



EASA/CASIAs Meeting

Occurrence reporting – format and EASA internal processing

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Occurrence Reporting Officer

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Content

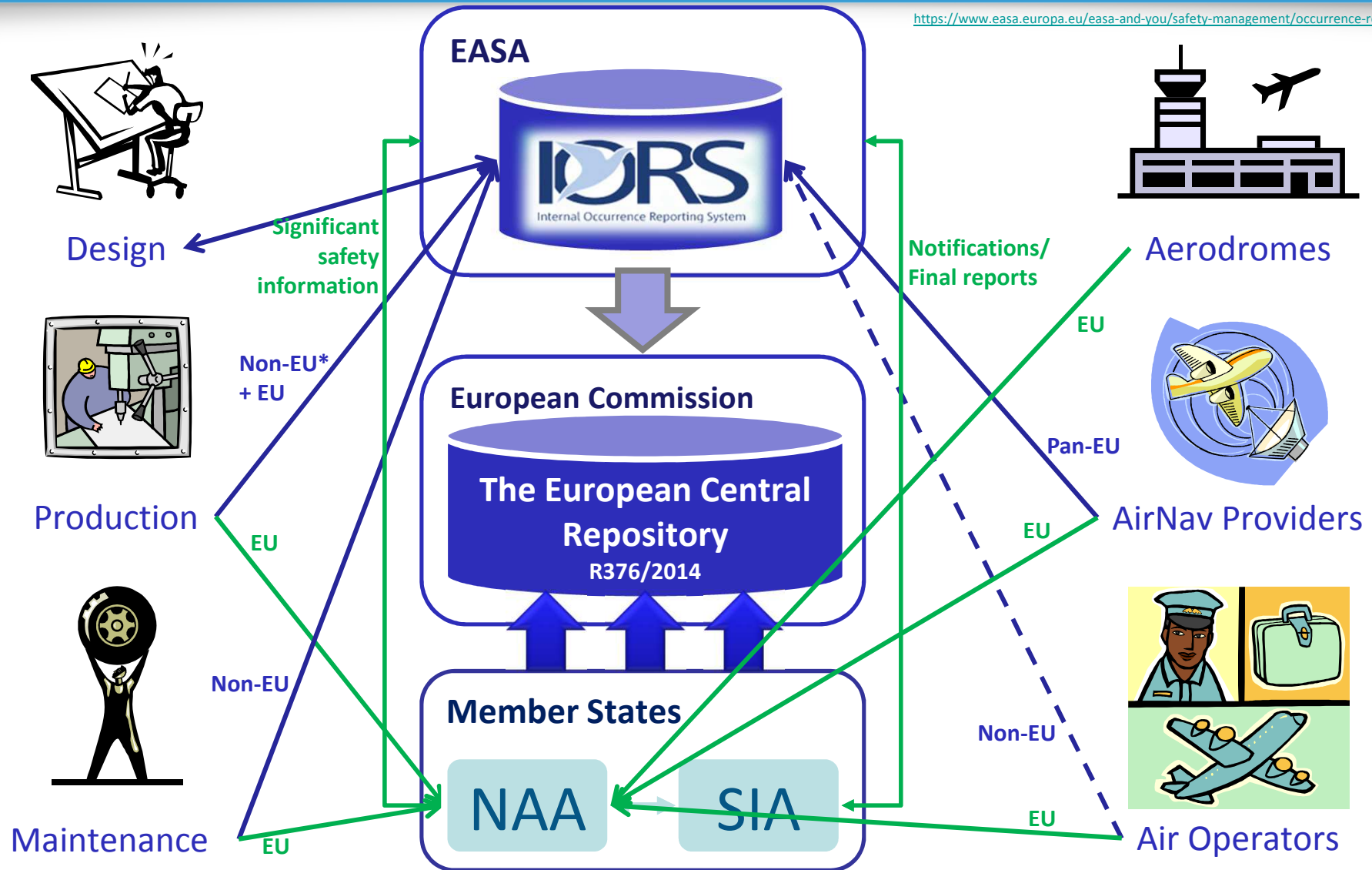
- Legal framework – occurrence reporting
- Occurrence reporting format
- EASA internal processing



EU system – Authorities Perspective

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

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





What for?





How to Report to the Authority

- Simpler standard reports
- Definition of ECCAIRS/ADREP compatibility
- EU reporting portal www.aviationreporting.eu

3 options:

Off-Line PDF Report

The image shows a screenshot of the EASA Occurrence Report form. It includes sections for '1. Reporting information' (with fields for report number, date, and time), '2. Description of the occurrence' (with a large text area for details), and '3. Occurrence summary' (with fields for location, aircraft, and operator). The form is titled 'European Aviation Safety Agency Occurrence Report'.

