIAL REPORTING SYSTEM**

**Guidance Information**

**Document AVSEC – G019**

# CONFIDENTIAL REPORTING SYSTEM

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## INTRODUCTION

### 1.1 General

In accordance with CAR SEC 3.4.7, the AVSEC Department of the CAAB has established a confidential reporting system to supplement the national civil aviation security quality control programme for analysing security information provided by sources such as passengers, crew and ground personnel;

Reporting programmes under the NATFP have proved to be valuable tools in the identification of security related issues and corrective actions. In those specific incidents involving human error, the availability of an independent, voluntary and confidential reporting medium has provided valuable additional information to that reporting system.

The CAAB confidential reporting system is an independent confidential reporting programme for the reporting of security related incidents, hazards and perceived threats.

### 1.2 Objective

The key objective of the confidential reporting system is to enhance the security of aviation activities through the collection of reports on actual or potential security deficiencies that would otherwise not be reported through other channels. Such reports may involve occurrences, hazards or threats relevant to the security of airport and other aviation activities.

It provides a channel for the voluntary reporting of aviation security occurrences, hazards or threats while protecting the reporter's identity.

### 1.3 Confidential Reporting System

The confidential reporting system is a voluntary scheme for aviation security and it allows any person who has an aviation security concern to report it to the CAAB confidentially. Protection of the reporter's identity is a primary element of the scheme.

Noteworthy features of confidential reporting system include:

- (a) Independence;
- (b) Broad availability (crew members, Air Traffic Controllers, ground personnel, aerodrome operators and passengers);
- (c) Confidentiality of reporters' identities;
- (d) Analysis by experienced security inspectors;
- (e) Sharing of security information at NCASP and NATFP Committee meetings and airport operators.

## **2. SYSTEM OVERVIEW**

### **2.1 What may be reported?**

Any matter may be reported if it affects aviation security.

### **2.2 Who may make a report?**

Generally, a confidential report may be made by anyone who observes or becomes aware of a reportable security concern.

Normally a security concern would be reported to the operator/organisation through their safety management system but on occasions, occurrences, hazards or threats may not be addressed or be sensitive in nature to the reporter

### **2.3 How are reports processed?**

THE CAAB confidential reporting system pays particular attention to the need to protect the reporter's identity when processing all reports. Every report will be read and validated by the Director AVSEC/FAL, in the first instance.

The CAAB Director AVSEC/FAL may contact the reporter to make sure he/she understands the nature and circumstances of the occurrence/hazard reported and/or to obtain the necessary additional information and clarification.

When the CAAB Director AVSEC/FAL is satisfied that the information obtained is complete and coherent, he/she will de-identify the information and enter the data into the CAAB database. Should there be a need to seek input from any third party, only the de-identified data will be used.

The report, with the date of return annotated, will eventually be returned to the reporter. The CAAB Director AVSEC/FAL will endeavour to complete the processing within ten (10) working days if additional information is not needed. In cases where the CAAB Director AVSEC/FAL needs to discuss with the reporter or consult a third party, more time may be needed.

Relevant de-identified extracts may be shared with external aviation stakeholders as deemed appropriate. This will enable all concerned personnel and departments within the organisation as well as appropriate external aviation stakeholders to review their own operations and support the improvement of aviation security as a whole.

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

Once satisfied that the submission is as complete as possible, the staff enter the de-identified content of the submission into the confidential reporting system database, which allocates it a unique identification number.

CAAB Director AVSEC/FAL may use the de-identified version of the submission to issue an information-brief or alert bulletin to a person or responsible organisation in a position to take action in response to the safety concern.

#### **2.4 What are the possible outcomes from a submission?**

The desired outcomes are any actions taken to improve aviation security in response to the identified concern. This can include variations to standards, orders, practices, procedures or an education campaign.

#### **2.5 Is an anonymous submission acceptable?**

As a general rule the system does not accept anonymous submissions. CAAB staff cannot contact an anonymous reporter to verify the submission or to seek additional information. Further, CAAB staff must be satisfied that the reporter's motivation for reporting is aviation security promotion and that the reporter is not attempting to damage a rival or pursue a commercial/industrial agenda.

#### **2.6 Why Confidential Reporting Works**

When organizations want to learn more about the occurrence of events, the best approach is simply to ask those involved. People are generally willing to share their knowledge if they are assured their identities will remain protected.

There are no disciplinary or legal consequences.

A properly constructed **confidential, voluntary, non-punitive** reporting system can be used by any person to safely share information.

Only de-identified comments can be discussed within the CAAB.

### **3. REPORTING**

#### **3.1 What Do I Report?**

Security-related hazards, threats, incidents or events involving:

- Yourself,
- Other people
- Your organisation or organisations you deal with.

Hazards, threats, incidents/events can include:

- Errors
- Individual performance

- Operating Procedures
- Regulatory aspects
- Unsafe practices

### 3.2 What Do I Not Report?

To avoid doubt, the following matters are not reportable security issues:

- acts of unlawful interference with an aircraft;
- industrial relations issues and/or terms and conditions of employment problems;
- conduct that constitutes an offence under the Civil Aviation Act;
- Incidents or events with no security content; and
- Issues involving conflicts of interest/personalities.

### 3.3 When Do I Report?

- you wish others to benefit from an important "Lesson Learned"
- When other reporting procedures are not appropriate or are not available
- When you are concerned to protect your identity
- When you have exhausted company/regulatory reporting procedures without the issue having been addressed

*Note: The CAAB publishes submissions anonymously, but does not accept anonymous reports.*

### 3.4 How to Submit/Comment

The completed attached report form at Appendix 1, with additional pages if required, should be sent to;

Director AVSEC/FAL  
 The Bahamas Civil Aviation Authority  
 JL Center  
 #26 Blake Road  
 Nassau, N.P.,  
**The Bahamas**

Tel: 242 397 4700 / Fax: 242 326 3591

Email: [antonio.clarke@caabahamas.com](mailto:antonio.clarke@caabahamas.com) or [andrew.bonaby@caabahamas.com](mailto:andrew.bonaby@caabahamas.com)

#### **4. SUMMARY**

Confidential reporting aims to improve our understanding about human factors issues that affect the security at airports and air transport operations. It is a confidential reporting system that aims to encourage reporting, yet without identifying the reporter. It does this, so that hazards, threats, incidents and events that would not ordinarily come to light are examined for the lessons they can provide on improving aviation security.

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