



16<sup>th</sup> November 2009

Dear Sir/Madam,

## **LETTER OF CONSULTATION – A PROPOSAL TO PUBLISH CAA SAFETY PERFORMANCE INDICATORS ON THE CAA WEBSITE.**

### **1. Introduction**

Safety Performance Indicators (SPIs) are statistics prepared on a quarterly basis by the Safety Regulation Group as a means of monitoring the safety of UK aviation. These SPIs cover a variety of data, from high-level information such as the total number of UK occurrences to specific types of safety occurrence.

It is the view of the CAA that the publication of consistent, reliable and understandable safety indicators would be beneficial to both the aviation industry and the public. It has therefore been decided that as part of the CAA's commitment to transparency and to a partnership in safety with the UK aviation industry, the CAA will consult to determine whether SPIs should be made available externally. Furthermore, the publication of SPIs is being promoted in response to a commitment made at the January 2009 CAA-Industry Safety Conference.

The Freedom of Information Act 2000 (FOIA) provides the public with the right to request information from public authorities, including the CAA. It is the view of the CAA that SPIs are for the most part not exempt from the FOIA and therefore in the interests of openness the data should be published in such a way that it is accessible to all.

Several factors have been considered in taking this decision: it was considered very important that the open reporting culture established in the UK should not be compromised; that the data should be simply presented and easy to interpret; and that supporting information should place the data into the wider context of the CAA's work. It was also considered important that the industry and public are made aware of safety trends and the methods by which the CAA monitors safety.

### **2. Freedom of Information Act Implications**

The FOIA allows a public authority to withhold information if it is exempt information by virtue of a provision conferring absolute exemption (such as FOIA s.44) or, if it is a qualified exemption, where a public interest test shows that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

The CAA is frequently asked to provide safety information about individual operators and normally responds by claiming an absolute exemption under FOIA s.44.

CAA decisions not to disclose information to the public can be challenged through the Information Commissioner's Office (ICO). However, in a recent case involving the non-disclosure of MOR data, CAA's decision was upheld by both the Information Commissioner and, on appeal, by the Information Tribunal. Although this case did not set a precedent, it could be influential in any future challenge.

The CAA's justification for withholding this information is that its disclosure could have a serious impact on the UK's good occurrence reporting culture and its relationship of trust with the UK

aviation industry. Organisations could become reluctant to report occurrences to the CAA, thereby damaging the CAA's ability to oversee the safety of UK civil aviation.

However, the CAA recognises that under the FOIA, it has a duty to assist and advise the public in gaining access to as much information as is reasonably practicable. This is the context in which we are proposing to publish SPIs.

### 3. Proposal

It is proposed that a phased approach is taken to publishing the SPIs, beginning with high-level SPIs and, following a period of review, adding more specific SPIs. The SPIs proposed to be published in the first round in April 2010 are shown in Attachment 1, using mock data, and cover:

- SPI 1 - All UK Serious Events;
- SPI 2 - UK Public Transport Serious Events;
- SPI 3 - Serious Events Impacting Air Traffic Services' Safety in UK Controlled Airspace;
- SPI 4 - UK General Aviation Fatality Rates.

Accompanying the data would be a list containing a brief narrative of each event contributing to the SPIs. It is hoped that by doing so the intended audience would gain a good understanding of the types of events that are considered to be 'serious events' (examples of such narratives are shown in Attachment 2). It should be noted that operators and individuals would not be named in these occurrence narratives.

The CAA is considering how to address safety statistics relating to non-regulated aviation activity, specifically hang gliders, paragliders and paramotors. At present it is not possible to determine whether our dataset for this sector is complete, therefore the CAA is interested in the views of the sporting organisations involved regarding the addition of these data. Consultees should consider whether these statistics should be published as an SPI or perhaps as part of the Aviation Safety Review (CAP 780).

Accompanying the SPIs would be explanatory material containing a glossary of terms, an explanation of the occurrence grading system and links to other statistical documents. Our intention is to publish the SPIs on a new 'Safety Information' page of the CAA website, alongside other safety documents as follows:

- |  |                                     |
|--|-------------------------------------|
| – CAA UK State Safety Programme            | <a href="#">CAP 784</a>             |
| – CAA Safety Plan 2009/11                  | <a href="#">CAP 786</a>             |
| – CAA Aviation Safety Review               | <a href="#">CAP 780</a>             |
| – CAA Global Fatal Accident Review         | <a href="#">CAP 776</a>             |
| – EASA Annual Safety Review                | <a href="#">EASA link</a>           |
| – <i>CAA Safety Performance Indicators</i> | <i>subject to this consultation</i> |
| – CAA Safety Improvement Projects          | yet to be published                 |
| – CAA Safety Information Disclosure Policy | yet to be published                 |
| – CAA Safety Task Force Progress Reports   | yet to be published                 |

