



EUROPEAN AVIATION SAFETY AGENCY
AGENCE EUROPÉENNE DE LA SÉCURITÉ AÉRIENNE
EUROPÄISCHE AGENTUR FÜR FLUGSICHERHEIT

Regulation 376/2014 on the Reporting, Analysis and Follow Up of Occurrences in Civil Aviation

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MINDSET

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DATASET



First Point of Interest

- The title:
- Regulation on the Reporting, Analysis and Follow Up of Occurrences in Civil Aviation



The Challenges

- Reporting – Gathering the information
- Analysis/ Follow Up – Getting more information - doing something with it
- Data Quality – Getting the best data
- Exchange – Sharing the information
- Confidentiality – Using it only for safety
- Just Culture – Setting the right environment to get even more reports



Context

- Firstly – this is nothing new
- There has been a Regulation on Occurrence Reporting since 2003

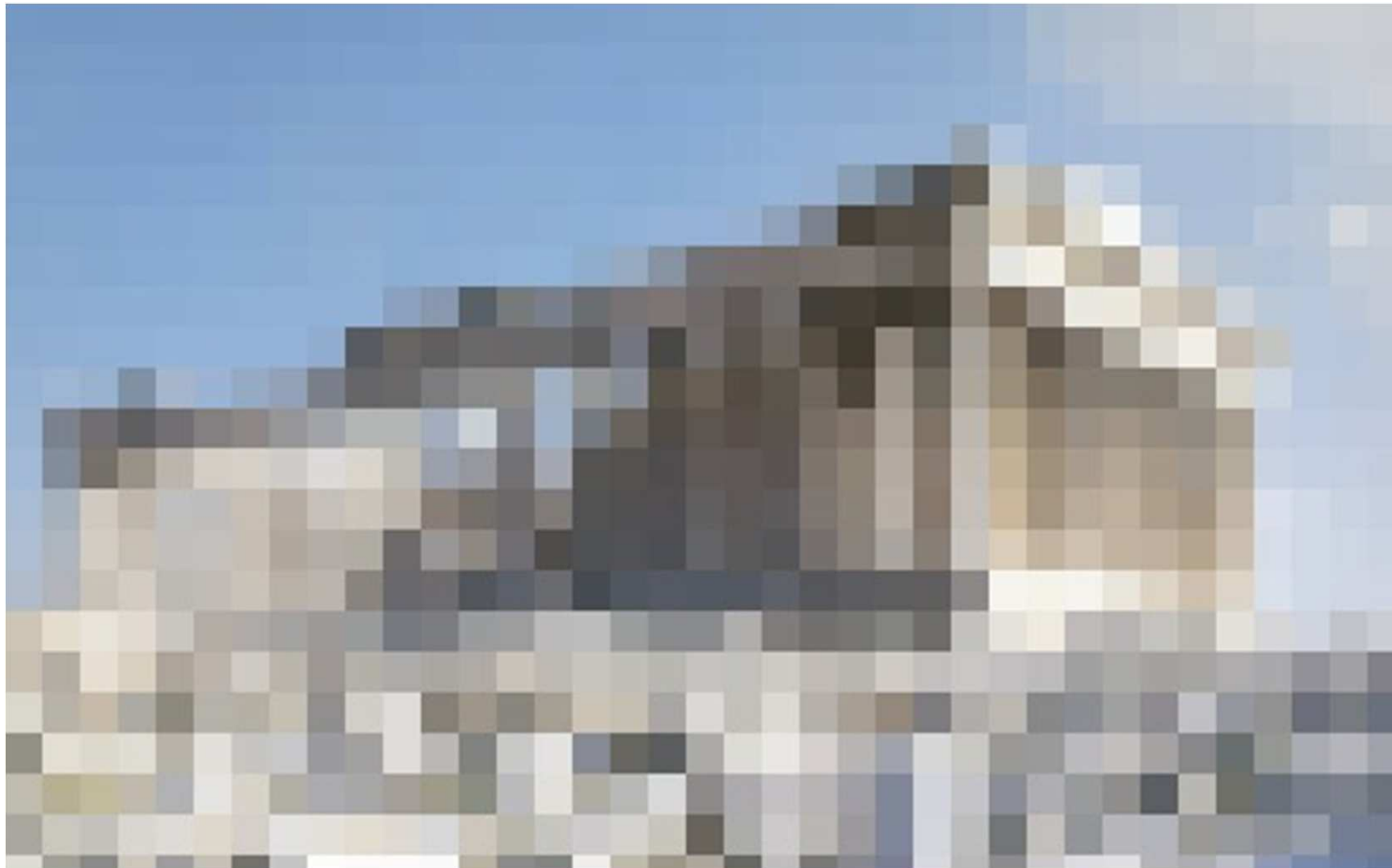


DON'T PANIC

- Directive 2003/42



Information vs Knowledge





Background to the New Regulation

- Commission Communication on “Setting up an Aviation Safety Management System for Europe”
- Other EU Legislation (e.g. Investigation and Prevention of Accidents 996/2010)
- ICAO Annex 19
- SMS and Risk Based Approach



