

Incident Reporting and Investigation

Airside Operational Instruction 09

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AOI Owner - Airfield Operations



SECTION 1 – SAFETY REPORTING INTRODUCTION

- 1.1 An accident or safety occurrence can indicate that there is a failure within the safety management system. It is therefore important that all accidents and safety occurrences are reported and investigated.
- 1.2 There are five types of incident reporting system at EMA:
 - a. Mandatory (required by law) via ECCAIRS or TOKAI (ATC only)
 - b. Accident/Safety Occurrence (Incident) Reporting System – EMA Internal databases
 - c. Personal Injury via Rivo Safeguard
 - d. Additional ANS reporting
 - e. Voluntary/Anonymous Safety Reporting
- 1.3 EMA in-house training will provide instruction on Investigation methodology. ‘Tap-Root’ system is also utilised, subject to receipt of relevant training/qualifications.
- 1.4 The processes for Mandatory Occurrence Reporting and safety reporting at EMA are detailed within this AOI. Additional ANS reporting, via TOKAI is contained in MATS Part 2.

SECTION 2 - MANDATORY OCCURRENCE REPORTING

1. Introduction

- 1.1 Occurrence Reporting Analysis and Follow-up of occurrences in civil aviation is legislated through European Regulation (EU) 376/2014. CAA CAP 382 provides guidance material relating to the requirements of this regulation.
- 1.2 A Mandatory Occurrence Reporting (MOR) is defined in (EU) 376/2014 as:

“An occurrence which may represent a significant risk to aviation safety.”
- 1.3 The following paragraphs contains both general information as to the persons who shall submit an MOR in accordance with Article 4(6) of Regulation (EU) 376/2014 (as amended) and the relevant occurrence types to airport operations. It also contains more specific information as to how the Airport shall collect, store, analyse and follow-up on MORs. In this regard, business partners should consider their own obligations to collect, store, analyse and follow-up on MORs in accordance with Regulation (EU) 376/2014 (as amended).

2. Persons Mandated

- 2.1 Article 4(6) of Regulation (EU) 376/2014 (as amended) specifies the persons who shall report on occurrences in accordance with Article 4(1) of Regulation (EU) 376/2014 (as amended). A person mandated to report may do so through the system established by the organisation which employs, contracts or uses the services of the reporter, or, failing that the EU Aviation Safety Reporting Portal database, online. The persons who shall report upon occurrences in accordance with Article 4(6) of Regulation (EU) 376/2014 (as amended) are:
 - The pilot in command, or in cases where the pilot in command is unable to report the occurrence, any other crew member next in the chain of command of an aircraft;

- A person engaged in designing, manufacturing, continues airworthiness monitoring, maintaining or modifying an aircraft or any equipment or part thereof, under the oversight of a Member State or EASA;
- A person who signs an airworthiness review certificate, or a release to service in respect of an aircraft or any equipment or part thereof, under the oversight of a Member State or EASA;
- A person who performs a function which requires him or her to be authorised by a Member State as a staff member of an ATC provider entrusted with responsibilities related to air navigation services;
- A person who performs a function connected with the installation, modification, maintenance, repair, overhaul, flight-checking or inspection of aircraft navigation facilities for which a Member State ensures oversight;
- A person who performs a function connected with the safety management of an airport to which Regulation (EC) 1008/2008 (as amended) applies, and;
- A person who performs a function connected with the ground handling of aircraft, including fuelling, loadsheet preparation, loading, de-icing and towing at an airport at which Regulation (EC) 1008/2008 (as amended) applies.

