



EASA
European Aviation Safety Agency

11th ETSO Workshop

Day 1, 17th of June, 2015

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European Aviation Safety Agency

Implementation of Regulation (EU) No 376/2014 on occurrence reporting in ETSO authorisation holders

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Occurrence Reporting Officer

17th of June, 2015

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TE.GEN.00409-001



Implementation of R376/2014 in DOAs

- Regulatory overview
- Applicability
- R376/2014 vs R216/2008 (part-21)
- Implementation roadmap
- Summary

Regulatory overview

- Regulation on the **reporting, analysis and follow-up** of occurrences in the civil aviation – Not an EASA rule
- Goal: improve safety by making occurrence information available for analysis at different levels
- Address: aviation professionals, organisations, MS and EASA
- Applicability date: 15 November 2015

Applicability



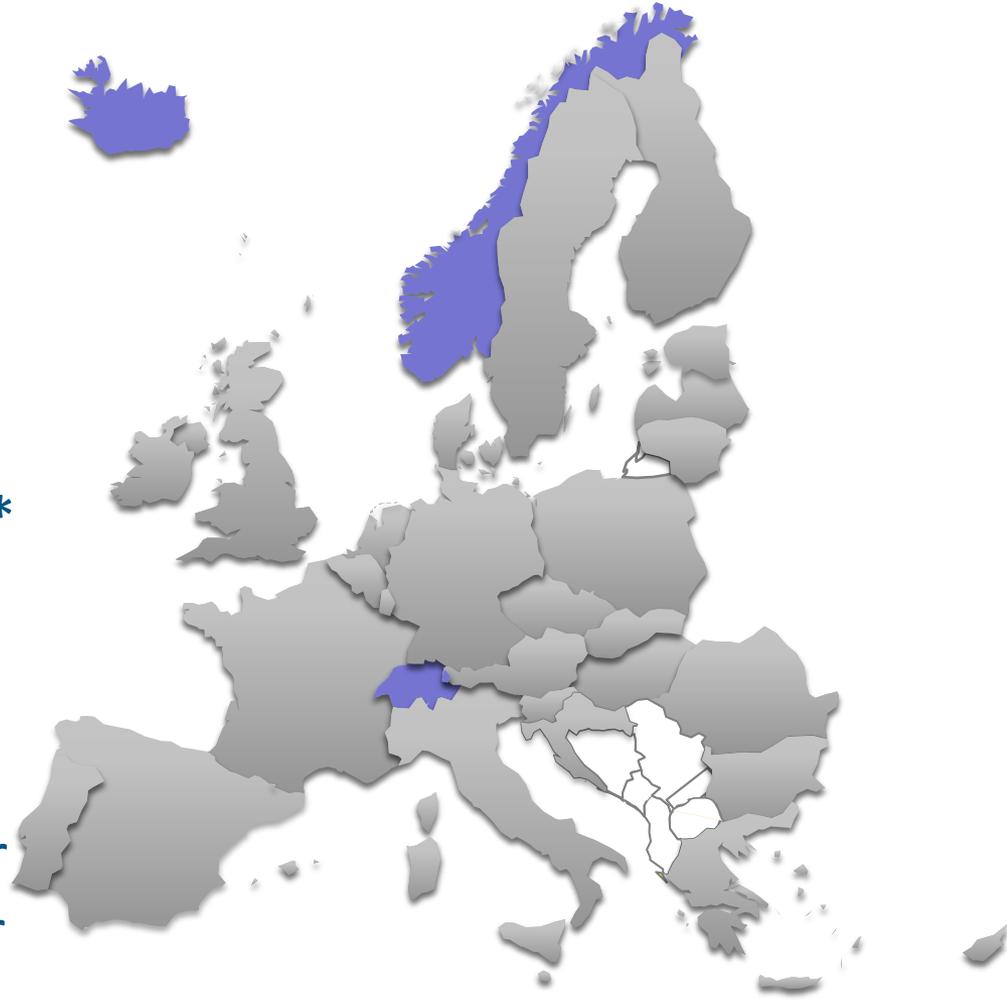
28 EU states



4 EFTA states

32 EASA Member States

- Organisations approved in MS* are directly subject to R376/2014
- This includes all facilities under their approval, regardless their location



