



**MINISTRY OF DEFENCE**  
**SECRETARIAT GENERAL OF DEFENCE AND NATIONAL ARMAMENTS**  
**DIRECTORATE OF AIR ARMAMENTS AND AIRWORTHINESS**

**NATO AGS**  
**RQ-4D AIR SEGMENT AND PILOT TRAINER**  
**INSTRUCTIONS FOR COMPILING, SENDING AND**  
**MANAGING OCCURRENCE REPORTS**

## LIST OF EFFECTIVE PAGES

**ATTENTION:** This regulation is valid only if it made of the pages listed below, duly updated.

Copy of this Technical Publication may be found at the address:

[http://www.difesa.it/SGD-DNA/Staff/DT/ARMAEREO/Biblioteca/Pagine/default\\_.aspx](http://www.difesa.it/SGD-DNA/Staff/DT/ARMAEREO/Biblioteca/Pagine/default_.aspx)

**The issue dates of the original and amended pages are:**

Original ..... 0 ... dated 07/08/2018

This regulation consists of 28 pages as specified below:

<b>Page</b>	<b>Amendment</b>
<b>N.</b>	<b>N.</b>
Frontpage.....	0
A.....	0
i.....	0
pag. 1 - 11.....	0
Annex A - I.....	0

## INDEX

1.	INTRODUCTION .....	1
1.1	General .....	1
1.2	Overview .....	1
1.3	Aim .....	1
1.4	Applicability .....	2
1.5	Validity .....	2
1.6	Related Documentation .....	2
1.7	Definitions .....	2
2.	OCCURRENCE REPORT (OR) .....	2
2.1	ORs Description .....	2
2.2	Originator .....	3
2.3	OR Composition .....	3
3.	PROCESS FOR CAT.1 OCCURRENCE REPORT .....	3
3.1	Issuing Part I of Cat.1 OR .....	3
3.2	Recording the Cat.1 OR .....	4
3.3	Proposals for Precautionary and/or Definitive Measures .....	4
3.4	Issuing Part II of Cat.1 OR .....	5
3.5	Handling of Cat.1 OR defective material .....	5
3.6	Issuing the Technical Report (TR) to Cat.1 OR .....	6
3.7	Issuing Part III of Cat.1 OR .....	6
3.8	Proposals for Definitive Measures related to Cat.1 OR .....	7
4.	PROCESS FOR CAT.2 OCCURRENCE REPORT .....	7
4.1	Issuing Part I of Cat.2 OR .....	7
4.2	Recording the Cat. 2 OR .....	7
4.3	Issuing Part II of Cat.2 OR .....	8
4.4	Handling of Cat.2 OR defective material .....	8
4.5	Issuing the Technical Report (TR) to Cat.2 OR .....	9
4.6	Issuing of the OR-Part III .....	9
4.7	Proposals for Definitive Measures related to Cat.2 OR .....	10
5.	MISCELLANEOUS .....	10
5.1	Occurrence Report Follow-Up .....	10
5.2	Occurrence Report Repetition .....	10
5.3	Closure Report for Flight Incident / Flight Safety occurrence .....	11
6.	COMMUNICATION CHANNEL .....	11

## LIST OF ANNEXES

<a href="#"><u>Annex A</u></a>	Process of a Category 1 (Cat.1) Occurrence Report	A-1
<a href="#"><u>Annex B</u></a>	NATO AGS Occurrence Report - Part I - Form	B-1
<a href="#"><u>Annex C</u></a>	Method for Compiling the Text of a Occurrence Report	C-1/C-3
<a href="#"><u>Annex D</u></a>	Distribution List for Occurrence Reports	D-1/D-2
<a href="#"><u>Annex E</u></a>	NATO AGS Occurrence Report - Part II- Form	E-1
<a href="#"><u>Annex F</u></a>	Technical Report - Example	F-1/F-2
<a href="#"><u>Annex G</u></a>	NATO AGS Occurrence Report - Part III - Form	G-1
<a href="#"><u>Annex H</u></a>	Process of a Category 2 (Cat.2) Occurrence Report	H-1
<a href="#"><u>Annex I</u></a>	Closure Report for Flight Incident/Flight Safety occurrence - Form	I-1

# 1. INTRODUCTION

## 1.1 General

The AER(EP).00-01-6 "Istruzioni per la Compilazione, l'Inoltro e la Gestione delle Segnalazioni Inconvenienti relative al Materiale Aeronautico" is the National reference regulation for the compiling, sending and managing of Occurrence Reports (ORs). The process defined in the regulation AER(EP).00-01-6 is applicable also to the pilot trainers registered in the Military Pilot Trainers Registry as detailed in the regulation AER(EP).P-3 "Pilot Trainer - Zero Flight Time, Capitolato, Omologazione, Iscrizione nel Registro, Controllo Configurazione e Pubblicazioni Tecniche". The paragraph 1.3 of the AER(EP).00-01-6, allows the possibility of dedicated procedures for aircraft covered by International Agency Contracts, through the issuing of a specific regulation. Hence, the NATO AGS occurrence report process for the NATO AGS Air Segment and Pilot Trainer is defined in this dedicated regulation that follows the main principles of the AER(EP).00-01-6.

## 1.2 Overview

The System Design Responsible (SDR) and Simulator SDR (SSDR), recognized i.a.w. AER(EP).00-00-5/RQ-4D, hold the design data for the NATO AGS Air Segment and Pilot Trainer respectively. For the remainder of this document any time the term "SDR" occurs it is referring to both the SDR and SSDR.

The SDR is bound to investigate and analyze faults, malfunctions, defects and other issues on the NATO AGS Air Segment and Pilot Trainer configuration items in order to keep them in safe conditions considering both performance characteristics and airworthiness. Therefore the SDR is responsible to identify the causes and define the appropriate corrective actions to return the configuration item to its correct functions as per the relevant Military Type Certificate (MTC).

As per the above, the SDR is also required to provide the Directorate of Air Armaments and Airworthiness (D.A.A.A.) and the Competent Body, proposals for corrective measures to be applied for managing and resolving the reported technical issue.

### NOTE

An OR shall not be issued to address faults which occurs on material covered by warranty and for which the identification of causes and relevant corrective actions are not needed. However, contractual communications and precautions for recognition of the warranty shall be implemented by sending the material to the SDR for repair/reconditioning.

## 1.3 Aim

This regulation defines roles and responsibilities and the workflow to ensure airworthiness and safety on ground of the NATO AGS Air Segment / Pilot Trainer by issuing ORs. These ORs enable all necessary actions to determine the cause of occurrences and the corresponding corrective actions and timelines.