#### 4. Consultation

The CAA invites stakeholders to comment on the following three questions:

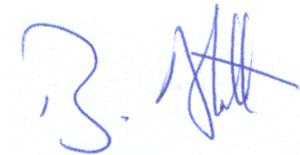
1. The CAA believes that a balance must be struck between providing informative safety data and protecting the confidentiality of the MOR scheme. In this context:
  - a. Do you believe that the SPIs shown in Attachment 1 are sufficiently informative?
  - b. Do you believe that the publication of these SPIs will have an impact on the confidentiality of the MOR scheme?
2. Do you believe that the format used presents the data in the right context?
3. Do you envisage this change having an impact on your own business and if so, what is that impact?

Comments regarding the proposal may be submitted via the online form at: [www.caa.co.uk/consultations](http://www.caa.co.uk/consultations).

Any questions regarding this consultation should be addressed to Strategic Analysis at the following email address: [spi.consultation@caa.co.uk](mailto:spi.consultation@caa.co.uk)

The consultation period ends on **15<sup>th</sup> February 2010**. A comment response document will be published within two months of the end of the consultation.

Yours faithfully,



Ben Alcott  
Head of Group Safety Services  
Civil Aviation Authority

## **Attachment 1 to Letter of Consultation - Worked Example**

This worked example shows the safety performance indicators in the form that they are intended to be published on the CAA website. There are some limitations to presenting the worked example as a document: the formatting cannot exactly replicate a web page, therefore the graph sizes for the ten-year period graphs are incorrect; other formatting issues have also arisen that, subject to a successful consultation, would be corrected on the web page version.

For the purposes of this consultation, only randomised data has been used, so these graphs do not reflect actual MOR data.

The first page of the worked example is a front page for the website and the links will take you to each SPI as they would do on the website. A good example of the intended style of page may be found at the new Aeromedical Examiners (AME) area of the CAA website,

<http://www.caa.co.uk/default.aspx?catid=1859&pagetype=90>

Finally, a Glossary of Terms and a UK MOR Scheme Description would be developed if a decision to publish was taken and would be based partly on comments received during the consultation.

# Safety Performance Indicators

Safety Performance Indicators for UK Aviation, covering the period April 2005 to March 2010.

Safety Performance Indicators (SPIs) are statistics prepared on a quarterly basis within the Safety Regulation Group as a means of monitoring the safety of UK aviation. The terms used in these pages are described in the Glossary of Terms below. Questions regarding these statistics should be directed to [spi.queries@caa.co.uk](mailto:spi.queries@caa.co.uk).

Aviation in the UK has a very high standard of safety; there have been no fatalities involving passengers of UK airlines since 1999. Therefore although these pages discuss serious events, they should be viewed in the context of an industry that has one of the best safety records in the world.

The graphs shown use data from the CAA's Mandatory Occurrence Reporting (MOR) Scheme. The objective of the MOR scheme is the prevention of accidents and incidents and not to attribute blame or liability. All of the UK aviation industry is required to report occurrences to the CAA, including personnel working for the airlines, air traffic control service providers, airports, maintenance organisations and ground handling companies. The reporting requirements are laid out in [CAP 382 "The Mandatory Occurrence Reporting Scheme"](#).

Each year, the CAA receives thousands of occurrence reports from across the UK aviation industry. All of these occurrences are individually assessed with regard to the need for CAA investigation and how serious the event was. The assessment is based on the information received at the time, along with historical trend data. This may be reviewed whenever new information is received on any particular event, so the CAA's view of the degree of seriousness may change as an investigation progresses. A small proportion of the occurrence reports received (less than 2%) are assessed as being 'serious events'.

Typical examples of recent serious events might include: diversion of an airliner due to smell of smoke in the cabin; airliner tail scrape during landing; forced landing of a privately operated light aircraft in a field. No aircraft passengers were injured in any of these recent events. These serious events are used as the basis of the CAA's SPIs.

## SPI 1: All UK Serious Events

Number of serious events involving UK civil aircraft, flying both in the UK and overseas, and foreign aircraft flying in UK airspace.

[See SPI 1](#)

## SPI 2: UK Public Transport Serious Events

Rate of large commercial air transport aeroplane occurrences and public transport helicopter occurrences.

[See SPI 2](#)

## SPI 3: Serious Events Impacting on Air Traffic Service Safety in UK Controlled Airspace

Number of occurrences relating to air traffic service issues involving public transport aircraft operating in UK controlled airspace.

