



EASA
European Aviation Safety Agency

Implementation of R376/2014 in organisations approved by the Agency

5th IORS Workshop

December 4, Cologne

Your safety is our mission.

An agency of the European Union 

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- Implementation roadmap by EASA
 - Support to EASA Organisations
- Changes for EASA (as competent Authority)
- Summary



Applicability to foreign organisations



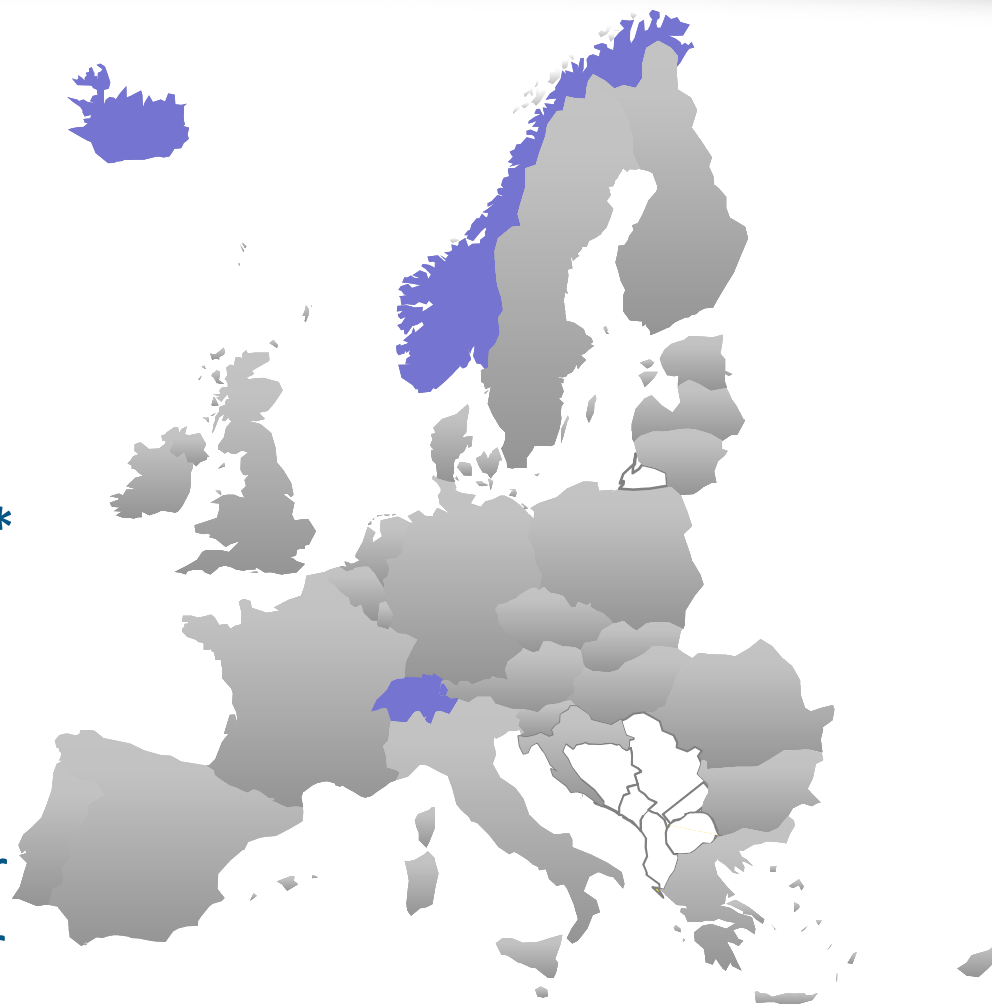
28 EU states



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 to foreign organisations

- 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
- Organisations complying with R376/2014 immediately comply with equivalent reporting requirements in IR of BR216/2008
 - Additional requirements remain, i.e. reporting between organisations