## **1.4 Applicability**

This regulation is applicable to all configuration items of the registered NATO AGS Air Segment and the relevant Pilot Trainer, including the Aircraft Ground Equipment (AGE) Type 1.

## **1.5 Validity**

This regulation shall come into effect as of its approval date.

## **1.6 Related Documentation**

- |           |                       |  |
|-----------|-----------------------|--|
| <b>A.</b> | AER(EP).00-01-6       | Istruzioni per la Compilazione, l'Inoltro e la Gestione delle Segnalazioni Inconvenienti relative al Materiale Aeronautico   |
| <b>B.</b> | AER(EP).00-00-5/RQ-4D | NATO AGS RQ-4D Air Segment And Pilot Trainer Configuration Control. Preparation, Assessment and Approval of Configuration Changes for the Continued Airworthiness Implementation |
| <b>C.</b> | AER(EP).0-0-2/RQ-4D   | NATO AGS RQ-4D Air Segment and Pilot Trainer Definition and Regulation of the D.A.A.A. System for Handling Technical Publications Aircraft Maintenance Training Organisations    |
| <b>D.</b> | C-M(2002)49 NATO      | Security Policy  |

## **1.7 Definitions**

Refer to AER(EP).0-0-2/RQ-4D, Annex VI for the general definitions.

# **2. OCCURRENCE REPORT (OR)**

## **2.1 ORs Description**

An OR shall be issued whenever failure, malfunction, defect or other occurrence resulted or may result in an unworthy or unsafe condition.

An OR shall be categorized as follow:

- Category 1 OR ( Cat.1 OR)  
It is issued to report an occurrence with a presumptive condition of immediate danger by impacting airworthiness and safety for persons and/or environment;
- Category 2 OR ( Cat.2 OR)

It is issued to report a type of occurrence which has no impact on airworthiness/safety and concerns a configuration item with defects which, if not eliminated, could:

- Have a negative effect on operational capability, readiness and efficiency;
- Reduce the operational life or unconditional use of the type of equipment concerned; or
- Have significant economic consequences.

The serialized Air Segment/Pilot Trainer(PT)/Equipment affected by a Cat.1 OR shall be quarantined immediately, after ground safety is applied. Any additional action will require to be specifically approved by the D.A.A.A..

Cat.2 OR is essentially related to problems of lifespan, interchangeability, maintainability, and usability of the material.

## **2.2 Originator**

An OR can be originated by either the Accountable Manager of the NAGSF at the Main Operating Base (NAGSF MOB) or the SDR.

## **2.3 OR Composition**

An OR is composed of the following three parts:

- Part I: Contains the report of the occurrence;
- Part II: Contains indications on the necessity (if any) to perform an investigation of the defective material. In the event it is not considered necessary to perform an investigation, Part II represents the closure of the OR; and
- Part III: Represents the decisions on the analyses and/or Technical Report (TR).

# **3. PROCESS FOR CAT.1 OCCURRENCE REPORT**

This type of OR requires maximum priority from all stakeholders involved in the process shown in Annex A.

## **3.1 Issuing Part I of Cat.1 OR**

The Cat.1 OR Part I shall be drawn up in accordance with (i.a.w.) Annex B (for instructions see Annex C). After acquiring the greatest possible quantity of data to identify the causes of the occurrence, the Cat.1 OR Part I shall be issued/signed within 24 hours of the occurrence being detected, by either the NAGSF MOB – in the event that the Originator is the NAGSF – or by the Technical Director of the SDR – in the event that the Originator is the SDR.

The Cat.1 OR Part I issued by the NAGSF MOB shall be distributed – i.a.w. Annex D – immediately in parallel to the D.A.A.A. and to the SDR and in carbon copy to the Competent Body (CB). In case the Cat.1 OR Part I is issued by the SDR, it shall be distributed immediately to the D.A.A.A., and in carbon copy to the NAGSF MOB and Competent Body (see also Annex D).

When the OR is derived from an Aircraft Incident or Flight Incident / Flight Safety Report, the Cat.1 OR Part I shall contain as an annex the related report.

Any photographic documentation and/or additional supplementary information with respect to that reported in the Cat.1 OR Part I shall be transmitted, by the Originator to the same stakeholders to which the Cat.1 OR Part I has been distributed too, as soon as possible via the most suitable available means. This photographic documentation and/or additional supplementary information shall specify the number of the OR.

**NOTE**

Given the priority of this type of OR and the need for shortened timelines, the occurrence shall be immediately communicated by the Originator to the D.A.A.A. and to the SDR (in case of Cat.1 OR Part I originated by the NAGSF MOB), by telephone and email in parallel.

### **3.2 Recording the Cat.1 OR**

The Cat.1 OR shall be recorded in the Originator's specific register for the progressive numbering of Cat.1 ORs.

This register shall contain at least the following data for every OR:

- Number of the OR;
- Sending date of the OR;
- Name and P/N of the defective item;
- Date of reception of the order for shipment of affected material (when applicable);
- Date of shipment of affected material (when applicable); and
- Reference to the conclusive action i.a.w. Cat.1 OR Part III.

### **3.3 Proposals for Precautionary and/or Definitive Measures**

At the reception of the Cat.1 OR, the SDR shall take immediate action and formulate to the D.A.A.A. and the Competent Body – no later than (n.l.t.) 3 (three) working days – proposals for precautionary and/or definitive measures (e.g. e-mails, ECP/ECPI, proposals for Supplements to Technical Manuals, etc.), to ensure that unacceptable safety and operating conditions do not remain.

These measures, which shall be formulated in a clear and complete fashion, shall be based on in depth analysis and best knowledge of the technical issue occurred. The D.A.A.A. may authorize the proposals issued by the SDR, by giving preliminary and/or definitive measures (e.g. e-mails, Service Bulletin (SB), Supplements to Technical Manuals etc.) to the NAGSF MOB and to the Competent Body, on the actions to be implemented concerning the reported technical issue.

Whenever it should not be possible to issue the above-mentioned proposals within the required timeframe due to lack of adequate elements or when further investigation is considered necessary, the SDR shall provide the D.A.A.A. and the Competent Body with the estimated date when these proposals shall be transmitted and/or supply a schedule of the investigations considered necessary.



Proposals for preliminary precautionary measures do not exempt the SDR to provide proposals for definitive measures which shall be performed until all aspects of the technical issues have been analyzed and a final solution has been reached.

