



EASA

European Aviation Safety Agency

Occurrence reporting system implementation status according to regulations (EC) 216/2008 and (EU) 376/2014

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- Implementation status of R216/2008 and R376/2014
- General issues & lessons learnt
- EASA Guidance on follow ups for DOA/POA
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The context

- Regulation (EU) 376/2014 is in force since November 2015
- Reminder about the R376/2014 principles – refer to the presentation from the EC this morning
- Alignment of R216/2008 and IR with R376/2014 - oversight, just culture; refer to a separate presentation of this morning
- For the ones complying - issues of data quality covered in a separate presentation (coming)
- ERCS and taxonomy updates - separate presentation (coming)



The overall objective

- The overall objective is to prevent accidents from occurring by collecting, analysing and following up safety issues and applying corrective actions on high risk areas

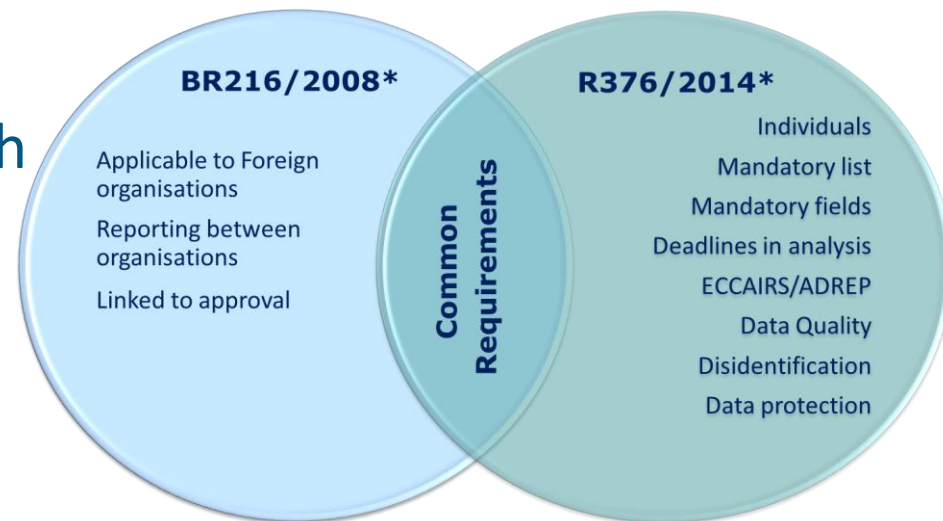
- To facilitate the above
 - Exchange of information
 - Appropriate reporting format and data quality
 - Data dissemination and protection rules
 - European Risk Classification Scheme
 - Just culture



The main overall principle

- Even alignment activity of 216/2008 and IR with the R376/2014 is in progress – NPA 2016-19
- The main principle is that there should be only one reporting system within an organisation* which is compliant to both R376/2014 and 216/2008 and its IR
- So the development of the systems should consider both requirements as complementary