3. Reportable Occurrences

In accordance with Article 4(5) of Regulation (EU) 376/2014, the European Commission has adopted a list of classifying occurrences to be referred to when reporting occurrences pursuant to Article 4(1) of Regulation (EU) 376/2014. These classifying occurrences can be found in Commission Implementing Regulation 2015/1018, and include amongst others:

3.1 Aircraft and Obstacle Related Occurrences.

- A collision or near collision on the ground or in the air, between an aircraft and another aircraft, terrain or obstacle, including a vehicle;
- Wildlife strike, including a bird strike;
- Taxiway or runway excursion;
- Actual or potential taxiway or runway incursion;
- Aircraft or vehicle failure to follow clearance, instruction or restriction while operation on the movement of an aerodrome, i.e. wrong runway, taxiway or a restricted part of an aerodrome;
- Foreign object on the aerodrome movement area which has or could have endangered the aircraft its occupants or any other person;
- Significant contamination of aircraft structure, systems and equipment arising from the carriage of baggage, mail or cargo;
- Presence of obstacles on the aerodrome or in the vicinity of the aerodrome which are not published in the Aeronautical Information Publication (AIP) or by a Notice to Airmen (NOTAM) and/or that are not marked or lighted properly;
- Pushback, powerback or taxi interference by vehicle, equipment or person;
- Jet blast, rotor down wash or propeller blast effect, and;
- Declaration of an emergency either a 'Mayday' or 'PAN' call.

3.2 Aerodrome Related Occurrences.

- Absence of reporting of a significant change in aerodrome operating conditions which has or could have endangered the aircraft, its occupants or any other person;

- Interference with an aircraft an ATC unit or a radio communication transmission by firearms, fireworks, flying kites, laser illumination, high powered light-lasers, drones, model aircraft or by similar means;
- Fire, smoke, explosions in aerodrome facilities, vicinities and equipment which has or could have endangered the aircraft, its occupants or any other person;
- Passengers or unauthorised person(s) left unsupervised on the apron;
- Aerodrome security related occurrence (unlawful entry, sabotage, bomb threat etc.), and;
- Failure to handle poor runway surface conditions.

3.3 Degradation or Total Loss of Services or Functions.

- Loss of communication between aerodrome, vehicle or other ground personnel and ATC;
- Significant failure, malfunction or defect of equipment or system which has or could have endangered the aircraft or its occupants;
- Significant deficiencies in aerodrome lighting, marking or signs;
- Failure of the aerodrome emergency alerting system;
- Rescue and firefighting services not available according to applicable requirements.

3.4 Ground Handling Occurrences

- Incorrect handling or loading of passengers, baggage, mail or cargo, likely to have a significant effect on aircraft mass and/or balance (including significant errors in loadsheet calculations);
- Boarding equipment removed leading to endangerment of aircraft occupants;
- Incorrect stowage or securing of baggage mail or cargo likely in any way to endanger the aircraft, its equipment or occupants or to impede emergency evacuation;
- Transport, attempted transport or handling of dangerous goods which resulted or could have resulted in the safety of the operation being endangered or led to an unsafe condition;
- Non-compliance on baggage or passenger reconciliation;
- Non-compliance with required aircraft and ground handling servicing procedures, especially in deicing, refuelling or loading procedures, including incorrect positioning or removal of equipment;
- Significant spillage during fuelling procedures;
- Loading of incorrect fuel quantity likely to have a significant effect on aircraft endurance, performance, balance or structural strength;
- Loading of contaminated or incorrect type of fuel or other essential fluids (including oxygen, nitrogen, oil and portable water);
- Failure, malfunction or defect of ground equipment used for ground handling, resulting in damage to or potential damage to an aircraft;
- Missing, incorrect or inadequate de-icing or anti-icing treatment;
- Damage to aircraft by ground handling equipment or vehicles including previously unreported damage, and;
- Any occurrence where the human performance has directly contributed to or could have contributed to an accident or serious incident.

4. Reporting Timescales

The persons mandated to report in accordance with Article 4(6) of Regulation (EU) 376/2014 (as amended) shall report the occurrence within 72 hours of becoming aware of the occurrence, unless exceptional circumstances exist, in accordance with Article 4(7) of Regulation (EU) 376/2014 (as amended).