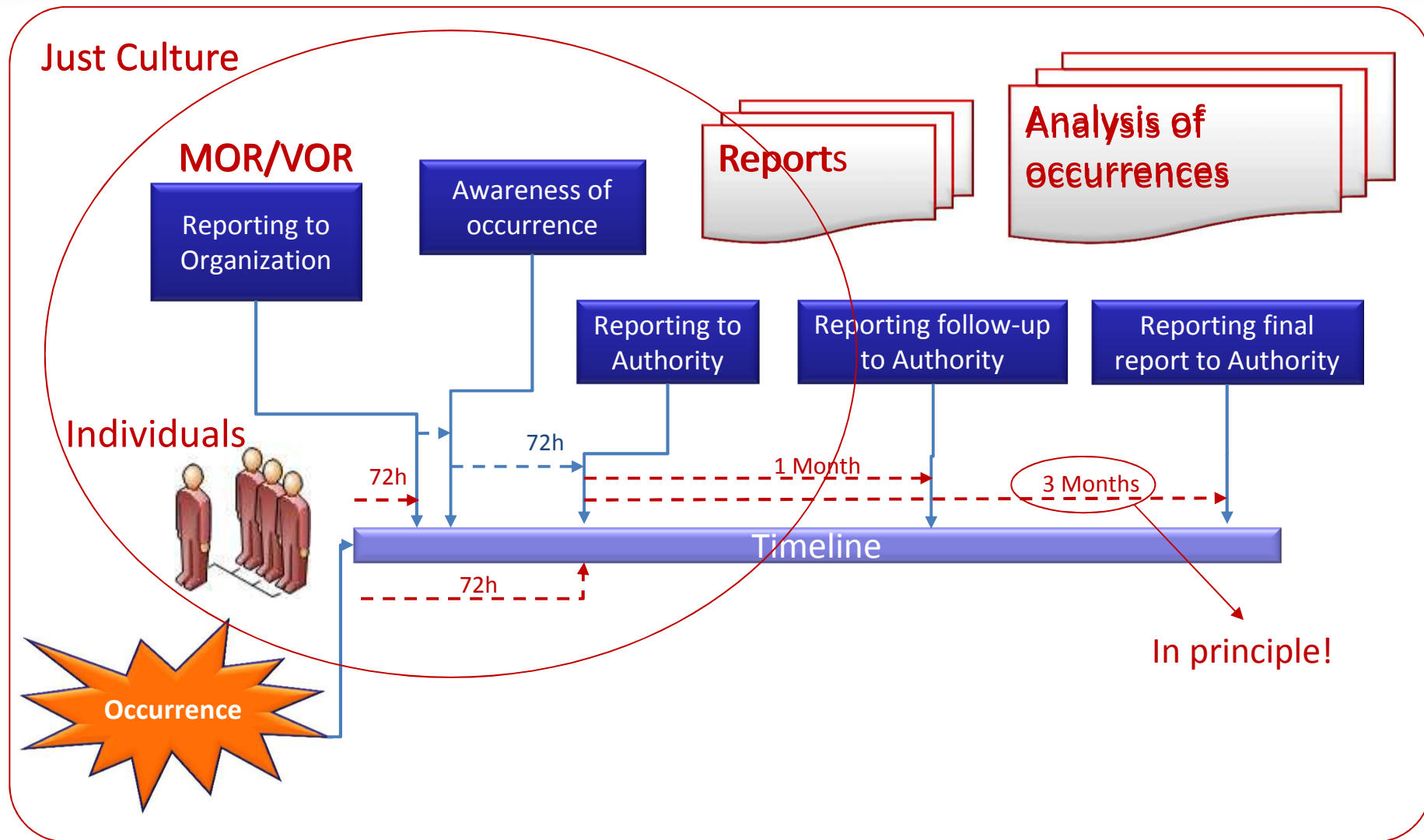




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Reporting flow – What's new?





Reporting flow – What's new?

Just Culture

MOR/VOR

Reports

Analysis of
occurrences

Individuals



Reporting flow – What's new?

Individuals

MOR/VOR

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Just Culture

- Obligations on:
 - **Pilot in command**
 - **Persons engaged in design, production and maintenance (execution and monitoring)**
 - **Person signing an airworthiness review certificate, or a release to service**
 - **ATCO and FIS officer**
 - **Safety Managers of aerodromes**
 - **Technician working on Air Navigation Facility**
 - **Ground handling staff**
- Clarifications provided in Guidelines Document



Reporting flow – What's new?