* - note reporting obligations per approval



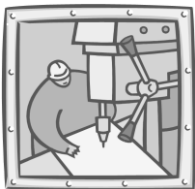


EU system – Organisations Perspective

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



- Org 3 – Designer



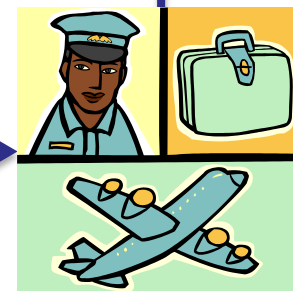
- Org 4 – Production



- Org 1 – Maintainer

Occurrence

Reporting between Organisations

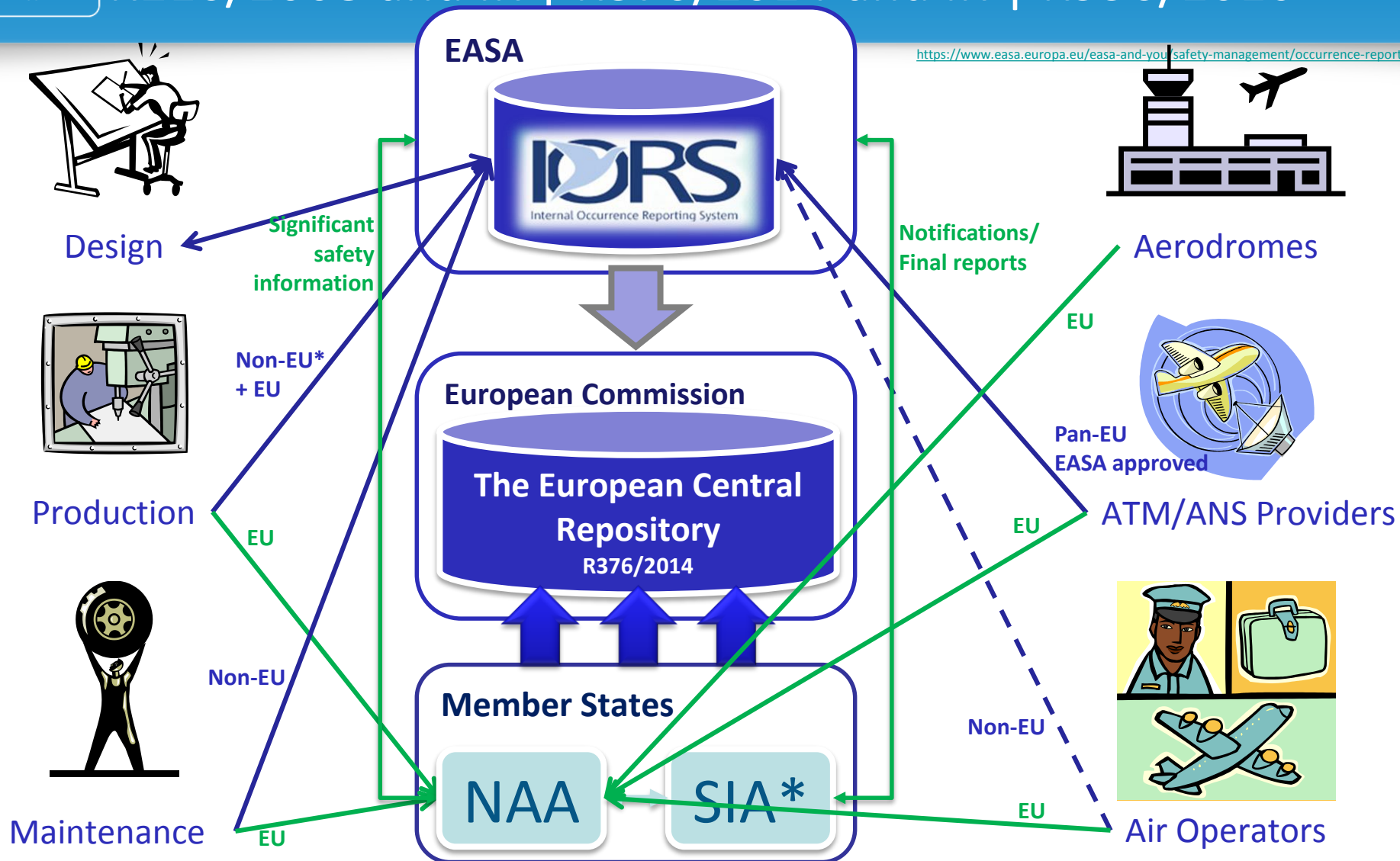


- Org 2 – Operator



EU system – Authorities Perspective

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



* - When an occurrence is an accident and a serious incident, industry needs to report to the SIA (R996/2010) as well



Outcomes from the Agency



- **Safety publications** (ADs, SIBs, etc.)
- Involvement of other authorities in occurrence resolution as required (network of information)
- Design approval holders may request occurrence information on their products received by the Agency
- Analysis at EU level by analysis of information contained in the ECR in the context of the **European Network of Aviation Safety Analysts**
- European Plan for Aviation Safety (**EPAS**)



Implementation status

- Organisations can comply to R376/2014 & R216/2008 by using either:

- Forms on

www.aviationreporting.eu

- Immediately compliant to form and manner

- E5X data exports from organisations' databases (high volume reporters)

- Export needs to be configured (XML language)





Present implementation status

➤ EASA:

- Work on comments NPA 2016-19 (RMT.0681) on aligning R216/2008 and R376/2014
- Work with the EC on oversight and standardisation aspects
- EASA is exploring with the EC on how to make the update of Annex I of R376/2014 to make the mandatory fields more “meaningful”

➤ **Top Reporting Organisations** - high volume reporters out of 11:

- 4 E5X compliant and are reporting for both new and follow ups in *.E5X format (1 still in quality fine-tuning)
- 1 E5X compliant and are reporting New only in *.E5X format
- 4 in testing/correcting content/Close to be ready
- 2 in development

➤ **Other organisations:**

- Compliant by using Forms on the portal for initial and follow up reporting



General issues and suggestions/lessons learnt

- JRC documentation for electronic reporting to be followed:
 - E5X Scheme (XML language principles apply)
 - White papers
 - EASA implementation guidance for TRO
- Communicate issues and seek for assistance



Mandatory fields & recommended fields

- Mandatory fields as per Annex I of R376/2014
- General and specific
- EASA is pragmatic in the request of data in real life
- Mandatory fields need to be meaningfully mapped
- If info is not available – keep empty and do not include the tag in the export E5X file



Recommended fields

- EASA invites the reporters to provide some recommended fields to facilitate the process and get prepared for the future more integrated data exchange*. These fields are e.g.:
 - For follow-up/closure reports the following attributes:
 - 1067 – Analysis / follow up
 - 1069 – Corrective actions
 - 1070 – Conclusions
 - 1068 – Risk assessment
 - Attribute 802 – “Report” to be able to provide attachments (pictures etc.) when applicable
 - Tracking sheet 1071 – to indicate internal Airworthiness review Sheet, Action Sheet number to which an occurrence was linked to/is part of. This is important to ensure links between AS and single occurrences.

