



Regulation (EU) No 376/2014

**Reporting, Analysis and Follow-Up
of Occurrences in Civil Aviation for**

Non-Commercial Powered Aeroplanes



Agenda

- Regulation (EU) No 376/2014
- Why reporting occurrences?
- Who has to report?
- What has to be reported?
- Reporting channel?
- What is FOCA doing with the occurrence reports?
- **Data Analysis & Statistics 2019**
- **3 Ereignisse, die sich in LSZW abgespielt haben**



Regulation (EU) No 376/2014

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

Implementation in Switzerland: 01.04.2016

www.bazl.admin.ch



Meldepflicht nach EU-Vo 376/2014

Meldesystem nach EU-Vo 376/2014:

Art. 4	Art. 5
Meldepflicht (Mandatory Occ. Rep.)	Freiwillige Meldungen (Voluntary Occ. Rep.)
Ereignisse , die ein erhebliches Risiko für die Flugsicherheit darstellen können	Ereignisse , die nicht unter die meldepflichtigen Ereignisse fallen
Personen , die in Art. 4 Abs. 6 aufgeführt sind	Alle möglichen Personen

© Christian Kindler/SISS



Meldepflicht – freiwillige Meldungen

VERORDNUNG (EU) Nr. 376/2014 DES EUROPÄISCHEN PARLAMENTS UND DES RATES

- vom 3. April 2014

über die Meldung, Analyse und Weiterverfolgung von Ereignissen in der Zivilluftfahrt, zur Änderung der Verordnung (EU) Nr. 996/2010 des Europäischen Parlaments und des Rates und zur Aufhebung der Richtlinie 2003/42/EG des Europäischen Parlaments und des Rates und der Verordnungen (EG) Nr. 1321/2007 und (EG) Nr. 1330/2007 der Kommission

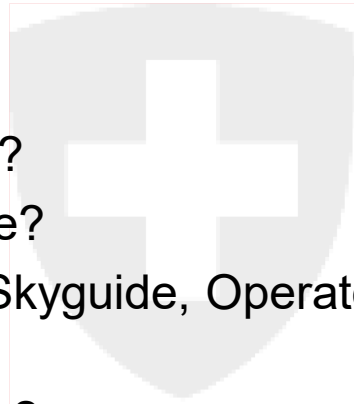
- **Artikel 5**
- ...
- (8) Die im Rahmen der freiwilligen und der obligatorischen Meldung erhaltenen Informationen können in einem einzigen System zusammengeführt werden.
- www.aviationreporting.eu für Meldung von freiwilligen und meldepflichtigen Ereignissen – nur 1 System!



Why reporting occurrences?

The **reporting** of aviation safety occurrences is vital to the prevention of aircraft accidents. It contributes to understand where safety risks lie in the aviation system and helps decision makers in organisations and competent authorities (both at national and European level) to adopt relevant measures:

- where are the hot spots?
- what can FOCA improve?
- what can the Industry (Skyguide, Operator, Flightschool...) improve?
- what can EASA improve?





Who has to report? Mandatory!

REGULATION (EU) No 376/2014 Art. 4 paragraph 6

The **following** natural **persons shall report** the occurrences:

- **a) the pilot in command, ...**
- (b) a person engaged in designing, manufacturing, continuous airworthiness monitoring, maintaining or modifying an aircraft, or any equipment or part thereof, ...
- (c) a person who signs an airworthiness review certificate, or a release to service in respect of an aircraft or any equipment or part thereof, ...
- (d) a person who performs a function which requires him or her to be authorised by a Member State as a staff member of an air traffic service provider entrusted with responsibilities related to air navigation services or as a flight information service officer;...
- (e) a person who performs a function connected with the safety management of an airport,
- (f) a person who performs a function connected with the installation, modification, maintenance, repair, overhaul, flight-checking or inspection of air navigation facilities.....
- (g) 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...
- **The persons listed in paragraph 6 shall report occurrences within 72 hours of becoming aware of the occurrence, unless exceptional circumstances prevent this.**

→ ATTENTION: Accidents and serious incidents have to be reported to SUST as well !!



What has to be reported? Mandatory!

IMPLEMENTING REGULATION (EU) 2015/1018, Annex V OCCURRENCES RELATED TO THE OPERATION OF THE AIRCRAFT:

SOME EXAMPLES «Air Operations»:

- (1) Unintentional loss of control.
- (2) Landing outside of intended landing area.
- (3) Inability or failure to achieve required aircraft performance expected in normal conditions during take-off, climb or landing.
- (4) Runway incursion
- (5) Runway excursion.
- (6) Any flight which has been performed with an aircraft which was not airworthy, or for which flight preparation was not completed, which has or could have endangered the aircraft, its occupants or any other person.
- (7) Unintended flight into IMC (Instrument Meteorological Conditions) conditions of aircraft not IFR (Instrument flight rules) certified, or a pilot not qualified for IFR, which has or could have endangered the aircraft, its occupants or any other person.
- (8) Unintentional release of cargo (?).



What has to be reported? Mandatory!