### **3.4 Issuing Part II of Cat.1 OR**

Part II of Cat.1 ORs shall be issued by the D.A.A.A. only.

Within 5 working days of the date of receipt of the Cat.1 OR, the D.A.A.A. shall issue the Cat.1 OR Part II (to be compiled according to the form provided in Annex E) with which it communicates whether or not it considers it necessary to proceed to a technical investigation.

In the event that the D.A.A.A. considers it necessary to follow up the OR and submit the faulty material to particular tests or investigations, the D.A.A.A. shall identify the body responsible (e.g.: SDR, third parties / laboratories etc.) for performing the investigation, inform the Competent Body in regards to any required contractual arrangements, and include any request to the NAGSF MOB concerning the shipment of the material and the related timelines.

The D.A.A.A. may already include in the Cat.1 OR Part II the need for its own personnel to witness the tests/investigations.

In any case, participation in the investigations may be requested at any time.

Whenever the NAGSF MOB and/or the SDR and / or Competent Body are interested to attend the investigation, they may make a request to the D.A.A.A..

The Cat.1 OR Part II shall be sent to:

- Competent Body;
- Body responsible for the investigation;
- NAGSF MOB; and
- SDR.

In the event that D.A.A.A. does not consider it necessary to follow up the OR, the Cat.1 OR Part II represents the closure of the OR itself and it is not necessary to issue the Cat.1 OR Part III.

### **3.5 Handling of Cat.1 OR defective material**

The NAGSF MOB, upon receiving the Cat.1 OR Part II, shall provide for transport of the defective material on the basis of the instructions given by the D.A.A.A. in the Cat.1 OR Part II, taking care to include a copy of the OR.

Any items subject to OR shall be sent complete (without any of their components or accessories having been removed).

If it is suspected that the fault may be due to fuel or lubricants, the NAGSF MOB shall take a sample of the liquid which, when requested by the D.A.A.A., shall be made available to the body responsible for performing the investigation.

In the event that the liquid has already been examined, a copy of the analysis report shall be made available to the D.A.A.A. and the body responsible for the investigation.

It is responsibility of the NAGSF MOB to ensure that the material requested by the D.A.A.A. is made available to the body responsible for the investigation as quickly as possible, and in any case within the terms laid out by the D.A.A.A. in the Cat.1 OR Part II.

Whenever the defective article cannot be made available immediately, the NAGSF MOB shall perform the necessary actions so that the investigation can nonetheless take place when necessary, also by obtaining similar items.

If the body responsible for the investigation has not received the defective material within the terms established by the D.A.A.A. in the Cat.1 OR Part II, it shall solicit its delivery from the NAGSF MOB, also informing the D.A.A.A. and the Competent Body.

The body responsible for the investigation shall communicate to the D.A.A.A. via e-mail when it has received the defective material and consequently started the investigation.

### **3.6 Issuing the Technical Report (TR) to Cat.1 OR**

In order to perform the investigations, the body responsible may make use of third parties/laboratories.

Moreover, whenever it should consider it necessary, the body responsible may contact the NAGSF MOB or perform visits to acquire further information on the reported technical issue.

Once the investigation has been performed, the body responsible for the investigation shall issue a TR (example in Annex F) including proposals for any definitive corrective measures to be adopted to resolve the issue.

The TR shall be transmitted to the D.A.A.A. within 10 working days of the date of communication of the start of the investigation.

In the event this is not possible, the body responsible for the investigation shall keep the D.A.A.A. and the Competent Body updated on the activities performed and of the estimated completion date of the investigation.

Upon conclusion of the investigation (issuing of Cat.1 OR Part III by the D.A.A.A.), the NAGSF MOB shall initiate re-transportation of the faulty material from the body responsible for the investigation.

Whenever the body responsible for the investigation should not receive information on the shipment of faulty material within 60 (sixty) calendar days of the issue of the Cat.1 OR Part III, it is authorized to send it to the Body from which they received it.

### **3.7 Issuing Part III of Cat.1 OR**

Part III represents the decisions of the D.A.A.A. for Cat.1 ORs.

Upon conclusion of the evaluation of the analyses and any corrective measures contained in the TR, the D.A.A.A. shall issue the Cat.1 OR Part III (to be compiled per the example provided in Annex G) with which it communicates its decisions to the following Bodies (other than D.A.A.A.'s internal branches):

- Competent Body;

- NAGSF MOB;
- Body responsible for the investigation; and
- SDR.

Whenever the D.A.A.A., after evaluating the TR, considers it appropriate/necessary to proceed with further investigations compared to that put forward by the body responsible for the investigation, it may request supplementary activities or dedicated investigations.

### **3.8 Proposals for Definitive Measures related to Cat.1 OR**

Once the Cat.1 OR Part III TR and proposals for definitive corrective measures (if any) have been issued:

- In case of investigation under SDR's responsibility, the SDR shall proceed i.a.w. AER(EP).00-00-5/RQ-4D or AER(EP).P-104/RQ-4D regulations; or
- The D.A.A.A. directly issues the definitive corrective provisions, always i.a.w. TP AER(EP).00-00-5/RQ-4D or AER(EP).P-104/RQ-4D.

## **4. PROCESS FOR CAT.2 OCCURRENCE REPORT**

This type of OR requires stakeholders participation as per the process shown in DAnnex H.

### **4.1 Issuing Part I of Cat.2 OR**

The Cat.2 OR Part I shall be drawn up i.a.w. Annex B (for instructions see Annex C). After acquiring the greatest possible quantity of data to identify the causes of the occurrence, the Cat.2 OR Part I shall be issued/signed within 10 working days of the occurrence being detected, by either the NAGSF MOB – in the event that the Originator is the NAGSF – or by the Technical Director of the SDR – in the event that the Originator is the SDR.

The Cat.2 OR Part I issued by the NAGSF MOB shall be sent – i.a.w. Annex D – in parallel to the Competent Body and to the SDR, and in carbon copy to the D.A.A.A.. In case a Cat.2 OR Part I is issued by the SDR, it shall be sent to the Competent Body, and in carbon copy to both the D.A.A.A. and the NAGSF MOB (see also Annex D).

A description of the technical issue, any photographic documentation and/or additional supplementary information with respect to that reported in the Cat. 2 OR shall be transmitted, by the NAGSF MOB or by the SDR, as soon as possible via the most suitable available means, specifying the number of the OR.