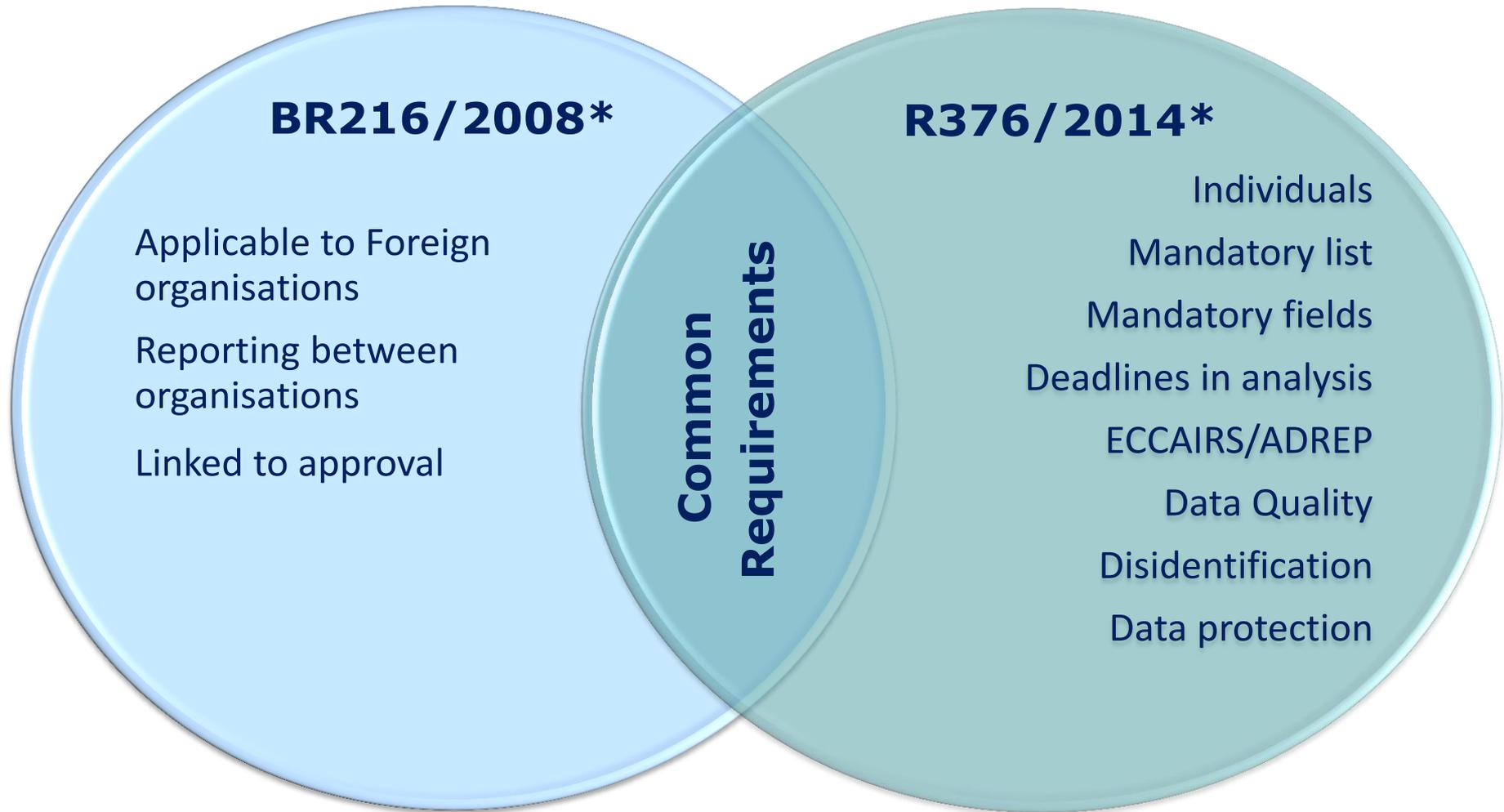
*EFTA States as per bilateral agreements with the EU