IMPLEMENTING REGULATION (EU) 2015/1018, Annex V OCCURRENCES RELATED TO THE OPERATION OF THE AIRCRAFT:

SOME EXAMPLES «Technical Occurrences»:

1.2. Technical occurrences

- (1) Abnormal severe vibration (for example: aileron or elevator 'flutter', or of propeller).
- (2) Any flight control not functioning correctly or disconnected.
- (3) A failure or substantial deterioration of the aircraft structure.
- (4) A loss of any part of the aircraft structure or installation in flight.
- (5) A failure of an engine, rotor, propeller, fuel system or other essential system.
- (6) Leakage of any fluid which resulted in a fire hazard or possible hazardous contamination of aircraft structure, systems or equipment, or risk to occupants.



What has to be reported? Mandatory!

IMPLEMENTING REGULATION (EU) 2015/1018, Annex V OCCURRENCES RELATED TO THE OPERATION OF THE AIRCRAFT:

SOME OTHER EXAMPLES:

1.3. Interaction with air navigation services and air traffic management

- (1) Interaction with air navigation services (for example: incorrect services provided, conflicting communications or deviation from clearance) which has or could have endangered the aircraft, its occupants or any other person.
- (2) Airspace infringement.

1.4. Emergencies and other critical situations

- (1) Any occurrence leading to an emergency call.
- (2) Fire, explosion, smoke, toxic gases or toxic fumes in the aircraft.
- (3) Incapacitation of the pilot leading to inability to perform any duty.



What has to be reported? Mandatory!

IMPLEMENTING REGULATION (EU) 2015/1018, Annex V OCCURRENCES RELATED TO THE OPERATION OF THE AIRCRAFT:

SOME OTHER EXAMPLES:

1.5. External environment and meteorology

- (1) A collision on the ground or in the air, with another aircraft, terrain or obstacle (!).
- (2) A near collision, on the ground or in the air, with another aircraft, terrain or obstacle (!) requiring an emergency avoidance manoeuvre to avoid a collision.
- (3) Wildlife strike including bird strike which resulted in damage to the aircraft or loss or malfunction of any essential service.
- (4) Interference with the aircraft by firearms, fireworks, flying kites, laser illumination, high powered lights lasers, Remotely Piloted Aircraft Systems, model aircraft or by similar means.
- (5) A lightning strike resulting in damage to or loss of functions of the aircraft.
- (6) Severe turbulence encounter which resulted in injury to aircraft occupants or in the need for a post-flight turbulence damage check of the aircraft.
- (7) Icing including carburettor icing which has or could have endangered the aircraft, its occupants or any other person.



Reporting Channel

Occurrences according EU Nr. 376/2014 have to be reported via:

www.aviationreporting.eu

Attention:

**Accidents and serious incidents
have to be reported to the SUST via REGA
1414 or from abroad +41 333 333 333 as
well !!**



Reporting Channel

From the EU-Portal, the reports are sent to FOCA directly (and not to EASA). You receive a copy of the report.

Dear Max Muster

you have submitted an aviation safety related occurrence report via the website WWW.AVIATIONREPORTING.EU

This email confirms that your report has been forwarded to your competent authority.

The subject is: **Harte Landung**

Local date: **01/02/2016**

State/area: **Europe and North Atlantic - Switzerland**

Location: **LSZH**

Attached to this email you will find the submitted report in simple text format.

Thank you very much for your contribution to improving aviation safety!

Occurrence

File number	000065/2016
Headline	Harte Landung
Local date	01/02/2016
Location name	LSZH
Occurrence category	ARC: Abnormal runway contact
Occurrence class	Significant incident
Responsible entity	Switzerland - FOCA
State/area of occ	Europe and North Atlantic - Switzerland
Weather relevant	Yes

Aircraft

Aircraft category	Fixed Wing
Aircraft registration	HB-XXX
Manufacturer/model	PIPER - PA28 - 150

Reporting history

Reporter's description	Im Anflug auf die Piste 14 wurde ich kurz vor dem Aufsetzen von einer Windböe erfasst (Taktwind), was zu einer harten Landung geführt hat. Das Flugzeug wurde im Anschluss technisch untersucht und es konnten keine Schäden festgestellt werden.
Reporter's language	German
Reporting date	19/02/2016



What is FOCA doing with your reports?

- Reports are sent **from the EU-Portal directly to the SRM-Office.**
- Reports are uploaded in a Database, coded and used for analysis and statistic purposes. The data is **de-identified.**
- Reports are **forwarded** to the **responsible division** for information.
- In case of **major issues** you are **being contacted** by an inspector for further information gathering.
- Remember: **Just Culture principles are applied !!**
- **In case of differences in just culture application you may contact...**



ROJCA

Reporting Office for Just Culture in Civil Aviation ROJCA

1. The **Reporting Office for Just Culture in Civil Aviation** aims to strengthen **Just Culture** through the protection of the information source of an occurrence reporting in Swiss Civil Aviation.
2. Individuals can **inform the Reporting Office of alleged infringements** regarding the protection principles (just culture application) by national authorities or their organisation.
3. After examining the facts and circumstances and if applicable, the **Reporting Office can issue a recommendation towards the respective national authority**.
4. The Reporting Office is based on **Regulation (EU) No. 376/2014** Art. 16(12).
5. Link: <https://www.uvek.admin.ch/uvek/de/home/uvek/organisation/fachstellen/meldestelle-just-culture-zivilluftfahrt.html>



What is FOCA doing with the Data?

