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Guidance for occurrence reporting in aviation

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In April 2016, Switzerland implemented the REGULATION (EU) No 376/2014 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 3 April 2014 on the reporting, analysis and follow-up of occurrences in civil aviation and the thereto related COMMISSION IMPLEMENTING REGULATION (EU) 2015/1018 of 29 June 2015 laying down a list classifying occurrences in civil aviation to be mandatorily reported according to Regulation (EU) No 376/2014 of the European Parliament and of the Council.

The implementation of the above-mentioned regulation and implementing regulation had a significant impact on the way and extent occurrences have to be reported to the responsible authority. In the past years, FOCA has gained practical experience on how the stakeholder and operators send their occurrence reports. In general, the quality and extent of the reports are satisfactory, however some points and procedures could be further improved. The aim of this guidance is to improve the quality of the reports and to try to reduce the workload on both sides, for the operators and the FOCA. This feedback might also help to answer questions and provide guidance on how to report to the authority on specific issues and what information has to be provided in detail (mandatory information).

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1 GENERAL

1.1 Occurrences to be reported

The Commission Implementing Regulation (EU) 2015/1018 of 29 June 2015 laying down a list classifying occurrences in civil aviation to be mandatorily reported according to Regulation (EU) No 376/2014:

<https://www.easa.europa.eu/document-library/regulations/commission-implementing-regulation-eu-20151018>

<u>ANNEX I:</u>	OCCURRENCES RELATED TO THE OPERATION OF THE AIRCRAFT
<u>ANNEX II:</u>	OCCURRENCES RELATED TO TECHNICAL CONDITIONS, MAINTENANCE AND REPAIR OF THE AIRCRAFT
<u>ANNEX III:</u>	OCCURRENCES RELATED TO AIR NAVIGATION SERVICES AND FACILITIES
<u>ANNEX IV:</u>	OCCURRENCES RELATED TO AERODROMES AND GROUND SERVICES
<u>ANNEX V:</u>	OCCURRENCES RELATED TO AIRCRAFT OTHER THAN COMPLEX MOTOR-POWERED AIRCRAFT, INCLUDING SAILPLANES AND LIGHTER-THAN-AIR VEHICLES

Reported events not listed in implementing regulation (EU) 2015/1018 are registered as voluntary occurrence reports

1.2 Reporting Channels and Data Format

According to the Regulation (EU) No 376/2014 there are only two reporting channels to FOCA available. Other channels will not be accepted:

- A. direct reporting via “data bridge” in an E5X-format. Therefore specific software is required, for further information contact occurrence@bazl.admin.ch
- B. via EASA reporting portal: <http://www.aviationreporting.eu>

Attention: accidents and serious incidents acc. ICAO Annex 13 and Regulation (EU) No 996/2010 have to be reported without delay to the Swiss Transportation Safety Investigation Board (STSB) via Swiss Air Ambulance Tel. 1414 (acc. Switzerland AIP ENR 1.14) and via regular 376-reporting channel to FOCA.

1.3 Reporting Timeframe

The diagram below illustrates the general flow of information, main deadlines and stages of the reporting.

The reporting flow starts from the moment a reportable event is identified. The individual shall report it to the organisation as soon as possible, but no later than 72 hours. The organisation has 72 hours to report to the authority (FOCA) from the moment they become aware of the occurrence and the event is classified as reportable.