Applicability

- ▶ Organisations approved by the Agency and not established in Member States are not subject to R376/2014
- ▶ EASA intends to align reporting requirements for all approved organisations under BR216/2008 with R376/2014

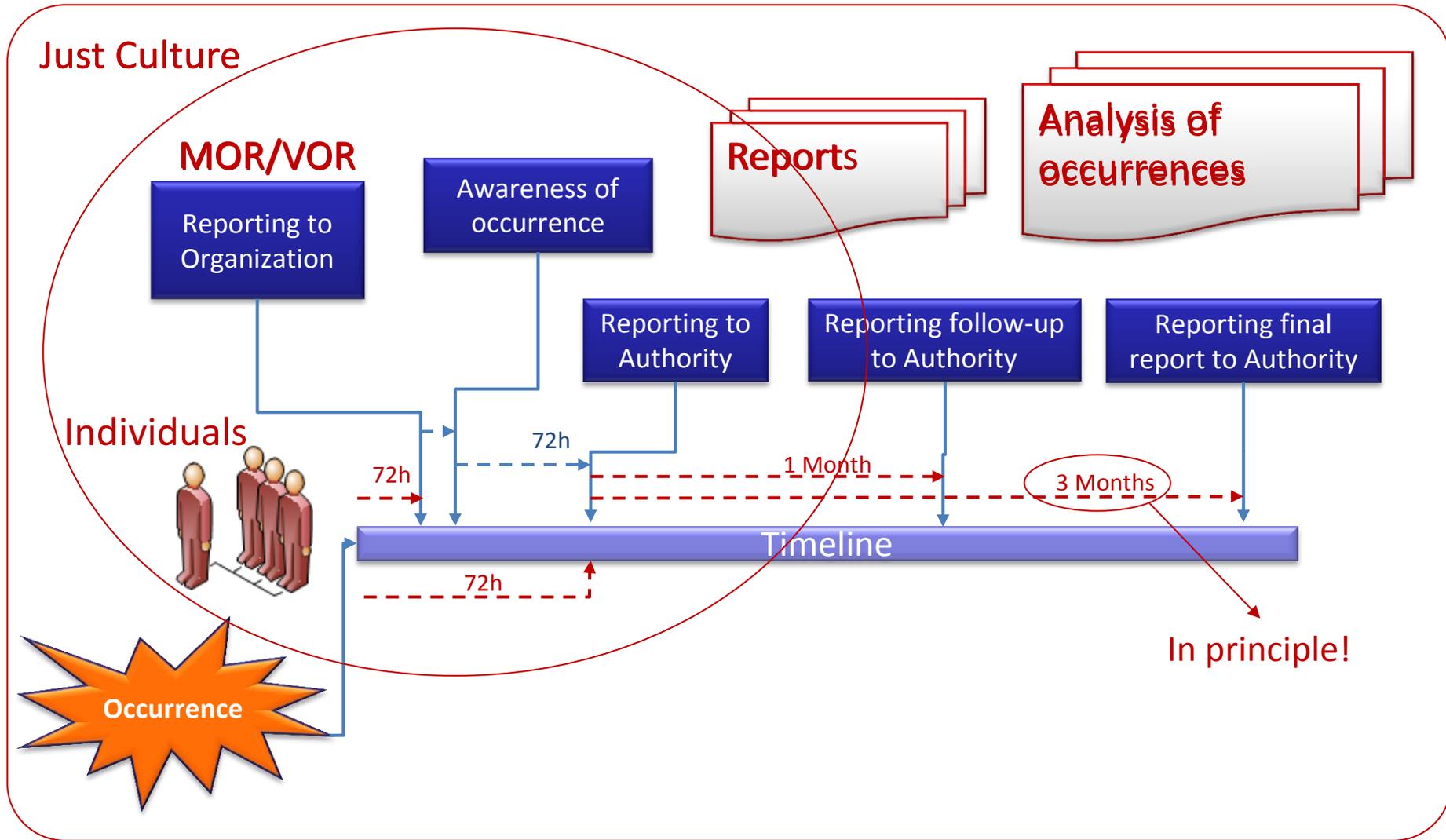


R376/2014 vs R216/2008



* Not exhaustive list of requirements

R376/2014 vs R216/2008



R376/2014 vs R216/2008

Just Culture

MOR/VOR

Reports

Analysis of
occurrences

Individuals

R376/2014 vs R216/2008

Individuals

- ▶ Obligations on:
 - ▶ **Persons engaged in design to report unsafe conditions**