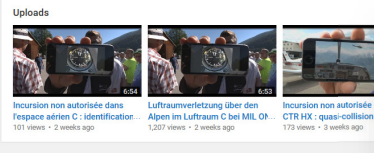
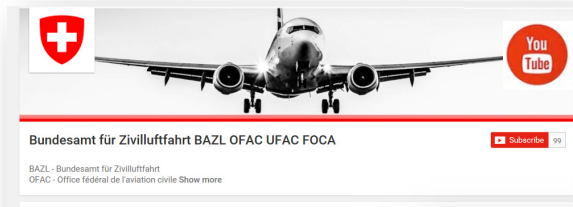
Data for safety promotion

Channels and material for promotion campaigns:

- leaflets
- videos on youtube (Airspace Infr. / RPAS)
- new aviation charts
- safety conferences
-



Safety Promotion Network (SPN)



Lesson Learned

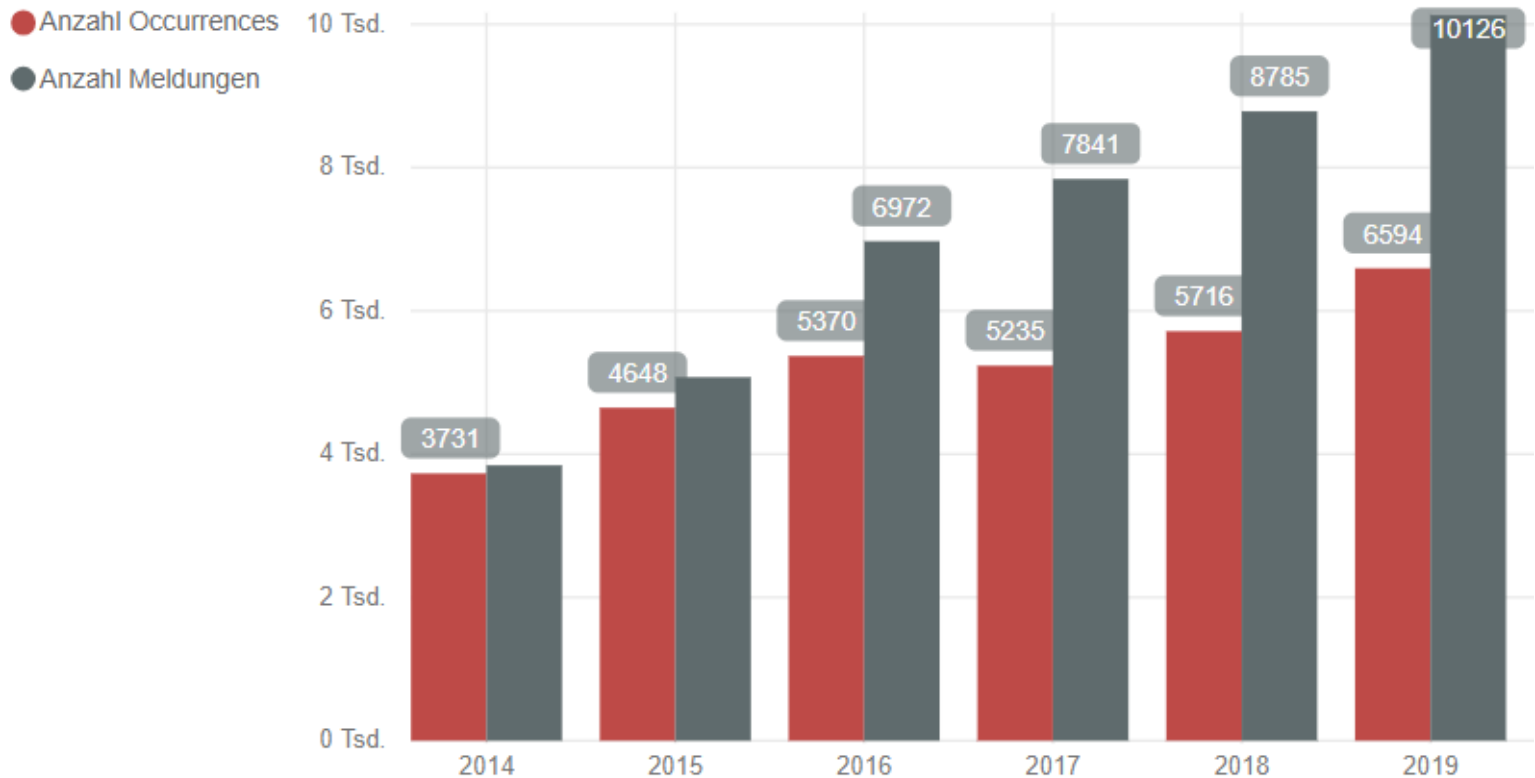


- **Aerodromes** Conference
- **COFA**-Meetings (Certification of Aerodromes)
- **Birdstrike Committee**
- **Swiss Aviation Days** (more politically driven)
- **Aeroclub/AOPA**-Safety Seminars
- **SOFDM** (Swiss Operators Flight Data Monitoring Forum)
- **AAB** (Airprox Analysis Board)
- **Flight Instructors/-Examinars Seminars** (FW/Helicopter/Sailplane)
- **Internet** («stay safe», SAND, UPN, etc.)
- **Facebook/Twitter** (2-3 posts per week, active communication)
- **SASCON** (Swiss Aviation Safety Conference)
- **AIWG** (Airspace Infringement Working Group)
- **AOC I** (Air Operators Conference – Fixed Wing)
- **AOC II** (Air Operators Conference - Helicopter)