Online Report

The image shows a screenshot of the EASA Online Report portal. It displays the 'Report Form Pilot or operator (ADG)' interface, which includes fields for 'Report number', 'Date and time', 'Location', 'Aircraft', and 'Operator'. The portal is titled 'EASA Online Report'.

Data Transfer File (E5X)





Suggested format for SIAs

➤ Initial notifications (IN):

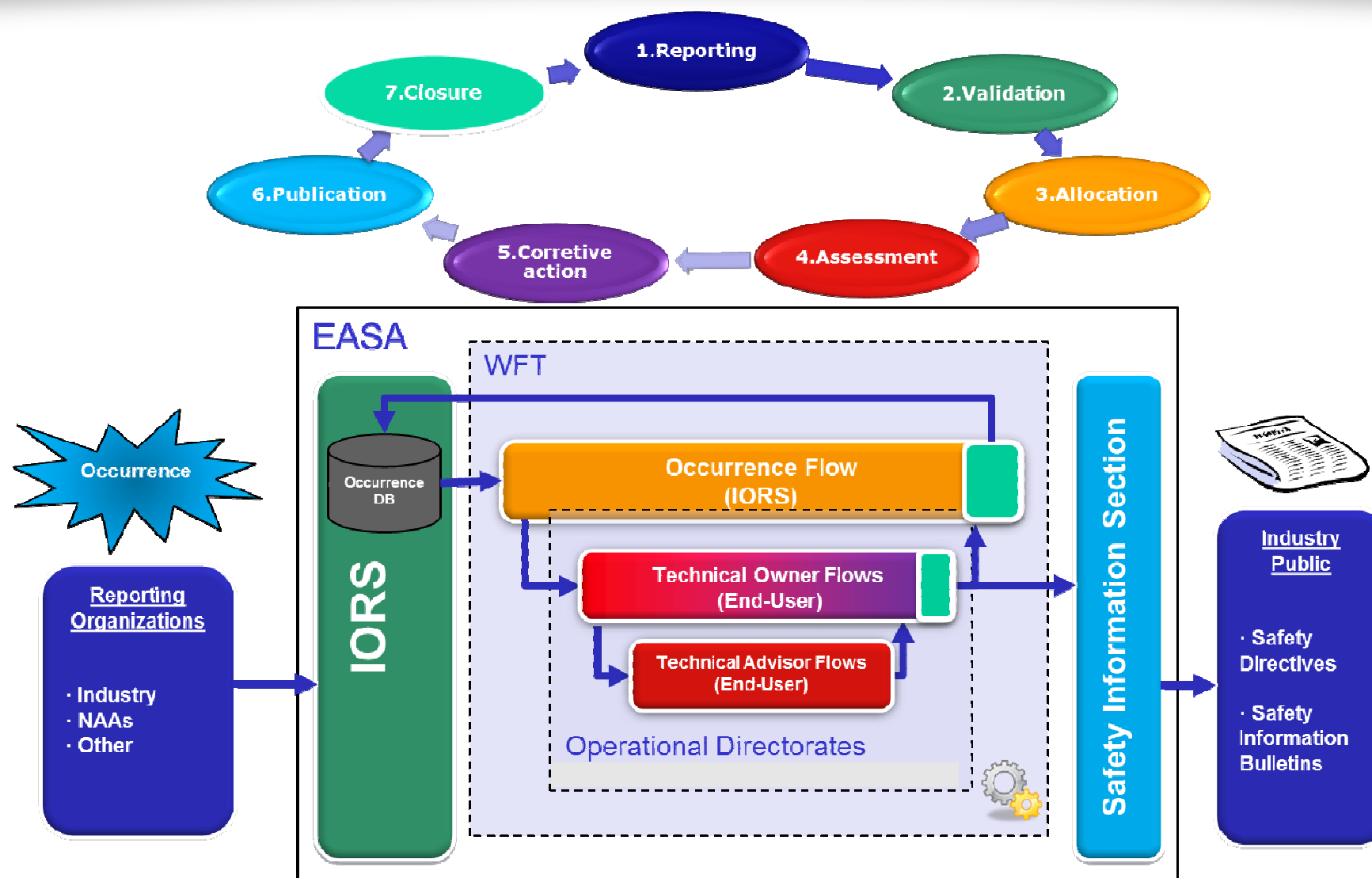
- IN form + ECCAIRS file if possible
- Notification to be transferred to ECR not later than 30 days after having been entered in the national database – as per R376/2014 by SIA or NAA

➤ Final reports:

- Final report and
- ECCAIRS file to facilitate the data capture process

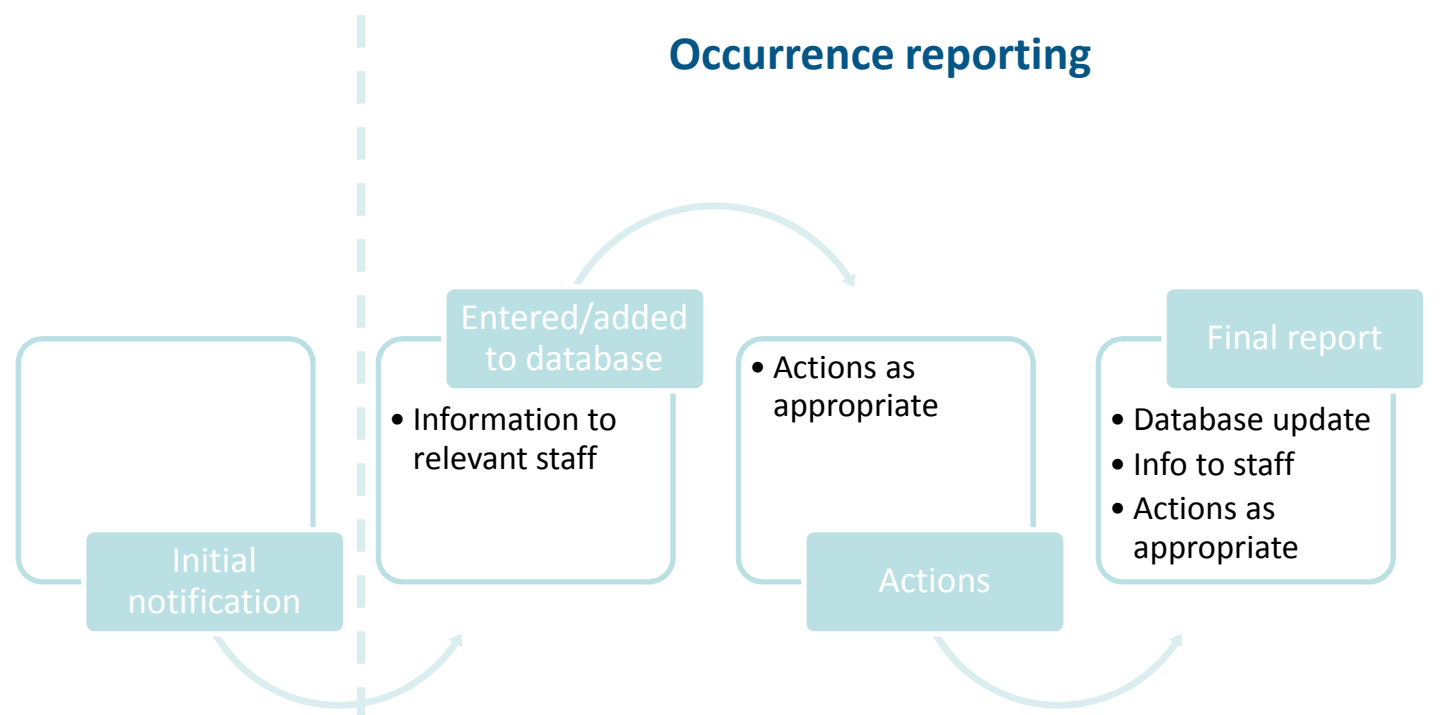


EASA Occurrence Reporting System – closed loop





Notifications by SIAs – occurrence processing perspective



EASA Safety investigation process
e.g. Recommendations follow-up



Internal processing – single occurrences or Group of occurrences

- All occurrences are stored in a single database
- Duplicates are checked – one record per occurrence, which includes all related reports
 - E.g. Accident reported by DAH and SIA
- Technical Staff involvement based on criteria
 - Technical follow up vs. informing



Internal processing – single occurrences or Group of occurrences

- In case of technical follow-up – Assessment as per procedures for product safety or organisation approval/oversight
- Close out including why occurrence can be closed and what was the (root) cause for it



Use of data

- Accident/Serious incident data are used for Annual Safety Report, Rulemaking and for Risk portfolios (covered by designated presentations)



Feedback to reporters

- Safety publications (ADs, SIBs)
- Direct feedback to DAH via PCMs
- Quarterly feedback to NAAs on their reported occurrences to EASA
- Feedback to other reporters is under development



Abbreviations

- **ECCAIRS** European Coordination Centre for Accident Incident reporting
- **ECR** European Central Repository
- **EPAS** European Plan for Aviation Safety (former EASp)
- **IORS** EASA Internal Occurrence Reporting System
- **NAA** National Aviation Authority
- **SIA** Safety Investigation Authority
- **SMS** Safety Management System
- **SSP** State Safety Programme



EASA

European Aviation Safety Agency

Thank you for your attention!

