Transport Canada Transports Canada

Staff Instruction

Subject: CADORS Follow-up

Issuing Office:	Civil Aviation, Standards	Document No.:	SI SUR-035
File Classification No.:	Z 5000-32	Issue No.:	01
RDIMS No.:	18122880-V9	Effective Date:	2022-11-18

Table of contents

1.0 Introduction 2
1.1 Purpose 2
1.2 Applicability 2
1.3 Description of changes 2
2.0 References and requirements 2
2.1 Reference documents 2
2.2 Cancelled documents 2
2.3 Definitions and abbreviations 3
3.0 Background 3
4.0 Overview 3
4.1 ASRA input 4
5.0 Requirement to monitor and follow-up on CADORS occurrence reports 4
6.0 Risk-based requirements for CADORS follow-up 4
6.1 Event risk classification 1 5
6.2 Event risk classification 2 5
6.3 Event risk classification 3 5
7.0 CADORS follow-up 5
7.1 Management 5
7.2 Closure 5
8.0 Information management 6
8.1 Surveillance records 6
8.2 NACIS 6
8.3 ARASS 6
9.0 Document history 6
10.0 Contact us 6

1.0 Introduction

1.1 Purpose

(1) The purpose of this document is to outline baseline requirements for regions and National Operations to monitor and respond to occurrences reported through the Civil Aviation Daily Occurrence Reporting System (CADORS).

(2) This Staff Instruction:

(a) Establishes a requirement for regional/branch specific processes for monitoring CADORS that pertain to their stakeholders;

(b) Outlines when follow-up on occurrences reported through CADORS is required or recommended;

(c) Describes what follow-up actions are required or recommended to respond to occurrences reported through CADORS; and

(d) Establishes reporting requirements for CADORS follow-up.

(3) Monitoring and evaluating CADORS occurrences is important to ensure that applicable stakeholders are engaged, occurrences are reviewed and, when appropriate, action is taken.

1.2 Applicability

(1) This document applies to regions, National Operations, AOPR and any other personnel who are involved in the follow-up of the CADORS occurrence.

(2) This document applies to all Aerodromes, Airports and Canadian registered aircraft operating under part IV, VI and VII.

(3) This Staff Instruction excludes occurrence reports related to Remotely Piloted Aircraft Systems (RPAS) as the program is still in development. Inclusion will be considered for future revisions of the document as the RPAS program matures.

1.3 Description of changes

(1) Not applicable.

2.0 References and requirements

2.1 Reference documents

(1) It is intended that the following reference materials be used in conjunction with this document:

(a) Staff Instruction (SI) SUR-001 – Surveillance Procedures (RDIMS 15356470)

(b) Getting Started with LaunchPad (RDIMS 12333441)

(c) Business Intelligence infrastructure (BII) Corporate Reports – Aviation Safety (RDIMS 12660294)

2.2 Cancelled documents

(1) Not applicable.

2.3 Definitions and abbreviations

(1) The following **definitions** are used in this document:

(a) **CADORS:** Civil Aviation Daily Occurrence Reporting System

(b) **Event Risk Classification 1:** CADORS occurrence with a high-risk event.

(c) **Event Risk Classification 2:** CADORS occurrence with a medium-risk event.

(d) **Event Risk Classification 3:** CADORS occurrence with a low-risk event.

(e) **Occurrence report:** individual occurrence reports submitted into the Civil Aviation Daily Occurrence Reporting System.

(f) **OPI TTL:** The Technical Team Lead (TTL) who is assigned to follow-up on the CADORS occurrence.

(2) The following **abbreviations** are used in this document:

(a) **AOPR**: Analysis and Occurrence, Planning and Reporting;

(b) **ARASS**: Activity Reporting and Standards System (TC database);

(c) **ASRA:** Aviation Safety Research and Analysis;

(d) **CADORS**: Civil Aviation Daily Occurrence Reporting System (TC database);

(e) **CAR**: Canadian Aviation Regulations;

(f) **CASI**: Civil Aviation Safety Inspector;

(g) **NACIS**: National Aviation Company Information System;

(h) **OPI**: Office of Primary Interest;

(i) **TCCA**: Transport Canada Civil Aviation; and

(j) **TTL**: Technical Team Lead.

3.0 Background

(1) Upon the national decision to adopt the CADORS Event Risk Classification, this Staff Instruction was created to outline baseline requirements for follow-up related to CADORS occurrence reports. It addresses variances and provides guidance with respect to when CADORS follow-up is required.

4.0 Overview

(1) Transport Canada collects aviation occurrence information through the Civil Aviation Daily Occurrence Reporting System (CADORS) to provide initial information on occurrences involving:

(a) Any Canadian-registered aircraft; and

(b) Events which occur at Canadian airports, in Canadian sovereign airspace, or international airspace for which Canada has accepted responsibility. This includes events involving foreign-registered aircraft.

(2) Information within CADORS occurrence reports should be treated as preliminary, unsubstantiated, and subject to change.

4.1 ASRA input

(1) The Aviation Safety Research and Analysis (ASRA) unit, within the Safety Policy and Intelligence Branch, functions as the focal point for CADORS.

(2) ASRA collects and tracks the details of each occurrence and manages the national CADORS database.

(3) ASRA categorises initiating CADORS occurrences by event type. Analysts assign one or more events to each CADORS record based on the details of that occurrence. Events can describe something that happened to an aircraft (e.g. hard landing, diversion, navigation error, etc.) or something that happened within the aviation system (e.g. aerodrome, runway or taxiway shutdown, foreign object debris, etc.), and provide a short description of what happened during an occurrence.

