



EASA

European Aviation Safety Agency

Implementation of EU regulation 376/2014

on the Reporting, Analysis and Follow-up of Occurrences

Safety Intelligence and Performance Department

02 December 2014, Cologne

Your safety is our mission.

An agency of the European Union 

TE.GEN.00409-001



- Background of R376/2014
- Content of R376/2014
- Implementation Roadmap defined by EC
- New requirements for organisations
- New requirements for EASA
- Implementation by EASA
 - As Competent Authority (back-up slides)
 - Support to the EC and aviation community



► Background of Regulation (EU) N° 376/2014

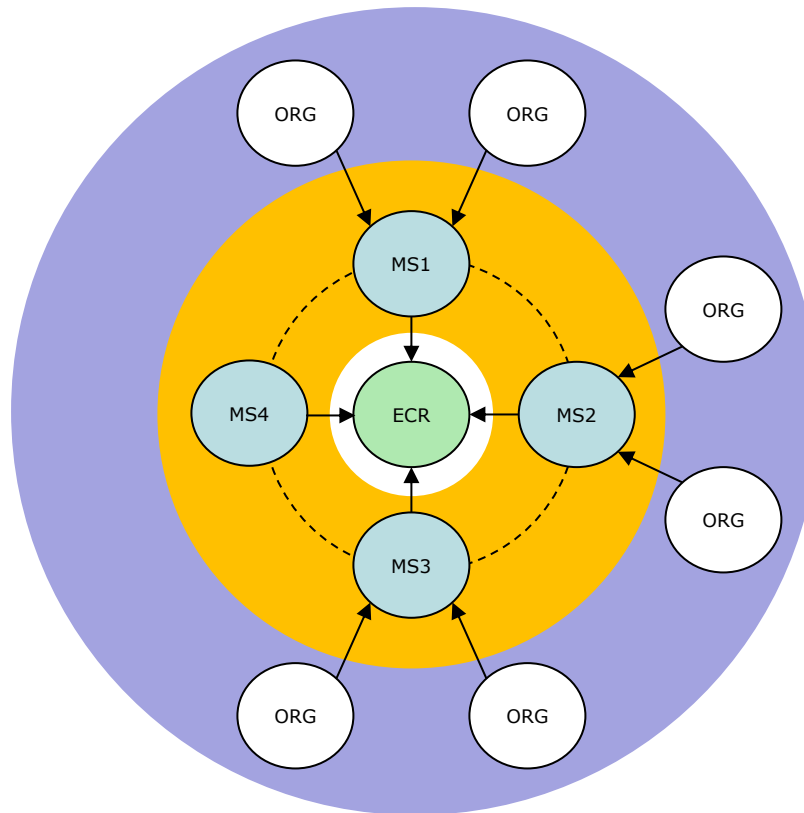
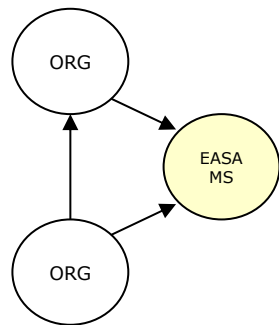


Previous Legal Framework

- Directive 2003/42/EC – applicable to MS only:
 - Mandatory reporting
 - Information exchange
 - Dissemination of information
 - Protection of information
 - Voluntary reporting encouraged
 - Lists of reportable occurrences
 - Transposed in national legal framework
- Regulation (EC) 1321/2007:
 - Create the European Central repository
- Regulation (EC) 1330/2007:
 - Dissemination of information



Topology of regulatory framework



Directive 2003/42/EC

BR 216/2008 + IRs

Regulations 1321/2007 and 1330/2007

Regulation 376/2014



- Content of Regulation (EU) N° 376/2014
 - Effective Date: 15 November 2015



Objectives and scope

What are the objectives of the Regulation?

- To improve aviation safety by ensuring that relevant civil aviation safety information is reported, analysed and followed-up
- To ensure continued availability of safety information through Just Culture

To what kind of event does it apply?


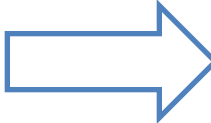


- 'occurrence' means any safety-related event which endangers or which, if not corrected or addressed, could endanger an aircraft, its occupants or any other person and includes in particular an accident or serious incident;

To who does it apply?

