



INFORMATION PAPER FOR THE MEMBERS OF THE SAFETY INFORMATION EXCHANGE STUDY GROUP (SIX SG)

The aim of this Information Paper is to give a general picture of the various activities in the European Union (EU) related to the subjects covered by the TORs of the SIX SG.

These activities are predominantly implemented in the framework of EU legislation, and are clearly indicated in this paper, and the full text can be found on the European Commission (EC) website at the following address:

<http://eur-lex.europa.eu/en/legis/latest/chap074030.htm>

Field Code Changed

1. Accident and Serious Incidents:

The investigation of civil aviation accidents and serious incidents in the EU is governed by Regulation (EU) No 996/2010 of the European Parliament and of the Council of 20 October 2010 on the investigation and prevention of accidents and incidents in civil aviation¹.

This Regulation sets up a European Network of Civil Aviation Safety Investigation Authorities which, among other things, promotes the sharing of information useful for the improvement of aviation safety, best safety investigation practices and structured cooperation between safety investigation authorities, the EC, EASA and national civil aviation authorities.

It also contains provisions concerning the protection of sensitive safety information and the communication of information, the publication of investigation reports and sets up a database of safety recommendations fed by and accessible for consultation by all national Safety Investigation Authorities of the EU.

This Regulation also lead EASA to set up of a Network of Analysts in the field of occurrence reporting which gathers EASA, the EC, Eurocontrol and the EU Member States.

¹ OJ L295 12/11/2010 p.35

2. Occurrence Reporting:

The Directive 2003/42/EC of the European Parliament and of the Council of 13 June 2003 on occurrence reporting in civil aviation² and its two implementing regulations (³ and⁴) require all the Member States of the EU to set up an mandatory occurrence reporting system and to participate in an exchange of information through the feeding of a European Central Repository.

These legislations also contain provisions to protect the safety information, as well as the reporters of occurrences.

They are sustained by a set of IT tools developed by the Joint Research Centre of the EC under the acronym of ECCAIRS⁵. This set of tools is also used by ICAO to sustain its ADREP system. EASA and Eurocontrol are also involved in the development of the necessary taxonomies through the CAST/ ICAO Common Taxonomy Team (CICTT).

These legislations are in the process of being reviewed and replaced with a view to update, improve and strengthen the present legislations. Areas under study for this include quantity of reporting, quality of the information, broader access to the European Central Repository information, additional analysis at national and European levels, risk assessment and classification.

In addition, EUROCONTROL's ESARR 2⁶ requirements (ed1.0_02121999) cover the implementation by States of an Occurrence Reporting and Assessment Scheme for Air Traffic Management (ATM) Safety. It defines a list of ATM-related occurrences which shall, as a minimum, be reported and assessed by States and the minimum appropriate safety data which shall be collated and reported to EUROCONTROL by States, expressed in terms of high level safety indicators using an Annual Summary Template (AST) which can also be generated using ECCAIRS. Finally, it includes a glossary of terms with harmonised definitions.

The reporting of ATM related occurrences by the EUROCONTROL and ECAC Member States through the AST reporting mechanism is complemented by a voluntary reporting system. This reporting system, mainly by Airspace Users and Air Navigation Service Providers (ANSP) is called EVAIR⁷.

² OJ L167 4/7/2003 p.23

³ Commission Regulation (EC) No 1321/2007 of 12 November 2007 laying down implementing rules for the integration into a central repository of information on civil aviation occurrences exchanged in accordance with Directive 2003/42/EC of the European Parliament and of the Council, OJ L294 13/11/2007 p.3

⁴ Commission Regulation (EC) No 1330/2007 of 24 September 2007 laying down implementing rules for the dissemination to interested parties of information on civil aviation occurrences referred to in Article 7(2) of Directive 2003/42/EC of the European Parliament and of the Council, OJ L295 14/11/2007 p.7

⁵ European Co-ordination Centre for Accident and Incident Reporting Systems

⁶ EUROCONTROL Safety Regulatory Requirements

⁷ EVAIR (EUROCONTROL Voluntary ATM Incident Reporting) and AST are constituents of the EUROCONTROL SAFER system: <http://www.eurocontrol.int/articles/safer>

3. Safety of Third Country aircraft:

The control of the safety of EU aircraft and airlines is part of the oversight of EU national authorities in compliance with EU legislation, monitored by the "Standardisation Inspections" regime of EASA while the safety of non-EU aircraft and airlines using airports on the territory of the Member States of the EU or transporting EU citizens is addressed by two pieces of legislation.