Questions?

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➤ Supporting slides



Why reporting occurrences?

Predictive

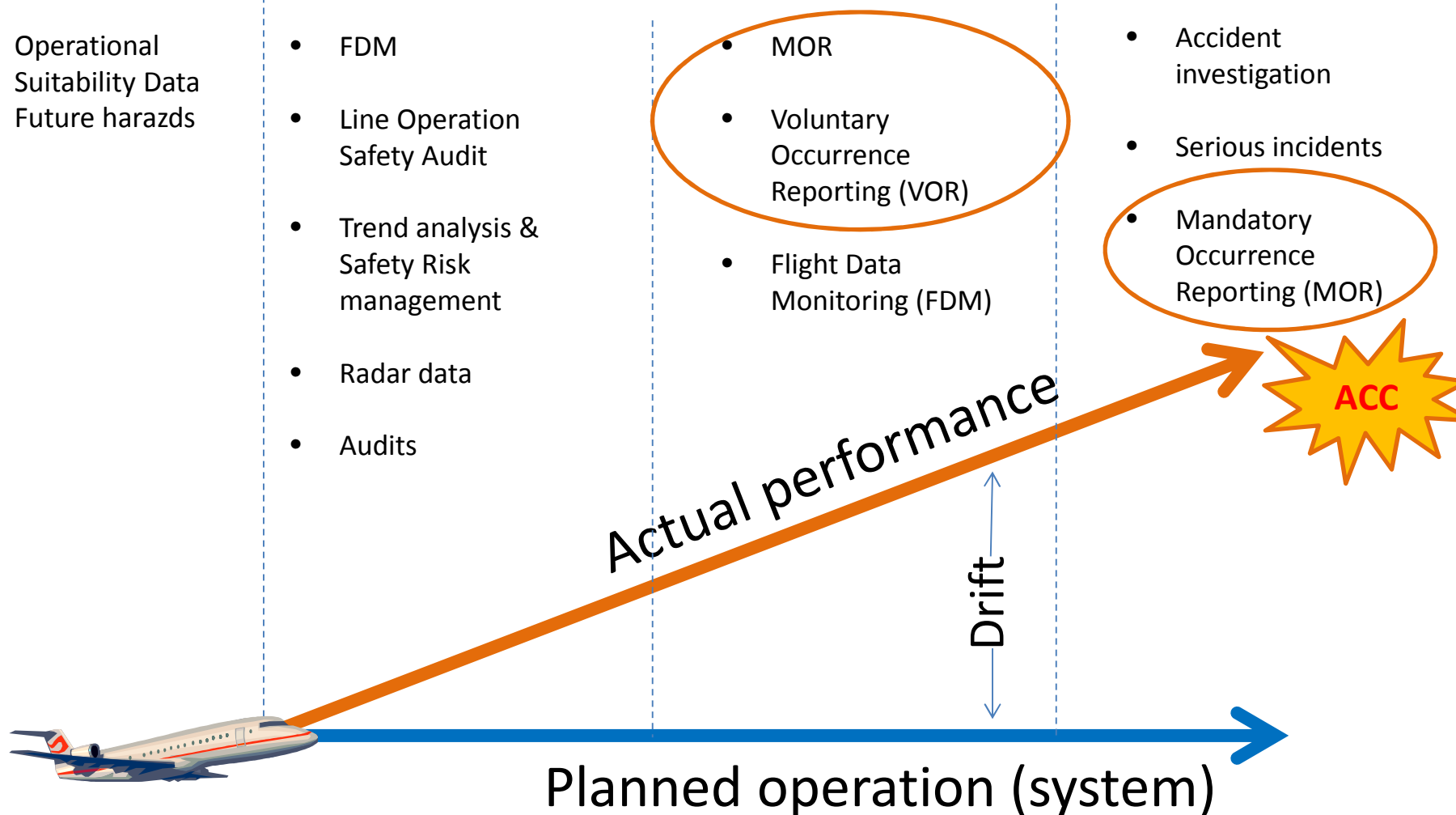
- Operational Suitability Data
- Future hazards

Pro-active

- FDM
- Line Operation Safety Audit
- Trend analysis & Safety Risk management
- Radar data
- Audits

Reactive

- Accident investigation
- Serious incidents
- Mandatory Occurrence Reporting (MOR)





Legal framework

216/2008 and IR

Product safety,
organisation approvals

Organisations

Occurrences, e.g.
(Potential) unsafe
conditions

Reporting between
organisations and to
authority

R996/2010

Safety investigations

Any person involved

Accidents or serious
incidents

Notification of ACC/SI to
SIA

R376/2014* and IR

Occurrence reporting,
analysis and follow-up

Persons and organisations

Occurrences

Reporting to organisation
or to competent authority



Legal framework

216/2008 and IR

Corrective actions and
Safety information
(AD, OD, SIB etc.)

