



EASA
European Aviation Safety Agency

Implementation of Regulation 376/2014 by EASA for organisations reporting to EASA

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TE.GEN.00409-001



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- General reminder on principles of Regulation 376/2014
- Implementation path
- The present status
- What comes next?

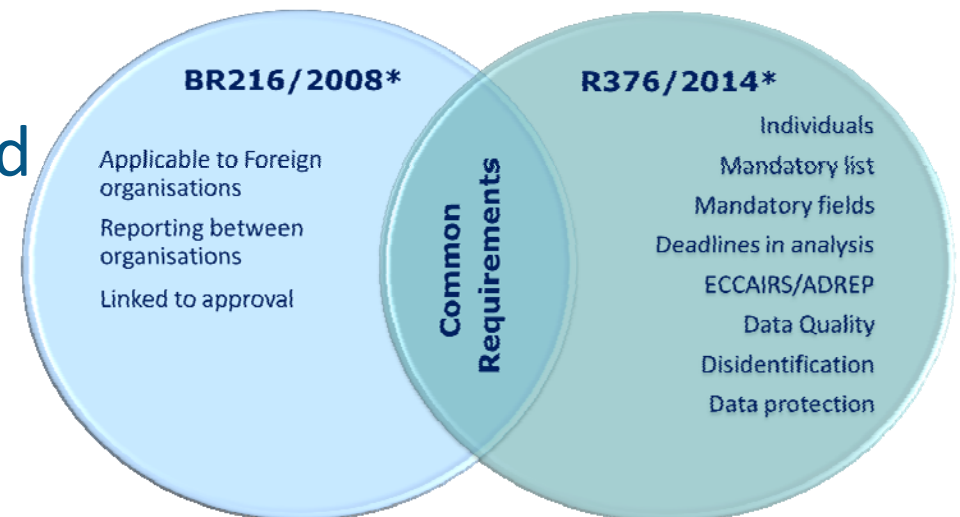


- Reminder on principles of Regulation 376/2014 on the reporting, analysis and follow-up of occurrences in civil aviation as relevant for EASA occurrence reporting system/organisations approved by EASA



R376/2014 and IR vs R216/2008 and IR

- **Reporting requirements** existing in IRs of BR216/2008 **are consistent** with reporting requirements under Regulation 376/2014 and IR
- Both obligations should be discharged **by one reporting channel** avoiding the establishment of two parallel systems
- Compliance with BR 216/2008 and its IRs should not exempt organisations from compliance with R376/2014, and vice versa





Applicability of R376/2014

- Approved organisations established in MS* are directly subject to R376/2014 (incl. all facilities under their approval, regardless their location)
- Approved organisations not established in MS are not subject to R376/2014
- EASA intends to align reporting requirements for all approved organisations under BR216/2008 with R376/2014 (RMT.0681)



28 EU states



4 EFTA states

32 EASA Member States



*EFTA States as per bilateral agreements with EU



Obligations for reporting to EASA

- EASA and EASA approved organisations (established in a Member State) shall establish both a **mandatory** and a **voluntary** reporting system
 - could be joined in one system
- **Organisations** collect occurrences from individuals
- **EASA** mainly collects occurrences gathered by organisations but might receive also occurrence reports from individuals



Obligations for reporting to EASA

➤ **Mandatory reporting:**

➤ List of designated persons

Individuals who report		List of reportable Occurrences
<ul style="list-style-type: none">• Maintenance, manufacturing or design organisation staff members• Airworthiness certification officials		Occurrences related to technical conditions, maintenance and repair of the aircraft

- Occurrences which may represent a significant risk to aviation safety and which are listed in the Implementing Regulation 2015/1018
- 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



Who reports what (organisation) to EASA?

- Organisations (for which EASA is the competent authority) shall report to EASA:
 - All occurrences collected under **mandatory scheme**, and
 - All occurrences and safety related information collected under **voluntary scheme** that involve an actual or potential aviation safety risk

In practice, defined by IR2015/1018, negligible change from reporting under BR216/2008 and its IR.