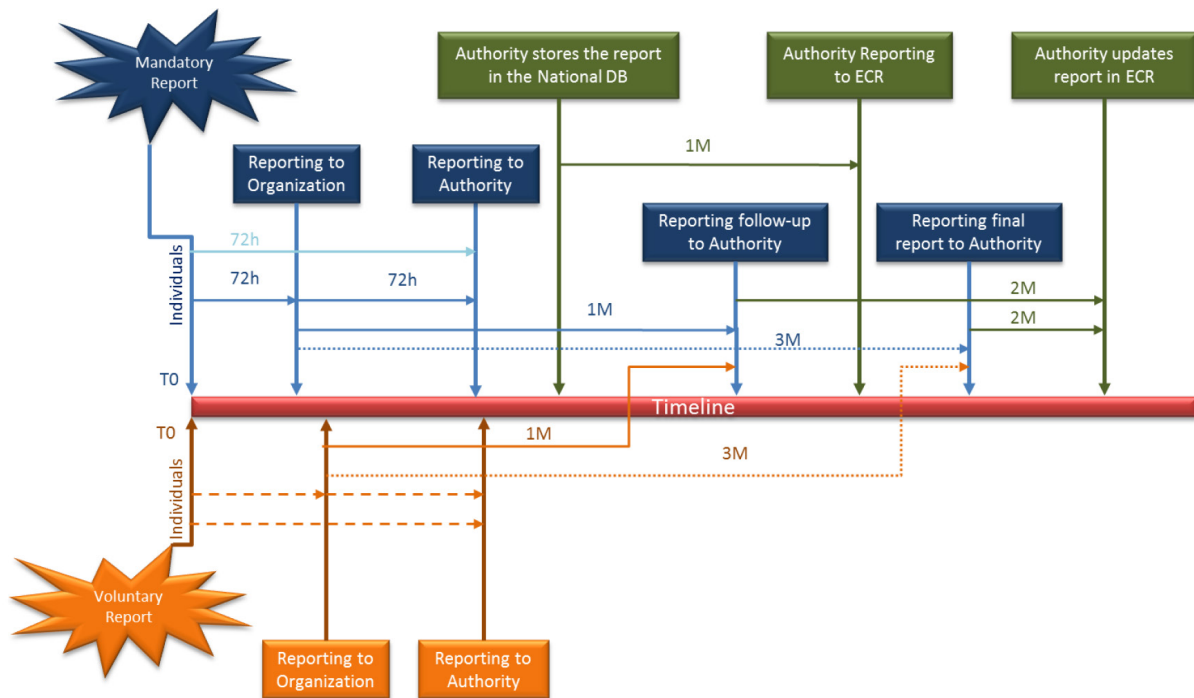


Figure 1: Ref. EASA Guidance Material – Version 1 (December 2015)

1.4 Follow up and Closing Messages

Where an organisation in Switzerland identifies an actual or potential aviation safety risk (see next chapter) as a result of its analysis of occurrences, it shall transmit to the FOCA within 30 days from the date of notification of the occurrence by the reporter:

- A. the preliminary results of the analysis performed; and
- B. any action to be taken

The organisation shall report the final results of the analysis, where required, as soon as they are available and, in principle, no later than 90 days from the date of notification of the occurrence.

The mandatory data field “Occurrence Class” (ID 431) triggers the follow up process. If the organisation classifies an occurrence as “Major”, “Serious Incident” or “Accident”, an automatic follow up and final report is expected.

FOCA is reviewing the occurrence severity classification of the organisation. In case of disagreement, FOCA will request a follow up and final report in line with chapter 1.4, independently from the operators original determination of the severity level.

1.5 Actual or potential safety risk

The EU leaves the definition of an “actual or potential aviation safety risk” to the national authority. The FOCA, therefore, defined what is to be understood under this term. The guideline should support the responsible reporting organisations to determine to which events the FOCA expects an automatic follow up and final report:

ACTUAL OR POTENTIAL AVIATION SAFETY RISK

Occurrences fulfilling the below criteria shall be classified as „actual or potential aviation safety risk“, requiring a follow- up (preliminary analysis and action taken) and final report:

1. Any occurrence, which has **resulted (actual)** in:

- 1.1. An Accident ^{1,2}, **or**;
- 1.2. A Serious Incident ^{1,2}.

Or

2. Any occurrence, of which the **SAFETY RISK SEVERITY LEVEL**³ is classified as **MAJOR/CAT B or above (potential)** to lead to an Accident or a Serious Incident).