MOR/VOR

- ▶ Reportable event (Design): Any failure, malfunction, defect or other occurrence related to a product, part, or appliance which has resulted in or may result in an unsafe condition

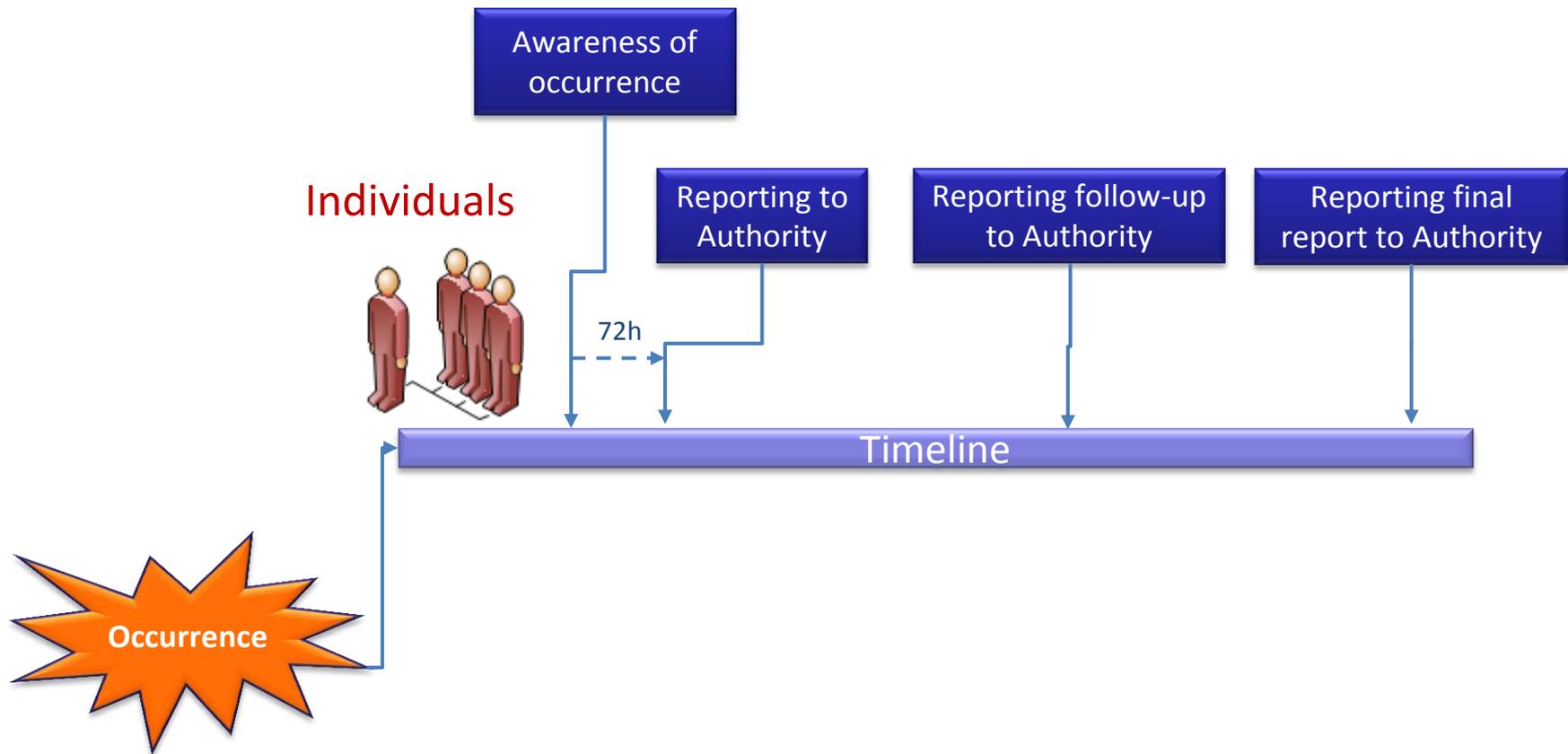
Reports

- ▶ Person engaged in design: a person working at an ETSO authorisation holder having the responsibility to carry out the process to identify unsafe or potential unsafe conditions as per Part-21 requirements