DOA/SPOA – potential unsafe conditions

Other EASA approved organisations established in a MS, e.g. EASA.PAN-ANS – occurrences encountered during their operation/service (list of mandatory reportable occurrences)



Occurrence Reporting requirements for non-Member States EASA approved organisations

- EASA approved organisations established in non-Member States are not subject to Regulation 376/2014.
 - However, relevant reporting requirements relating to their approval under the **Basic Regulation 216/2008 and its implementing rules (including AMC and GM) remain applicable**, unless stated differently in a BASA with that State.
 - *Examples: foreign EASA.145, foreign EASA.ATO*
- **Note:** EASA has changed the **form and manner** (R216/2008 and IR) for occurrence reporting to EASA

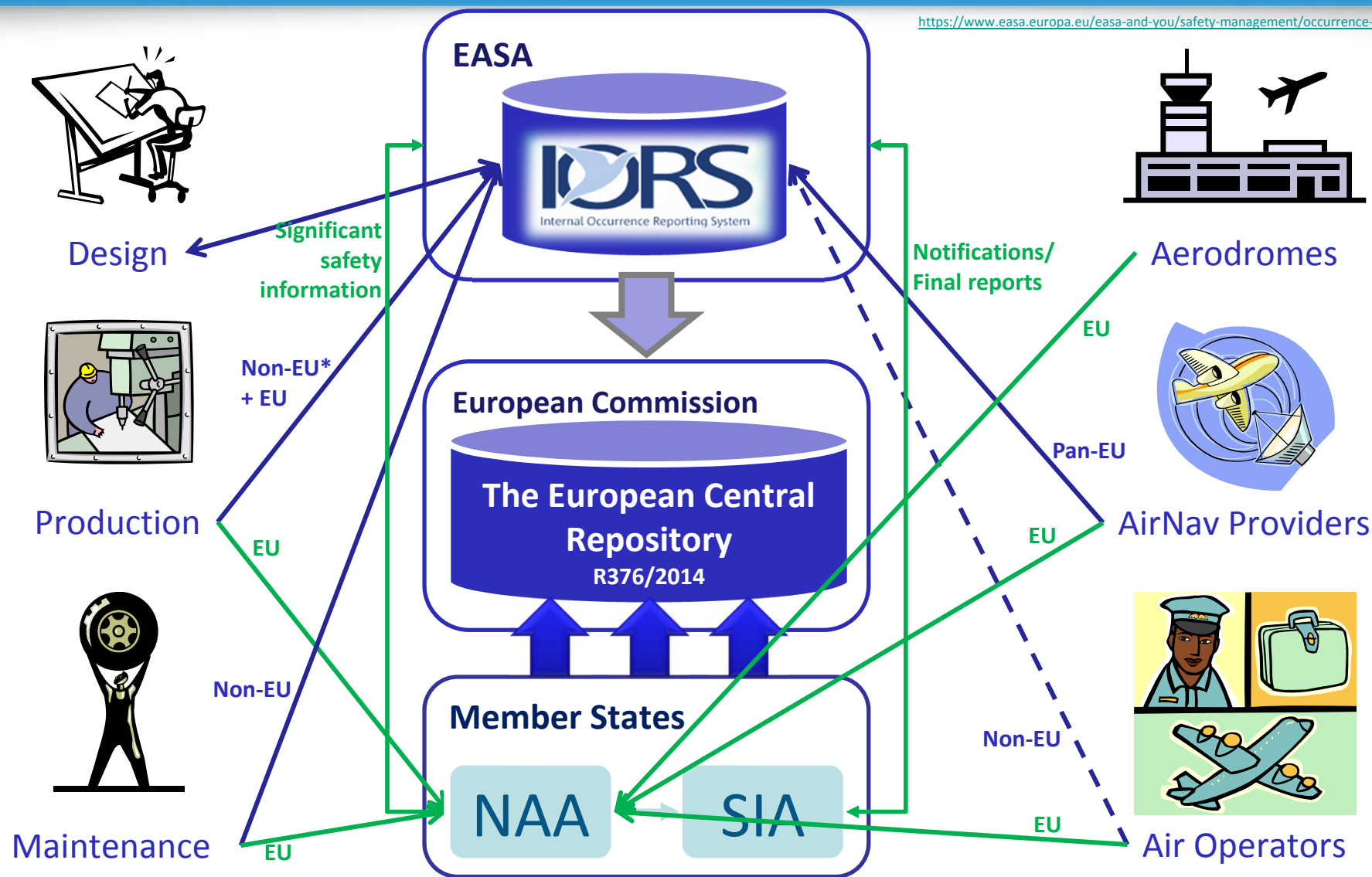




EU system – Authorities Perspective

R216/2008 and IR | R376/2014 and IR | R996/2010

<https://www.easa.europa.eu/easa-and-you/safety-management/occurrence-reporting>





The acceptable (technical) means to report to EASA – all EASA approved organisations

