



**EASA**  
European Aviation Safety Agency

# 11<sup>th</sup> ETSO Workshop

**Day 1, 17<sup>th</sup> of June, 2015**

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TE.GEN.00409-001



# EASA

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



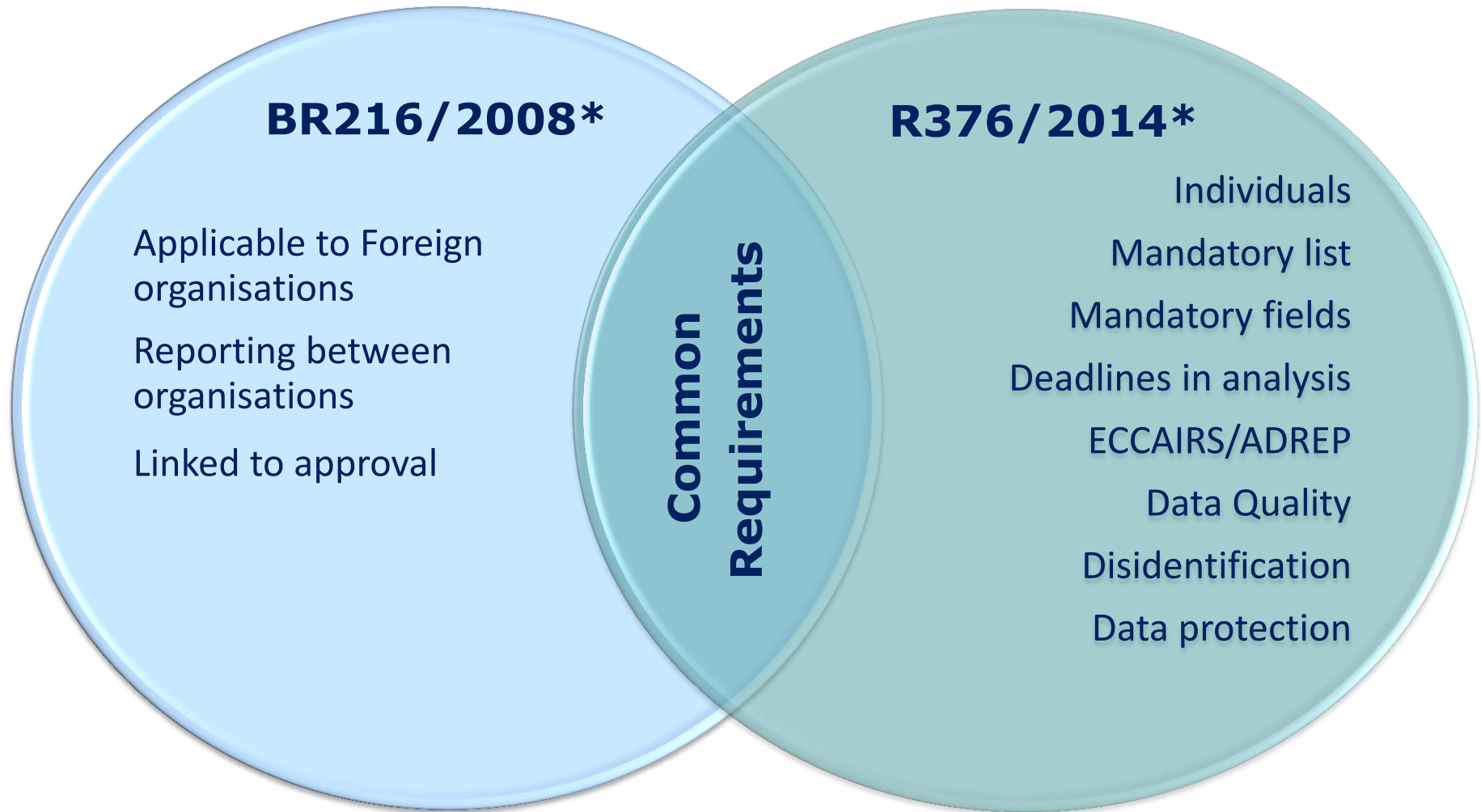
\*EFTA States as per bilateral agreements with the EU