### **4.2 Recording the Cat. 2 OR**

The OR shall be recorded in the Originator's specific register for the progressive numbering of Cat.2 ORs.

This register shall contain at least the following data for every OR:

- Number of the OR;
- Sending date of the OR;
- Name and P/N of the defective item;
- Date of reception of the order for shipment of affected material (when applicable);
- Date of shipment of affected material (when applicable); and
- Reference to the conclusive action i.a.w. Cat.2 OR Part III.

### **4.3 Issuing Part II of Cat.2 OR**

Part II of Cat.2 ORs shall be issued by the Competent Body.

Within 10 working days of the date of receipt of the Cat.2 OR, the Competent Body shall issue the Cat.2 OR Part II (to be compiled according to the form provided in Annex E) with which it communicates whether or not it considers it necessary to proceed to a technical investigation.

In the event that the Competent Body considers it necessary to follow up the OR and submit the faulty material to particular tests or investigations, the Competent Body shall identify the body responsible (e.g.: SDR, third parties / laboratories etc.) for performing the investigation and include any request to the NAGSF MOB concerning the shipment of the material and the related timelines.

The Competent Body may already include in the Cat.2 OR Part II the need for its own personnel to witness the tests/investigations.

In any case, participation in the investigations may be requested at any time.

Whenever the NAGSF MOB and/or the SDR and/or D.A.A.A. are interested to attend the investigation, they may make a request via the Competent Body.

The Cat.2 OR Part II shall be sent to:

- D.A.A.A.;
- Body responsible for the investigation;
- NAGSF MOB; and
- SDR.

In the event that Competent Body does not consider it necessary to follow up the OR, the Cat.2 OR Part II represents the closure of the OR itself and it is not necessary to issue the Cat.2 OR Part III.

### **4.4 Handling of Cat.2 OR defective material**

The NAGSF MOB, upon receiving the Cat.2 OR Part II, shall provide transportation of the defective material on the basis of the instructions given by the Competent Body in the Cat.2 OR Part II, taking care to include a copy of the OR.

Any items subject to OR shall be sent complete (without any of their components or accessories having been removed).

If it is suspected that the fault may be due to fuel or lubricants, the NAGSF MOB shall take a sample of the liquid which, when requested by the Competent Body, shall be made available to the body responsible for performing the investigation.

In the event that the liquid has already been examined, a copy of the analysis report shall be made available to the Competent Body and the body responsible for the investigation.

It is responsibility of the NAGSF MOB to ensure that the material requested by the Competent Body is made available to the body responsible for the investigation as quickly as possible, and in any case within the terms laid out by the Competent Body in the Cat.2 OR Part II.

Whenever the defective article cannot be made immediately available, the NAGSF MOB shall perform the necessary actions so that the investigation can nonetheless take place when necessary, also by obtaining similar items.

If the body responsible for the investigation has not received the defective material within the terms established by the Competent Body in the Cat.2 OR Part II, it shall solicit them from the NAGSF MOB, also informing the Competent Body.

The body responsible for the investigation shall communicate to the Competent Body via e-mail when it has received the defective material and consequently started the investigation.

#### **4.5 Issuing the Technical Report (TR) to Cat.2 OR**

In order to perform the investigations, the body responsible may make use of third parties/laboratories.

Moreover, whenever it should consider it necessary, the body responsible may contact the NAGSF MOB or perform visits to acquire further information on the reported technical issue.

Once the investigation has been performed, the body responsible for the investigation shall issue a TR (example in Annex F) including proposals for any definitive corrective measures to be adopted to resolve the issue.

The TR shall be transmitted to the Competent Body within 30 working days of the date of communication of the start of the investigation.

In the event this is not possible, the body responsible for the investigation shall keep the Competent Body updated on the activities performed and of the estimated completion date of the investigation.

Upon conclusion of the investigation (issuing of Cat.2 OR Part III by the Competent Body), upon indication of the Competent Body, the NAGSF MOB shall initiate re-transportation of the faulty material from the body responsible for the investigation.

Whenever the body responsible for the investigation should not receive information on the shipment of faulty material within 60 (sixty) calendar days of the issue of the Cat.2 OR Part III, they are authorized to send it to the Body from which they received it.

#### **4.6 Issuing of the OR-Part III**

Part III represents the decisions of the Competent Body for Cat.2 ORs.

Upon conclusion of the evaluation of the analyses and any corrective measures contained in the TR, the Competent Body, when coordinated with D.A.A.A., shall

issue the Cat.2 OR Part III (to be compiled per the example provided in Annex G) with which it communicates its decisions to the following Bodies:

- NAGSF MOB;
- D.A.A.A.;
- Body responsible for the investigation; and
- SDR.

Whenever the Competent Body, after evaluating the TR, considers it appropriate/necessary to proceed with further investigations compared to that put forward by the body responsible for the investigation, it may request supplementary activities or dedicated investigations.

#### **4.7 Proposals for Definitive Measures related to Cat.2 OR**

Once the Cat.2 OR Part III TR and proposals for definitive corrective measures (if any) have been issued:

- In case of investigation under SDR's responsibility, the SDR shall proceed i.a.w. AER(EP).00-00-5/RQ-4D or AER(EP).P-104/RQ-4D regulations; or
- The Competent Body shall propose the definitive corrective provisions, always i.a.w. TP AER(EP).00-00-5/RQ-4D or AER(EP).P-104/RQ-4D.

## **5. MISCELLANEOUS**

### **5.1 Occurrence Report Follow-Up**

An Occurrence Report Follow-Up is issued address a new occurrence of an event already under investigation and for which an OR is already in progress, to report further additional elements that have emerged.

The item relevant to an "OR Follow-up" is subject to the same constraints applied to the item of the OR in progress.

The OR Follow-Up is forwarded to the same stakeholders which received the OR in progress and shall be issued i.a.w. the same procedural steps.

The caption "OR Follow-up no. ...." shall be specified at the beginning of the Cat.1 and Cat.2 Ors (Annex B).

### **5.2 Occurrence Report Repetition**

An Occurrence Report Repetition is issued only for statistical purposes to report an occurrence judged to be identical to one already subject of an OR for which investigation is still in progress and, as such, does not introduce any new element useful to the investigation itself.

The faulty material subject to an Occurrence Report Repetition shall be considered free from any constraints unless indicated otherwise by the D.A.A.A. or the Competent Body; these indications (if any) shall be sent to the Originator within 10 working days from the date of issue of the Occurrence Report Repetition.