5. Reporting system

- 5.1 Airfield Operations are designated by the Airport to handle independently the collection, evaluation, processing, analysis and storage of occurrences reported pursuant to Articles 4 and 5 of Regulation (EU) 376/2014 (as amended) in accordance Article 6(1) of Regulation (EU) 376/2014 (as amended).
- 5.2 The Airfield Operations Department is also the central reporting point for the collection and collation of all information on the aprons at EMA, whether they are MOR reportable or not.
- 5.3 To avoid duplication of reports, the Airfield Operations Supervisor should liaise with the Airline/Handling agent involved with the occurrence and ATC to agree which agency will submit the MOR to the CAA.
- 5.4 Guidance on the MOR scheme and report filing is contained in EU Regulation 376/2014; CAP382, it's supplement CAP382s "Guide to ground safety reporting" and also via the dedicated CAA webpage <http://publicapps.caa.co.uk/modalapplication.aspx?appid=11&catid=1&id=5806&mode=detail&pagetype=65>

- 5.6 For all investigations classified as Level 3 Moderate, Level 2 Serious or Level 1 Catastrophic or where there is a trend or safety concern the following investigation process will be completed by the Compliance Manager Operations and Safety. The Compliance Manager- Operations and Safety will conduct a root- cause analysis as part of this investigation.

These incidents will be added to an investigation tracker. The tracker documents used to record all the investigation information will be stored in a folder in Safety Management along with any evidence collated throughout the process.

6. Reporting channels

- 6.1 Details of any incident deemed to require a MOR should be reported by either, the internal reporting systems of individual organisations or via the ECCAIRS reporting portal at <http://www.aviationreporting.eu/AviationReporting/>
- 6.2 Guidance on using the ECCAIRS Portal Reporting System can be found in CAP 1496.

7. AAIB

The AAIB advise that..."If you identify parts from an aircraft or suspect the debris to be from an aircraft or related to an aircraft event, then follow one of two approaches":

- 1) If the aircraft reports a problem or the situation develops into an accident or serious incident, then call us directly on the 24hr number (01252 512299) and retain the parts (or leave in-situ, depending on the seriousness of the event) until you've received further instructions from one of our duty coordinators.

- 2) If there is no associated problem reported from the aircraft or it's not obvious which specific aircraft it was from, return the component to the airline (if identifiable) as you would have done previously, but send an advisory email to our ops centre, ideally with a photo and location found, within a routine response time. (investigations@aaib.gov.uk)

If you're unsure how to progress, then the default option is to call the 24hr number and ask for advice. The ideal way to deal with aircraft items found on the airfield is to record a GPS location, take a photograph or two in-situ before moving it and consider marking the ground with paint. However, this may not always be possible depending on the circumstances and accept sometimes a judgement call has to be made to maintain safety.

8. Follow Up Procedures

- 8.1 Any MOR submitted to the CAA by the Airfield Operations Department should also be recorded on the internal database and procedures followed as detailed in section 3 below.
- 8.2 Should a follow up report be required by the CAA this would be initially instigated through ATSM / DATSM or ODSM. The required detail will be requested from the investigating officer (as a formal report) and submitted to the requestor at the CAA.
- 8.3 Further copies of the MOR form should be made and distributed internally to the following list:
 - Operations Director
 - Air Traffic Services Manager
 - Head of Fire and Airfield Operations
 - Compliance Officers
 - A copy should be kept on file with the investigation details.
- 8.4 MOR's submitted will be reviewed and trends reported to the relevant safety committees.