Adoption of the New Legislation

- European Commission Proposal – December 2012
- Agreement between Parliament and Council – December 2013
- Adopted on - 3 April 2014
- Entry into Force – May 2014
- Application – 15 November 2015



Important Points

- The Regulation is Primary Legislation
- The text is published
- The focus is now on
 - Developing IRs and guidance
 - Supporting implementation



What Kind of Reporting System?

- Two types of reporting systems
 - Mandatory (MORS)
 - Voluntary (VORS)
- Organisations shall transfer MORS occurrences collected within 72 hours MND(1)
- All occurrences (MORS and VORS) shall be sent to the ECR

Slide 10

MND(1

It is clearly mentionned in the Reg that MS are free what they want.

MICHEAUX NAUDET Delphine (MOVE), 19/05/2014



What Kind of Reporting System?

- Individuals -> Organisations -> Competent Authorities OR Individuals -> Competent Authorities
- Mandatory reporting obligations in IR
- Does not conflict with BR and its Irs
- Nothing new – only the inclusion of organisations and of EASA
- No duplication of reporting systems: one report serving different purposes

Slide 11

MND(2

No, see the point above on this issue

MICHEAUX NAUDET Delphine (MOVE), 19/05/2014

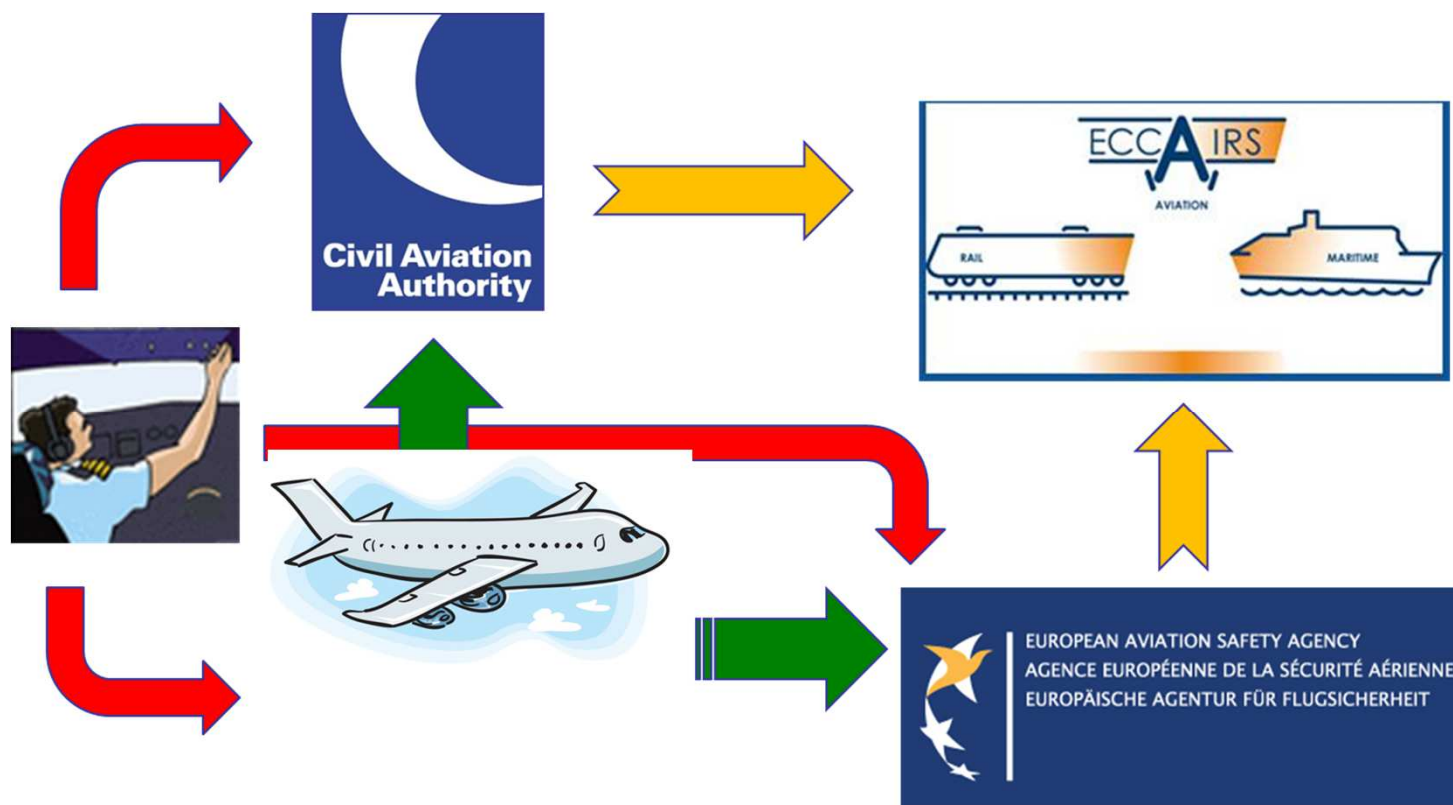


Who Reports What?





Flow of Information





Direct Reporting by Individuals

- Who would report directly to Competent Authorities
 - Persons not employed or contracted by an organisation (e.g. General Aviation Pilot)
 - Persons who do not want to report to their organisations (e.g. whistle blowers)
 - EASA MS have flexibility on how this will happen



Voluntary Reporting

- What and how?
 - Occurrences not covered by mandatory reporting (types of occurrence not in IR)
 - Reporting by persons not covered by the list of individuals in Regulation
 - EASA MS also have flexibility on the means of reporting and merging of MOR and VOR data