Reporting Culture all Categories

Flight Operations
Aerodrome Operations
Maintenance
Air Traffic Management

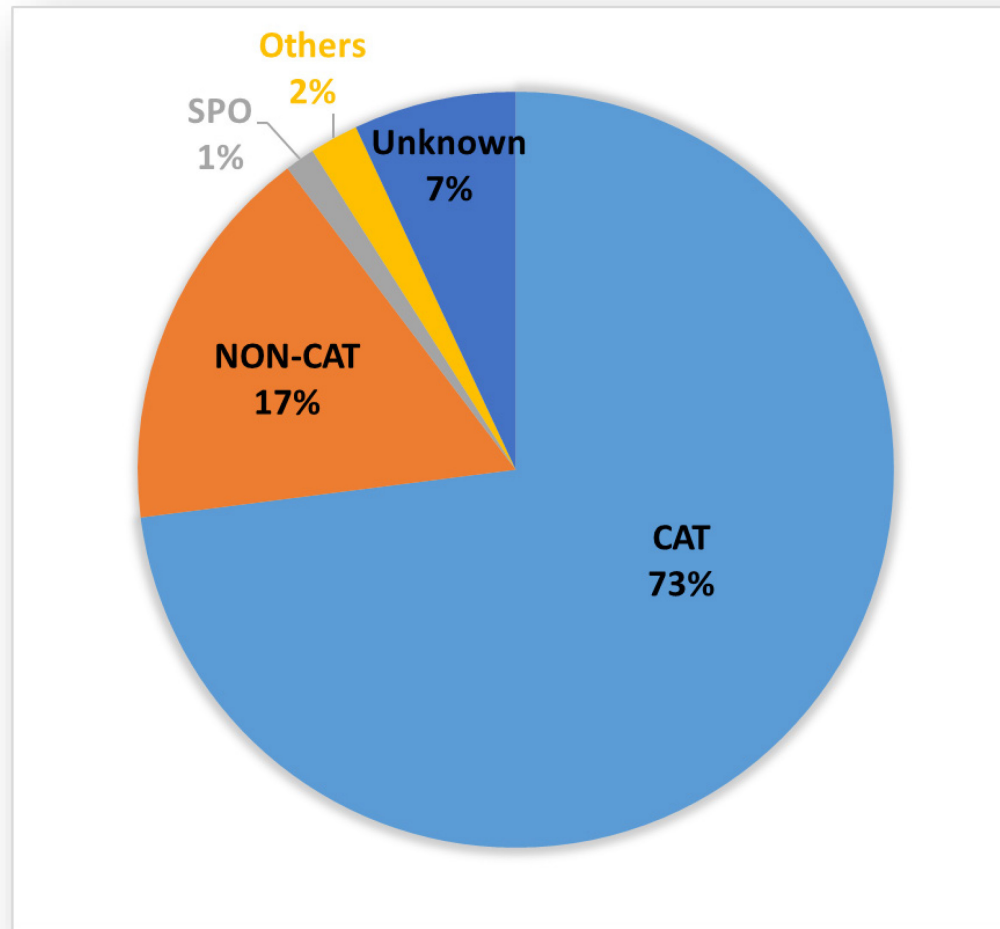


Anzahl Occurrences: Single Events