[See SPI 3](#)

## SPI 4: UK General Aviation Fatality Rates

UK General Aviation occurrences are those involving aircraft which do not exceed 5,700 kg maximum take-off weight, involved in all types of operation.

[See SPI 4](#)

## Glossary of Terms

See Glossary of Terms

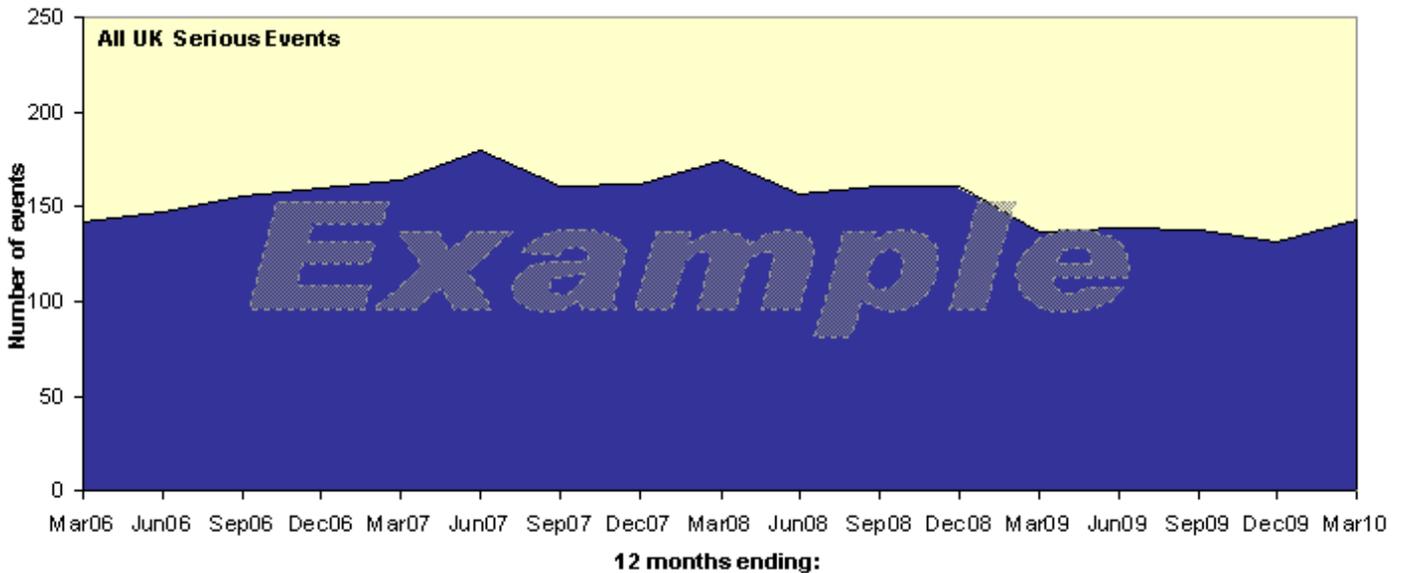
## UK MOR Scheme Description

See UK MOR Scheme

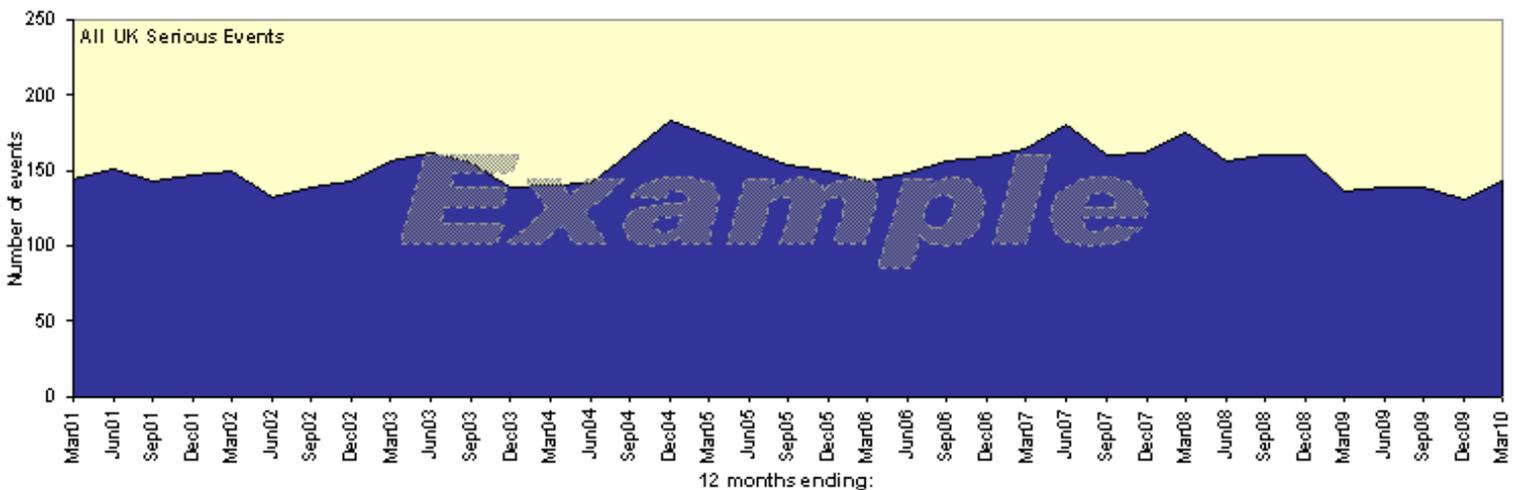
## SPI 1 - All UK Serious Events

The graph below shows serious events involving UK civil aircraft, flying both in the UK and overseas, and foreign aircraft flying in UK airspace. All types of civil aviation are included, from airliners to police helicopters, gliders to hot air balloons. The term serious event refers to the CAA occurrence grading system, a description of which can be found in the UK MOR Scheme section.

Putting this graph into context, figures published in the [Aviation Safety Review](#) show that 1.6% of mandatory occurrence reports in the period 1998-2007 were categorised as serious events. The new edition of the Aviation Safety Review is due to be published in December 2010, at which point this figure will be updated.