Analysis and Follow up

- Each organisation, Member States and EASA must analyse occurrences directly submitted, identify necessary safety action and monitor effectiveness
- Analysis at national level (for SSPs) complemented at EU level by analysis of the ECR in the context of the European Network of aviation safety Analysts (NoA) to support the EASp
- Organisations shall report within 30 days first result of analysis (investigation) to the Competent Authority which shall monitor action taken by organisations and request additional action where necessary



Knowledge and Intelligence



Feedback gives us Knowledge

Analysis turns this into Intelligence



Data Quality

- Mandatory data fields – Annex 1
- EU risk classification – 3 years
- Standardisation of reporting formats to ensure compatibility with ECCAIRS and ADREP
- This will make reporting simpler
- NoA developing electronic data standards to speed up data flow



Information Exchange

- All reports to be transferred from competent authorities to the ECR
- Very positive step – full access to the ECR for NAAs, SIAs and EASA
- Dissemination of information in the ECR to other parties unchanged
 - List of focal points at a National Level
 - Only access to aggregated and anonymised data



Confidentiality of Information

- Appropriate confidentiality of reports provided under the Regulation
- Information shall only be used for the **purpose of safety** and shall not be used to attribute blame or liability
- This does not prevent the use of information for risk based decision making or oversight



Just Culture

- Protection for reporters and persons named in any occurrence report
- Refrain from proceedings using information
- Protection from prejudice by employers
- Organisations shall adopt an internal Just Culture policy
- Possibility for employees to appeal