### 5.3 Closure Report for Flight Incident / Flight Safety occurrence

This is a report with which the NAGSF MOB of a Flight Incident Report / Flight Safety Report communicates to the D.A.A.A. and the Competent Body that it will not proceed to issue an OR as:

- It does not consider it necessary to perform investigations to determine the cause or adopt corrective measures as they are already known;
- Following further investigations it has emerged that the event did not occur due to technical factors; and
- The event has been attributed to the use of ground equipment and “non-invasive” AGEs which therefore does not require corrective actions on the material or the manuals unless this requires preventive actions on the aircraft.

The form to be used for this communication is provided in Annex I.

All Flight Incident Reports / Flight Safety Reports shall therefore be followed up either issuing a Closure Report in case no technical issues have been discovered or issuing an OR of the appropriate category.

#### NOTE

Issuing an OR/Closure Report following an event due to technical factors and reported via Flight Incident/Flight Safety Report guarantees that technical issues with a potential effect on Flight Safety have been correctly reported and analyzed in order to identify any corrective measures.

For this reason, the NAGSF MOB is recommended to periodically check the situation of the Flight Incident/ Flight Safety due to technical factors, checking that the corresponding ORs/ Closure Reports have been issued.

## 6. COMMUNICATION CHANNEL

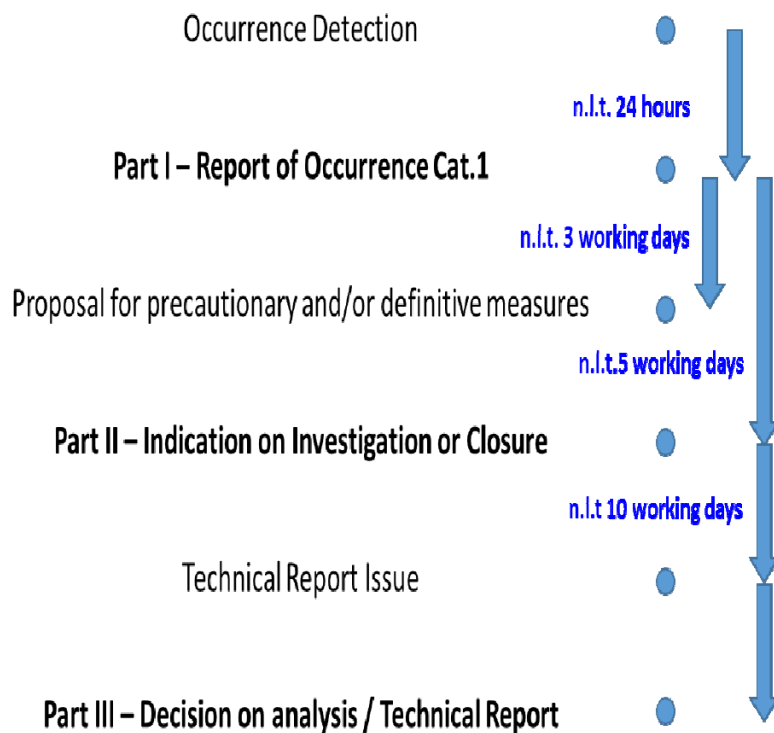
All formal communications shall be sent via e-mails. Formal documents (e.g., OR, Flight Incident Report, Flight Safety Report) need to be attached as signed PDF copy and including the formal transmission letter with the relevant signature and protocol number. Formal e-mails shall be acknowledged by the Receiver via e-mails, containing the protocol number of the Receiver. The process for access to supporting electronic data shall be provided within the formal communications (e.g., a link to an online workspace).

Classified information be exchanged require to follow the same process via NATO SECRET network.

**PROCESS OF A CATEGORY 1 (CAT.1) OCCURRENCE REPORT**

DAAA	NAGSF	SDR	CB	ExtB
	<b>X</b>	<b>X</b>		
To	From/Cc	From/To	Cc	
To		From	To	
From	Cc	Cc	Cc	Cc
To				From
From	To	To	To	To

**CATEGORY 1 – OCCURRENCE REPORT**





## LINE STAMP OF THE ORIGINATOR

### NATO AGS Occurrence Report – Part I

<input type="checkbox"/> <b>Category 1</b>	<input type="checkbox"/> <b>Category 2</b>
--	--

**1. NUMBER OF THE OR \_\_\_\_\_**

2.TO			
3.INFO			
4.Date of issue	<i>GROUP DATE-TIME</i>		
<b>5. Defective P/N</b>	5a). P/N	5b). Part Description	5c). S/N
	5d). Company	5e). Date of fault detection	5f). BEI
	5g). Part Status	5h). Date	5i). Hours
6.Next Higher Assembly	6a). P/N	6b). Part Description	6c). S/N
7.Final Assembly	7a). MDS / Assy	7b). Part Description	7c). S/N
<b>8.Description of the Occurrence</b> a) <u>Circumstances preceding the occurrence:</u>  b) <u>Description:</u>  c) <u>Any tests performed to identify the causes of the occurrence and description of these causes:</u>  d) <u>Measures taken and recommendations:</u>  e) <u>List of documents sent attached and/or separately:</u>  f) <u>Any other pertinent elements:</u>			
<b>Tel:</b>	<i>Civil Line</i>	<i>Military Line</i>	<i>Signature Head of the ORIGINATOR</i>
<b>E-Mail:</b>			

PAGE .....out of .....	REFERENCE MESSAGE CLASSIFIED YES      NO	NAME OF COMPLIER	OFFICE	TEL. NO.

## **METHOD FOR COMPILING THE TEXT FOR AN OCCURRENCE REPORT**

Before compiling the following data fields, the Originator shall indicate the category of the OR, flagging the relevant checkbox.

### **1 NUMBER OF OR**

Indicate the no. of the OR: every Originator shall maintain two registers to identify all Cat.1 and Cat.2 ORs issued respectively in chronological sequence. The number to assign to the OR shall be composed of 4 groups of numbers and letters:

- The first group indicates the abbreviated name of the Originator (e.g. NAGSF);
- The second shall consist of Cat.1 or Cat.2 to indicate whether it is a Cat.1 or Cat.2;
- The third group identifies the Mission Design Series (MDS) RQ-4D
- The fourth group identifies the last two numbers of the calendar year and the progressive number for Cat.1 or Cat.2 ORs issued during the year, to be taken from the register

For example: NASGF/Cat.2/RQ-4D/18-13 identifies the “13th Category 2 OR issued by NAGSF for the WS GH in the year 2018).