## Ten-Year Period

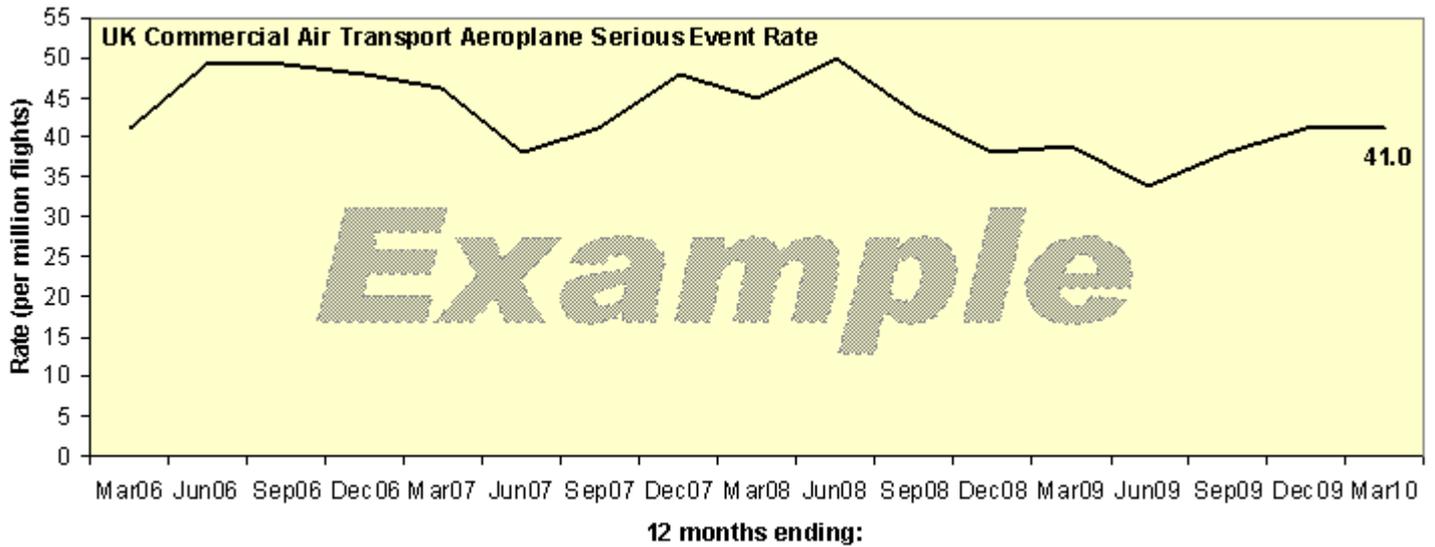


## SPI 2 - UK Public Transport Serious Events

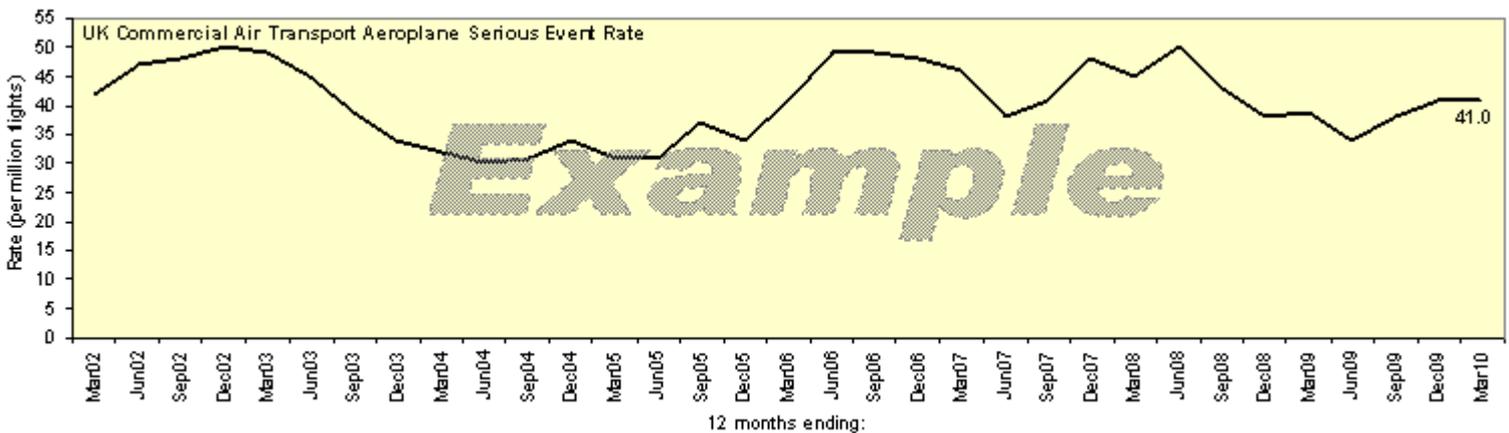
UK public transport occurrences have been divided into two categories: large commercial air transport aeroplane occurrences and public transport helicopter occurrences.

### UK Commercial Air Transport Aeroplanes

UK commercial air transport is defined as passenger or cargo operations performed by UK-registered or operated aeroplanes with a maximum take off weight that exceeds 5,700 kg. In general terms this can be viewed as typical 'airline' operations. The graph below shows the rate of serious commercial air transport events and is calculated using the number of airline flights reported to the CAA.