Network of
information
(EASA/NAAs/SIA)

Annual safety review

R996/2010

Recommendations

Exchange of
information
(EASA/NAAs/SIA)

Annual review

R376/2014* and IR

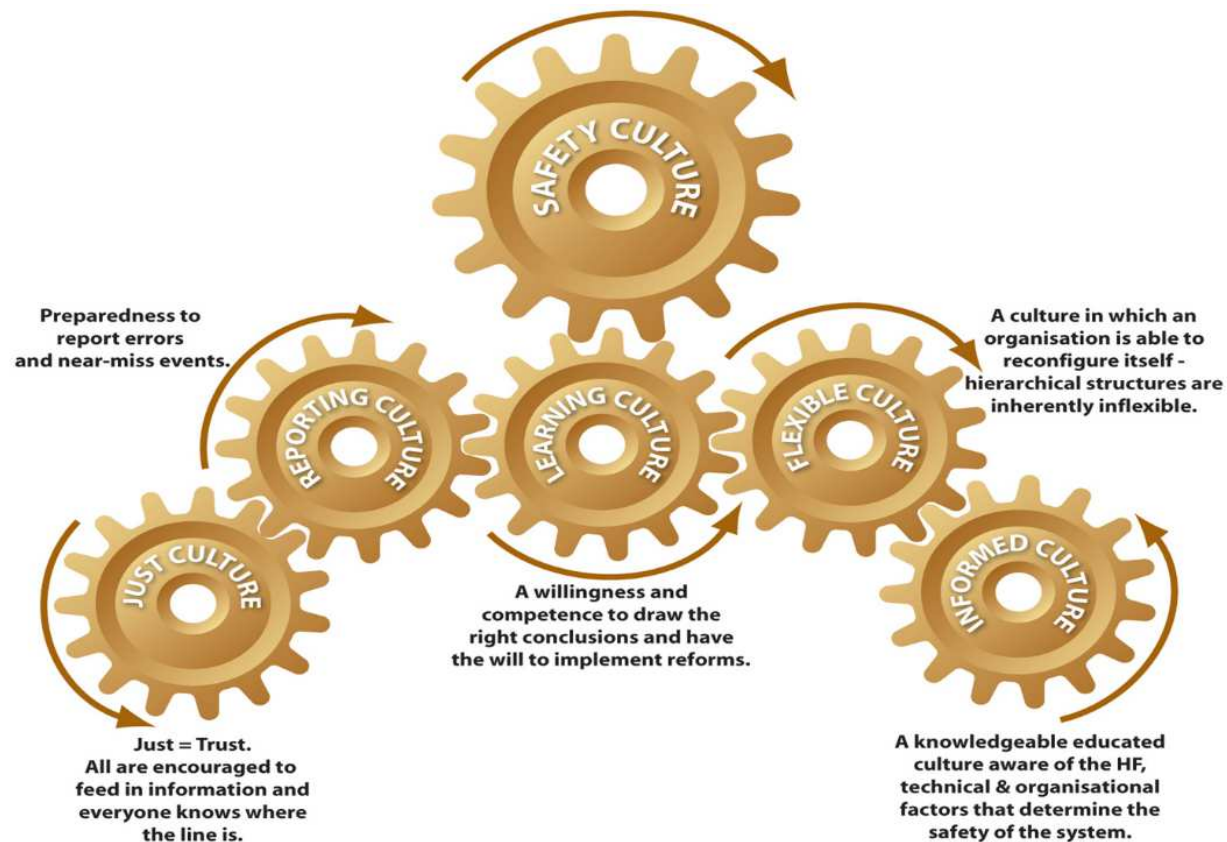
Corrective actions

Exchange of
information via ECR

Annual safety review

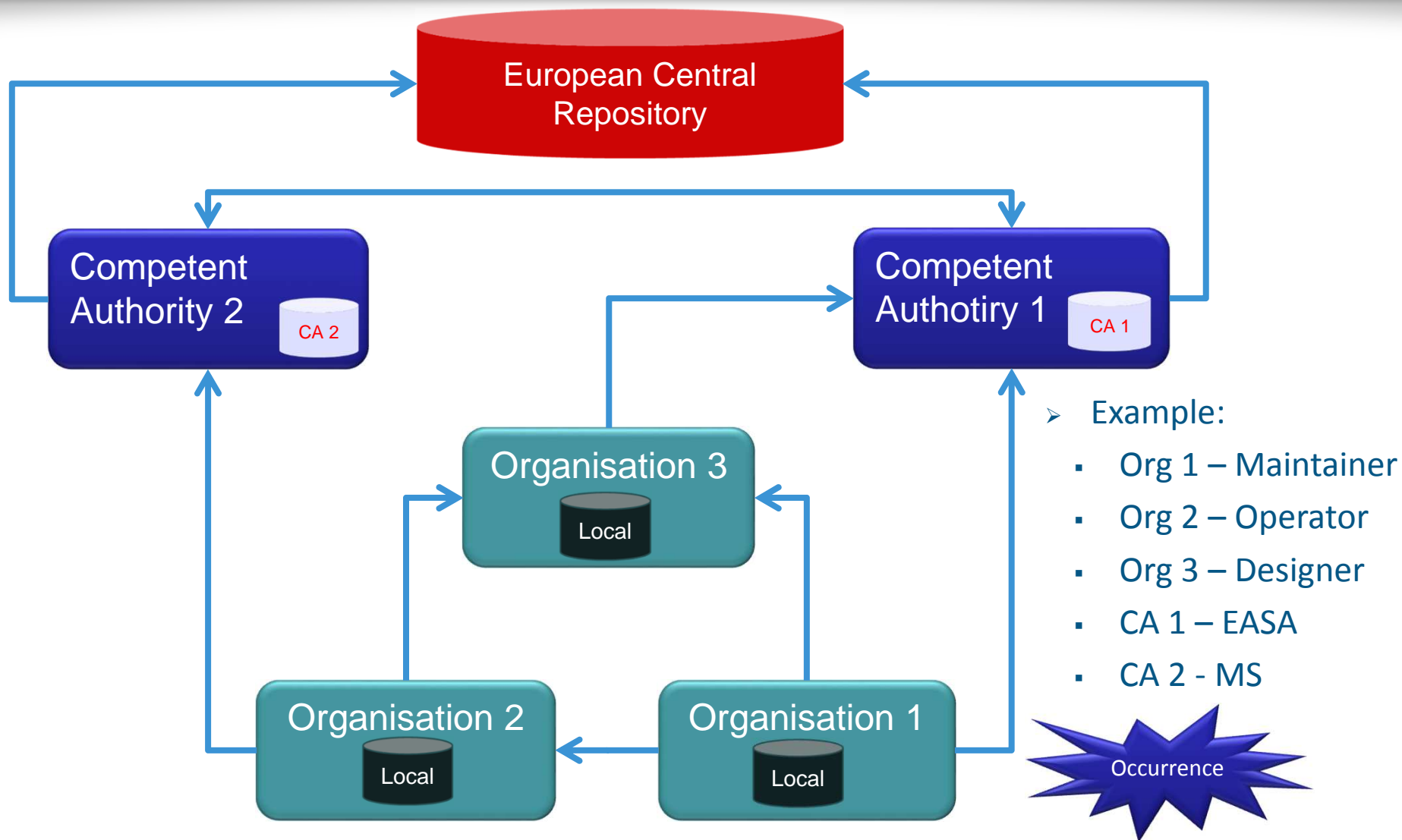


Just Culture: No Reports = No Information