Anzahl Meldungen: reports received from diff. sources incl. follow-up reports



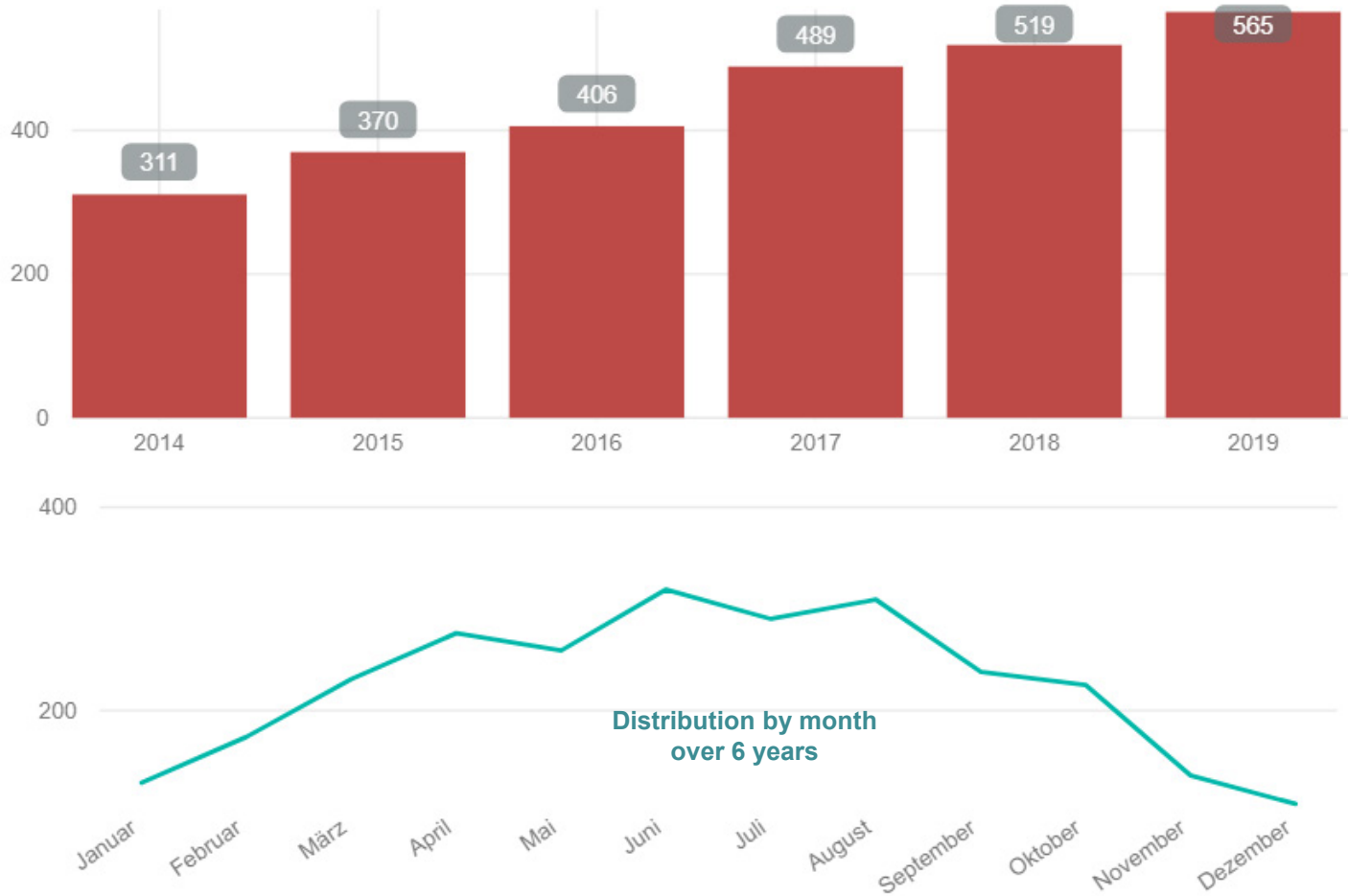
Reporting Culture per OPS-Type





Occurrences **Aeroplane < 5.7 t**

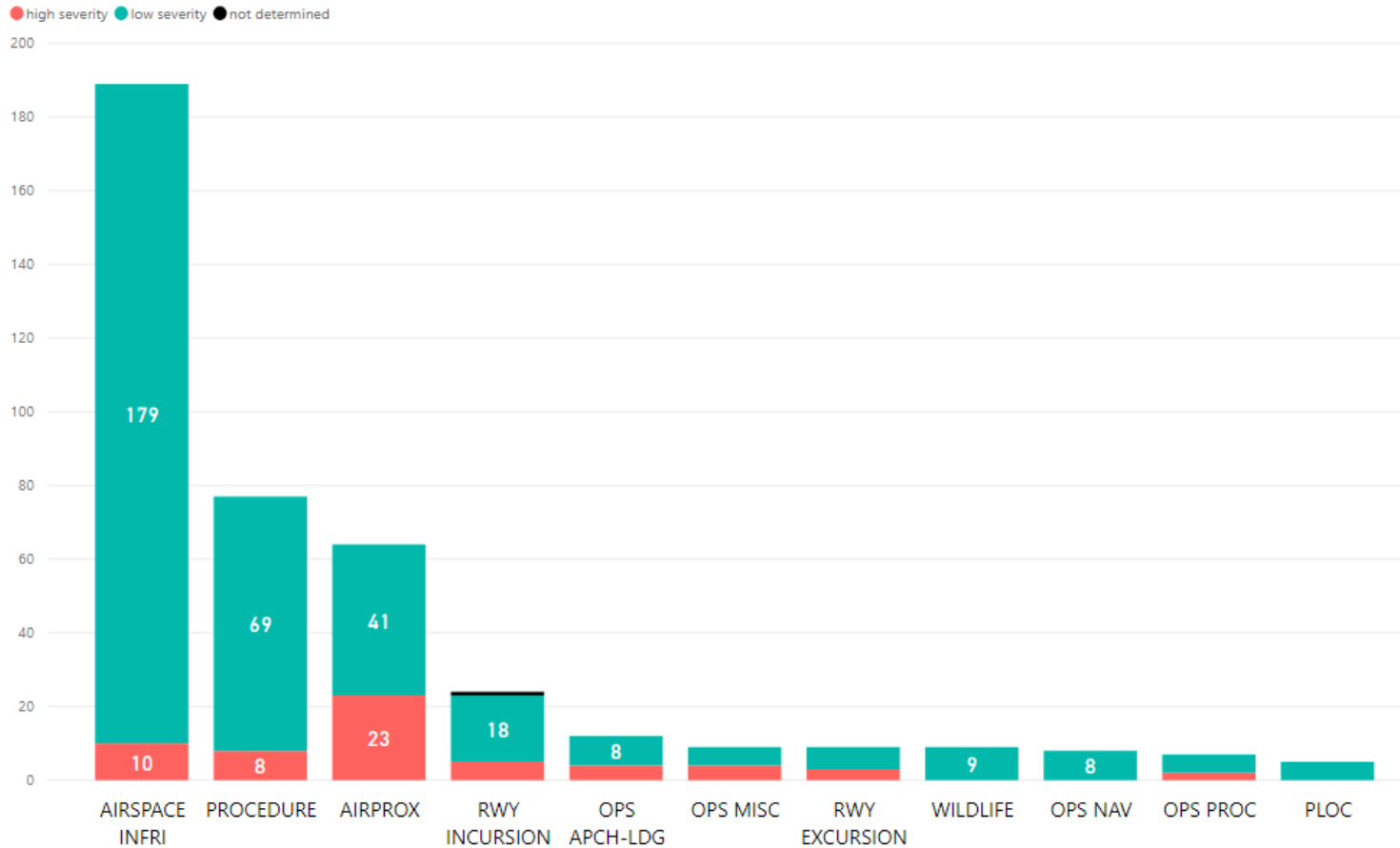
