

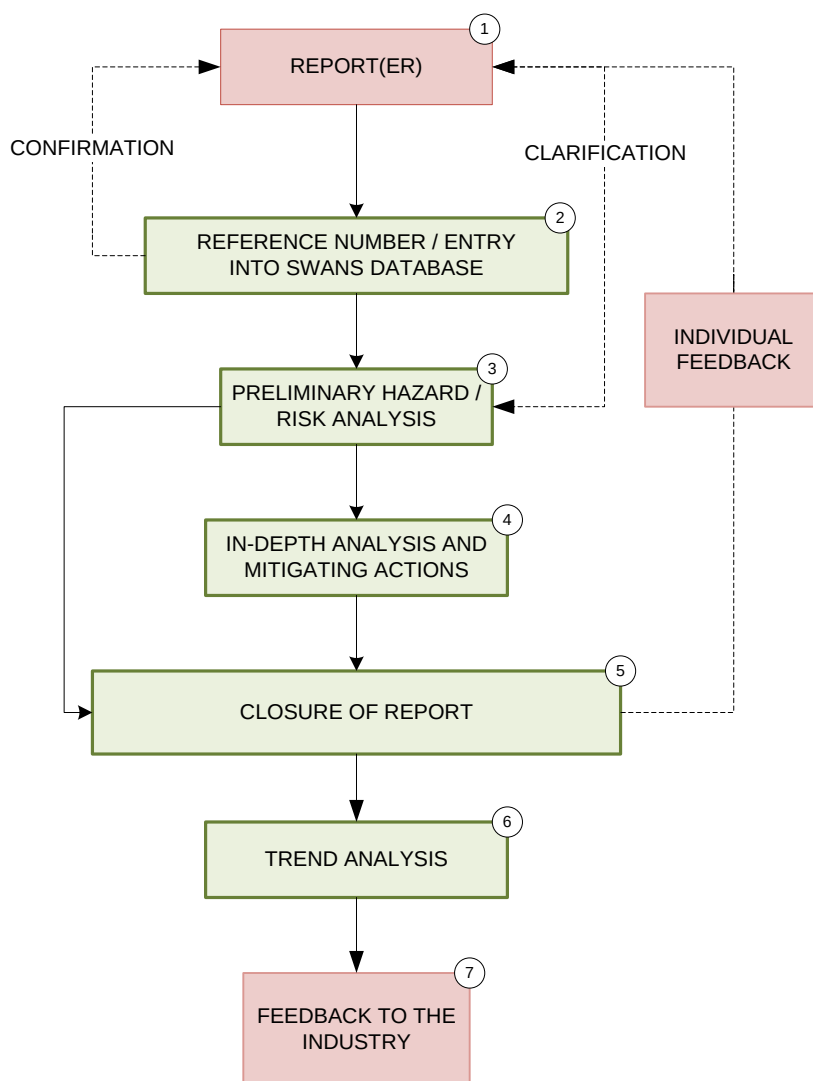


Safety Risk Management (SRM) 07.07.2009

# Swiss Aviation Notification System (SWANS) Reporting Process

Reference: 1/16/16-09

## 1 Process Flow



## 2 Process Description

| Step | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ①    | <p>A flight attendant, pilot, engineer / technician, air traffic controller, ground handler or any other person involved in civil aviation</p> <ul style="list-style-type: none"> <li>Identifies a specific safety hazard / risk that should be mitigated</li> <li>Was personally involved in or has observed a safety relevant incident that might assist the FOCA in identifying potential safety hazards or</li> <li>Wants to share his / her experience with others in order to raise his / her colleague's awareness of a certain safety issue.</li> </ul> <p>The person sends a voluntary SWANS report (anonymous or otherwise) to the <a href="#">SRM office</a>, either via internet form (cryptographically secured transmission) or by phone, fax, mail or e-mail.</p> <p><i>Note: If reporter was involved in an incident that is subject to FOCA's mandatory occurrence reporting process, the concerned organization (e.g. Air Operator, Maintenance Organization, Air Navigation Provider) is not exempted from the mandatory occurrence reporting process: <a href="#">Mandatory Occurrence Reporting</a></i></p> |
| ②    | <p>a. SRM assigns a reference number <b>SWANSxx-xxx</b> and enters the de-identified data into the confidential SWANS database (can only be accessed by the SRM office)</p> <p>b. A confirmation note is sent to the reporter, stating the assigned reference number for further correspondence with SRM / FOCA (not possible in case of anonymous reporting).</p> <p><i>Note: For feedback purposes, personal data of the reporter is stored in a folder accessible only by the SRM office. Personal data will be destroyed after closure of report, see step ⑤</i></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| ③    | <p>a. SRM undertakes a preliminary hazard risk analysis and contacts the reporter if more information is required (not possible in case of anonymous reporting).</p> <p>b. SRM decides whether an in-depth analysis by the responsible safety division within FOCA (Infrastructure, Flight Operations, Flight Technology) is required:</p> <p>If yes: A de-identified summary of the report is forwarded to the safety division for further review.</p> <p>If not: see step ⑤</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

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|---|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ④ | <p>a. The appropriate safety division within FOCA reviews the data and defines further actions in cooperation with SRM. During analytical process, the division will exercise care that no conclusions can be drawn about the reporter's identity (e.g. in case of contact with employer)</p> <p>b. If the reported facts reveal a specific safety hazard/risk, the safety division defines and implements mitigating measures.</p> |
| ⑤ | <p>a. After investigation / implementation of mitigating measures, SRM updates and closes the database record</p> <p>b. SRM informs the reporter about the outcome of the investigation (not possible in case of anonymous reporting).</p>                                                                                                                                                                                          |
| ⑥ | <p>Along with data from other SWANS reports, SRM prepares statistics and reports, undertakes root cause and trend- analyses and defines further safety recommendations.</p>                                                                                                                                                                                                                                                         |
| ⑦ | <p>The conclusions, recommendations and mitigating measures are communicated to the industry, for instance via annual safety report or publications on the SWANS internet site: <a href="#">Lessons learned</a></p>                                                                                                                                                                                                                 |