- The Member States
- EASA
- Organisations established in a MS which employs the persons covered by Art. 4
- Natural persons as described in Art.4



Who reports what (individuals)

| Individuals who report | | List of reportable Occurrences (developed in IR of R376/2014) |
|---|--|--|
| <ul style="list-style-type: none">Pilots-in-command |  | <ul style="list-style-type: none">Occurrences related to the operation of AircraftOccurrences for light aviation |
| <ul style="list-style-type: none">Maintenance, manufacturing or design organisation designated staff membersStaff signing Airworthiness review certification or a release to service |  | <ul style="list-style-type: none">Occurrences related to technical conditions, maintenance and repair of the aircraft (in the context of their activities) |
| <ul style="list-style-type: none">Air traffic controllersAir navigation facilities safety managers |  | <ul style="list-style-type: none">Occurrences related to air navigation services and facilities |
| <ul style="list-style-type: none">Airport safety managersGround handlers |  | <ul style="list-style-type: none">Occurrences related to aerodromes and ground services |



Who reports what (organisations)

- Organisations shall report to their competent authority:
 - All occurrences collected under mandatory scheme, and
 - All occurrences and safety-related information under voluntary scheme that **may** involve an actual or potential aviation safety risk
- In practice, no substantial change from what was/is being reported under Directive 42/2003 and the IR of BR216/2008
 - DOA/POA – potential unsafe conditions
 - Others – occurrences encountered during their operation/service



Reporting obligations

- Two types of reporting: mandatory and voluntary
- Organisations, Member States and EASA shall establish both a mandatory and a voluntary reporting system
- Organisations collect occurrences from individuals
- MS and EASA mainly collect occurrences gathered by organisations but receive also occurrences reports from individuals