Included are aeroplane occurrences, a/c registered in Switzerland





Operation Issues **Aeroplane < 5.7 t**

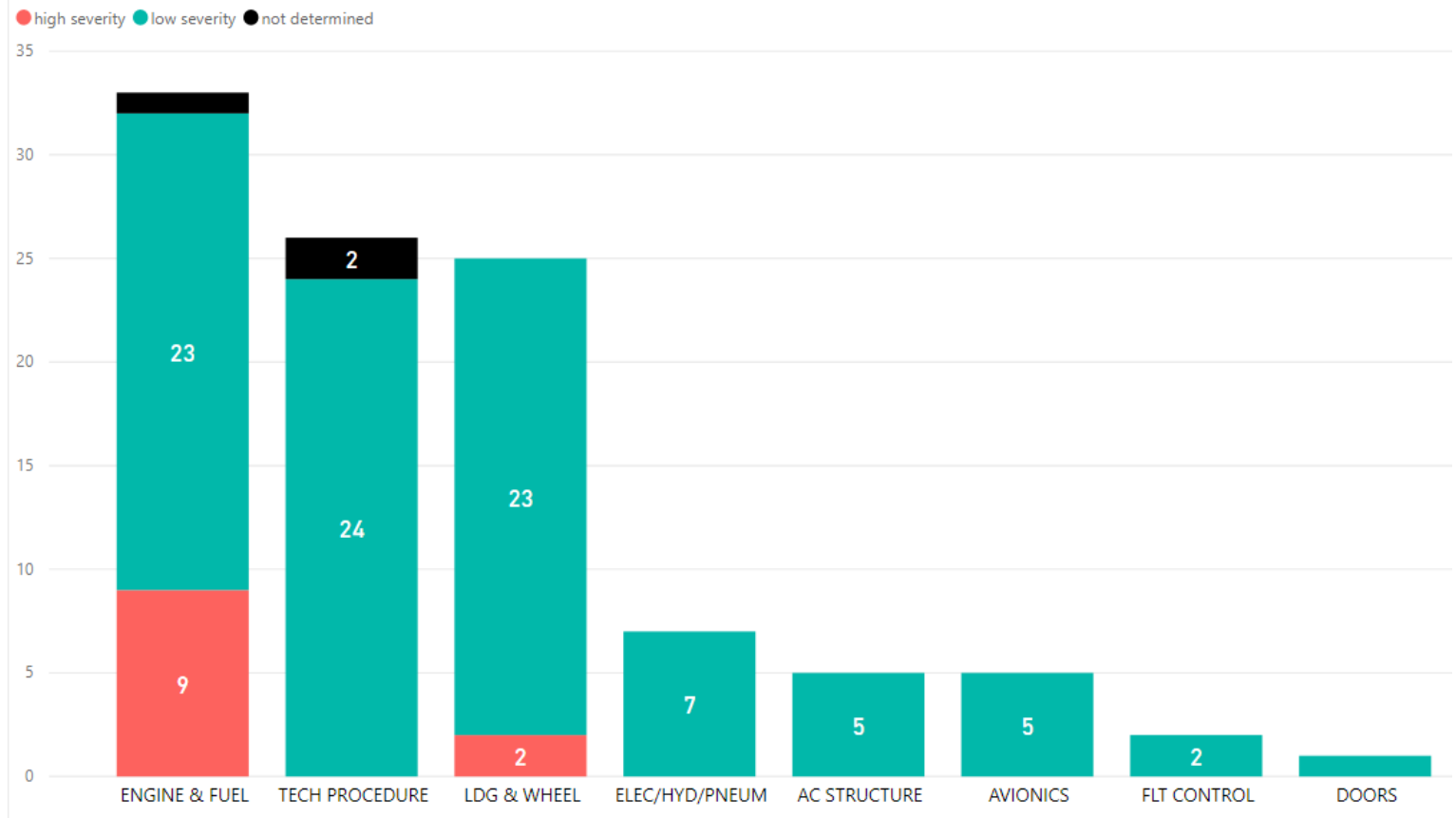
Included are aeroplane occurrences, a/c registered in Switzerland