SECTION 3 - AIRSIDE ACCIDENT AND SAFETY OCCURRENCE REPORTING

1. Introduction

- 1.1 An accident and (or) safety occurrence investigation and reporting system is in place at EMA to ensure that action is taken to safeguard life and property, including aircraft, vehicles, equipment and airport infrastructure.
- 1.2 The objective of the system is to enable full investigations into the causes of accidents or safety occurrences so that remedial or mitigation measures can be put in place to prevent future reoccurrences.
- 1.3 As defined in the Aerodrome Manual Part B, Incident Investigation training is mandatory for all EMA Duty Management (including supervisory staff).
- 1.4 Actions required under the terms of this procedure do not replace any actions that may be required by individual employers or absolve any person from their responsibilities for any reporting procedure required by Statute or Regulation.

- 1.5 Just Culture: “East Midlands Airport supports and promotes a 'Just safety culture' which creates an environment that encourages employees to report all incidents and safety concerns without the threat of censure, disciplinary action or subsequent loss of employment, except where there is gross negligence, or a deliberate or wilful disregard to our standard operating practices and procedures”.

2. Definitions none Operational

- 2.1 For the purposes of this document, an **accident** is defined as:
- An event that causes any damage to an aircraft, no matter how small.
 - An event causing an injury to a person that is reportable under the terms of RIDDOR.
 - An event that causes damage to a vehicle, equipment, plant or building that requires remedial action before such can be bought back into use.
- 2.2 For the purposes of this document, a **safety occurrence** is defined as:
- An event that causes a minor injury to a person that is not reportable under the terms of RIDDOR.
 - An event that causes minor damage to a vehicle, equipment, plant or building that does not require remedial action before such can be bought back into use.
 - An event, situation or condition with a potential to cause injury, harm, damage or loss (categorised as errors, hazards or near misses).

3. Reporting procedures

- 3.1 Accidents and safety occurrences must be reported without delay to Operations (Fire) Control on 01332 852973 or PABX on ext. 3333 giving details of:
- the name and company of the caller
 - location of accident/safety occurrence
 - injuries to personnel
 - equipment involved
 - a description of what happened
 - what immediate assistance is required
- 3.2 The Operations Control Room will contact the AOS by R/T to ensure awareness of the accident / safety occurrence. Should medical attention be required, the RFFS should be contacted in the first instance so that a delay in medical response is not incurred.
- 3.3 The scene of the accident or safety occurrence should be isolated and the vehicles, plant and equipment involved in the accident or safety occurrence should not normally be moved until the Airfield Operations Supervisor is in attendance. However, if in the judgement of the senior person present or the Officer in Charge of the Fire Service their removal is necessary in the interests of safety or to affect a rescue, this may be done. The scene should be digitally photographed before being disturbed.
- 3.4 Reports of safety occurrences or unsafe conditions/practices can be made anonymously to the above numbers or in writing to the Airfield Operations Supervisor.
- 3.5 Reports involving personal injury should be recorded by the Airfield Operations Supervisor on Rivo Safeguard.

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- 3.6 Airside accidents and/or safety occurrences should be recorded by the Airfield Operations Supervisor on the 'Airside Safety' internal EMA database.
- 3.7 The person receiving a report must always protect the identity of the reporting party and acknowledged the receipt of the report to the reporting party.

4. Follow up procedures

- 4.1 The Airfield Operations Supervisor will undertake an initial investigation of all accidents and safety occurrences that are reported in airside areas. The investigation report will include details of the event, the cause of the accident or safety occurrence and details of any mitigating actions that may be required to prevent future reoccurrence.
- 4.2 Each company that is involved in the accident or safety occurrence must submit a full written report of the accident or safety occurrence, following any necessary investigation, to the Airfield Operations Supervisor within ten working days. If this is not achievable, an update should be e-mailed detailing the timescale for response.
- 4.3 Details should include;
- all details as required in paragraph 3 above
 - the result of any subsequent investigation
 - action taken to prevent future re-occurrence
- 4.4 Feedback should be provided to the reporter of the incident
- 4.5 'Lessons learnt' through these processes will be passed to the relevant safety committees.
- 4.6 Voluntary / Anonymous safety reporting

A Voluntary / Anonymous Safety Reporting system is available for use by all East Midlands Airport Airside operators. This system provides a means to allow airfield users to voluntarily raise safety concerns (anonymously if required) that can be responded to and investigated further, it also provides a further method for increasing knowledge on safety performance and culture.

