

Incident Reporting and Investigation

Airside Operational Instruction 09

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AOI Owner - Airfield Operations



SECTION 1 – Safety Reporting Introduction

- 1.1 East Midlands Airport supports the open and honest reporting of accidents, incidents, occurrences and near miss events airside. In addition, the Airport promotes, supports and encourages the principles of just culture internally, and amongst external organisations.
- 1.2 The reporting and subsequent collection, storage and analysis of occurrences allows the Airport to identify safety issues airside and implement corrective or preventive action to improve aviation safety. It is therefore incumbent on all airside users, regardless of their role, responsibilities or by who they are employed by to report on accidents, incidents, occurrences and near miss events airside, this includes good occurrences, and suggestions.
- 1.3 Organisations, subject to complying with their legal responsibilities, are encouraged to share their own occurrence and near miss event data so that a holistic picture may be drawn of risk across airside.
- 1.4 No occurrence is exempt from being reported.
- 1.5 Where internal investigations are required, all incidents and accidents airside are to be reported to Airfield Operations without delay. Any follow up actions from internal investigations must be reported to Airfield Operations or the Health and Safety and Fire Safety department with confirmation that the incident has been closed with any relevant details and incident reference numbers. The East Midlands Airport Airfield Operations department and Airport safety team may request the corrective and preventative actions the organisation has made to prevent reoccurrence, including a root cause analysis report.

SECTION 2 – Initial Actions

- 1.1 Accidents and Safety Occurrences must be reported without delay to Operations Control Room (OCR) on 01332 852973.
- 1.2 If Emergency assistance is required call Ext. 3333 or 01332 818555 giving details of:
 - the name and company of the caller
 - location
 - a description of what happened
 - what immediate assistance is required

- 1.3 The OCR will mobilise the Airfield Safety and Compliance Officer (ASCO) to attend the scene and assess the situation. Should further assistance be required, the ASCO should make the request via the appropriate channels in liaison with the Operations Control Room to ensure a delay in response is not incurred.
- 1.4 Airfield Operations maintain operational authority of the scene, until relieved by the Rescue and Fire Fighting Service (RFFS) or external emergency services.
- 1.5 All persons involved, witnesses, vehicles, plant, and equipment should not normally be moved until the ASCO is in attendance. However, if in the judgement of the senior person present or the Officer in Charge of the RFFS 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.
- 1.6 Where the Rescue and Firefighting Service need to be alerted for any major incident, all ground operations within the respective area are to cease until the RFFS are in attendance or unless directed otherwise by Airfield Operations.

SECTION 3 - Anonymous and Voluntary Reporting

- 1.1 The EMA Anonymous and Voluntary reporting system is available for use by all East Midlands Airport 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 an incite into safety performance and culture.
Reports can be submitted using the following link <https://magairports.cammanagementsolutions.co.uk/> or scanning the QR code provided.



SECTION 4 - Collation, Analysis and Storage

1. Airfield Operations are designated by the Airport to handle independently the collection, evaluation, analysis and storage of occurrences reported pursuant to Articles 4 and 5 of Regulation 376/2014 (as amended) in accordance Article 6(1) of Regulation 376/2014 (as amended).

1.1 Collation

The Airfield Safety and Compliance Officer (ASCO) will undertake an initial investigation of all reported incidents, regardless of their severity. The initial investigation must be completed within 10 days of the initial report. If further investigation is required beyond this time to enable closure of the incident, the Safety Manager – Aerodrome should be advised.