Technical Issues **Aeroplane < 5.7 t**

Included are aeroplane occurrences, a/c registered in Switzerland





3 Ereignisse, die in LSZW passiert sind. Melden oder nicht?

Falls ja: Wer muss melden?

Fall 1

- Eine Pilotin aus Lausanne fliegt am morgen früh bei tiefstehender Sonne (im Südosten) auf unseren Flugplatz auf Piste 14 mit einer C152 an.
- Die Pilotin bemerkt nicht, dass Sie sich **nicht auf der Pistenachse** befindet und führt eine Landung parallel auf dem mit blauen Fähnchen markierten schmalen Rollweg durch.
- Zum Glück ohne Beschädigung (Touchierung) der Rollweg-Markierung mit dem Propeller! Sie bemerkte den Fehler erst nach der erfolgten Landung.
- Dieser Vorfall habe ich mit der Pilotin ausgiebig besprochen. (schlechte Sichtbarkeit der weissen Pistenmarkierung am Vormittag auf Piste 14 mit Gegenlicht, Möglichkeit eines GA)
- Sie hat sich sehr aufgeregt über diesen „dummen“ Fehler und war im Gespräch auch sehr einsichtig und entschuldigte sich mehrfach.



Melden?

LIGHT AEROPLANES AND HELICOPTERS

- 1 Landing outside of intended landing area.
- 2 Inability or failure to achieve required aircraft performance expected in normal conditions during take-off, climb or landing.
- 3 Runway incursion
- 4 Runway excursion.
- 5 Unintended flight into IMC conditions of aircraft not IFR certified, or a pilot not qualified for IFR, which has or could have endangered the aircraft, its occupants or any other person.
- 6 A failure of an engine, rotor, propeller, fuel system or other essential system.
- 7 Leakage of any fluid which resulted in a fire hazard or possible hazardous contamination of aircraft structure, systems or equipment, or risk to occupants.
- 8 Wildlife strike including bird strike which resulted in damage to the aircraft or loss or malfunction of any essential service.
- 9 A lightning strike resulting in damage to or loss of functions of the aircraft.
- 10 Severe turbulence encounter which resulted in injury to aircraft occupants or in the need for a post-flight turbulence damage check of the aircraft.
- 11 Icing including carburettor icing which has or could have endangered the aircraft, its occupants or any other person.



Wo melden?...und wo noch?

- <https://www.aviationreporting.eu/AviationReporting/>

<http://mfgthun.ch/wordpress/meldeformular/>





Fall 2

- Ein Pilot aus LSZG landet in LSZW um einen Passagier abzuholen.
- Beim Anlassen des Motors bemerken mein Flugschüler und ich, dass der Motor mit ca. 1000 RPM unruhig läuft.
- Ich mache den Piloten auf das komische Motorengeräusch aufmerksam.
- Er erwidert, dass ein Zündmagnet mit ca. 200-300 RPM nicht mehr ganz richtig funktioniert und sein Mechaniker ihm gesagt hat, dass er trotzdem fliegen kann!
- Ich sage ihm, dass dies bei uns in der MFGT ein NO-GO wäre! Der Pilot startet trotzdem auf Piste 32.
- Während dem Startlauf, nach der Pistenmitte, bricht er den Start ab.
- Ich habe daraufhin mit dem Piloten gesprochen. Er erklärte mir, dass er die notwendige Rotationsgeschwindigkeit von 60 KT nicht erreicht hat und aus Sicherheitsgründen den Start abgebrochen hat.
- Während dem Gespräch bemerkte ich, dass er keine Flügelklappen gesetzt hat; er hat sie vergessen.
- Der anschließende Start und Abflug auf der Piste 32 war ereignislos.



Melden?