The caption “OR Follow-up no. ....” shall be specified at the beginning of the Cat.1 and Cat.2 Ors, when applicable.

### **2 TO**

Indicate:

- D.A.A.A. and SDR, in case of Cat.1 OR originated by the NAGSF;
- D.A.A.A., in case of Cat.1 OR originated by the SDR;
- Competent Body and SDR, in case of Cat.2 originated by the NAGSF; or
- Competent Body, in case of Cat.2 OR originated by the SDR.

### **3 INFO**

Indicate:

- Competent Body, in case of Cat.1 OR originated by the NAGSF;
- Competent Body and NAGSF, in case of Cat.1 OR originated by the SDR;
- D.A.A.A., in case of Cat.2 originated by the NAGSF; or
- D.A.A.A. and NAGSF, in case of Cat.2 OR originated by the SDR.

### **4 Date of Issue**

Give the issue date (dd/mm/yyyy) of the OR.

### **5 Defective P/N**

#### **5a). P/N**

Indicate the reference number of the defective part taken from the illustrated catalog or, if this is not available, from another reference manual.

#### **5b). Part Description**

Give the description of the Part Number (P/N) to which the OR refers to.

**5c). S/N**

Give the S/N for the defective item; if the item is not serialized, enter "NA". If known, give the batch number and date of manufacture (e.g. for chemical products, castings etc.).

**5d). Company**

Give the code number for the Manufacturer and/or company performing repair and/or overhaul; if not known, write out the name and address of the company in full.

The same article may have been purchased from different manufacturers or agencies; as such, this information is important to identify the procurement source.

If the defective item has been repaired or overhauled, give the name of the company which performed this.

This information is also important when the company differs from the SDR.

**5e). Date of fault detection**

Give the date when the fault was identified (dd/mm/yy).

**5f). BEI**

Give the logistic Breakdown Element Identifier (BEI) establishing the position of the defective part in the relational block hierarchy as defined for the NATO AGS.

**5g). Part Status**

Specify "New", "Overhauled" or "Repaired"

**5h). Date**

When available, specify "Manufacture", "Repair" or "Overhaul" and the date (mm/yy) in which the defective item was manufactured and/or repaired and/or overhauled.

**5i). Hours**

When traceable from the identity sheet, specify "Operation" or "Calendar Use" and the corresponding hours of operation (from new or after last repair) and/or calendar use (for material with lifetime limits).

**6 Next Higher Assembly**

**6a). P/N**

Specify the P/N of the immediately higher level assembly the defective item is installed on.

**6b). Part Description**

Specify the description of the P/N of the immediately higher level assembly.

**6c). S/N**

Specify the S/N of the immediately higher level assembly.

**7 Final Assembly**

**7a). MDS/Assy**

Indicate the final complete assembly (e.g. RQ-4D/UAV) on which the defective item is installed, by choosing one of the following:

- RQ-4D/UAV;
- RQ-4D/AVMC2-GCS;
- RQ-4D/DUCE; or
- RQ-4D/PT.

**7b). Part Description**

Specify the description of that final part (e.g. a/c, engine, etc.).

**7c). S/N**

Specify the S/N of said final part.

**8 Description of Occurrence**

In case of OR Cat.1 only a high level description of the occurrence is due, as per b) below.

In case of OR Cat.2, specify in order:

- a) The circumstances preceding the occurrence and details of any Flight Incident / Flight Safety issued;
- b) Description of the fault;
- c) Any tests performed to identify the causes of the fault and description of these causes;
- d) Measures taken and any recommendations;
- e) The list of documents sent attached and/or separately; and
- f) Any other pertinent element considered useful to the investigation.

Include the following with the information provided:

- Performance during use;
- Number of the figure and date of the manuals of reference;
- Identification number and type of stamping of the quality check, if present on the defective part;
- When applicable, any incorrect maintenance procedures, lack of training, inadequate procedures, lack of reliable test and calibration equipment, negligence;
- Indicate whether the occurrence is associated with an accident or dangerous event and, in that case, give the details of the preliminary report on the incident transmitted by the Technical Officer. In the event this has not yet been sent, supply a chronological description of the facts and circumstances which led to the incident.

This will allow for a preliminary analysis and the issuing of appropriate provisions for any subsequent investigations of the defective item.

When it is necessary to exhibit photos and/or other documentation, this shall be identified with the OR number and transmitted as soon as possible.

*Note: Always highlight at which organization the occurrence took place. Whenever it is an OR Follow-up or Repetition, specify "Follow-up" or "Repetition" followed by the number of the "initial" OR.*

*In the event that the OR was issued due to technical issues reported, give details of the Flight Incident / Flight Safety.*

**DISTRIBUTION LISTS FOR OCCURRENCE REPORTS**

**For Category 1 Occurrence Report (Cat.1 OR)**

<b><i>Issued by</i></b>	<b><i>NAGSF</i></b>	<b><i>System Design Responsible (SDR)</i></b>
TO:	<p>Directorate of Air Armaments and Airworthiness (D.A.A.A.) 3<sup>rd</sup> Branch Aeroporto "Francesco Baracca" Via di Centocelle, 301 I-00175 ROMA Mail: <a href="mailto:caporep3@armaereo.difesa.it">caporep3@armaereo.difesa.it</a> Tel.: +39 06 4691 3 2192</p> <p>Northrop Grumman (NG) XX XX XX XX, USA Mail: <a href="mailto:XX">XX</a> Tel.: +1 XX</p>	<p>Directorate of Air Armaments and Airworthiness (D.A.A.A.) 3<sup>rd</sup> Branch Aeroporto "Francesco Baracca" Via di Centocelle, 301 I-00175 ROMA Mail: <a href="mailto:caporep3@armaereo.difesa.it">caporep3@armaereo.difesa.it</a> Tel.: +39 06 4691 3 2192</p>
CC:	<p><i>During Initial In-Service Support (IISS):</i> NATO Alliance Ground Surveillance Management Agency (NAGSMA) Bâtiment ZA Boulevard Leopold III B-1110 Brussels Belgium Mail: <a href="mailto:nagsma@nagsma.nato.int">nagsma@nagsma.nato.int</a> Tel.: +32 .....</p> <p><i>During In-Service Support (ISS):</i> NATO Support and Procurement Agency (NSPA) NATO AGS System Management Group 11, rue de la Gare L-8325 Capellen G.-D. Luxembourg Mail: <a href="mailto:xxx@nsps.nato.int">xxx@nsps.nato.int</a> Tel.: +352 .....</p>	<p><i>During Initial In-Service Support (IISS):</i> NATO Alliance Ground Surveillance Management Agency (NAGSMA) Bâtiment ZA Boulevard Leopold III B-1110 Brussels Belgium Mail: <a href="mailto:nagsma@nagsma.nato.int">nagsma@nagsma.nato.int</a> Tel.: +32 .....</p> <p><i>During In-Service Support (ISS):</i> NATO Support and Procurement Agency (NSPA) NATO AGS System Management Group 11, rue de la Gare L-8325 Capellen G.-D. Luxembourg Mail: <a href="mailto:xxx@nsps.nato.int">xxx@nsps.nato.int</a> Tel.: +352 .....</p> <p>NAGSF XX XX XX I-XX SIGONELLA Mail: <a href="mailto:XX">XX</a> Tel.: +39 XX</p>