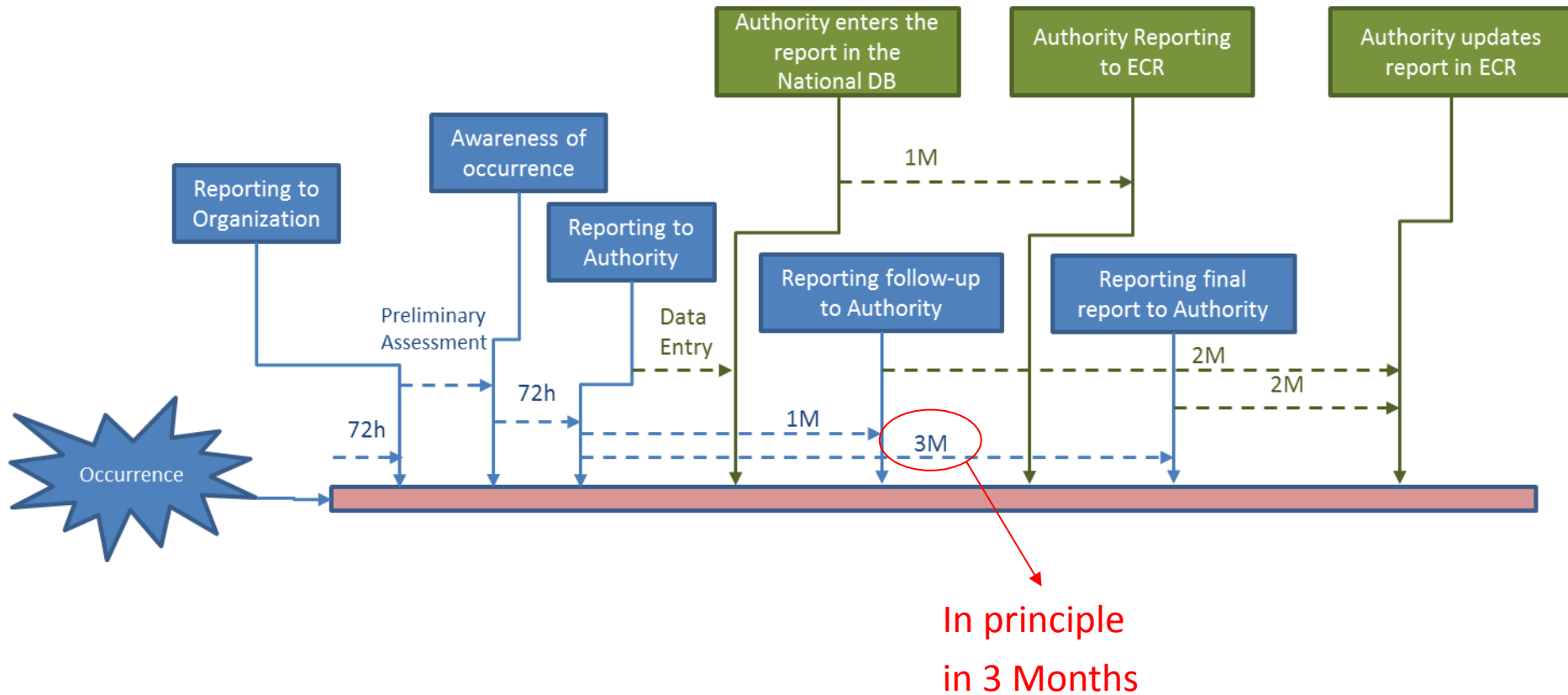


Mandatory and Voluntary Reporting

- Mandatory reporting:
 - ✓ Occurrences which may represent a significant risk to aviation safety and which are listed in the IR
 - ✓ Within 72 hours of becoming aware of the occurrence, unless exceptional circumstances prevent it
- Voluntary system:
 - ✓ Occurrences not covered by mandatory reporting
 - ✓ Reporting by persons not covered by mandatory reporting



Reporting flow





Storage of occurrences

- Each organisation, Member States and EASA must :
 - ✓ Designate one or more persons/competent authorities to put in place a mechanism to independently collect, evaluate, process, analyse and store details of occurrences reported
 - ✓ Handle information in a Just Culture context
 - ✓ Store occurrence reports collected under both mandatory voluntary systems
- MS shall also store in the national database information on accident and serious incidents
- Safety Investigation Authorities shall have full access to the national database



Analysis and follow-up

- Each organisation, Member States and EASA must :
 - ✓ Analyse occurrences directly submitted to them in view of identifying safety hazards
 - ✓ Identify necessary safety action to be adopted and implement them
 - ✓ Monitor effectiveness of action
- Organisations shall report within 30 days result of analysis to MS or EASA which shall monitor action taken by organisations and request additional action where necessary



Analysis and follow-up

- Analysis at national level complemented at EU level by analysis of information contained in the ECR in the context of the European network of aviation safety analysts
- The network shall notably perform analysis to support the European Aviation Safety Program and the European Aviation Safety Plan
- The network is supported by EASA



Data quality and completeness

- Occurrence reports registered in databases should contain at least the mandatory data fields listed in Annex I
- Mandatory safety risk classification, classified according to EU scheme at national and EU level (as of 2017)
- Data quality checking processes
- Databases shall be ECCAIRS and ADREP-compatible in order to facilitate the exchange of information



Exchange and dissemination of info

- Each MS shall update the ECR Repository with safety related information stored in National DB
- The Agency shall transfer to the ECR all occurrence reports collected under R376/2014 and Reg. 216/2008
- Information on accident and incident investigation shall also be sent to ECR and shall be updated where relevant
- MS CAAs, SIAs and EASA shall have full access to the ECR
- Dissemination of information contained in the ECR to interested parties remains unchanged:
 - ✓ List of interested parties limited and form to submit
 - ✓ Only access to anonymised and aggregated information



Confidentiality and use of information

- Organisations, MS and EASA shall ensure appropriate confidentiality of information
- Information shall only be used for the purpose for which it has been collected (i.e. aviation safety) and shall not be used to attribute blame or liability
- Advance arrangements between justice and the authority competent for collecting occurrences



- Principle of protection for reporter and for persons mentioned in the report
- Handling of reports shall safeguard confidentiality of reporter and others mentioned in report
- Limitation of access to personal details in organisations
- Interdiction to record personal details in MS and EASA databases
- MS shall refrain to institute proceedings on the basis of occurrence reports
- Use of the information contained in the reports in case of disciplinary or administrative proceedings is limited