The screenshot shows a multi-step reporting process for pilots. The top row contains four panels: 1. 'HOW and WHY of the new EU Occurrence Reporting Rules for pilots' with a 'SAFETY MATTERS. REPORTING!' logo. 2. 'WHO SHOULD REPORT? YOU, THE PILOT!' with a 'Find out the full list.' button. 3. 'WHAT MUST BE REPORTED?' with a list of categories: AIR OPERATIONS, TECHNICAL OCCURRENCES, INTERACTION WITH ANS & ATM, EMERGENCIES & CRITICAL SITUATIONS, EXTERNAL ENVIRONMENT & METEOROLOGY, SECURITY, and NOT IN THE LIST. 4. 'HOW?' with 'FILE A REPORT TO YOUR AIRLINE' and 'FILE A REPORT TO YOUR NATION' options. The bottom row shows a vertical list of categories on the left and a list of specific incident types on the right, with a 'GO BACK' button at the bottom.

HOW and WHY of the new EU Occurrence Reporting Rules for pilots

WHO SHOULD REPORT? YOU, THE PILOT!

It doesn't matter if you are working as a pilot/employee/pilot or you are directly employed by the airline. YOU are the one who should be filing a report in case of an event.

Find out the full list.

WHAT MUST BE REPORTED?

AIR OPERATIONS

- TECHNICAL OCCURRENCES
- INTERACTION WITH ANS & ATM
- EMERGENCIES & CRITICAL SITUATIONS
- EXTERNAL ENVIRONMENT & METEOROLOGY
- SECURITY
- NOT IN THE LIST

AIR OPERATIONS

1. Don't forget! Occurrence data is occurrence reports form application to be recognized as performance. Occurrences which do not occur have no impact on the SAAR, it is reported in any other pattern.
2. Carriage or attempted carriage of dangerous goods (in compliance of applicable regulations involving accurate labeling, stowage and handling of dangerous goods).
3. Unlawful landings or unauthorized landings.
4. Missing (incorrect) or insufficient the setting of hold-down fasteners.
5. Tailings or runway excursion.
6. ...

HOW?

- FILE A REPORT TO YOUR AIRLINE
- FILE A REPORT TO YOUR NATION

There is no single EU form. I encourage for filing reports within these website or online.

FILE A REPORT TO YOUR NATION

If, for whatever reason, you would prefer to file a report directly to your NAA, you will have to do so even you need help with locating the reporting

TECHNICAL OCCURRENCES

INTERACTION WITH ANS & ATM

EMERGENCIES & CRITICAL SITUATIONS

EXTERNAL ENVIRONMENT & METEOROLOGY

SECURITY

NOT IN THE LIST?

GO BACK

9. Inability to achieve required or expected performance during take-off, go-around or landing.

10. Actual or attempted take-off, approach or landing with incorrect configuration setting.

11. Tail, blade/wingtip or nacelle strike during take-off or landing.

12. Approach continued against air operator stabilised approach criteria.

13. Continuation of an instrument approach below published minimums with inadequate visual references.

GO BACK



Fall 3

- Ein Pilot führte an einem Samstag einen Auslandsflug durch. Das Flugreisebuch hat er nach der Landung aus dem Flugzeug mitgenommen und anschliessend aus Versehen im Tower (C-Büro) vergessen. Am Sonntag vor dem Rückflug war das C-Büro leider den ganzen Tag verschlossen und er konnte das Flugreisebuch nicht behändigen.
- Er entschied sich den Rückflug ohne Flugreisebuch trotzdem durchzuführen!
- Das Flugreisebuch wurde nach ca. 4 Tagen zurückgeschickt.



Melden? Wo? Warum?

- <http://mfgthun.ch/wordpress/meldeformular/>





Meldepflicht - Zeitrahmen



innerhalb von **72 Stunden** seit Kenntnisnahme
(Art. 4 Abs. 7)



Konsequenzen der Meldung – Straffreiheit für Vorfall

Zweck des Austauschs von Informationen über Ereignisse soll sein, Unfälle und Störungen in der Luftfahrt zu verhindern.

Deshalb besteht gemäss EU-Vo 376/2014 bei allen Meldungen eine Straffreiheit in zweierlei Hinsicht:

1. Für den/die Meldende/n
2. Auch für Dritte, die in der Meldung genannt sind

Ausnahmen:

1. Die Straffreiheit gilt nicht bei Ereignissen, die vorsätzlich oder grobfahrlässig verursacht worden sind.
2. Administrativmassnahmen bleiben möglich



Konsequenz bei pflichtwidriger Nichtmeldung

Artikel 4

Meldepflicht

(1) Ereignisse, die ein erhebliches Risiko für die Flugsicherheit darstellen können und in eine der nachstehenden Kategorien fallen, sind von den in Absatz 6 aufgeführten Personen über das System zur Erfassung meldepflichtiger Ereignisse gemäß dem vorliegenden Artikel zu melden:

Artikel 21

Sanktionen

Die Mitgliedstaaten legen Regeln für Sanktionen bei Verstößen gegen diese Verordnung fest. Die vorgesehenen Sanktionen müssen wirksam, verhältnismäßig und abschreckend sein. Die Mitgliedstaaten teilen der Kommission diese Bestimmungen und spätere Änderungen mit.

Meldepflicht + keine Meldung gemacht = Busse



Fragen