# 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

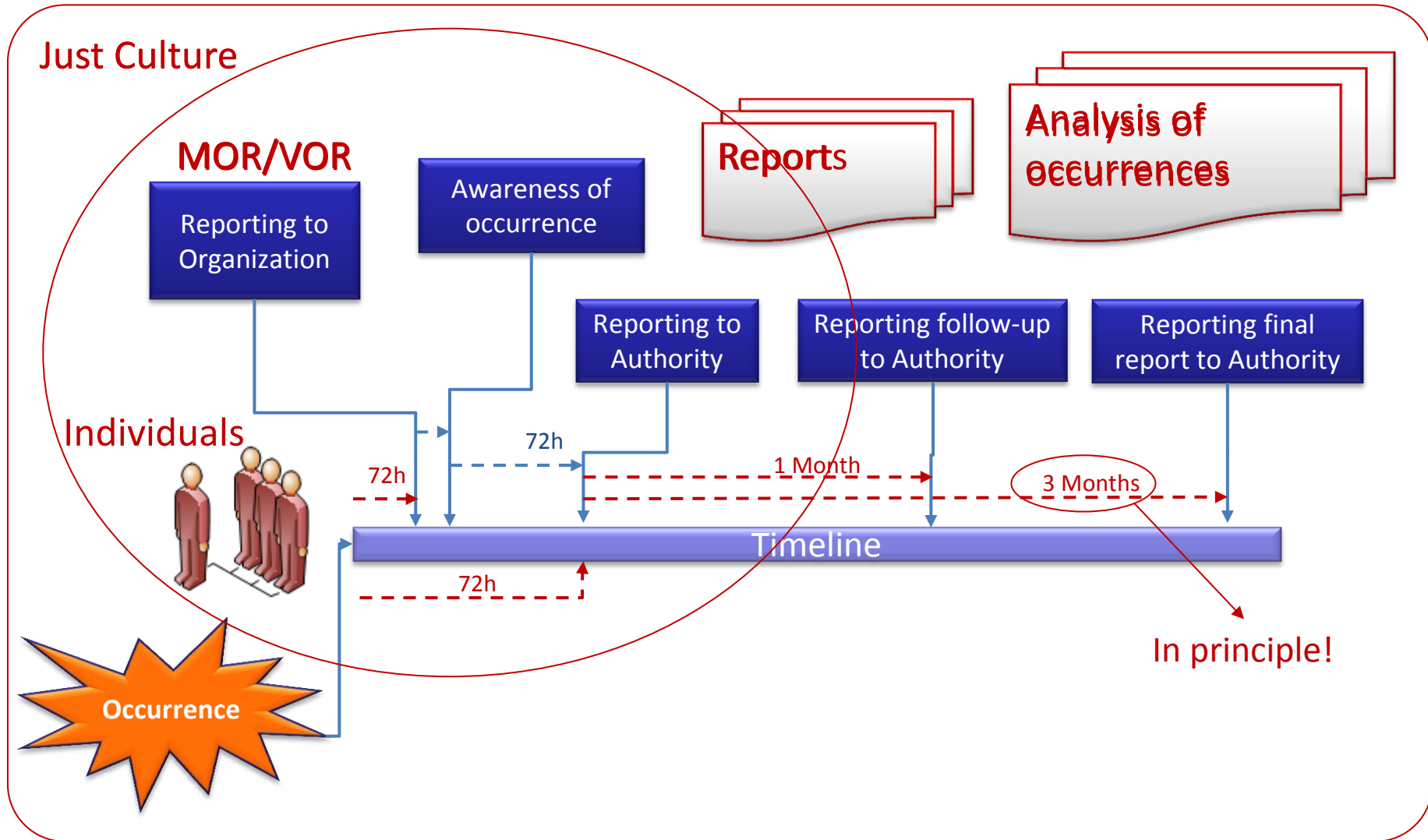


# R376/2014 vs R216/2008



\* 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

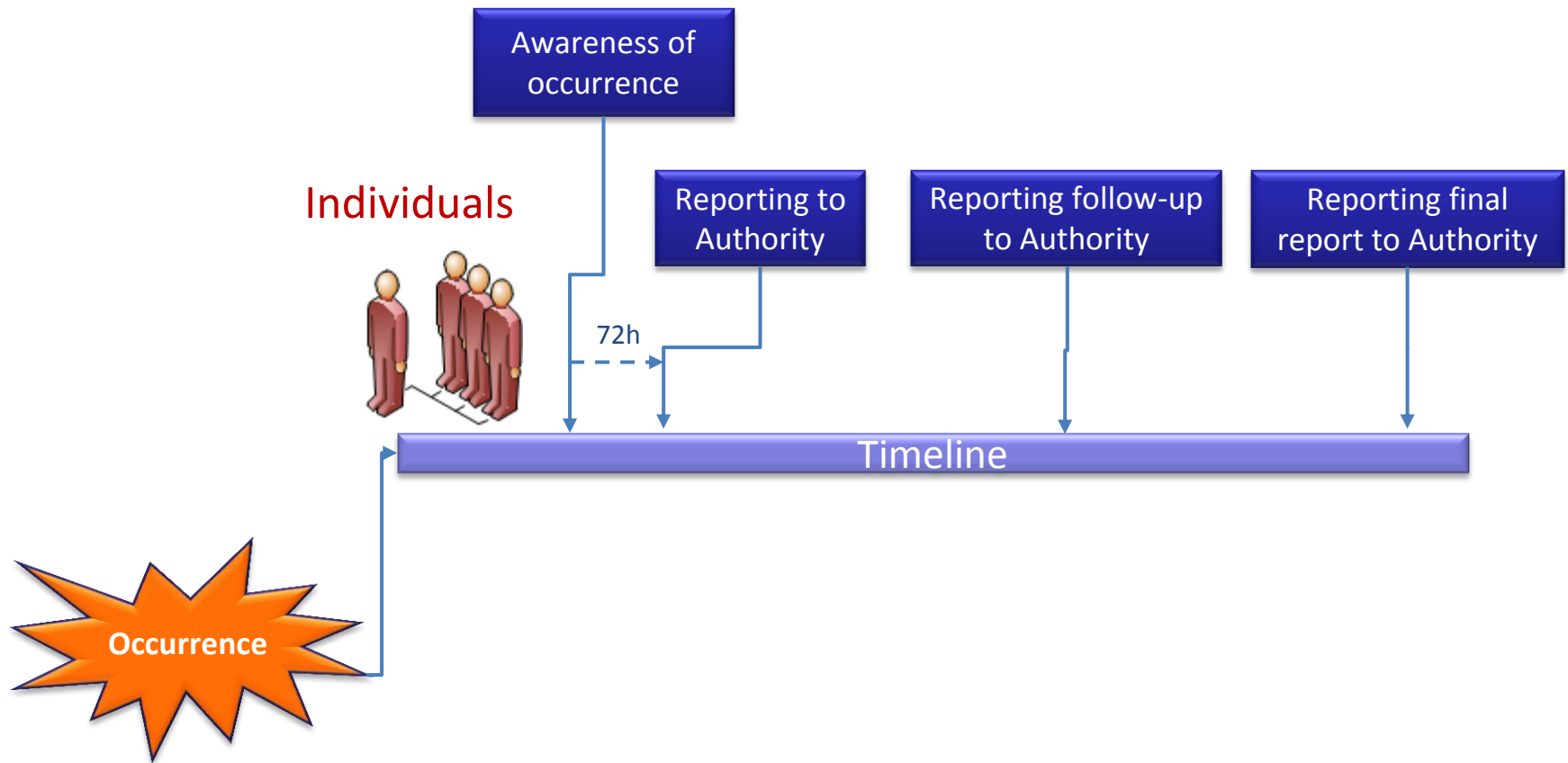
Reports

- 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](mailto:report@easa.europa.eu)
  - ▶ Uploading of form or online fill-in EU-reporting page

# R376/2014 vs R216/2008

Individuals

MOR/VOR

Reports

Analysis of  
occurrences

Just Culture

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

# R376/2014 vs R216/2008

Individuals

- Requirements on protection of individuals

- Use of data for safety purpose only

- Ensure confidentiality of information

MOR/VOR

- Adoption of internal rules: how Just Culture is implemented in the organisation

Reports

- Consultation to staff

- No blame, nor prejudice on the basis of the information in the reports

Analysis of group of occurrences

- JC Policy model to be developed together with the industry

Just Culture

# Implementation Roadmap (EC)

May 2015

- Adoption of IR on reportable occurrences
- 2<sup>nd</sup> meeting on Just Culture

Jun 2015

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

Jul 2015

- Availability of technical means supporting ADREP/ECCAIRS compatibility

Sep 2015

- 2<sup>nd</sup> 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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