



# **EAC**

# **No. 19-5**

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**TABLE OF CONTENTS**

<b>ITEM</b>	<b>TITLE</b>
<b>EAC19-5</b>	<b><u>Self Evaluation of Incident Reporting Systems</u></b>
1.	GENERAL
2.	INFORMATION EXCHANGE
3.	USE OF SAFETY DATA
4.	VERIFYING STATISICAL DATA
5.	SAFETY ANALYSIS PRACTICES
6.	PROTECTION OF SAFETY DATA
7.	SAFETY DATABASE CAPABILITIES

### Self Evaluation of Incident Reporting Systems

This checklist is provided for aviation organization to conduct a self-evaluation of their incident reporting system.

YES	NO	NS	NA	1	GENERAL
				1.1	Is there effective information gathering methods?
				1.2	Is there a recording of pertinent data?
				1.3	Is preliminary analysis and hazard identification implemented?
				1.4	Is a formal risk assessment process occurring, including prioritization of risks?
				1.5	Are risk control strategies being developed and discussed?
				1.6	Is the preferred risk control option being implemented for each significant hazard?
				1.7	Is there a monitoring and evaluation process to determine the effectiveness of the actions taken, the residual risks?
YES	NO	NS	NA	2	INFORMATION EXCHANGE
				2.1	Are monthly or quarterly safety reports to management?
				2.2	Are notifications of validated hazards to affected personnel?
				2.3	Is feedback to reporters to the safety incident reporting system?
				2.4	Are incident investigation reports disseminated?
				2.5	Is there promotion of specific safety issues and practices?
YES	NO	NS	NA	3	USE OF SAFETY DATA
				3.1	Trend analysis of operational events?
				3.2	Occurrence investigations?
				3.3	Hazard identification, risk assessment and risk control?
				3.4	Routine performance monitoring using FDA and LOSA data?
				3.5	Review of training programmes;?
				3.6	Reports for management (e.g. quarterly summaries, safety promotion)?
YES	NO	NS	NA	4	VERIFYING STATISTICAL DATA
				4.1	Conducting more complex statistical analytical procedures?
				4.2	Developing sampling techniques?
				4.3	Interpreting statistical outputs particularly when data samples are small?
				4.4	Advising on the use of appropriate normative data?
				4.5	Assisting in the use of specialized databases, extraction and analysis tools?

				<b>4.6</b>	Detecting data corruption?
				<b>4.7</b>	Advising on the use and interpretation of data from external sources, etc.?
				<b>4.8</b>	Consolidating data, checking its homogeneity and relevance?
<b>YES</b>	<b>NO</b>	<b>NS</b>	<b>NA</b>	<b>5</b>	<b>SAFETY ANALYSIS PRACTICES</b>
				<b>5.1</b>	Verify the utility and limitations of available data?
				<b>5.2</b>	Assist in deciding what additional facts are needed?
				<b>5.3</b>	Establish consistency, validity and logic?
				<b>5.4</b>	Ascertain causal and contributory factors?
				<b>5.5</b>	Assist in reaching valid conclusions; etc.?
<b>YES</b>	<b>NO</b>	<b>NS</b>	<b>NA</b>	<b>6</b>	<b>PROTECTION OF SAFETY DATA</b>
				<b>6.1</b>	Adequacy of "access to information" laws vis-à-vis long-term accident prevention requirements?
				<b>6.2</b>	Company policies on protection of safety data?
				<b>6.3</b>	De-identification, by removing all details which might lead a third party to infer the identity of individuals (flight numbers, dates/times, locations, aircraft type, etc.)?
				<b>6.4</b>	Security of information systems, data storage and communication networks?
				<b>6.5</b>	Limiting access to databases to those with a "need to know"; and Prohibitions on unauthorised use of data?
<b>YES</b>	<b>NO</b>	<b>NS</b>	<b>NA</b>	<b>7</b>	<b>SAFETY DATABASE CAPABILITIES</b>
				<b>7.1</b>	Log safety events under various categories?
				<b>7.2</b>	Link events to related documents (e.g. reports and photographs)?
				<b>7.3</b>	Monitor trends?
				<b>7.4</b>	Compile analyses, charts and reports?
				<b>7.5</b>	Check historical records?
				<b>7.6</b>	Data-share with other organisations?
				<b>7.7</b>	Monitor event investigations?
				<b>7.8</b>	Apply risk factors?
				<b>7.9</b>	Flag overdue action responses?
				<b>7.10</b>	Ensure action taken to avoid reoccurrence?