Individuals

MOR/VOR

Reports

Analysis of
occurrences

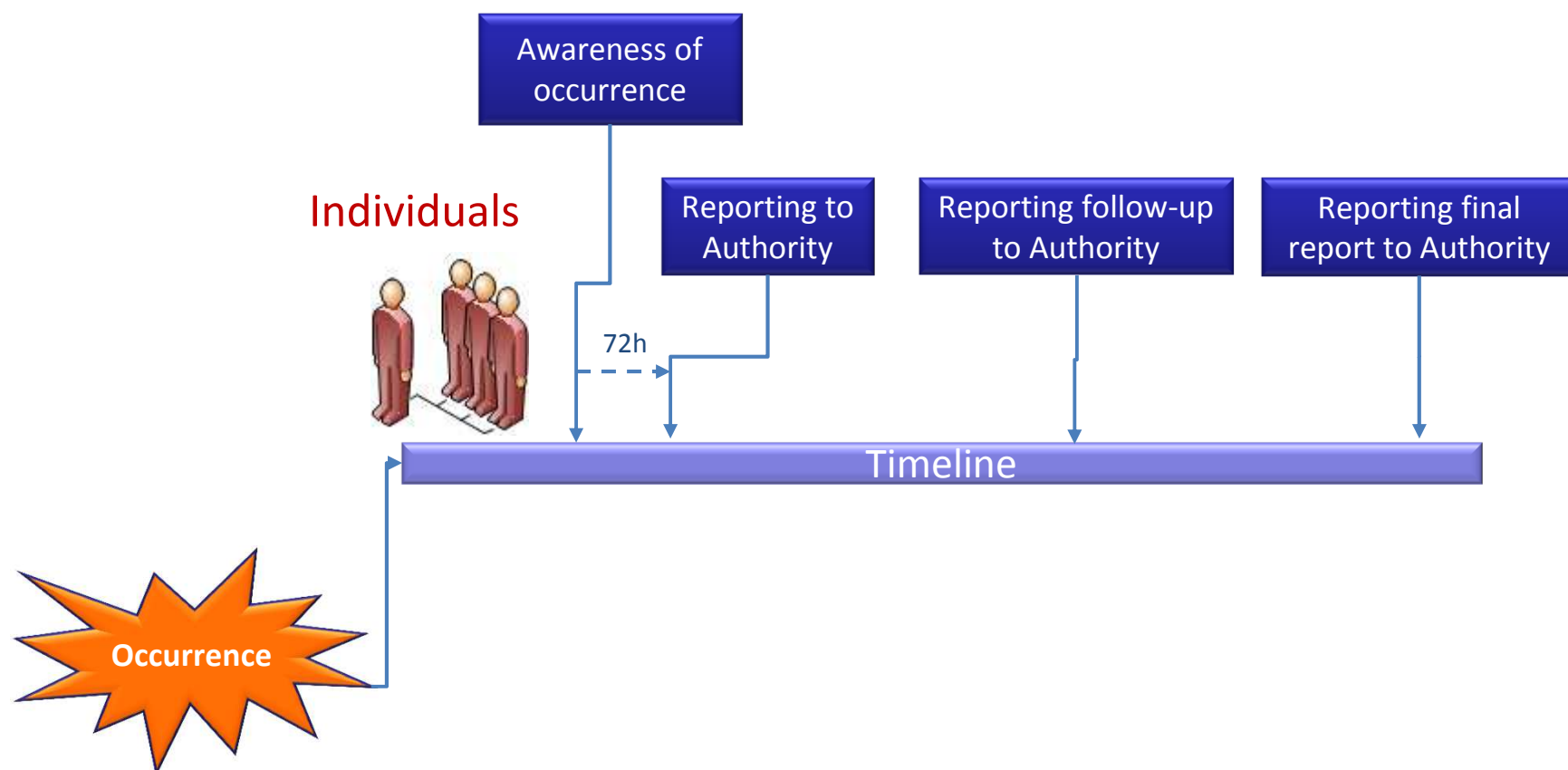
Just Culture

- ▶ POA*: Products, parts or appliances released from the production organisation with deviations from applicable design data that could lead to a potential unsafe condition as identified with the holder of the type-certificate or design approval.
- ▶ DOA*: 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

*Reportable occurrences for POA and DOA as per draft text currently in discussion in EASA CM
Implementation of R376/2014 in organisations approved under BR 216/2014



Reporting flow – What's new?



Effect on DOA/POA individual reporting after defining “person engaged in design and production” – Guidelines Document



Reporting flow – What's new?

Individuals

MOR/VOR

Reports

Analysis of
occurrences

Just Culture

- Formalisation of MOR/VOR
- MOR for mandatory reports from individuals as per the list of reportable occurrences
- VOR for all other persons and reports, including safety-related information
- Reporting to competent authority:
 - All occurrences captured in MOR and VOR
 - Safety-related information which may involve an safety risk
- All information stored in one or more databases



Reporting flow – What's new?