* - separate presentation



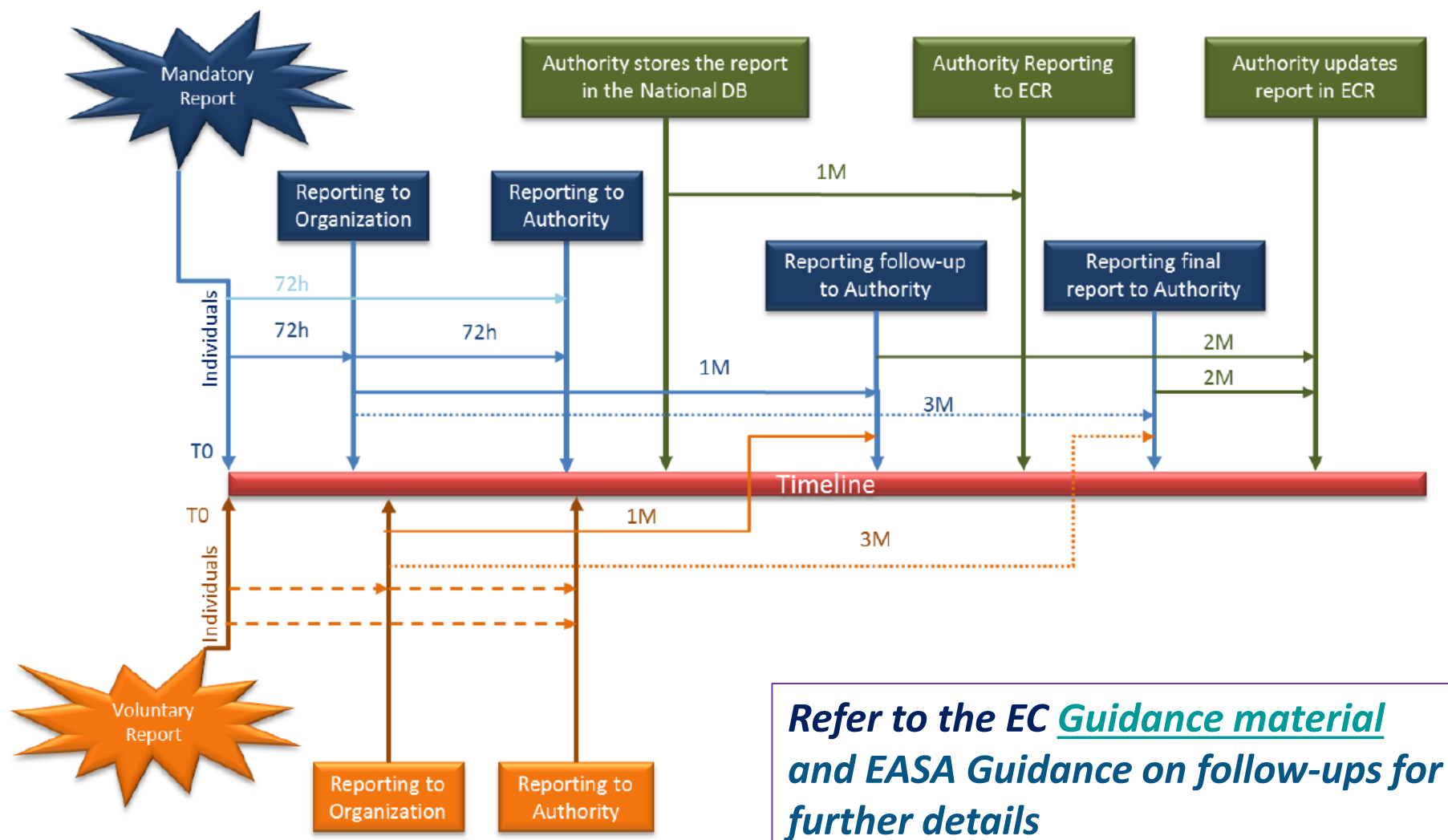
Other aspects

- File sizes exceeding 10 MB:
 - Solution – use of EASA file box
 - EASA FTP coming as a more solid solution...
- Aircraft Make/Model/Series [21] – value list update by including missing types – by July
- Meaning of values – covered by definitions (e.g. what Substantial damage means).
- Use of default values, e.g. Propulsion type for the Engine DAH designing turbofan engines only – can be set as “Turbofan”



Reporting flow

Diagram 2. Flow of information under Regulation 376/2014





EASA guidance on follow ups for DAH/POA

- R376/2014 Article 13 provides a requirement to report follow ups and closure reports
- It was understood that these requirements might be subject to interpretation
- Therefore, to facilitate a mutual understanding, a guidance was generated for DOA and POA holders.



EASA guidance on follow ups for DAH/POA

Question: Unsafe condition identified?

Initial report

A: No – may delay reporting and send once closed, state no Unsafe condition exists*

A: No – but Initial report was already sent

A: Yes

Voluntary reporting

Follow up report

N/A

N/A

Provide 30 days update
(note information expected)

Closure report

N/A

Closure report should state that no Unsafe condition exists*

As soon as available and in principle no later than in 3 months (recognised that it may take longer for complex investigations). Quality of occurrence analysis should not be affected.

* - Information expected: cause(s) of the occurrence and on the TC holder corrective or preventive actions (if any).



EASA guidance on follow ups for DAH/POA

- The follow-up/final (closure) report shall include:
 - The latest/final TC holder position as to whether a (potential) unsafe condition exists;
 - The occurrence analysis and first/final investigation results – including cause(s) of occurrence;
 - The containment/corrective and preventive actions;
 - A risk assessment supporting that these corrective and preventive actions allow the product to be operated safely (refer to Part 21 GM 21.A.3B(d)(4) Defect correction – Sufficiency of proposed corrective action or relevant DOA procedure).



What comes next?

- **European Risk classification Scheme (ERCS)** developed in 2017, adoption of legal act is in process – *details covered in a separate presentation*
- **Work on Opinion for NPA 2016-19/RMT.0681** on aligning Implementing regulations, AMCs and GM with R376/2014
- **E5X scheme/taxonomy updates** limited to not more often than once every 2 years
 - Covered in a separate presentation



What comes next?

- SIB on Suspected Unapproved Parts cases – by early July
- EASA internal IORS Evolution
 - Feedback to reporters



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



Summary – R376/2014 implementation

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



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
- NPA 2016-19
- 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
- Electronic reporting specs: <http://eccairsportal.jrc.ec.europa.eu>
- EASA guidance on follow-ups



EASA
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