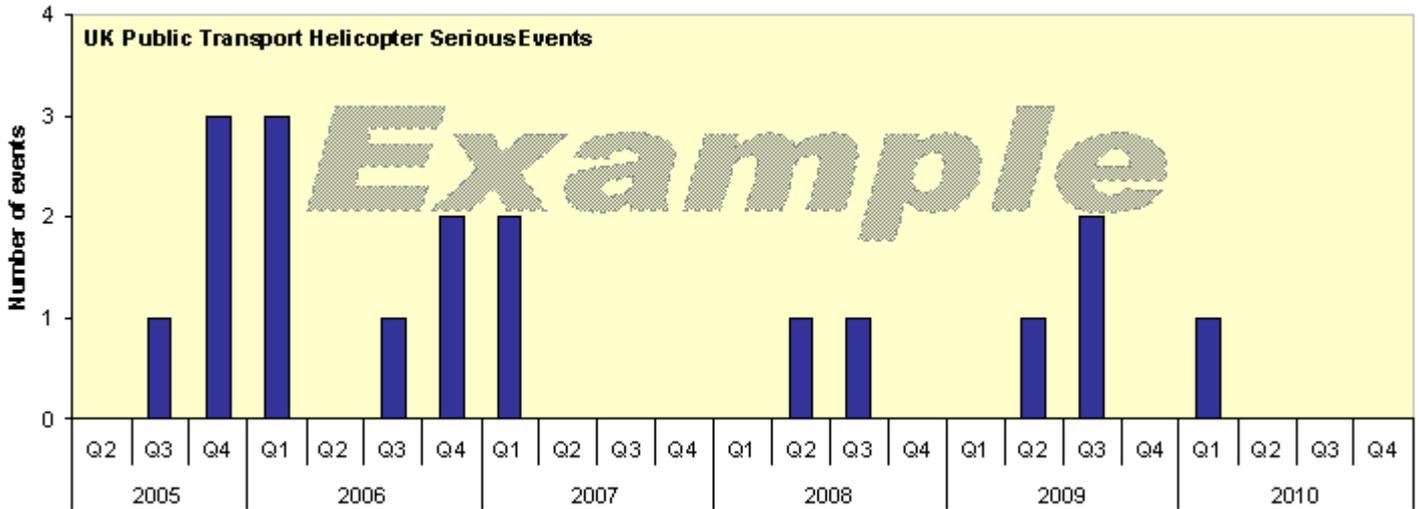


### Ten-Year Period

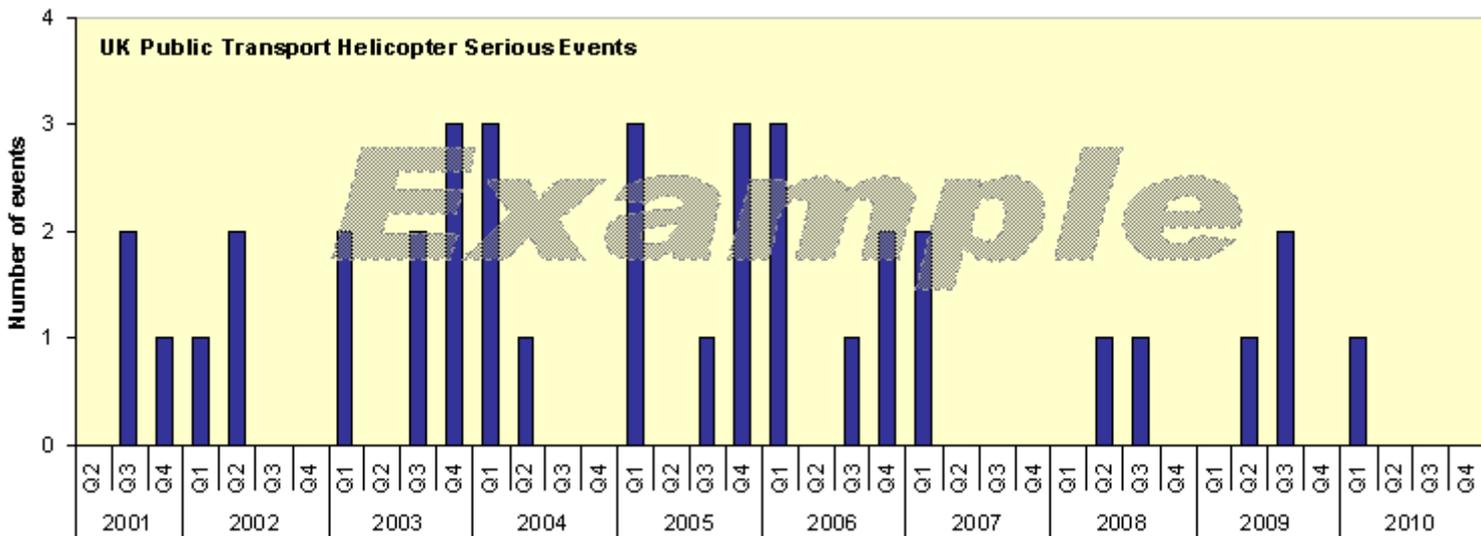


## UK Public Transport Helicopter Serious Events

UK public transport helicopters are UK-registered or operated helicopters engaged in cargo, helicopter emergency medical service (HEMS), passenger, police support, or search and rescue operations. The number of serious events in this sector is very low, so the rate is strongly affected by small changes in the number of events. For this reason, the number of events is shown per quarter.