- Protection from prejudice by employer for reporter and others mentioned in report
- Two exceptions to protection principle:
 - ✓ Wilful misconduct
 - ✓ Unacceptable behaviour defined in the Regulation
- Organisations shall adopt internal Just Culture policy
- Possibility for employees to report infringement to Just Culture rules before an appeal body



➤ Implementation Roadmap defined by EC



EC implementation Roadmap – 2015

➤ January:

- Presentation of Guidelines Document
- Final Reading of IR (list of occurrences) in EASA Committee- Voting

➤ February:

- Publication of Guidelines Document
 - [EC portal](#) and [EASA website](#)

➤ March:

- 1st Just Culture Workshop
- EC Workshop with Member States

➤ April:

- EC Workshop with Industry



EC implementation Roadmap – 2015

➤ May:

- 2nd Just Culture Workshop

➤ June:

- Promotion Material for CAT and GA
- 3rd Just Culture Workshop

➤ July:

- Availability of tools for reporting

➤ September:

- Conference on improving reporting and Just Culture



➤ New requirements for organisations (summary)



New Requirements on Organisations

- MOR with detailed deadlines
- VOR covering occurrences and safety-related information
- Requirements to report to authority all MORs and all VORs with safety impact
- Analysis of occurrences , follow-ups, including actions taken and monitoring of effectiveness
- ECCAIRS and ADREP compatibility



New Requirements on Organisations

- Specific requirements on protection of individuals fostering robust Just Culture
 - Use of data for safety purpose only
 - Ensure confidentiality of information contained in the occurrence
 - Adoption of internal rules describing how Just Culture is implemented (consultation to staff)



- New requirements for EASA (as competent authority)



New Requirements on EASA (as competent authority)

- Formalisation of MOR and VOR
- Integration of occurrences handled by the Agency in to the ECR
- Information to MS when issues on their remits are discovered
- Analysis of occurrences
 - Implementation of appropriate action
 - Monitoring of effectiveness
- Just Culture requirements



- Implementation by EASA
 - Support to the European Commission and to the Aviation Community



EASA provides support for:

- List of Reportable Occurrences by Domain
- European Risk Classification Scheme – 3 years
- Guidelines Document
- Publication of all guidance material – May 2015
 - [EC portal](#) and [IOIRS website](#)
- Just culture workshops and policy model development
- Technical Means for ECCAIRS/ADREP compatibility



Role of the Network of Analysts

- Network of safety analysts between all EU NAAs
- Chaired by EASA
- The NoA has a formal role in the Regulation
- NoA tasked to support the development of Common Risk Classification Scheme
 - to be adopted by EC by 15 May 2017
- NoA tasked with analysis of ECR



EASA
European Aviation Safety Agency

Thank you

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ADREP and ECCAIRS compatibility

- ADREP taxonomy compatibility: reporting using taxonomy subset defined in Reduced Interface Taxonomy (RIT), compliant with latest version of ADREP taxonomy as integrated in ECCAIRS environment
 - To be published in the [ECCAIRS portal](#) and in [IORS website](#)
- ECCAIRS software compatibility: any technical solution and data format agreed with competent authority that, containing data in Annex I of R376/2014, facilitates direct uploading of occurrence reports in their system
 - Technical definition left to agreement between competent authority and organisations
 - Recommended to use one of the three methods developed



Technical Means – ECCAIRS/ ADREP Compatibility

- Main Goal: To minimise data entry
- Basis - the Reduced Interface Taxonomy
 - Reduced number of ECCAIRS Fields which will be used as a basis for the various options
 - Would be fixed for 3 years to give stability
- Methods of Reporting to Authorities
 - Off line occurrence reports for email or upload
 - Web reports for integration into NAA Websites
 - Data transfer between SMS systems and ECCAIRS – EASA working with SMS software companies