References:

¹ For the definition of the term, refer to Regulation EU No 996/2010 - Investigation and prevention of accidents and incidents in civil aviation, respectively ICAO Annex 13

² These follow- up and final reports have to be sent to both, Civil Aviation Authority (CAA) and Air Accidents Investigation Branch (AAIB)

³ For the definition of the Safety Risk Severity Level, refer to ICAO DOC 9859 - Safety Management Manual (SMM), ESARR 2 - Eurocontrol Safety Regulatory Requirement and ICAO Doc 4444 – Air Traffic Management

It is understood that organisations shall discuss with their competent authorities to determine what types of occurrences are considered involving an actual or potential aviation safety risk compared to their own risk classification definition. A correlation matrix would clarify the correct application and has to be considered.

1.6 Additional Information for Reports

If an organization receives additional information from their staff on an occurrence that was already reported to FOCA, it is not considered to forward it to FOCA unless the information is substantial for the occurrence analysis and follow up.

2 Mandatory Information

2.1 Common & Specific Mandatory fields

Occurrence reports shall contain at least the information listed in Reg. EU No 376/2014 - Annex I and organisations shall establish data quality checking processes to improve data consistency. The data fields must be completed with the information requested. If it is not possible to include that information because it has not been provided by the reporter, the data field may be completed with the value 'unknown'. However, with a view to ensuring that the appropriate information is transmitted, use of that 'unknown' value should, to the best extent possible, be avoided, and the report should, where possible, be completed with the information.

Organisations must ensure that occurrence reports recorded in their databases contain at least the following information (Annex I of Reg. EU (No) 376/2014):

2.1.1 Common Mandatory Fields

All mandatory fields are listed in the Annex I of the regulation (EU) 376/2014 (refer also to the reduced interface taxonomy (RIT) if applicable). These fields should not be left empty. If information is not applicable or not available, please enter e.g. «unknown» or other relevant value e.g. «not applicable». Empty fields generate extra work during the process of the occurrence reports at FOCA and we additionally have to come back to you in certain cases.

At least the following information have to be included on every occurrence mandatorily reported to FOCA:

Taxonomy Title	ID#	Definition / Descriptions	Note / Examples
Headline			
Headline	601	A short message identifying the event	i.e. hard landing / birdstrike-no damage / level bust / ...
Filing Information			
Responsible Entity	453	The identification of the type of entity or organisation that is responsible for the occurrence record. (i.e. FOCA)	Switzerland FOCA
File Number	452	The file number allocated by the responsible entity.	not to be filled out by industry (!)
Occurrence Status	455	The present status of the occurrence, e.g. open, initial notification, preliminary or closed.	not to be filled out by industry (!) (default: closed)
When			
UTC Date	477	UTC date of the occurrence	DD.MM.YYYY
Where			
State/Area of Occurrence	454	The identification of the State or geographical area where the occurrence occurred	Europe and North Atlantic Austria (country name has to be included !)
Location of Occurrence	440	Location of occurrence should be the name of the closest settled area or geographical feature.	Use ICAO code: - LSZH, LSGG, etc. - Near XYCV - En route

Classification			
Occurrence Class	431	The classification of the occurrence in relation to its severity.	Use only the following classes: - Occurrence without safety effect - Significant incident - Major incident - Serious incident - Accident Do not use "Incident", "Observation" or "Occurrence with No Flight Intended"
Occurrence Category	430	The occurrence categories as developed by CAST/ICAO Common Taxonomy Team (CICTT). Commercial Aviation Safety Team [CAST] and International Civil Aviation Organization" [ICAO].	Choose any identifier from the given list.
Narrative			
Narrative Language	424	The language used by the originator of the narrative.	e.g. German, English, French, Italian
Narrative text	425	The text of the narrative entered by the reporter of the occurrence.	Explain the Event in a few sentences.
Events			
Event Type	390	The type of event, i.e. Consequential Events, Equipment, Operational, Personnel, Organizational or Unknown	Coded by FOCA
Risk Classification			
Risk Classification	1065	Internal risk classification of the reporting organisation	Result of the company own risk classification.