## Ten-Year Period



### SPI 3 - Serious Events Impacting on Air Traffic Service (ATS) Safety in UK Controlled Airspace

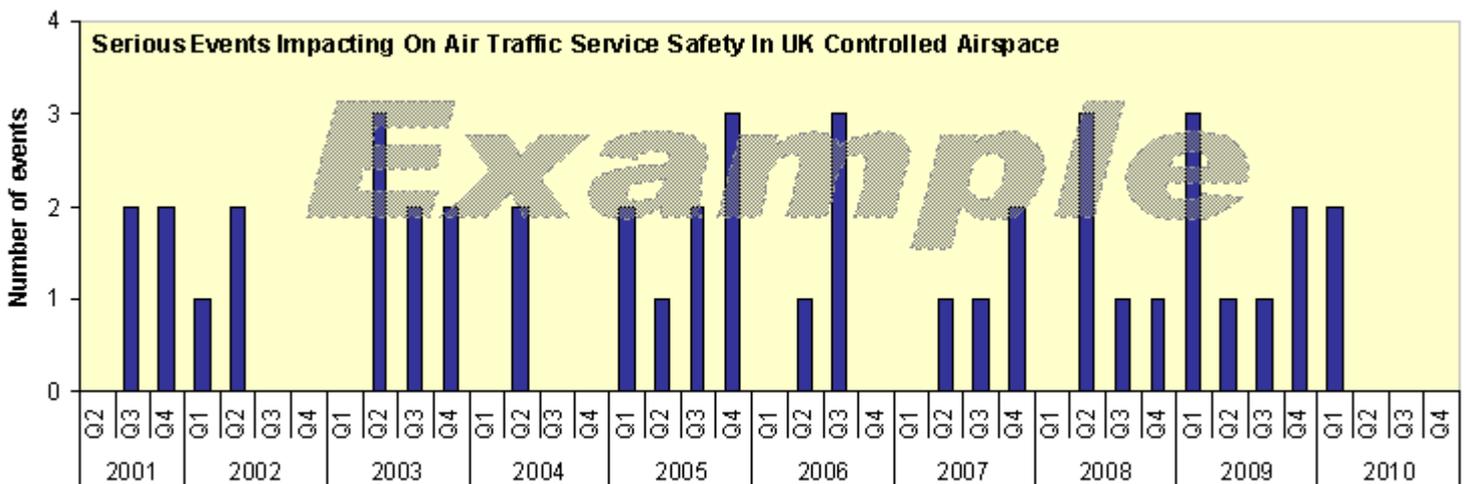
The graph below includes all public transport aircraft (regardless of country of origin) operating in UK controlled airspace and relates to all air traffic service issues. Examples include altitude deviations from an assigned flight level, air traffic control engineering problems, air traffic controller errors and infringements of controlled airspace by other aircraft.

