WORKSHOP ON ACCIDENT AND INCIDENT INVESTIGATION PREVENTION

EXPERIENCE OF THE SPANISH OCCURRENCE REPORTING SYSTEM

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Brussels, 13th April 2011
EXPERIENCE OF THE SPANISH ORS

OUTLINE

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  - Organization
  - Tools
  - Protection of Information
- Working Methods
- SNS Performance
  - Reporting Culture
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- Challenges
- Lessons Learnt
INTRODUCTION

“Methods for improving safety reporting are still in an early stage of development.

Very few organizations today are collecting the type and amount of data that will become the norm as SMS programmes move forward.”

Daniel Mauriño
(ICAO Journal #2 /2009)
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INTRODUCTION

Reporting Systems
- Tools aimed at the capture of safety information (reports)
- Core processes for the operation of SMS/SSPs
EXPERIENCE OF THE SPANISH ORS

INTRODUCTION

- Oriented towards the capture of information to detect:
  - Emerging threats and safety issues
  - Adverse trends and active/latent failures
- Its efficiency depends on the management of a large volume of data (reports) and its ability to exploit it to perform safety analysis

- Working Methodologies
  - Individual occurrences (short term)
  - Statistical exploitation (medium and long term)
  - Ad hoc safety studies

ACCIDENT INVESTIGATION BOARD (AIB)
- Few Events (usually) / significant damage
- Verified Information (multiple sources)
- Formal Investigation Methodology (Annex 13)

OCCURRENCE REPORTING SYSTEM (ORS)
- Many Events (normally) / No damage
- Non Verified Information (report)
- Safety Screening Technique (Non Standard)
GENERAL DESCRIPTION

**FUNCTIONS**

- MANDATORY AND VOLUNTARY OCCURRENCE REPORTING SYSTEM ESTABLISHED UNDER EU DIRECTIVE 42/2003
- AIMED AT THE IMPROVEMENT OF SAFETY BY ENSURING THAT RELEVANT INFORMATION IS REPORTED, COLLECTED, ASSESSED, STORED AND DISSEMINATED
- OPERATIONS STARTED IN MARCH 2006
- REPORTS MANAGEMENT OUT OF THE SAFETY OVERSIGHT AGENCY (AESA) AND PERFORMED BY EXTERNAL ORGANISATION (SENASA)
- SAFETY INFORMATION LOAD INTO DATABASE (ECCAIRS)
- INTEGRATED INTO AN EUROPEAN FRAMEWORK. NATIONAL DATABASE INFORMATION TRANSFERRED TO EU COMMON DATABASE
GENERAL DESCRIPTION

REGULATION 1330/07 INTEGRATION INTO EU DATABASE

DIRECTIVE 2003/42 SAFETY OCCURRENCE REPORTING SYSTEM

REGULATION 1321/07 INFORMATION DISSEMINATION

EU COMMON REPOSITORY

STATE MORS

SNS AESA

STATE MOR

EU ORS NETWORK

LEGAL IMPLEMENTATION

ROYAL DECREE 1334/2005

STATE REGULATION

STATE REGULATION

USERS
GENERAL DESCRIPTION

TEAM

AESA

DSANA  DSA  DSACPU  DESATI

Director
Safety Manager

SNS Service

ATS Incidents Investigation Board

Administrative Staff
Technical Staff
Technical Staff
Administrative Staff

Manager

Safety Analysts
Database Specialists
Ops Experts
Administrative Staff
ATC (ACC + TWR)
Flight Dispatcher
Pilot
Maintenance

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EXPERIENCE OF THE SPANISH ORS

GENERAL DESCRIPTION

ACCESS  PROTECTION  DISSEMINATION

ACCIDENT INVESTIGATION

OCCURRENCE REPORTING

DATA COLLECTION & PROCESSING

CONFLICT OF INTERESTS

IMPROPER USE

LEAKS

LEGAL PROSECUTION (COURT / BLAME)

ADMINISTRATIVE PROCEEDINGS (AUTHORITY / SANCTION)

DISCIPLINARY MEASURES (EMPLOYER / SANCTION)

UNCONTROLLED DISSEMINATION (MEDIA / PUBLISHING)