**For Category 2 Occurrence Report (Cat.2 OR)**

<b><i>Issued by</i></b>	<b><i>NAGSF</i></b>	<b><i>System Design Responsible (SDR)</i></b>
TO:	<p><i>During Initial In-Service Support (IISS):</i>  NATO Alliance Ground Surveillance  Management Agency (NAGSMA)  Bâtiment ZA  Boulevard Leopold III  B-1110 Brussels  Belgium  Mail: <a href="mailto:nagsma@nagsma.nato.int">nagsma@nagsma.nato.int</a>  Tel.: +32 .....</p> <p><i>During In-Service Support (ISS):</i>  NATO Support and Procurement Agency  (NSPA)  NATO AGS System Management Group  11, rue de la Gare  L-8325 Capellen  G.-D. Luxembourg  Mail: <a href="mailto:xxx@nsps.nato.int">xxx@nsps.nato.int</a>  Tel.: +352 .....</p> <p>Northrop Grumman (NG)  XX  XX  XX  XX, USA  Mail: <a href="mailto:XX">XX</a>  Tel.: +1 XX</p>	<p><i>During Initial In-Service Support (IISS):</i>  NATO Alliance Ground Surveillance  Management Agency (NAGSMA)  Bâtiment ZA  Boulevard Leopold III  B-1110 Brussels  Belgium  Mail: <a href="mailto:nagsma@nagsma.nato.int">nagsma@nagsma.nato.int</a>  Tel.: +32 .....</p> <p><i>During In-Service Support (ISS):</i>  NATO Support and Procurement Agency  (NSPA)  NATO AGS System Management Group  11, rue de la Gare  L-8325 Capellen  G.-D. Luxembourg  Mail: <a href="mailto:xxx@nsps.nato.int">xxx@nsps.nato.int</a>  Tel.: +352 .....</p>
CC:	<p>Directorate of Air Armaments and  Airworthiness (D.A.A.A.)  3<sup>rd</sup> Branch  Aeroporto "Francesco Baracca"  Via di Centocelle, 301  I-00175 ROMA  Mail: <a href="mailto:caporep3@armaereo.difesa.it">caporep3@armaereo.difesa.it</a>  Tel.: +39 06 4691 3 2192</p>	<p>Directorate of Air Armaments and  Airworthiness (D.A.A.A.)  3<sup>rd</sup> Branch  Aeroporto "Francesco Baracca"  Via di Centocelle, 301  I-00175 ROMA  Mail: <a href="mailto:caporep3@armaereo.difesa.it">caporep3@armaereo.difesa.it</a>  Tel.: +39 06 4691 3 2192</p> <p>NAGSF  XX  XX  XX  I-XX SIGONELLA  Mail: <a href="mailto:XX">XX</a>  Tel.: +39 XX</p>

LINE STAMP OF D.A.A.A. (for Cat1) or CB (for Cat.2)

## NATO AGS Occurrence Report – Part II

NUMBER OF THE OR \_\_\_\_\_

FROM	<b><i>D.A.A.A. (in case of OR Cat.1) <u>or</u> Competent Body (in case of OR Cat.2)</i></b>	
TO	<b><i>Body responsible for the investigation</i></b>	
INFO	<b><i>NAGSF SDR (whenever this does not coincide with the body responsible for the investigation) D.A.A.A. (in case of OR Cat.2) <u>or</u> Competent Body (in case of OR Cat.1)</i></b>	
Date of issue		
<p><b>SUBJECT</b>      (Aircraft/engine) - OR No. _____ Issue Date _____</p> <p style="text-align: center;">COMMUNICATION OF REQUIREMENT FOR TECHNICAL INVESTIGATION AND IDENTIFICATION OF THE BODY ASSIGNED TO PERFORM THE INVESTIGATION</p> <ol style="list-style-type: none"> <li>1. <i>Indication of whether the D.A.A.A. (for OR Cat.1) or the Competent Body (for OR Cat.2) considers it necessary to perform a technical investigation on the defective material. In the event that it is not considered necessary to follow up the OR, indicate that the OR is closed and the Cat.1/2 OR Part III will not be issued.</i></li> <li>2. <i>In the event that it considers it necessary to perform further investigations or tests on the faulty material, the D.A.A.A. (for OR Cat.1) or the Competent Body (for OR Cat.2):</i> <ul style="list-style-type: none"> <li>- <i>Shall identify the body responsible (e.g.: SDR etc.) for performing the investigation;</i></li> <li>- <i>Include any requirements of the Originator in terms of transporting the material, indicating the time limits for delivery.</i></li> </ul> </li> <li>3. <i>The D.A.A.A. (for OR Cat.1) or Competent Body (for OR Cat.2) may already include the need for D.A.A.A./Competent Body/NAGSF personnel to participate in performing these tests/investigations.</i></li> </ol>		

PAGE .....out of .....	REFERENCE MESSAGE CLASSIFIED YES      NO	NAME OF COMPLIER	OFFICE	TEL. NO.