- ADREP taxonomy compatibility: use of Reduced Interface Taxonomy (RIT) – subset of ECCAIRS/ADREP taxonomy
- ECCAIRS software compatibility: technical solution for RIT

3 options available:

- ***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

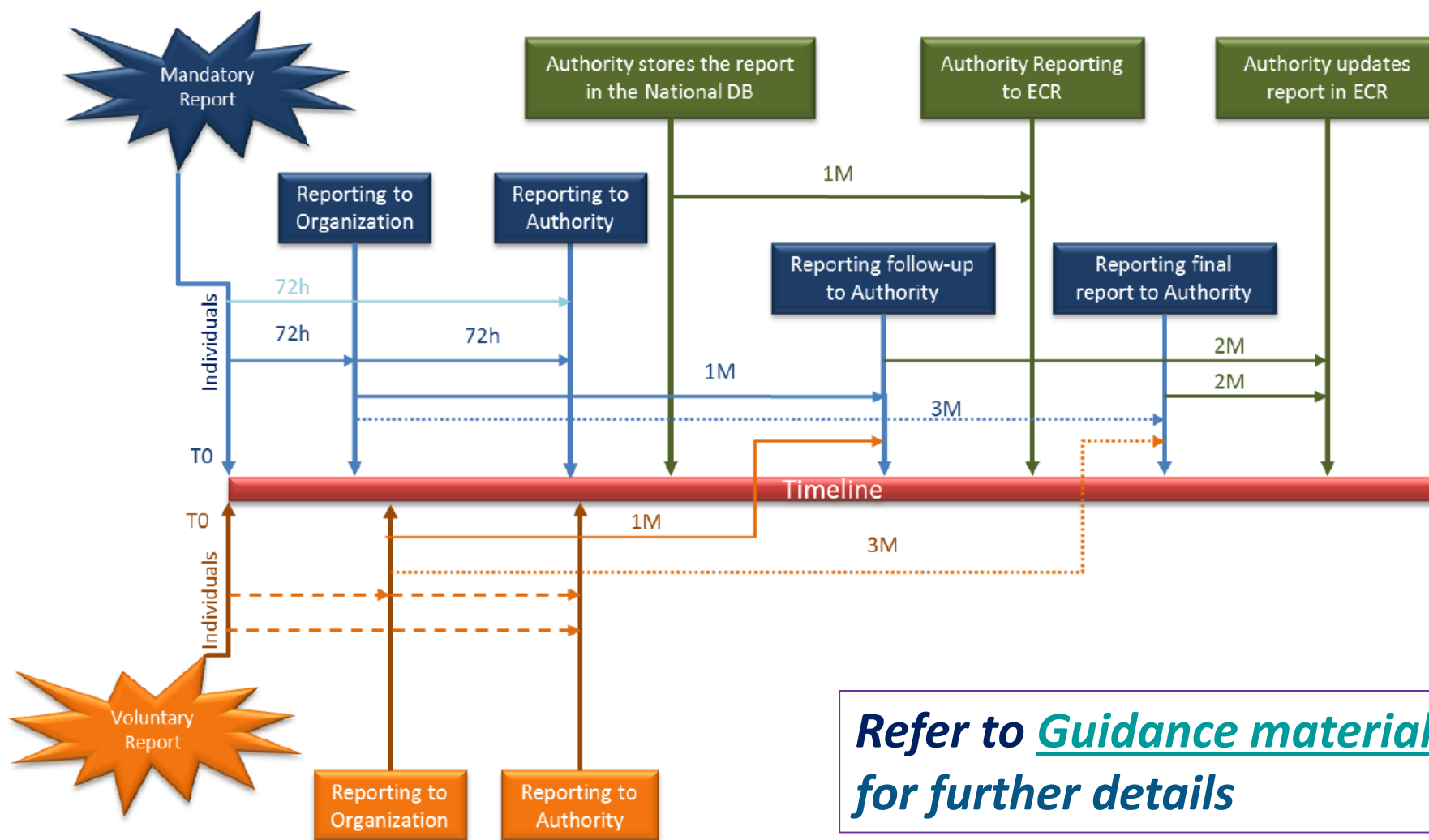
- ***Uploading of form or online fill-in [EU-reporting portal](http://eu-reporting.portal)***
- ***Or Email E5X to report@easa.europa.eu (large org.)***





Reporting flow

Diagram 2. Flow of information under Regulation 376/2014





Storage, Analysis and follow-up

- Each organisation and EASA must
 - **Store** occurrence reports collected under both mandatory voluntary systems including information on accident and serious incidents
 - **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



Analysis, exchange and dissemination of info, ECR

- 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**
- 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 Reg. 216/2008**
- MS CAAs, SIAs and EASA shall have full access to the ECR
- Dissemination of information contained in the ECR to interested parties remains limited to anonymised and aggregated information



Alignment of R216/2008 and IR with R376/2014 and IR

- Alignment via Rulemaking Task (RMT.0681)
 - The intention is to align the R216/2008 and IR requirements with R376/2014 and IR, but only those applicable to organisations.