First, a comprehensive system of ramp inspection in airports is established by Directive 2004/36/EC of the European Parliament and of the Council of 21 April 2004⁸. This Directive enables a large amount of information on Third Country aircraft to be gathered. Commission Regulation (EC) No 351/2008 of 16 April 2008⁹ provided for a harmonised targeting of inspections. All Member States authorities have access to a data base containing the results of ramp inspections performed in the whole EU and other States participating in the so-called SAFA¹⁰ programme.

In addition, EU citizens and interested parties are informed when the safety performance of specific Third Country air carriers falls below the standards agreed under ICAO by the publication and regular updates of a Safety List of air carriers banned from operating into the EU. This list was established by Regulation (EC) 2111/2005 of the European Parliament and of the Council of 14 December 2005¹¹.

4. Safety Performance:

In the framework of the Single European Sky, a performance scheme was implemented in the ATM field through Commission Regulation (EU) No 691/2010 of 29 July 2010 laying down a performance scheme for air navigation services and network functions¹².

The four areas in which key performance were established were safety, environment, capacity and cost-efficiency. Three safety key performance indicators were listed for monitoring during the first reference period:

- the effectiveness of safety management as measured by a methodology based on the ATM Safety Maturity Survey Framework;
- the application of the severity classification of the Risk Analysis Tool to allow harmonised reporting of severity assessment of Separation Minima Infringement, Runway Incursions and ATM Specific Technical Events;
- the measurement of Just Culture.

⁸ OJ L143 30/4/2004 p.76

⁹ OJ L109 19/4/2008 p.7

¹⁰ Safety Assessment of Foreign Aircraft

¹¹ OJ L344 279/12/2005 p.15

¹² OJ L201 3/8/2010 p.1

These safety key performance indicators were further elaborated in the Commission Implementing Regulation (EU) No 1216/2011 of 24 November 2011¹³ which also contains a description of the process and of the roles of the various parties. This IR was also complemented by Acceptable Means of Compliance and Guidance Material developed by EASA and published in December 2011. In addition, a Sub Group of the Network of Analysts is working to develop standard terminology for the use of SPIs to support SSPs as well as a number of different SPIs concerning areas such as operational issues in the whole aviation system.

5. Other activities:

A large number of other European activities related to safety but not establishing mechanism for the exchange of information are nonetheless related to the TORs of the SIX SG; for example the latest version of the EASp¹⁴ which contains Safety Actions SYS3.2 to SYS 3.12 which are particularly relevant to the SIX SG work.

6. EU participation in other initiatives: Global Safety Information Exchange

The Global Safety Information Exchange (GSIE) was launched on 28 September 2010, as the result of a Memorandum of Understanding signed by IATA, ICAO, the US DoT and the EC. Its purpose is to share safety information among the various parties (e.g. on safety hazards or risks) and disseminate potential safety enhancement solutions (such as the Runway Excursion Risk Reduction Toolkit).

Recent work has focused on the consolidation and harmonisation of accident rates and other safety indicators originating from different sources; on efforts to create tools based on existing safety information databases as well as an attempt to reduce their number by merging the various databases; on the development of a Loss of Control Risk Reduction Toolkit; and on a constant update of the plans of action for specific states of concern.

A steering group has been formed and includes representatives from each of the four organizations. ICAO acts as the coordinator of the information exchange. This group has met three times and the 4th meeting is planned to take place in the margins of the Cleveland Safety Conference in June 2012.

¹³ OJ L310 25/11/2011 p.3

¹⁴ <http://easa.europa.eu/sms/docs/List%20of%20Safety%20Actions%202012-2015-v0.1.pdf>