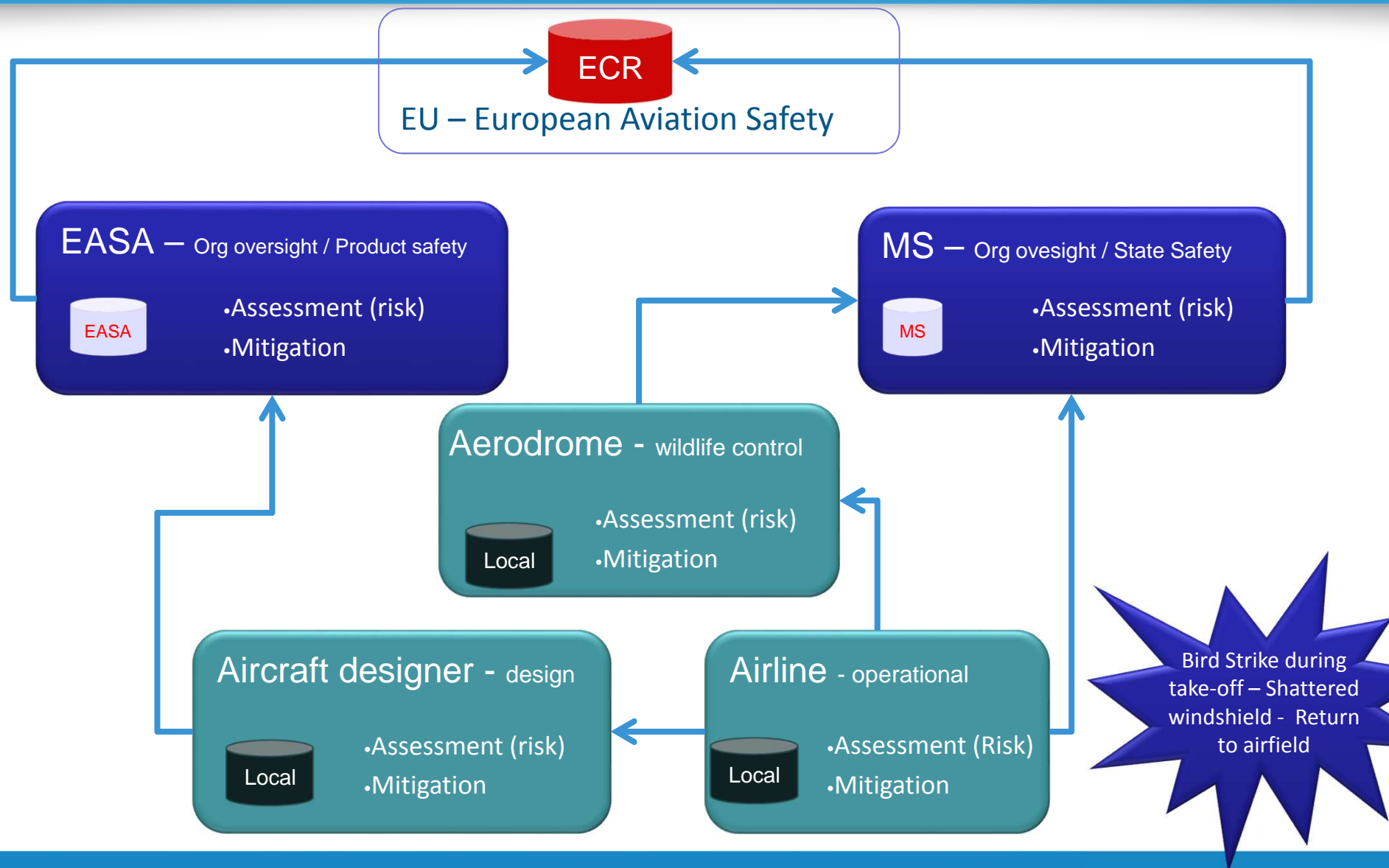


Intended reporting flow





Reporting flow: real case





What are the objectives of the Regulation?

- To improve aviation safety by ensuring that relevant civil aviation safety information is reported, analysed and followed-up
- To ensure continued availability of safety information through Just Culture

To what kind of event does it apply?

- 'occurrence' means any safety-related event which endangers or which, if not corrected or addressed, could endanger an aircraft, its occupants or any other person and includes in particular an accident or serious incident;

To whom does it apply?

- The Member States and EASA
- Organisations established in a MS which employs the persons covered by Art. 4
- Natural persons as described in Art.4