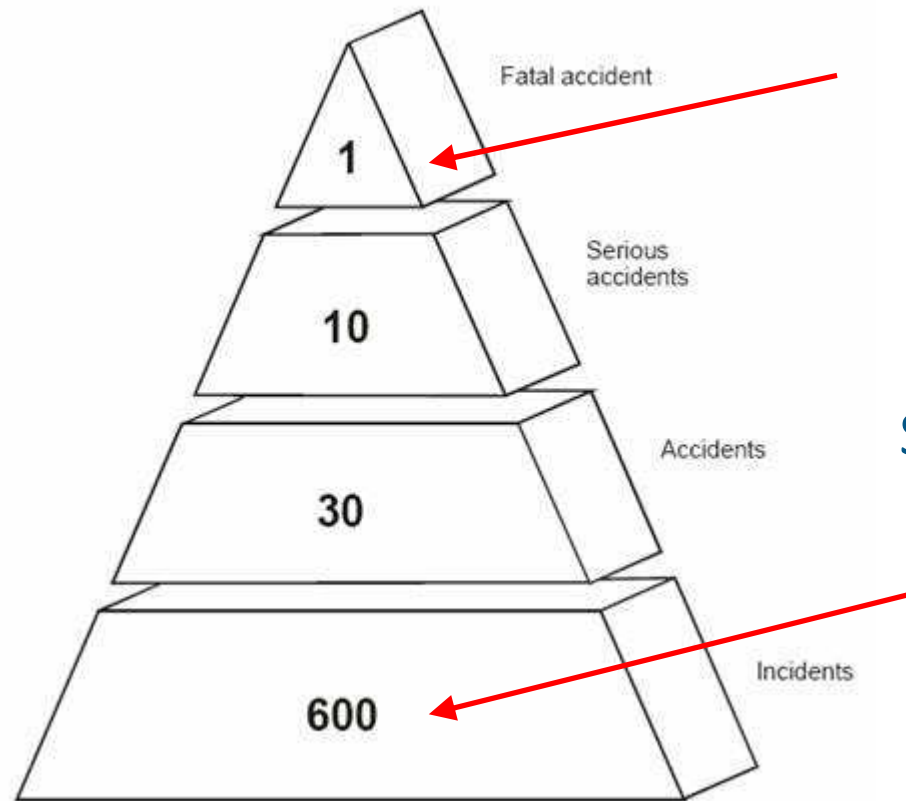


What's Next?

- By September EC developing GM to support Regulation – supported by EASA
 - Provide a common understanding
 - Explain interaction with other Regulations and rules (e.g. BR216/2008)
 - Where relevant – propose AMC
- IRs on mandatory occurrences and on Risk Classification



How Does This Improve Safety?



We don't have many of these

So we need more information about these

The more we know – the more we can do



Key Practical Questions

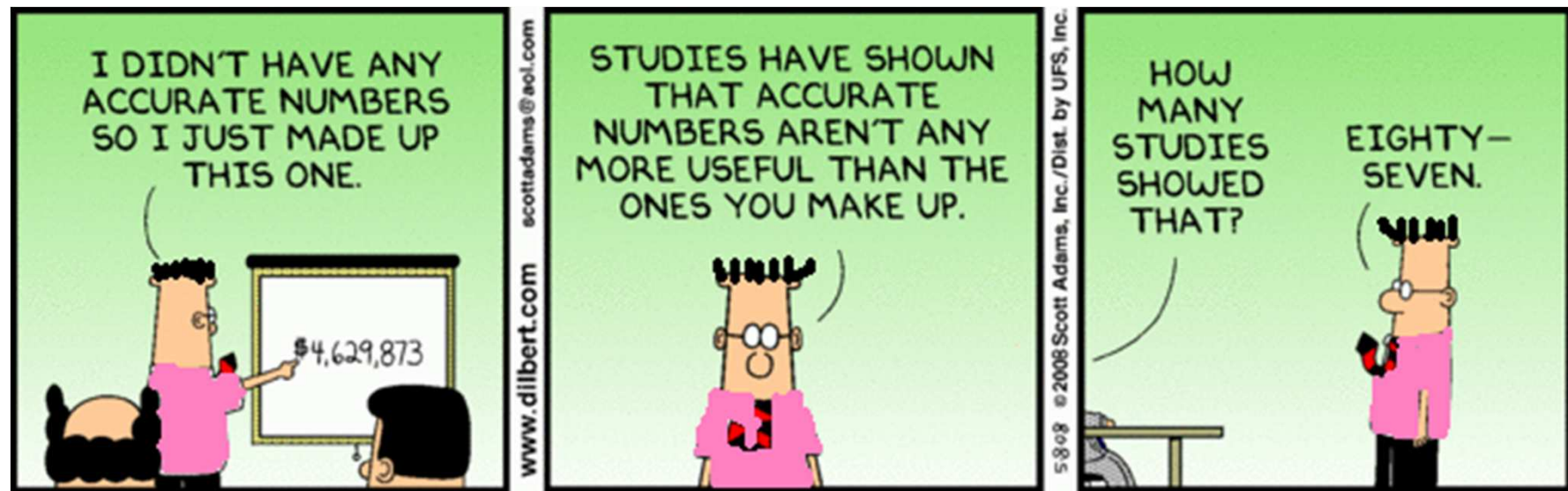
- European Commission, with support of EASA, developing Guidance Material for use at National Level
- Further information from the NoA to support implementation
- NoA supporting simplification of occurrence reporting processes
- Development of data transfer protocols to ECCAIRS





Great News

- Helping us give you the knowledge you need to make informed decisions





Web Link to Regulation

- <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32014R0376>



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Questions?

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