- 1.1.1 The scene will be digitally photographed to assist with the investigation.
- 1.1.2 Any incident that causes an injury or any damage to aircraft, vehicle or equipment, the driver's Airside Driving Permit (ADP), Marshalling Permit or Passport to Operate Airside (POA) will be withdrawn immediately by the ASCO, pending investigation, irrespective of the apparent cause.
- 1.1.3 Witness Statements will be requested and must be completed using the form in Appendix 1.
- 1.1.4 All companies involved in an airside incident should investigate the circumstances leading to the accident or safety occurrence and provide a full written report to the ASCO, within 10 days.
- 1.1.5 The ASCO will log all information internally, complete the investigation, and provide a conclusion, which may include actions or recommendations.
- 1.1.6 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 anonymised and made available to assist this process.
- 1.1.7 Details of any injury will be recorded electronically on Safeport <https://magairports.cammanagementsolutions.co.uk/>
- 1.1.8 In the event the incident that may result in a claim being made against the airport, the ASCO must advise the Airfield Operations Duty Manager (AODM) who must advise maginsurance@manairport.co.uk and the EMA Health, Safety and Fire department.

2. Analysis

- 2.1 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. The determination of liability or the allocation of blame for disciplinary purposes is secondary to the objective of accident prevention.
- 2.1.1 The AODM has oversight of all ASCO investigations. All action points and recommendations made by the investigator will be tracked and followed up by the AODM. Any outstanding investigations or actions not closed off within 10 working days will be escalated to the Head of Airfield Operations.

- 2.1.2 All accident and safety occurrence reports will be reviewed on a monthly basis by the Airfield Operations Manager and Safety Manager - Aerodrome and actions taken to facilitate the closure of the incident.
- 2.1.3 The Airfield Operations Duty Manager and H&S Business Partner will review preliminary incidents and accidents on a weekly basis including incidents, observations, and airside safety reports.
- 2.1.4 Any accident or safety occurrence deemed as 'Major' or more in the safety category will be investigated by the Safety Manager – Aerodrome;
 - a. Safety Manager - Aerodrome investigations are reviewed by the Airfield Safety Review Board
 - b. Actions are tracked through the Airfield Safety Review Board.
- 2.1.5 All Voluntary / Anonymous safety reports will be tracked and reports relating to Aviation Safety will be added to the Airfield Operations Database for inclusion in trend analysis and reporting.
- 2.1.6 Mandatory Occurrence Reports submitted will be reviewed and trends reported to the relevant safety committees.
- 2.1.7 Statistics relating to accidents and safety occurrences will be summarised and submitted to the relevant safety committees for trend analysis purposes as detailed in the Aerodrome Manual, Part B.
- 2.1.8 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.

3. Storage

- 3.1 All incident reports and investigations are required to be stored in line with the requirements published with the Aerodrome Manual Part B.

SECTION 5 – Mandatory Occurrence Reporting

1. Introduction

- 1.1 A Mandatory Occurrence Reporting (MOR) is defined in 376/2014 as: "An occurrence which may represent a significant risk to aviation safety."
- 1.2 Occurrence Reporting Analysis and Follow-up of occurrences in civil aviation is legislated through CAA UK REG (EU) LAW 376/2014. CAA CAP 382 provides guidance material relating to the requirements of this regulation.

- 1.3 The CAA provide information on the MORs Code online at; <https://www.caa.co.uk/our-work/make-a-report-or-complaint/mor/the-mors-code/>

2. Persons Mandated

- 2.1 Article 4(6) of Regulation 376/2014 (as amended) specifies the persons who shall report on occurrences in accordance with Article 4(1) of Regulation 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 ECCAIRS Aviation Safety Reporting Portal database, online.

3. Reportable Occurrences

In accordance with Article 4(5) of Regulation 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 376/2014. These classifying occurrences can be found in Commission Implementing Regulation 2015/1018 and guidance published online: <https://www.caa.co.uk/Our-work/Make-a-report-or-complaint/MOR/Occurrence-reporting/>

4. Reporting Timescales

The persons mandated to report in accordance with Article 4(6) of Regulation 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 376/2014 (as amended).

5. Reporting system

- 5.1 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: <https://aviationreporting.eu/en/>
- 5.2 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 376/2014 (as amended) in accordance Article 6(1) of Regulation 376/2014 (as amended).

6. AAIB

6.1 Where the accident or serious incident/accident occurs in the United Kingdom, the safety investigation authority (AAIB) shall be responsible for ensuring safe treatment of all evidence and for taking all reasonable measures to protect such evidence and for maintaining safe custody of the aircraft, its contents and its wreckage for such period as may be necessary for the purpose of a safety investigation.