- Implementation by the Agency
 - As competent authority

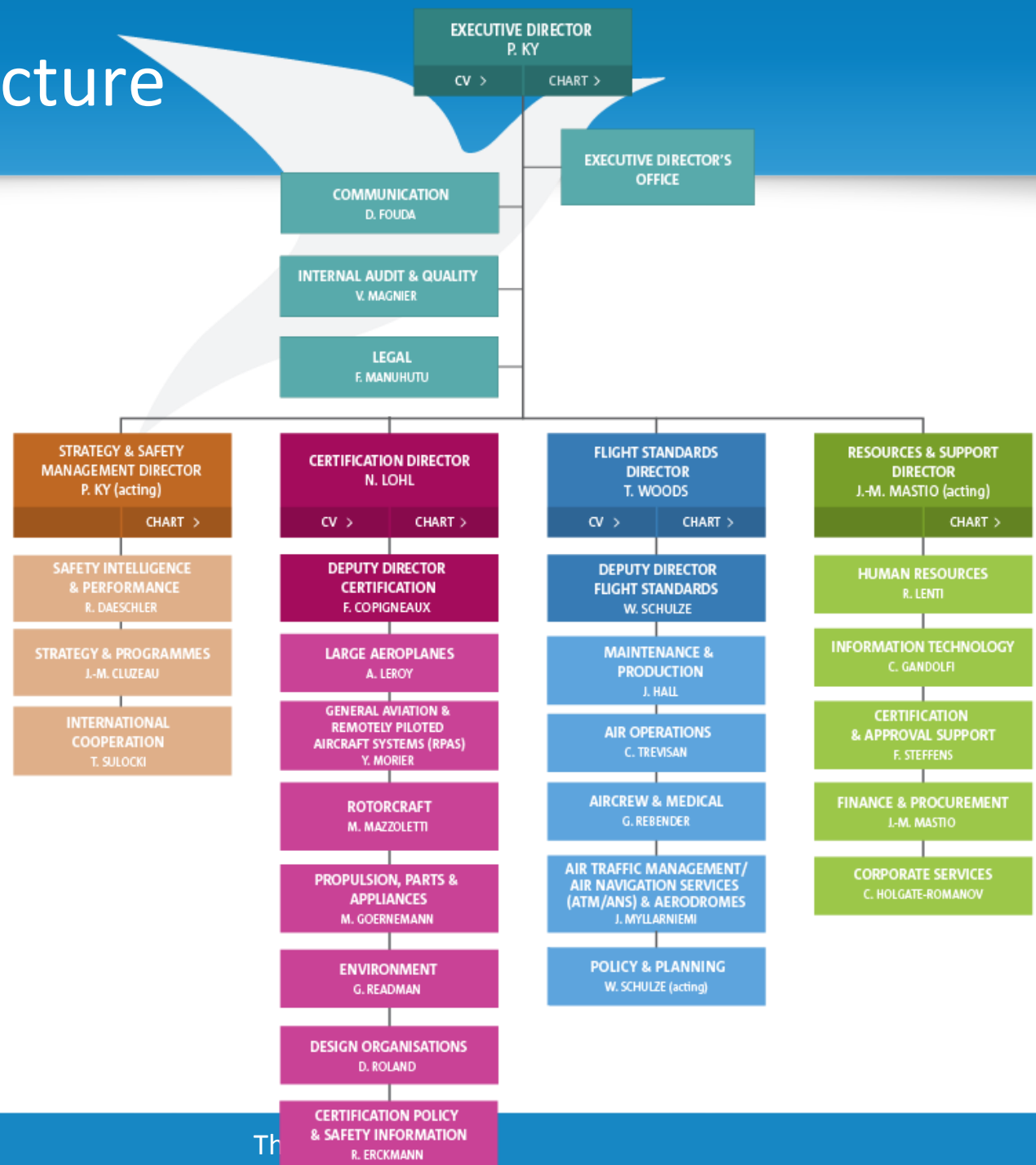


IORS Roadmap/Milestones 2015

- January – Draft specifications for data transfer file
- February – TRO workshop: implementation of data transfer file:
 - use of taxonomy
 - technical issues
- May – Final issuance of final specifications for data transfer file (taxonomy update)
- July – Publication of Reporting Form/Web Form
- September – Annual IORS Workshop



EASA structure





Strategy & Safety Management



Core tasks:

- Strategy development
- Programming, Planning and Monitoring
- Risk Management
- Safety analysis & investigation
- IORS
- Safety Promotion
- Training
- International Cooperation



Responsibilities

- Safety Analysis and Safety Performance Measurement
- Safety Investigation and Accident follow-up
- Occurrence Reporting
- Safety Foresight and Research Activities