- With RMT.0681 EASA will also amend AMC 20-8 to:
 - delete the list of reportable occurrences, so as not to duplicate/overlap with the list in Implementing Regulation 2015/1018 (*under discussion*)

 - What will remain in AMC 20-8 – updated guidance on reporting between organisations, not being addressed by R376/2014.



Requests for information from the European Central Repository (ECR)

- The information collected in the ECR is available to all organisations for safety improvement (your Safety Management Systems):
 - interested parties can request information (de-identified and/or aggregated) to the European Commission or to National Aviation Authority depending on where your organisation is established.



References for applicable documents/ information

- **R376/2014** on the reporting, analysis and follow-up of occurrences in civil aviation
- **IR 2015/1018** laying down a list classifying occurrences in civil aviation to be mandatorily reported according to Regulation (EU) No 376/2014
- **Guidance material** issued by the EC in supporting the interpretation
- Occurrence Reporting to EASA (description) www.easa.europa.eu, covers/explains:
 - How to Report an occurrence – Who, what and how to Report
 - Legal framework
 - Protection of information sources
 - Suggests reporting methods to use



► **Implementation path** - for EASA occurrence reporting system/ EASA approved organisations



Implementation path

- **Implementation** of R376/2014 in EASA as competent authority (for its reporting system) and the interface with approved organisations was led via a dedicated project
- It described **objectives, commonalities and differences** brought by R376/2014 in comparison to R216/2008 and its IR.



At EASA...

- **EASA processes** reviewed/gaps analysed and gaps subsequently closed involving all relevant departments of the Agency, reinforcing the closed loop assessment of each occurrence reported
- **IT tools** were reviewed and subsequent update/changes implemented to adapt to the new occurrence format
- EASA started **integrating occurrences** to the **European Central Repository**



Thanks to all reporting organisations

- EASA IORS Team would like to thank all organisations for constructiveness in discussing and implementing changes in the reporting due to R376/2014, and devoting resources on this aspect by investing time and money



Top Reporting Organisations – TRO

- EASA IORS TRO workshop on March 25, 2015
- Spec for the Top Reporting Organisations (TRO)
 - E5X plus the guidance on expected fields and rules on their occupancy
 - Validation by using tools set up by the JRC
 - Teleconferences, email communication with TRO by IORS Team
 - Testing of the content by IORS Team



Other organisations

- Letters/emails sent to the organisations approved by the Agency on the change in the **form** and **manner** on the occurrence reporting
- The use of the www.aviationreporting.eu portal for reporting occurrences to EASA by clicking on EASA LOGO flag





► **Present status** - for EASA occurrence reporting system/ EASA approved organisations



Present status

➤ **EASA:**

- All the changes for the compliance to R376/2014 were implemented apart from open items:
 - RMT.0681 on aligning R216/2008 and R376/2014

➤ **Top Reporting Organisations:**

- 2 E5X compliant and are reporting in *.E5X format
- 3 in testing/correcting content
- 2 in development

➤ **Other organisations:**

- Forms on the portal for initial and follow up reporting
- EASA Safety Data Capture Team communicates back to reporters on the need to use right forms
- Some improvements based on an initial feedback ongoing



➤ **What comes next** - for EASA occurrence reporting system/ EASA approved organisations



What comes next?

- **European Risk classification Scheme (ERCS)** by 2017 – *details covered in a separate presentation*
- **R376/2014 might be included** in the **reviewed R216/2008**
- **RMT.0681** on aligning Implementing regulations, AMCs and GM with R376/2014 (NPA publication scheduled for September)
- **E5X scheme updates** limited to not more often than once every 2 years – TRO update needed
 - Value lists update every 6 months – TRO update not mandatory
 - Time count starts as of 2017 (next update for the ERCS)



What comes next?