The following link and QR code provide access to the online 'voluntary/anonymous safety reporting portal

<https://www.eastmidlandsairport.com/ops>



SECTION 4 - INTERNAL SAFETY INVESTIGATIONS

1. Introduction

- 1.1 The primary purpose of accident or safety occurrence investigations is to gather information and evidence in order that the facts can be determined with a view to preventing recurrence of an accident or escalation of a safety occurrence to an accident. The determination of liability or the allocation of blame for disciplinary purposes is secondary to the objective of accident prevention.
- 1.2 It is recognised that major accidents may be subject to investigation by outside agencies such as the Air Accident Investigation Board or the Police. All information, pictures, statements and reports plus the results of any investigations as detailed in this manual will be made available to assist this process.

2. Initial report

- 2.1 All accidents and safety occurrences that happen in airside areas must be reported to Airfield Operations as required in section 3 above.

3. Collation of information

- 3.1 All accidents and safety occurrences that are reported on the ramp or other airside areas will be recorded by the Airfield Operations Supervisor (AOS) who prepare a separate file to hold all relevant information for each individual accident or safety occurrence.
- 3.2 The AOS will ensure that the scene is digitally photographed to assist with the investigation.

- 3.3 Following any accident that has caused an injury or any damage to aircraft, vehicle or equipment, the driver's Airside Driving Permit (ADP) will be withdrawn immediately by the AOS, pending investigation, irrespective of the apparent cause of the accident.
- 3.4 Details of the accident, including a drawing showing a plan of the accident or safety occurrence scene will be recorded on the MAG "Ramp Accident and Incident Report" or "Ramp Safety Occurrence Report" forms.
- 3.5 Witness statements will be collected on the "witness statement" form.
- 3.6 Details of an accident or safety occurrence will be recorded electronically on the "Rivo Safeguard" reporting system <https://www.rivosafeguard.com/logon.aspx>.

4. Accident Investigation

- 4.1 All accidents and safety occurrences that are reported on the ramp or other airside areas will be investigated by the AOS.
- 4.2 The initial investigation should be completed within ten working days of the accident or safety occurrence being reported. If further investigations are required beyond this time to enable closure of the incident, the Head of Fire & Airfield Operations should be advised.
- 4.3 As detailed previously, all companies that may be involved in an airside accident or safety occurrence should conduct an investigation into the circumstances leading to the accident or safety occurrence and provide a full written report to the AOS. Where appropriate, the AOS will co-ordinate their airside safety investigation to run in parallel with such investigations by other company managers.
- 4.4 On completion of the initial investigation, the AOS carrying out the investigation is to enter the findings, conclusions and any recommended or required actions into the electronic database, which will produce a "Management Report" to be added to the folder containing details of the relevant accident or safety occurrence.
- 4.5 An e-mail should then be sent to the Head of Fire & Airfield Operations to be reviewed and closed as relevant.

5. Follow up procedures

- 5.1 All open accident and safety occurrence reports will be reviewed on a monthly basis by the Head of Fire & Airfield Operations and actions taken to facilitate the closure of the incident.
- 5.2 The results and findings of any investigations will be discussed with the persons involved and any learning points identified.
- 5.3 Any action points raised by the investigation will be followed up by the AOS and should be closed off within ten working days of the date of the accident / safety occurrence.
- 5.4 Any outstanding action points not closed off within ten working days will be reported to the Head of Fire & Airfield Operations who will instigate appropriate action.
- 5.5 Statistics relating to accidents and safety occurrences will be summarised and submitted to the

relevant safety committees for trend analysis purposes.

- 5.6 The relevant safety committees will identify and instigate any alterations to EMA procedures that may be required to prevent reoccurrence of an accident or safety occurrence.