(4) Assigning an event or events to a record helps to categorize occurrences in CADORS and improves our ability to analyze data. Analyzing events allows us to perform immediate follow-up on more high-risk events while looking for trends and emerging risks through aggregate analysis.

(5) Each CADORS event type has been associated with a risk classification. The complete list is available at the following link: RDIMS-#15865986 - CADORS Event Risk Classification.

- (a) Event risk classification 1 represents a high risk event;
- (b) Event risk classification 2 represents medium risk event; and
- (c) Event risk classification 3 represents low risk event.

Note: Event risk classification levels are assigned in the Web Intelligence platform; they are not available in the CADORS database.

5.0 Requirement to monitor and follow-up on CADORS occurrence reports

(1) Each Region and National Operations is responsible for establishing a process that defines:

- (a) How they will collect and monitor CADORS occurrence reports (e.g. from the Web Intelligence platform,) including how often occurrence reports will be extracted from the database;
- (b) Who will assign and/or conduct follow-up related to CADORS occurrence reports;
- (c) How CADORS data will be reviewed, validated, and any information resulting in a change that may affect the event risk classification for an occurrence report communicated to ASRA (CADORS-SCREAQ@tc.gc.ca);
- (d) What events will require follow-up; and
- (e) How the follow-up will be conducted and recorded.

(2) Regional and branch processes must meet or exceed the minimum requirements outlined in this Staff Instruction.

6.0 Risk-based requirements for CADORS follow-up

(1) Regions and National Operations are responsible for extracting CADORS data related to their region or branch and acting upon them based upon the event risk classification.

(2) Event risk classification 1, 2, and 3 will be used to determine the minimum follow-up required for each CADORS occurrence.

(3) In the event that surveillance is required or recommended, the type of inspection selected should be based on which tool is most suitable to respond to the information or event that triggered it, and is dependent on the specific circumstances encountered.

(4) The region/operational branch may elect to expand the scope of the inspection or initiate further surveillance depending on the information encountered during CADORS follow-up.

(5) Procedures related to reactive surveillance are located in SI SUR-001 – Surveillance Procedures (RDIMS 15356470).

(6) CADORS occurrences involving privately registered aircraft or general aviation are subject to follow-up at the region or branch management's discretion.

6.1 Event risk classification 1

(a) Reactive surveillance must be initiated for all occurrences assigned Event risk classification 1.

(b) While a compliance inspection is recommended, where warranted, the region/operational branch may elect to use another surveillance tool. For example, a process inspection.

6.2 Event risk classification 2

(a) Reactive surveillance is not mandatory but may be appropriate for CADORS occurrences assigned Event risk classification 2.

(b) A compliance inspection may be initiated at the discretion of region/operational branch management. Where warranted, the region/operational branch may elect to use another surveillance tool. For example, a process inspection.

(c) Administrative follow-up may also be conducted for information purposes.

6.3 Event risk classification 3

(a) Reactive surveillance is not mandatory but may be initiated for occurrences assigned Event risk classification 3 at the discretion of the region/operational branch.

(b) Administrative follow-up may also be conducted for information purposes.

7.0 CADORS follow-up

7.1 Management

(1) When a follow-up is required, the OPI TTL / CASI:

(a) Conducts surveillance according to SI SUR-001 – Surveillance Procedures (RDIMS 15356470).

(b) Manages the assigned activity to ensure all follow-up activities are accomplished.

(c) Ensures the follow-up activities are recorded in all appropriate databases as per section 8.0 – Information management.

7.2 Closure

(1) When a CADORS occurrence follow-up has been completed, the activity is documented in accordance with section 8.0 – Information management.

(2) Regions are to establish procedures to notify ASRA (CADORS-SCREAQ@tc.gc.ca) when updates, errors or omissions are identified in the CADORS information.

8.0 Information management

8.1 Surveillance records

(1) All documents of business value related to surveillance must be saved in accordance with the information management guidelines outlined in SI SUR-001 – Surveillance Procedures (RDIMS 15356470).

8.2 NACIS

(1) NACIS shall be used to capture all CADORS follow-up activities (CADORS Follow-up per SI SUR-035).

8.3 ARASS

(1) Time spent on CADORS related activities shall be recorded in ARASS:

(a) Where administrative or no follow-up is required, record the following:

(i) Task 212 Monitoring-Subtask – “Civil Aviation Daily Occurrence Reporting System (CADORS)”.

(ii) Time associated is captured in ARASS in accordance with regional/operational branch procedures.

(b) Where a CADORS occurrence requires a compliance inspection, record the following:

(i) Task 242 Compliance Inspection – Subtask – “Civil Aviation Daily Occurrence Reporting System (CADORS) - Follow-up”.

(ii) Upon completion, a unit and time associated is captured in ARASS for each CADORS occurrence follow-up in accordance with regional/operational branch procedures.

(c) Where a CADORS occurrence requires a more substantial follow-up than a compliance inspection as outlined in section 6, the follow-up will be recorded under the applicable reactive event type (for example, Task 241 – Reactive PI).

9.0 Document history

(1) Not applicable.

10.0 Contact us

For more information, please contact:
Technical Program Evaluation and Coordination Division (AARTT)
E-mail: TC.TPECDivision-DivisiondeTPEC.TC@tc.gc.ca

We invite suggestions for amendments to this document. Submit your comments to:

AART Documentation Services / Services de documentation AART
E-mail : AARTDocServices-ServicesdocAART@tc.gc.ca

Original signed by

Charles Lanning
Acting Director, Standards Branch
Civil Aviation