REPORTING CULTURE DEGRADATION
EXPERIENCE OF THE SPANISH ORS

GENERAL DESCRIPTION

**INFORMATION PROTECTION**

**LEGAL BARRIER**

**PROCEDURE BARRIER**

**ENVIRONMENT BARRIER**

**THREATS**

**LEGAL**

- Reporter Immunity (except willful act and/or gross negligence)
- Restricted dissemination of information
- Functional Independence between Report Management and the rest of the Departments

**PROCEDURES**

- De-identification before loading into database
- Destruction of Reports (every 15 days)

**ENVIRONMENT**

- Physical separation between facilities (SENASA/AESA)
- Restricted LAN
- Encrypted Database

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GENERAL DESCRIPTION

European Union standard tool for safety occurrence reports management
Free for use and distribution by any organization related to safety
Recommended by ICAO as to support Safety Programmes (SSP, SMS)
Versions in English, French and Spanish

STANDARD TOOLS & TAXONOMY

ACCESS TO INFORMATION
DATA ANALYSIS
KNOWLEDGE & ASSESSMENT
SAFETY IMPROVEMENT

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EXPERIENCE OF THE SPANISH ORS

GENERAL DESCRIPTION

**TOOLS**

- Database for accidents and Incidents
- 640 data fields per event
- Based on international common taxonomy (CAST-ICAO ADREP 2000)
- Event coding allows further and exhaustive analysis
- Complementary tools strengthen analysis capabilities and information exchange
- High security environment
EXPERIENCE OF THE SPANISH ORS

WORKING METHODS

SAFETY ISSUES IDENTIFICATION

WEEKLY ASSESSMENT

TREND DETECTION

RISK ANALYSIS

ASSESSMENT CRITERIA

RISK CLASSIFICATION SCHEMES

STEPS

STEP 1

STEP 2

STEP 3

OTHER INPUTS

Top Priorities
1………
2………
3………
4………
5………

Dashboard
Moving Average

EXPERIENCE OF THE SPANISH ORS

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EXPERIENCE OF THE SPANISH ORS

WORKING METHODS

DATA FLOWS

INTERNAL USERS

Audit Teams:
- Airport
- ATM/CNS
- Flight Ops
- Airworthiness

OTHER USERS

- EASA
- EUROCONTROL
- AIBs
- CAAs
- Third Parties

AVIATION COMMUNITY

DATA FLOWS

AGGREGATED DE-IDENTIFIED DATA

FEEDBACK

FOLLOW-UP LOOP

AGGREGATED DATA (INDICATORS AD HOC REPORTS)

EXPERIENCE OF THE SPANISH ORS WORKING METHODS

DATA FLOWS

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EXPERIENCE OF THE SPANISH ORS

WORKING METHODS

1 REPORTS RECEPTION
- Check report is an occurrence
- Check report is not duplicated
- Report contains minimum acceptable data
- Report is legible

2 DATA ENTRY
- Data loading
- Data consistency check
- Eccairs trained personnel (administrative staff)

3 DATA CODING
- Occurrence type identification
- Occurrence coding in database according to coding standards
- Eccairs trained personnel (technical staff)

4 EXPERT MEETING
- Based on technical and operational expertise
- Safety screening on every occurrence
- Actions proposal
- Validation of occurrence coding

5 QUALITY CHECKS
- Execution of quality queries
- Re-coding occurrences not coded according to standards
EXPERIENCE OF THE SPANISH ORS