The number of serious events in this sector is very low, so the rate is strongly affected by small changes in the number of events. For this reason, the number of events is shown per quarter.

Some of the events in this SPI are Airprox, which are investigated by the UK Airprox Board. Further information regarding Airprox, their definition, recent statistics and the investigation process is available at: <http://www.airproxboard.org.uk/>



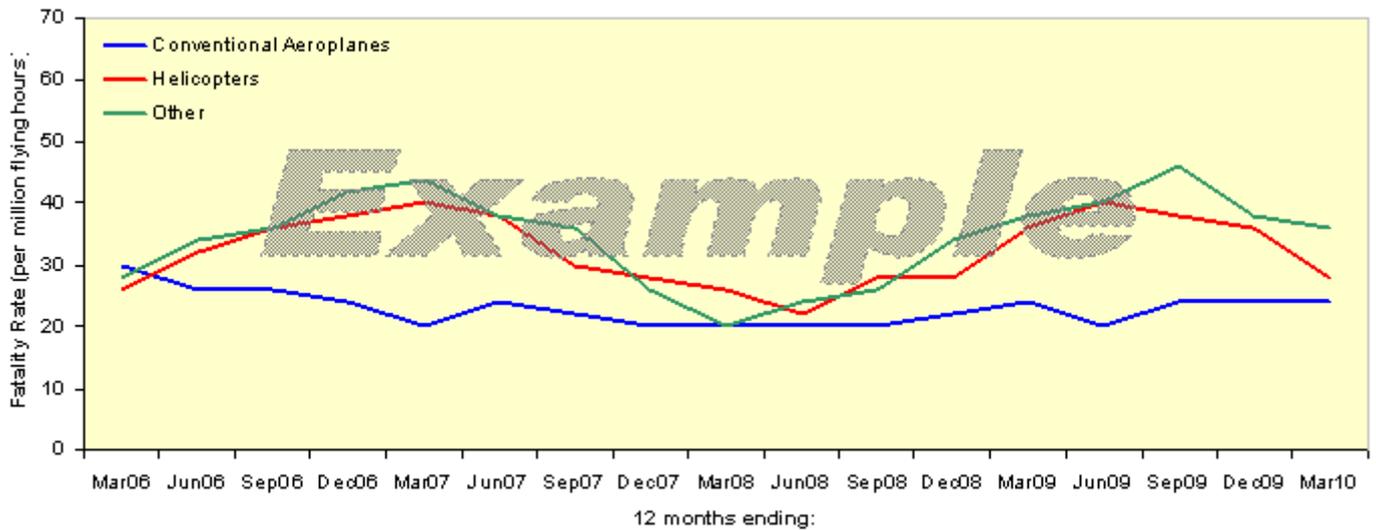
### Ten-Year Period



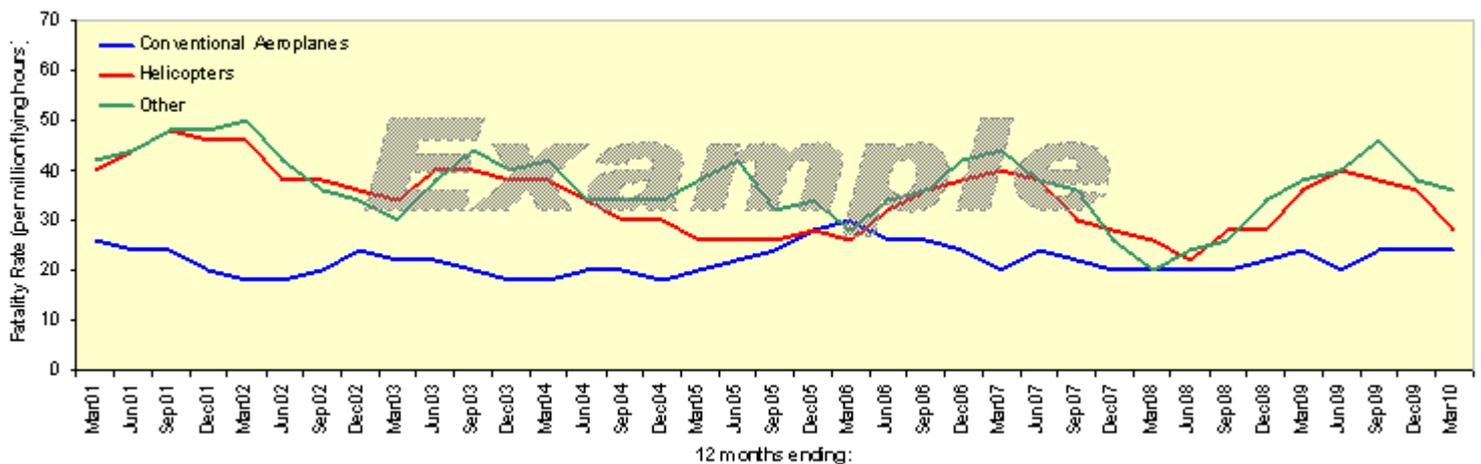
## SPI 4 - UK General Aviation Fatality Rates

UK general aviation aircraft are those that do not exceed 5,700 kg maximum take-off weight, involved in all types of operation. Examples include the BN2 Islander or Cessna 152. The fatality rates shown below have been divided into conventional aeroplanes, helicopters and 'other', where the 'other' category includes: airships, balloons, gliders, gyroplanes, and microlights. Hang-gliders and paragliders are not included in these statistics, as they are not regulated by the CAA.

The number of flying hours used to calculate the rate in this SPI is sourced from the CAA Aircraft Register (through Certificate of Airworthiness and Permit to Fly renewals) and data supplied by the British Gliding Association. Certificates of Airworthiness have, until recently, been renewed only once every three years, therefore flying hours for the most recent years have been estimated.



## Ten-Year Period



## Attachment 2 to Letter of Consultation – Generic Examples of Serious Events

*These examples are shown as they would be published on the website*

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<b>A/C Type :</b>	B737	<b>Occurrence Number :</b>	<b>20090001</b>
<b>Flight Phase :</b>	Landing	<b>Occurrence Date :</b>	01 Jan 2009
<b>Classification :</b>	Serious Incident	<b>Location :</b>	Paris
<b>Events :</b>	Runway / Taxiway Condition Runway Overrun Adverse Weather	<b>Location Info :</b>	