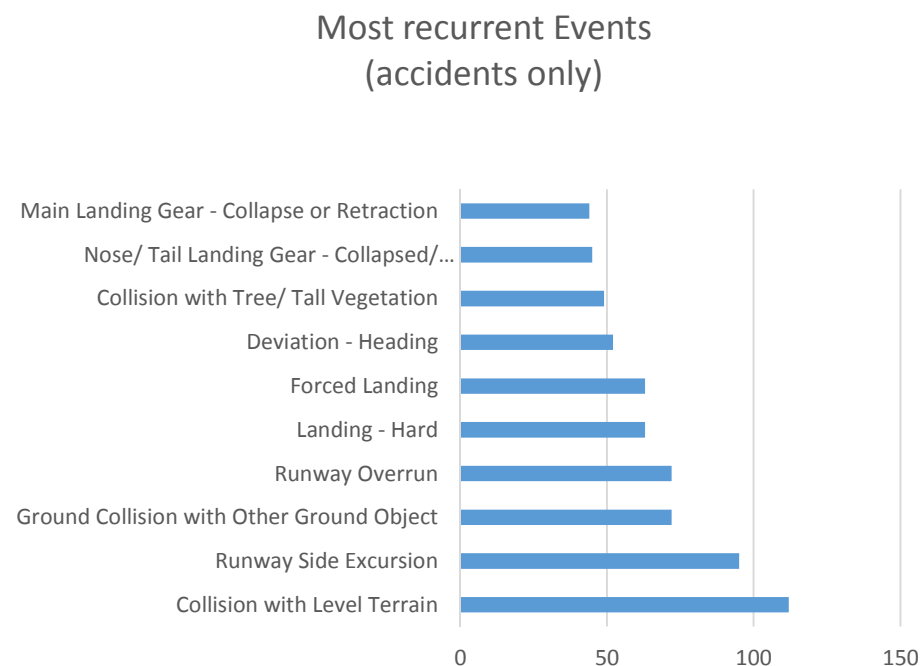
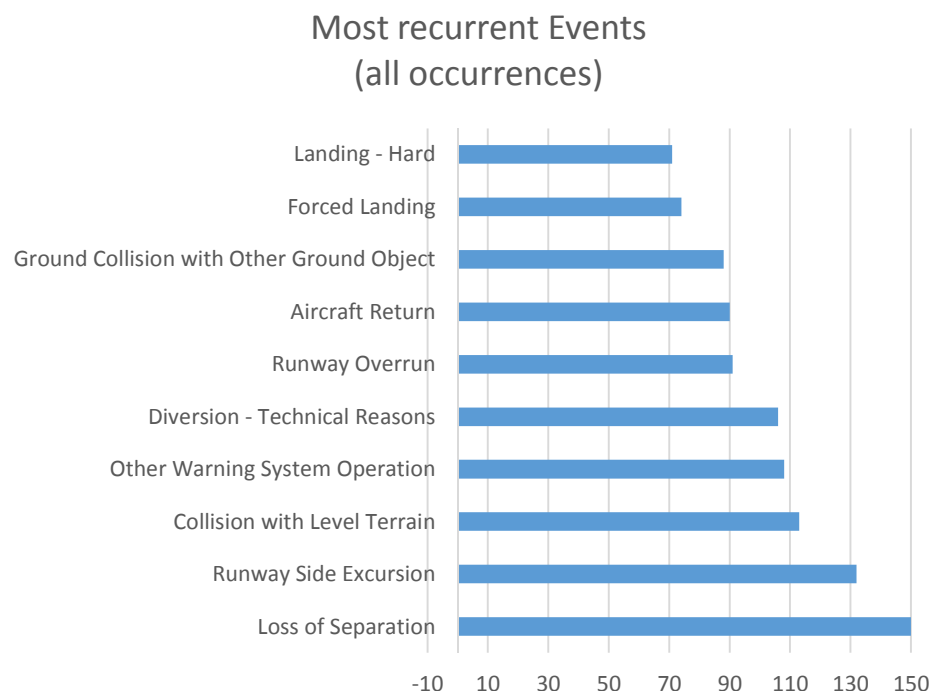
The Key Areas of the Regulation

- Improved **reporting and follow up** of occurrences from both mandatory and voluntary reporting processes
- Introduction of occurrence **risk classification**
- Rules on confidentiality of information and **Just Culture**
- Provision of **Guidance Material** and other useful supporting information for industry
- **Analysis** - a key part **Safety Risk Management** process to use and share what is learnt



Risk Classification

- Reg 376 will also introduce occurrence risk classification to help identify the most important safety issues
- This is important because the things that bears the highest risk are not necessarily those that happen the most or so often in accidents



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



Risk Classification - How

- Organisations can continue to use any risk classification scheme they already have
 - ARMS
 - Standard Risk Matrix
- EASA working with MS and industry to develop a European Risk Classification Scheme (ERCS)
 - From 2017 the ERCS must be used by Competent Authorities
 - Will be designed to be as easy as possible
 - Use by operators will be encouraged

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Risk Classification - How

- ARMS like
- Based on two questions
 - Most credible worst outcome
 - Effectiveness of barriers (remaining and breached)
- Roadmap
 - Q1 2016 – consolidation of the barrier model
 - Q2 & Q3 2016 – development of guidance material
 - Q4 2016 – pilot programme

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► Guidance Material for R376/2014 & IR2015/1018



Guidance Material

- Guidance material provides clear understanding of the Regulation
- Regulation (EU) 376/2014 is an EC Regulation so Guidance Material is not “a traditional” EASA GM
- Following consultation with industry a Question and Answer format has been developed
- Published on Occurrence Reporting Web Portal (www.aviationreporting.eu)



Guidance Material

- Includes information for:
 - Aviation Professionals
 - Organisations
 - Competent authorities
 - Private pilots

- Note the leaflets published on the reporting portal