6.2 A full definition of the categorisation of aviation accidents is available on the AAIB website: [Definition of Aircraft Accident and Serious Incident - GOV.UK](https://www.aaib.gov.uk/definition-of-aircraft-accident-and-serious-incident)

6.3 Pending the arrival of safety investigators, Airfield Operations will apply a cordon to preserve the scene. No person shall modify the state of the site of the accident, take any samples therefrom, undertake any movement of or sampling from the aircraft, its contents or its wreckage, move or remove it, except where such action may be required for safety reasons or to bring assistance to injured persons, or under the express permission of the authorities in control of the site and, when possible, in consultation with the safety investigation authority. Any person involved shall take all necessary steps to preserve documents, material and recordings.

6.4 ATC is responsible for notifying the AAIB when an incident or serious injury occurs at the Airport. In the case of an aircraft accident, ATC must also seek permission from the AAIB before removing the disabled aircraft from the incident site. For serious incidents at the Aerodrome and where the RFFS has attended the scene, it is the Incident Commander's responsibility to provide all incident details to ATC and request that they notify the AAIB.

6.5 EMA Control Room holds the responsibility for contacting Leicestershire Police informing them that there has been a serious incident, injury and that AAIB have been contacted. If this incident is an aircraft accident, they will be automatically informed via the ATC auto dialler.

6.6 Where an accident, serious injury or incident has been reported, the Airport Duty Manager (ADM) will inform the Accountable Manager or their designated deputy. If the incident is expected to involve the HSE, the Head of Health & Safety is to be informed.

2. Informing the AAIB

2.1 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":

- a) 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.
- b) 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)

Further details of alerting the AAIB are contained within the Airport Emergency Plan and MATS Part 2. The Air Traffic Service are to alert the AAIB.

SECTION 6 - Follow Up Procedures

1. Airfield Operations Investigations

The ASCO will discuss the results and findings of any investigations with the persons involved. All learning points identified, actions to prevent reoccurrence and feedback provided must be anonymised.

‘Lessons learnt’ will be communicated via Aerodrome Safety Alert and through the relevant safety committees.

2. MOR Reports

In accordance with Article 13(5) of Regulation 376/2014 (as amended), when the Airport identifies an actual or potential aviation safety risk as a result of its own analysis of occurrences reported pursuant to Articles 4(9) and 5(5) of Regulation 376/2014 (as amended), it shall send to the CAA within 30-days of being notified of the occurrence by the reporter:

- The preliminary results of the analysis performed pursuant to Article 13(1) of Regulation 376/2014 (as amended), and;
- Any action taken pursuant to Article 13(2) of Regulation 376/2014 (as amended).

The Airport shall send to the CAA within 90-days of being notified of the occurrence by the reporter a completed report of the final results of any analysis. The Airport shall forward, upon request of the CAA, preliminary or final results of the analysis of any occurrence of which the CAA have been notified but in relation to which it has received no follow-up or only preliminary information.

APPENDIX 1 – WHITNESS STATEMENT FORM



Incident Report

Name:
Job Title:
Date Report Completed:
Date Incident Occurred:
Location Incident Occurred:
Details of Incident:
<p><i>Specific information recorded on this document may be shared with the relevant third parties as part of a subject access request under the General Data Protection Regulation (GDPR). If you consent to disclosure at the end of this document, your information may be included in the response to a request. If you do not consent, we will endeavour to not include your personal data in our response however certain parts of the statement may still be disclosed – taking into account your own rights to privacy and our duty of confidentiality. Should the incident become part of a formal disciplinary matter copies of this form and other written evidence will be provided to the person under investigation or who has raised the case</i></p>
<div style="text-align: right;">Tick to confirm agreement of above statement <input type="checkbox"/></div>
Signature:
Date:
Page _ of _

Continue on an incident Report Continuation Page if necessary.



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