Individuals

MOR/VOR

Reports

Analysis of
occurrences

Just Culture

- ADREP taxo compatibility: reporting using Reduced Interface Taxonomy (RIT), compliant with ADREP taxo as in ECCAIRS
- ECCAIRS software compatibility: technical solution and data format agreed with competent authority that (containing data in RIT)
 - Left to agreement competent authority – organisations
 - Recommended to use one of the three methods developed
 - On-line form (small/medium org)
 - Off-line/downloadable form (small/medium org)
 - Data transfer file (big org)
- Reporting to the Agency the initial, follow-up and final , including actions taken and monitoring of effectiveness
 - Email to report@easa.europa.eu
 - Upload/fill in IORS reporting page



Reporting flow – What's new?

Individuals

MOR/VOR

Reports

Analysis of
occurrences

Just Culture

- DAH/POA – Part-21:
 - Common unsafe conditions for several occurrences (risks)
 - Other safety related grouping (trends/repetitive issues)
- Other domains:
 - Actual or potential risk
 - Safety issues identified in the SMS (or equivalent)
- Form and manner:
 - Individual occurrence – As for the initial report
 - Group of occurrences – To be agreed with Competent authority
 - For EASA:
 - Part-21 : As of today
 - Other: Analysis report (to be agreed)
 - Actions and monitoring of effectiveness
- Clarifications in Guidelines Document



Reporting flow – What's new?

Individuals

MOR/VOR

Reports

Analysis of group
of occurrences

Just Culture

- Requirements on protection of individuals
 - Use of data for safety purpose only
 - Ensure confidentiality of information
 - 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
- Body at National level to monitor proper implementation of Just Culture



- Applicability to foreign organisations
- What's new for organisations under BR216/2008?
- **Implementation roadmap by EASA**
 - **Support to EASA Organisations**
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IORIS Roadmap (I)

Dec

- NoA to deliver Final RIT structure – draft Value Lists
- NoA to agree on Business needs – Technical assessment JRC
- EASA to define data transfer file for TRO – **DECISION before January**
 - ECCAIRS XML or E5F - new

Jan

- JRC to deliver specs for ECCAIRS XML / ECCAIRS file
- EASA to distribute specs¹ to TRO (any org to use data transfer file)
- JRC to commit to deadlines for deliverables (business needs)

Feb

- EASA to organise a workshop¹ with TRO (building a compliant file)
 - IT support
 - Use of taxonomy
- Publication of Guidelines Document

Apr

- TRO testing phase (TRO development test)
- Publication¹ of Implementing Rule (list of reportable occurrences)

¹All support material will be published in the IORS page (EASA site)



IORIS Roadmap (II)

May

- ECCAIRS Taxo WG to finalize Value Lists in RIT
- JRC/EASA/MS to publish final RIT + Specs¹ for data transfer file

Jul

- JRC to deliver all other products supporting business needs
 - Reporting Forms (off-line + web-based)
 - Interface support
 - Additional ECCAIRS features

Sep

- EASA to implement interfaces¹ and additional ECCAIRS features
- EASA to test with TROs
- IORS annual Workshop (tentative)

Oct

- EASA to validate TROs' data transfer file
- EASA to launch registration¹ of reporting organisations (if secured)

¹All support material will be published in the IORS page (EASA site)



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New Requirements on EASA

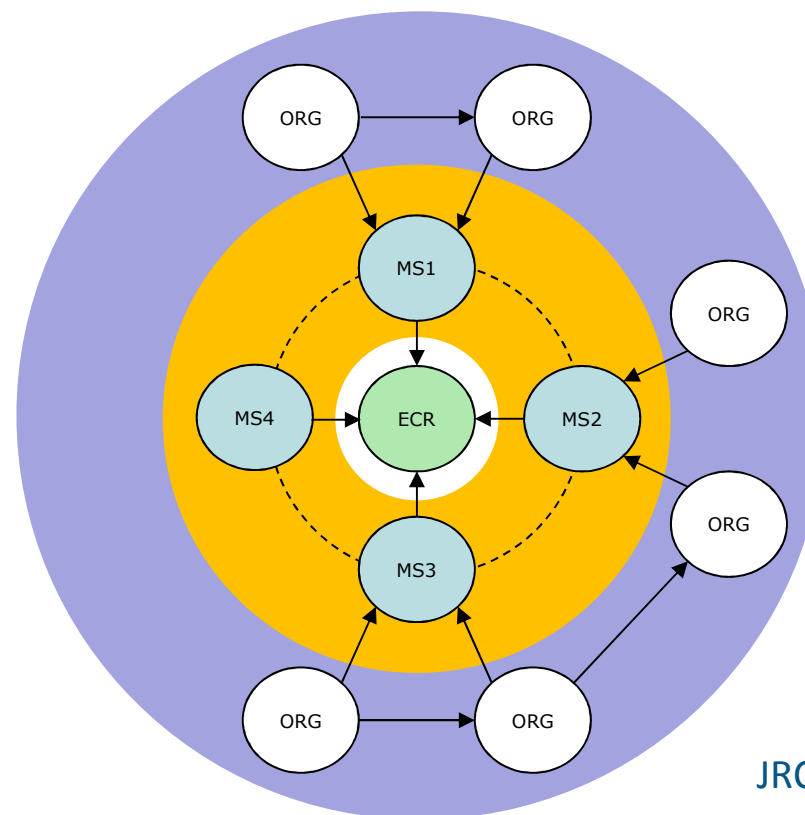
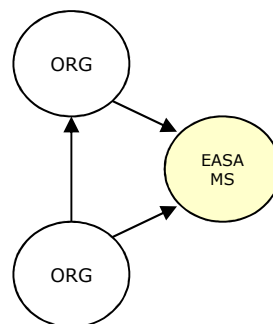
- Formalisation of MOR and VOR
- Integration of EASA occurrences in to the ECR
- Information to MS when issues on their remits are discovered