WORKING METHODS

Bird Strikes
## EXPERIENCE OF THE SPANISH ORS

### WORKING METHODS

<table>
<thead>
<tr>
<th>GROUP</th>
<th>CATEGORY</th>
<th>2008 QUARTER 2</th>
<th>2008 QUARTER 3</th>
<th>ALERT % INCREASE</th>
<th>EVENT TYPE</th>
<th>2008 QUARTER 2</th>
<th>2008 QUARTER 3</th>
<th>ALERT % INCREASE</th>
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<tbody>
<tr>
<td>AIRPORT RELATED</td>
<td>GROUND HANDLING</td>
<td>44</td>
<td>43</td>
<td>-2.3%</td>
<td>Damage by Ground vehicle</td>
<td>2</td>
<td>20</td>
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<td>7.31</td>
<td>6.84</td>
<td>-6.4%</td>
<td>Ground Handling/Parking/Pushback procedures</td>
<td>0.33</td>
<td>3.18</td>
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<td></td>
<td></td>
<td>13</td>
<td>13</td>
<td>0.0%</td>
<td>Flight Dispatch/ Load Sheet/ Refueling</td>
<td>25</td>
<td>14</td>
<td>-44.0%</td>
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<td></td>
<td>2.16</td>
<td>2.07</td>
<td>-4.3%</td>
<td>Dangerous Goods</td>
<td>4.16</td>
<td>2.23</td>
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<td></td>
<td>7</td>
<td>2</td>
<td>-71.4%</td>
<td>Powered Aircraft</td>
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<tr>
<td></td>
<td></td>
<td>1.16</td>
<td>0.32</td>
<td>-72.6%</td>
<td>Non Powered Aircraft</td>
<td>1.00</td>
<td>0.95</td>
<td>-4.3%</td>
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<tr>
<td></td>
<td></td>
<td>1</td>
<td>1</td>
<td>MNS</td>
<td>Runway Incursion-Animal</td>
<td>11</td>
<td>3</td>
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<td>0.17</td>
<td>0.16</td>
<td>MNS</td>
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<td>AERODROME FACILITIES</td>
<td>13</td>
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<td>2</td>
<td>MNS</td>
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<td>2.16</td>
<td>2.07</td>
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<td>2</td>
<td>-71.4%</td>
<td>Runway Obstacles/FOD</td>
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<td>2</td>
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<td></td>
<td>1.16</td>
<td>0.32</td>
<td>-72.6%</td>
<td>Aerodrome Services</td>
<td>0.63</td>
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<td>-32.1%</td>
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<tr>
<td></td>
<td>COLLISION ON GROUND</td>
<td>1</td>
<td>1</td>
<td>MNS</td>
<td>Powered Aircraft</td>
<td>2</td>
<td>2</td>
<td>MNS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1.16</td>
<td>0.32</td>
<td>-72.6%</td>
<td>Non Powered Aircraft</td>
<td>0.33</td>
<td>0.32</td>
<td>MNS</td>
</tr>
<tr>
<td></td>
<td>ANIMAL RUNWAY INCURSION</td>
<td>1</td>
<td>1</td>
<td>MNS</td>
<td>Runway Incursion-Animal</td>
<td>5</td>
<td>0</td>
<td>-100.0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>0.17</td>
<td>0.16</td>
<td>MNS</td>
<td></td>
<td>0.83</td>
<td>0.00</td>
<td>-100.0%</td>
</tr>
</tbody>
</table>

**Traffic Light Alerts of Increase Levels**

**PERIODS FOR COMPARISON**

**Sample**

**Number of Occurrences**

**Number of Occurrences Per 100,000 Ops**
EXPERIENCE OF THE SPANISH ORS

WORKING METHODS

RISK ASSESSMENT

SEVERITY

FREQUENCY

<table>
<thead>
<tr>
<th>OCCURRENCE CATEGORY / EVENT TYPE</th>
<th>Number</th>
<th>/100,000 flights</th>
<th>RISK MATRIX</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
<td>0,00</td>
<td>Without Safety Effect</td>
</tr>
<tr>
<td></td>
<td>52</td>
<td>8,94</td>
<td>Significant Incident</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>0,86</td>
<td>Major Incident</td>
</tr>
<tr>
<td></td>
<td>1</td>
<td>0,17</td>
<td>Serious Incident</td>
</tr>
<tr>
<td></td>
<td>0</td>
<td>0,00</td>
<td>Accident</td>
</tr>
</tbody>
</table>

- Extremely Unlikely
- Extremely Remote
- Remote
- Reasonably Possible
- Frequent

Acceptable Risk Area
Threat Risk Area
Non Acceptable Risk Area

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WORKING METHODS

- Input to prepare inspections and certification tasks
- Monitoring of Aerodromes, ATS units
- Follow up of Bird strikes, ramp issues.
- Monitoring reporting culture and SNS workload
- Accident indicators
- Annual Report covering all categories and types
- Specific cases to make analysis more objective

DEEPER ANALYSIS
- CONFIRM SAFETY ISSUE
- MITIGATING MEASURES (ACTION PLAN)
- ACTION
- MONITORING OF SAFETY IMPROVEMENT
- DISSEMINATION/FEEDBACK
EXPERIENCE OF THE SPANISH ORS