- EASA internal IORS Evolution via a project
 - Feedback to reporters
 - Events for design and production occurrences



Summary – R376/2014 implementation

- Implementation of the R376/2014 in both EASA and organizations is implemented, fine-tuning on-going
- IORS Team remains available for further assistance on aspects related with occurrence reporting – contact: ORS@easa.europa.eu



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European Aviation Safety Agency

Technical Reporting format and tools for reporting occurrences to EASA

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CONTENTS

- Acceptable means for occurrence reporting to EASA
- Info on Electronic Reporting options:
 - E5X data transfer
 - EU Aviation Safety Reporting portal
 - Use of ECCAIRS
- Mandatory fields



The acceptable (technical) means to report to EASA – all EASA approved organisations

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E5X – solution for Top Reporting Organisations

- Similar to IORS XML Schema
- Provides an option for **batch reporting** (exports from databases compatible with EASA database)
- Can include **attachments**
- Reporters can indicate via **Tracking sheet number** if occurrence was linked to a Specific Issue/Unsafe condition (airworthiness review sheet, continuing airworthiness review item, action sheet or similar)

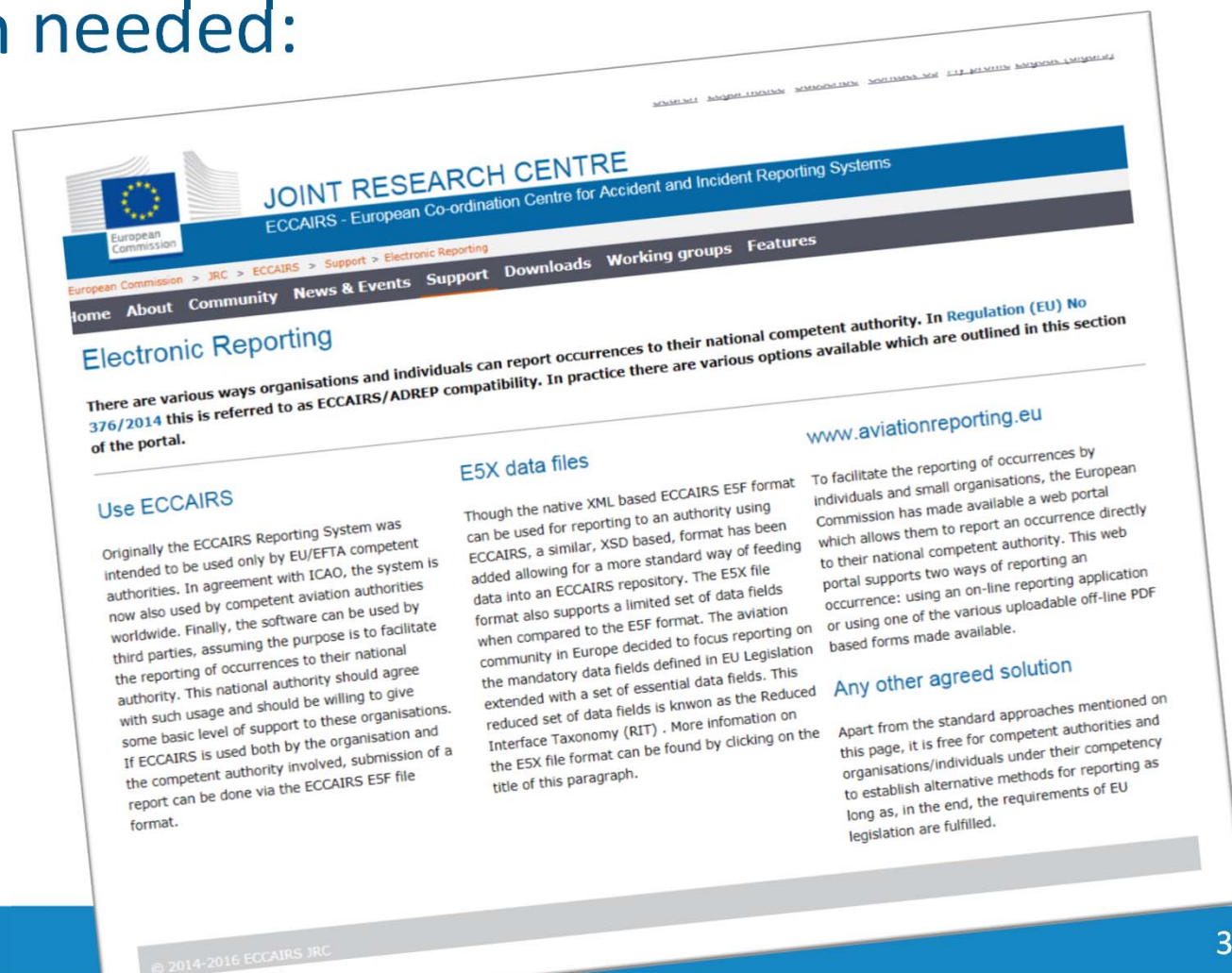


E5X – solution for Top Reporting Organisations

➤ JRC support site eccairsportal.jrc.ec.europa.eu – registration needed:

- Specs
- Building
- Validating

XML IT skills needed for defining a compliant output file





Other organisations

- On personal behalf or **on behalf of organisation...**



AVIATION SAFETY REPORTING

Report on behalf of my organisation

Select the competent authority that shall receive your report

Austria	Belgium	Bulgaria	Croatia	Cyprus	Czech Republic	Denmark
Estonia	Finland	France	Germany	Greece	Hungary	Iceland
Ireland	Italy	Latvia	Lithuania	Luxembourg	Malta	Netherlands
Norway	Poland	Portugal	Romania	Slovakia	Slovenia	Spain
Sweden	Switzerland	United Kingdom	EASA			

A green arrow points to the EASA logo, which is circled in green.



Forms

➤ **Off-line reporting (PDF forms)**

- By occurrence subject – Technical, Operational, Aerodromes, etc.
- Lighter form for General Aviation

➤ **On-line reporting (online form)**

- By occurrence subject – Technical, Operational, Aerodromes, etc.
- Lighter form for General Aviation
- Note to keep **E5Y** file for providing the follow-ups



Note on the fields

Identify this report for future updates

Reporting entity: Austria, Other, Design organisation (EASA.211.999 // AC Designer)

Report identification: ABC-123

➤ **Reporting entity -**
Specify Reporting
Entity

➤ **Report identification**
- Provide your
internal reference for
the occurrence as
assigned within your
system



ECCAIRS software users

- Organisations using ECCAIRS software, may send ECCAIRS *.E5F files directly to report mailbox



Mandatory fields - use of UNKNOWN/BLANK *Amended*

- As a general guideline for the use of UNKNOWN/leaving BLANK for mandatory fields refer to the general guidance “*Information to facilitate the implementation of the ECCAIRS electronic data transfer file (E5X) in MS*” is published on the JRC portal:
 - [http://eccairsportal.jrc.ec.europa.eu/fileadmin/portalfiles/e5xmateriale5xmaterial/information to facilitate the implementation of the eccairs electronic data transfer file.pdf](http://eccairsportal.jrc.ec.europa.eu/fileadmin/portalfiles/e5xmateriale5xmaterial/information%20to%20facilitate%20the%20implementation%20of%20the%20eccairs%20electronic%20data%20transfer%20file.pdf)
- **!!! Important for TROs: TRO have to map all the relevant mandatory fields** in the system (in the E5X output) that this information can be provided to EASA when available.



Use of Events

- **The use of Events** – not always clear for the reporters
 - At least 1 event per occurrence should be selected
 - The one closer to the cause of occurrence (as far as it is known)
 - Familiarisation would be needed
 - At EASA they are reviewed and the whole Events tree is selected in a chronological order for later analysis/groupings



Summary

- 3 acceptable options available for occurrence reporting to EASA
- Organisation needs to choose the most appropriate solution for their situation to report occurrences to EASA



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European Aviation Safety Agency

Thank you for attention
Questions?

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► List of acronyms

AMC	Acceptable Means of Compliance
CAA	Civil Aviation Authority (equivalent to NAA)
DAH	Design Approval Holder
DOA	Design Organisation Approval
ECCAIRS	European Coordinated Centre of Accident and Incident Reporting Systems
ECR	European Central Repository
FAA	Federal Aviation Administration (USA)
FAQ	Frequently Asked Question
IATA	International Air Transport Association
ICAO	International Civil Aviation Organisation
IORS	Internal Occurrence Reporting System
KPI	Key Performance Indicator
NAA	National Aviation Authority (equivalent to CAA)
NPA	Notice of Proposed Amendment
PCM	Product Certification Manager
POA	Production Organisation Approval
SMS	Safety Management System
TCCA	Transport Canada Civil Aviation
TCH	Type Certificate Holder
TCO	Third Country Operator
TRO	Top Reporting Organisation
WFT	(IORS) Work Flow Tool
XSD	XML (Extensible mark-up language) Schema Description