2.1.2 Specific Mandatory Fields - Aircraft related data fields

At least the following information have to be included on every occurrence mandatorily reported to FOCA:

Taxonomy Titel	ID#	Definition/Description	Example
Aircraft Identification			
State of Registry	281	State of Registry. The State on whose register the aircraft is entered.	i.e. Switzerland
Make/Model/Series	21	The name of the aircraft manufacturer and model	Airbus A330-300
Aircraft serial number	254	The serial number of the aircraft	12345
Aircraft Registration	244	The mark used to identify an aircraft. The mark consists of a common mark or nationality mark followed by a registration mark.	HB-XXX N-74XXA, etc.
Call sign	54	The assigned International Telecommunications Union radio call sign of the aircraft.	AB1234
Aircraft Operation			
Operator	215	The name of the aircraft operator exercising operational control over the flight (this should be entered for airline operations)	Hogwards Aviation Ltd.

Type of operation	2014	The type of operation indicates whether this was a public transport operation (airline operation) or a general aviation flight.	Commercial Air Transport General Aviation
Aircraft Description			
Aircraft Category	32	Aircraft category. Classification of aircraft according to specified basic characteristics, e.g. aeroplane, helicopter, glider, free balloon. ICAO Annex 1.	Fixed Wing - Aeroplane Rotorcraft - Helicopter
Propulsion Type	232	The type of propulsion system used by this aircraft, e.g. reciprocating engine or turbo-fan engine.	Turbofan, Turboprop, Turboshift, reciprocating, etc.
Mass Group	319	The mass group of the aircraft based on the maximum certificated take-off mass.	0 – 2250kg, etc.
History of Flight			
Last Departure Point	167	The aerodrome or place from which the flight originated.	Use ICAO code of aerodrome
Planned Destination	228	The place of intended landing.	Use ICAO code of aerodrome
Flight Phase	121	Enter the most significant phase of flight related to the occurrence.	Take off, En route, Approach, Landing, etc.
Weather			
Weather relevant	606	An indication whether, in the view of the investigation, the weather was relevant to the occurrence.	YES NO

2.1.1 Specific Mandatory Fields - Air navigation services related data fields

At least the following information have to be included on every occurrence mandatorily reported to FOCA:

Taxonomy Titel	ID#	Definition/Description	Example
ATM relation			
ATM contribution	428	Information on whether and to what extent, in the judgement of the investigators, the air traffic management contributed to the occurrence.	Directly involved Indirectly involved
Effect on ATM service (Service affected)	436	The classification of the event based on the effect it had on the air traffic management service.	e.g. degraded ATM service if radar not available or traffic rate reductions put in place
ATS Unit Name			
ATS Unit Name	372	The name of the ATS unit.	Normally 4-letter ICAO abbreviation of the appropriate airport, except for Zurich -> ZRH, Geneva -> GVA and Berne -> BRN

Separation Minima Infringement/Loss of Separation and Airspace Infringement-related data fields:

Taxonomy Titel	ID#	Definition/Description	Example
Airspace			
Airspace type	15	The type of the airspace according publication in the Aeronautical Information Publication AIP Switzerland.	Danger Area, CTR, CTA, etc.
Airspace class	13	Air traffic services airspaces. ICAO Annex 11.	C, D, E, G
FIR/UIR name	16	Flight Information Region - name or Upper flight information region - name	LSAS

2.1.1 Specific Mandatory Fields - Aerodrome related data fields

At least the following information have to be included on every occurrence mandatorily reported to FOCA:

Taxonomy Titel	ID#	Definition/Description	Example
Location			
Location Indicator (ICAO indicator of the airport)	5	Location indicator. A four-letter code group formulated in accordance with rules prescribed by ICAO and assigned to the location of an aeronautical fixed station.	LSZH
Location on the aerodrome	641	The specific location of the occurrence on the aerodrome or an indication that the occurrence occurred near the aerodrome. "Near" is meant to indicate that the occurrence occurred off the aerodrome but within 10 km from the aerodrome reference point.	Aircraft stand, etc.