**Pretitle :**

*Serious Incident: Aircraft slid off runway into overrun area. Minor damage to left hand main landing gear and threshold light. No injuries to 73 people on-board. Subject to French Authority investigation.*

**Precis :**

This occurrence is subject to investigation by the French Authority. On receipt of their report, the CAA's records will be updated accordingly.

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<b>A/C Type :</b>	Gulfstream V	<b>Occurrence Number :</b>	<b>20090002</b>
<b>Flight Phase :</b>	Climb	<b>Occurrence Date :</b>	02 Jan 2009
<b>Classification :</b>	Occurrence	<b>Location :</b>	Farnborough
<b>Events :</b>	UK Airprox TCAS Report Flight Crew Occurrence	<b>Location Info :</b>	5 SW

**Pretitle :**

*UK AIRPROX 2009/003 – Gulfstream V and a Cirrus SR22 at 3400ft, 5nm Southwest of Farnborough. Gulfstream V received/complied with TCAS RA of climb and was visual with the conflicting SR22.*

**Precis :**

Farnborough ATC twice passed traffic info to the SR22 on the contact, the Gulfstream was receiving a RIS in Class G airspace.

CAA Closure: Conflict in Class G airspace. Late/non-sighting by both crews involved. This AIRPROX has been subject to a separate review by the United Kingdom AIRPROX Board (UKAB).

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<b>A/C Type :</b>	Cessna 152	<b>Occurrence Number :</b>	<b>20090003</b>
<b>Flight Phase :</b>	Approach	<b>Occurrence Date :</b>	03 Jan 2009
<b>Classification :</b>	UK Reportable Accident	<b>Location :</b>	Wellesbourne Mountford
<b>Events :</b>	Reportable Accident Loss of A/c Control	<b>Location Info :</b>	2 nm Southeast

**Pretitle :**

*UK Reportable Accident: MAYDAY declared three minutes after take-off. Aircraft spun in from 300-400ft during attempted return to airfield. One person on-board fatally injured. Aircraft destroyed.*

**Precis :**

*Subject to AAIB Field investigation.*

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