SNS PERFORMANCE

Number of Reports

MONTHLY 06
MONTHLY 07
MONTHLY 08
MONTHLY 09
MONTHLY 10
ACCUMULATED 06
ACCUMULATED 07
ACCUMULATED 08
ACCUMULATED 09
ACCUMULATED 10

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SNS PERFORMANCE

IMMEDIATE COMMUNICATION TO AESA EXECUTIVE LEVEL

ANALYSIS OF SPECIFIC OCCURRENCES / SAFETY CONCERNS, CONDUCTED BY SNS AND EXPERTS PANEL

ECCAIRS DATA ENTRY:
- STATISTICS
- TRENDS ANALYSIS

FURTHER INFORMATION REQUEST TO THE REPORTER (INDIVIDUAL OR ORGANIZATION)

ACTIONS FOLLOW-UP OF OPEN OCCURRENCES
EXPERIENCE OF THE SPANISH ORS

SNS PERFORMANCE

<table>
<thead>
<tr>
<th>Year</th>
<th>1st Level</th>
<th>2nd Level</th>
<th>3rd Level</th>
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</thead>
<tbody>
<tr>
<td>2007</td>
<td>240 = 10%</td>
<td>46 = 2%</td>
<td>4 = 0.2%</td>
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<tr>
<td></td>
<td>2.413 Occurrences = 100%</td>
<td>330 = 10%</td>
<td>107 = 3.2%</td>
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<tr>
<td></td>
<td>3.354 Reports</td>
<td>3.310 Occurrences = 100%</td>
<td>6 = 0.2%</td>
</tr>
<tr>
<td>2008</td>
<td>298 = 7.3%</td>
<td>281 = 6.8%</td>
<td>5 = 0.1%</td>
</tr>
<tr>
<td></td>
<td>4.174 Occurrences = 100%</td>
<td>298 = 7.3%</td>
<td>5 = 0.1%</td>
</tr>
<tr>
<td>2009</td>
<td>5.002 Reports</td>
<td>5.002 Reports</td>
<td>5 = 0.1%</td>
</tr>
</tbody>
</table>

Actions Record

EARLY WARNING
SPECIFIC FOLLOW UP
ADDITIONAL INFO REQUEST
LOAD INTO ECCAIRS
REPORTS
EXPERIENCE OF THE SPANISH ORS

SNS PERFORMANCE

Technical Reports

- 2009 Yearly Report
- ILS-LOC Overshoot in 2 Parallel RWYs Airport
- ATCO Labor Conflict Follow-up
- Safety Culture of Spanish Airlines
- Interference of Laser Beamers in Airports
- Bird Strikes in Spanish airports
- Incidents in High Density TMA

Promotion/Training

- Coordination with Pilots Union’s Reporting System (SRS), aimed to cooperate with AESA’s SNS
- Awareness Campaigns:
  - 4 SMS-SRS-SNS Workshops (80+ participants)
  - 6 SMS Airport Trainings (120+ participants)

Tools Enhancement

- Development of Software Data Capturer Tool for automatic loading into ECCAIRS
- ECCAIRS Spanish version (4.2.8)
EXPERIENCE OF THE SPANISH ORS

CHALLENGES

- Lack of suitable methods to set “the line” for unacceptable behavior; who sets the line?
- Potential adverse effects on reporting culture
- Possible overlapping with AIB
- ORS overloading

COMMON UNDERSTANDING AND AGREEMENT WITH REPORTERS ARE NEEDED !!!
LESSONS LEARNT

The path to success

**Awareness Activities**
- Critical to populate the database
- Convincing rather than forcing
- Solving misunderstandings (e.g., what to report)

**Internal Processes**
- Anticipating to avoid report overloading (e.g., automated data loading)
- Quality loading into database (avoiding “rubbish in–rubbish out principle”)
- Multidisciplinary “dedicated” team
- Keeping it simple (this is not rocket science)

**Take Action**
- The most difficult part (being proactive in a reactive environment)
- Cooperative approach: work “side by side” with CAA Departments
- Ensuring proper use of information

**Feedback**
- Individual feedback not always possible
- Aviation Community feedback through web publications
- Information requests to database is another useful service (the database is yours!)
THANKS FOR YOUR ATTENTION

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