2.1.2 Specific Mandatory Fields - Aircraft damage or personal injury-related data fields

At least the following information have to be included on every occurrence mandatorily reported to FOCA:

Taxonomy Titel	ID#	Definition	Example
Severity			
Highest Damage	432	the highest level of damage sustained by any aircraft involved in the occurrence	Unknown, none, minor, substantial, destroyed
Injury Level	451	The highest level of injury sustained by any person in the occurrence.	Unknown, none, minor, serious, fatal
Injuries to persons			
Number of injuries on ground (fatal, serious, minor)	463	The total number of persons on the ground that sustained any injury in the occurrence.	Add number(s)
Number of injuries on aircraft (fatal, serious, minor)	468	The total number of persons with minor injuries on board the aircraft involved in the occurrence.	Add number(s)

2.1.3 Specific Information on FOCA request

The following information are requested in addition to the mandatory and specific mandatory fields in order to improve data quality and follow / tracking on the reports.

Taxonomy Titel	ID#	Definition	Example
Factual Information			
Reporting entity	447	The identification of the entity or organisation that provided the report.	Switzerland – Other: Aircraft Operator, ANS, CAMO, etc.
Report identification	438	The identifying file reference of the report, allocated by the responsible entity.	File number used company internal for tracking and follow up. For follow up messages always use the same reference number as the initial report.
Report source	476	The source of the report, i.e. from investigations, voluntary reporting, media reports etc.	Use only: - Reportable incident - Voluntary occurrence report
Report status	800	Report status	Use only: - initial notification (only if follow up expected) - closed on issue - open (only for follow ups) - closed (only if follow up was sent)
Reporting date	801	Reporting date	Insert only the actual date when initial- or follow up report sent to FOCA
Dangerous Goods			
DG involved	129	Dangerous goods involved	- Yes - No - Unknown
Dangerous Goods	688	Dangerous good (Class number and UN number)	3 – Flammable Liquids 1223 - Kerosene
Shipper name	1053	Shipper name	For DG not declared only
Bird/Wildlife strike			
Parts struck	644	The parts of the aircraft struck by the bird strike (but not necessarily damaged)	Radome, Windshield, Nose, Engine, Propeller, Wing, Rotor, Fuselage, Landing Gear, Tail, Lights, Other
Birds/wildlife seen	646	The estimated number of birds or wildlife seen.	1, 2-10, 11-100, More, Unknown
Bird size	648	The estimated size of the bird	Small, Medium, Large, Unknown
Pilot advised of birds	649	Pilot advised of the presence of birds.	Yes, No, Unknown
Parts damaged	643	The parts of the aircraft damaged by the bird strike	Radome, Windshield, Nose, Engine, Propeller, Wing, Rotor, Fuselage, Landing Gear, Tail, Lights, Other
Bird/wildlife struck	647	The estimated number of birds/wildlife that struck the aircraft.	1, 2-10, 11-100, More, Unknown
Species description	645	Generally the species of birds / wildlife that were involved in the occurrence. Note: Non-bird entries (mammal, reptile) are also included there.	List of species
Classification fields			
Analysis / Follow up	1067	Details on the analysis development and follow up.	Description of the analysis and follow up.
Corrective actions	1069	Details on the actions proposed/done	Description of the actions proposed/done
Conclusions	1070	Details on the conclusions for the organisation	Description of conclusions, actions, measures

Note:

we have agreements with some operators in regards to some additional fields they are asked to provide FOCA with information to enable proper data analysis. These agreements remain unchanged.

2.2 Additional documents & attachments

If you have additional available documents to an occurrence report, do not forget to send them along with your report.

3 Protection of the information source

Each Member State shall ensure that no personal details of persons are ever recorded in the national database. In order to fulfil the obligation, organisations are requested to include a specific de-identification check in their data processing flow.

FOCA is not interested in any names of persons involved in an occurrence.

4 FAQ

Please address your questions in regards to the occurrence reporting to occurrence@bazl.admin.ch.

You may find detailed guidance material issued by the European Commission on the implementation of this regulation at the following link:

<https://ec.europa.eu/transport/sites/transport/files/modes/air/safety/doc/guidancematerial376.pdf>

Ittigen, April 2019 / FOCA – SRM office