Analysis of occurrences

Just Culture

R376/2014 vs R216/2008



Effect on DOA/ETSO/POA individual reporting after defining:

- Person engaged in design/production – Guidelines Document
- Mandatory reportable occurrence for design – Implementing Rule

R376/2014 vs R216/2008

Individuals

MOR/VOR

Reports

Analysis of
occurrences

Just Culture

- ▶ Formalisation of MOR/VOR
 - ▶ MOR: list of individuals + list of reportable occurrences (IR)
 - ▶ VOR: any other occurrences or other individuals
- ▶ Reporting to competent authority:
 - ▶ All occurrences captured in MOR
 - ▶ VOR only when may involve a safety risk

R376/2014 vs R216/2008

Individuals

MOR/VOR

Reports

Analysis of
occurrences

Just Culture

- ▶ ADREP taxonomy compatibility: use of Reduced Interface Taxonomy (subset of ECCAIRS/ADREP taxonomy)
- ▶ ECCAIRS software compatibility: technical solution (containing data in RIT)
 - ▶ Left to agreement with competent authority
 - ▶ Three options available (acceptable means)
 - ▶ On-line form (small/medium org.)
 - ▶ Off-line/downloadable form (small/medium org.)
 - ▶ Data transfer file E5X (large org.)
- ▶ Reporting to the Agency the initial, follow-up and final, including actions taken and monitoring of effectiveness
 - ▶ Email to report@easa.europa.eu
 - ▶ Uploading of form or online fill-in EU-reporting page

R376/2014 vs R216/2008

Individuals

- ▶ ETSO authorisation holder – Part-21:
 - ▶ Unsafe conditions (several occurrences)
 - ▶ Other safety related info (trends/repetitive issues)

MOR/VOR

- ▶ Form and manner:
 - ▶ Individual occurrence – As for the initial report
 - ▶ Group of occurrences – To be agreed with Competent authority
 - ▶ For DOA/ETSO authorisation holders: As of today

Reports

Analysis of occurrences

Just Culture

- ▶ Clarifications in Guidelines Document

R376/2014 vs R216/2008

Individuals

- ▶ Requirements on protection of individuals
 - ▶ Use of data for safety purpose only

MOR/VOR

- ▶ Ensure confidentiality of information

Reports

- ▶ Adoption of internal rules: how Just Culture is implemented in the organisation
 - ▶ Consultation to staff
 - ▶ No blame, nor prejudice on the basis of the information in the reports

Analysis of group of occurrences

Just Culture

- ▶ JC Policy model to be developed together with the industry

Implementation Roadmap (EC)

May 2015

- Adoption of IR on reportable occurrences
- 2nd meeting on Just Culture

Jun 2015

- ECCAIRS Steering Board
- Preparation of Communication and Promotion Material
- 3rd meeting on Just Culture

Jul 2015

- Availability of technical means supporting ADREP/ECCAIRS compatibility

Sep 2015

- 2nd Workshop with MS
- Finalisation of Guidance Material

Oct 2015

- High Level Conference – *Saving lives with safety information*
- ECCAIRS Steering Committee
- Network of Aviation Safety Analyst meeting

Nov 2015

- Application date of Regulation (EU) 376/2014

Dec 2015

- Adoption by the Commission of the delegated act defining the common European Risk Classification scheme

May 2017

- Adoption by the Commission of the implementing act detailing the arrangements for the implementation of the common European Risk Classification scheme

Summary

- Regulation in parallel to IR of BR216/2008, but not leading to dual reporting – one reporting
- Applicability: only organisations approved in MS, though likely to be extended to all BR216/2008
- New:
 - Formalisation of MOR/VOR
 - Hard deadlines (72h, 1M, then 3M)
 - Reporting means (form or E5X file)
 - Just Culture Framework
- Main message: No change in SMS principles, individuals and organisations are encouraged to report all safety-related information



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End slide

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