Directive 2003/42/EC

BR 216/2008 + IRs

Regulations 1321/2007 and 1330/2007

Regulation 376/2014

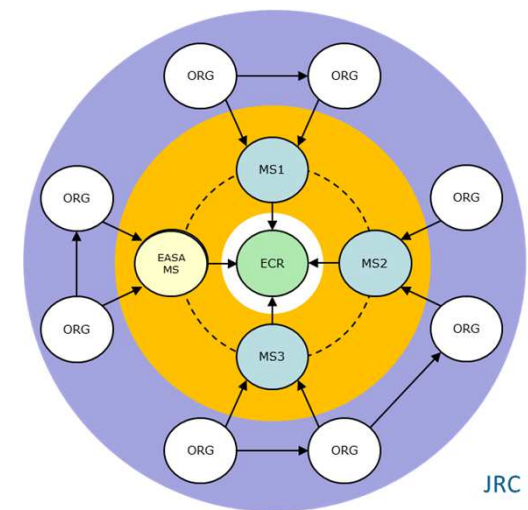


JRC



New Requirements on EASA

- Access to the ECR remains secured and restricted
 - Only MS (NAA and SIA)
 - The Agency, and
 - The European Commission
- Information only for Interested Parties (annex II)
 - In MS → address request to that MS
 - Not in MS → address request to EC
- Evaluation of request (case by case)
 - Validation of Interested Party
 - Safety purpose only!
 - All requests published for MS/EASA/EC



JRC



New Requirements on EASA

- Analysis process on occurrences or group of occurrences to identify safety hazards
 - Implementation of appropriate action
 - Monitoring of effectiveness
- Specific requirements on Just Culture
 - Use of data for safety purpose only
 - Ensure confidentiality of information contained in the occurrence

Some changes in existing processes will be needed (i.e., safety analysis of group of occurrences)



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Summary

- Current reporting process conceptually valid
- Due to new requirements for organisations and EASA, adjustments in existing processes are needed
 - DOA/POA
 - Reporting obligations on individuals, Just Culture, VOR, deadlines for follow-ups, reporting format
 - Part-145/M and ATO
 - Reporting obligations on individuals, list of reportable events, Just culture, VOR, deadlines for follow-ups, reporting format, analysis of group of occurrences



Summary

- EASA, specifically the IORS Team, to support organisations in the implementation of R376/2014
 - IORS workshop for TRO – February
 - Continuous updates in IORS page (EASA site)
 - Development of new forms and reporting interface



EASA

European Aviation Safety Agency

Thank you

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Acronyms

Acronym	Full name	Acronym	Full name
MS	Member State	DAH	Design Approval Holder
MOR	Mandatory Occurrence Reporting	SMS	Safety Management System
VOR	Voluntary Occurrence Reporting	XML	eXtensible Mark-up Language
ECR	European Central Repository	E5F	ECCAIRS 5 File
ATCO	Air Traffic Controller Operator	JRC	Joint Research Centre
FIS	Flight Information Service	TRO	Top Reporting Organisation
POA	Production Organisation Approval	RIT	Reduced Interface Taxonomy
SIA	Safety Investigation Authority	ATO	Approved Training Organisation
DOA	Design Organisation Approval	NAA	National Aviation Authority
ADREP	Accident/Incident Data Reporting (ICAO)	IORS	Internal Occurrence Reporting System