## LINE STAMP OF THE INVESTIGATION BODY

### Technical Report

**NUMBER** \_\_\_\_\_

1. OR no.		1.a) of		1.b) Occurrence date	
2. Investigation Request Details (If requested by D.A.A.A./Competent Body)					2.a) date of issue
3. Defective Part Name		3.a) P/N		3.b) S/N	
4. Manufacturer		5. Company which performed last Repair / Overhaul			
6. Date of Contractual Delivery	6.a) Total Operation Hours (OH)	6.b) OH After last overhaul	6.b) OH After last Repair (if following last overhaul)		
7. Hours of operation	7.a) Total OH	7.b) OH After last overhaul	7.b) OH After last Repair (if following last G.R.)		
8. ORIGINATOR or Department of Defective Part					
9. Next Higher Assembly Description		9.a) P/N		9.b) S/N	
		9.c) Construction Number			
10. Illustrated Catalog Details		10.a) Figure No.		10.b) Number of Part	
<p>11. Reason for sending - Point 20. of the OR – <i>(when necessary continue to the end of the Technical Report)</i></p> <p>12. Date of receipt of faulty material</p> <p>13. Previous tasks</p> <p>14. Remarks and records on arrival of the state of:</p> <p>-The packaging</p> <p>-The material</p> <p>-The characteristic documents</p> <p>15. Data on main assemblies and/or accessories – Name, Type., SN, (only in the event that the defective part is the aircraft or engine)</p> <p>16. Investigations performed and damage recorded</p> <p>17. Causes of the fault – Remarks</p> <p>18. Numerical situation of previous cases</p> <p>19. Proposals on corrective actions and/or checks to be performed for equivalent parts in service (list any ECP issued)</p>					



20. Annexes (indicate number and title)

Signature of the Representatives of the Bodies participating in the investigation

*Note: Respond by going into the necessary detail and using additional sheets to all above-mentioned points, although in some cases the response may be simply "N/A (not Applicable)"*

**Note: The Technical Report shall be sent only to the D.A.A.A. (for OR Cat.1) or  
Competent Body (for OR Cat.2)**

LINE STAMP OF D.A.A.A. (for Cat1) or CB (for Cat.2)

## NATO AGS Occurrence Report – Part III

### NUMBER

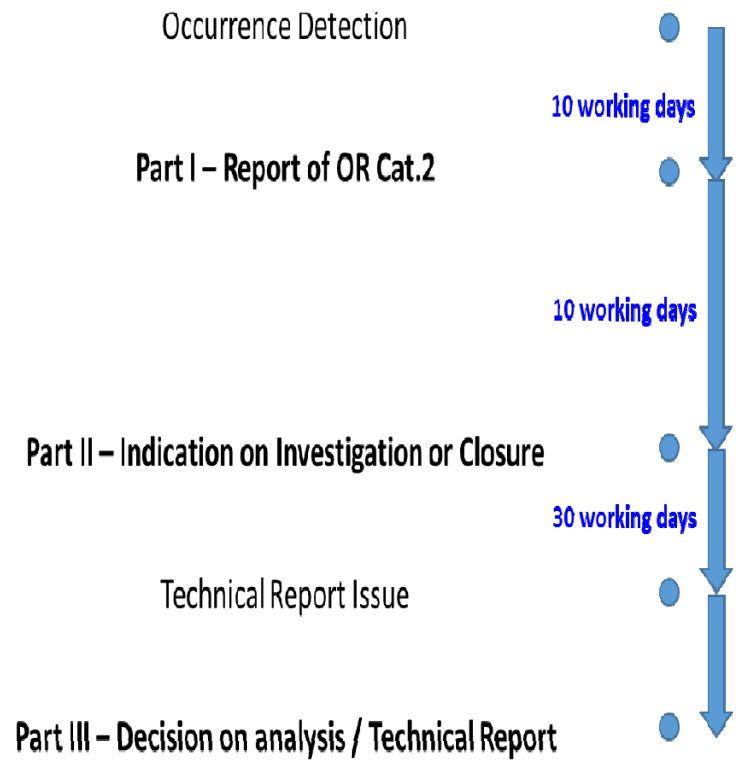
TO	<b>See</b> <b>- Annex A and H</b>	
INFO	<b>See</b> <b>- Annex A and H</b>	
Date of issue	GROUP DATE-TIME	
<p>SUBJECT      OR No. _____ issue date _____  DECISIONS OF COMPETENT D.A.A.A. (for Cat.1) or CB (for Cat.2)</p> <p><i>1. Having evaluated the analyses and any corrective measures contained in the Technical Report, the D.A.A.A. (for Cat.1)/CB (for Cat.2) communicates its decisions using this form.</i></p> <p><i>Issuing of the OR-Part III by D.A.A.A. (for Cat.1)/CB (for Cat.2) is not required in the event that the OR-Part II specifies that it is not necessary to perform a technical investigation on the defective material and thus already represents closure of the OR.</i></p> <p><i>2. It also communicates the closure of the OR.</i></p> <p>Note:  Part III cannot be used to give technical instructions (to perform checks etc.),  as these are subject to dedicated documentation defined by AER(EP).00-00-5/RQ-4D.</p>		

PAGE .....out of .....	REFERENCE MESSAGE CLASSIFIED YES      NO	NAME OF COMPLIER	OFFICE	TEL. NO.

**PROCESS OF A CATEGORY 2 (CAT.2) OCCURRENCE REPORT**

DAAA	NAGSF	SDR	CB	ExtB
	<b>X</b>	<b>X</b>		
Cc	From/Cc	From/To	To	
Cc	Cc	Cc	From	Cc
			To	From
To	To	To	From	To

**CATEGORY 2 – OCCURRENCE REPORT**



## LINE STAMP OF THE BODY

-----  
Closure Report for Flight Incident/Flight Safety  
MESSAGE NUMBER .....

SPACE RESERVED FOR USE OF TELEC. CENTER/STAT. ....

GROUP DATE-TIME	INSTRUCTIONS FOR MESSAGE	
FROM (FM)		SECURITY CLASSIFICATION
TO (TO) D.A.A.A. and CB		
SENDER REF. NO.		

SUBJECT Program (Give name, i.e. "RQ-4D/UAV, RQ-4D/AVMC2-GCS, RQ-4D/DUCE, or RQ-4D/PT"): Closure Flight Incident/Flight Safety (as applicable) (No. \_\_\_\_\_) due to technical concurrencies

Ref.: "provide details of Flight Incident/Flight Safety report notification, if applicable"

Flight Incident/Flight Safety No.:

Issue Date:

*Provide the reason for which it is not considered necessary to analyze the event, for example:*

- It is not considered necessary to perform investigations to determine the cause of the event or adopt corrective measures as they are already known*
- Following further investigations it has emerged that the event did not occur due to technical occurrences*
- The event has been attributed to the use of non-invasive AGE.*

SIGNATURE

PAGE .....out of .....	REFERENCE MESSAGE CLASSIFIED YES NO	NAME OF COMPLIER	OFFICE	TEL. NO.
------------------------	---	------------------	--------	----------