



GUIDANCE MATERIAL

ON REGULATION (EU) No 376/2014

ON THE REPORTING, ANALYSIS AND FOLLOW-UP OF OCCURRENCES IN CIVIL AVIATION

DG MOVE

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European Commission
6th IORS Workshop - 21 June 2016

- Background
- Roadmap
- Interaction with other rules
- GM process & structure
- GM highlights

- Regulation (EU) No 376/2014 of the European Parliament and of the Council on the reporting, analysis and follow-up of occurrences
- Adopted in April 2014 and applicable since 15 November 2015

➤ Main objectives:

- Prevent accidents through reporting, analysis and follow-up of relevant safety information at industry, national and EU level
- Increase information exchange at authority level (ECR)
- Ensure continued availability of safety information (enhanced Just Culture)

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- In September 2014 Commission launched a roadmap, with EASA support, to help all relevant stakeholders to prepare for implementation
- Most roadmap actions completed by November 2015



LEGAL ASPECTS

- Development of the occurrences list to be mandatorily reported

Broad consultation MS and industry/staff rep. through workshops + written consultation

**Published in
June 2015**

- Development of rules on EU Risk Classification Scheme

On-going task

**R376/2014 :
By May
2017**

TECHNICAL ASPECTS

- ECCAIRS/ADREP compatibility
- Inclusion of mandatory data fields
- Workshops and trainings
- Data quality checking processes
- Store analysis and follow-up in ECR
- Integration EASA IORS data in ECR

**Completed
in 2015**

Work mostly undertaken by JRC and EASA



GUIDANCE MATERIAL

- Development of detailed guidance material on the Regulation and the IR

MS workshop

March 2015

Industry/ staff rep. workshop

April 2015

Written consultation

Summer 2015

**Published in
December 2015**

COMMUNICATION AND PROMOTION MATERIAL

- Production of posters and leaflets for CAT and GA

**Presented and
disseminated
October 2015**

[illegible]

DG MOVE

**Safety occurrence?
Report it to your organisation!**

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Report it to your organisation!**


Make flying safer!

http://ec.europa.eu/transport/modes/air/events/2015-10-01-just-culture_en.htm

JUST CULTURE DECLARATION

➤ Detail key principles for JC in the industry
Prepared by a WG
(employers/staff across aviation domains)
with EC and EASA support

Signed in October 2015



EUROPEAN CORPORATE JUST CULTURE DECLARATION¹

KEY PRINCIPLES OF A JUST CULTURE

1. Acting safely is a top priority.
2. Staff, at all levels, should be, as a starting point, considered to act in the interest of safety, in a manner commensurate with the training, experience and professional standards that fit their position or function. To achieve this organisations are responsible for providing their staff with the appropriate environment, tools, training and procedures.
3. It is acknowledged that, in an operational aviation industry environment, individuals, despite their training, expertise, experience, abilities and good will, may be faced with situations where the limits of human performance combined with unwanted and unpredictable systemic influences may lead to an undesirable outcome.
4. Analysis of reported occurrences by organisations should focus on system performance and contributing factors first and not on apportioning blame and/or focus on individual responsibilities, except in the cases foreseen under Regulation (EU) No 376/2014 and other applicable legislation.
5. When assessing individual responsibility, organisations should focus on determining if actions, omissions or decisions taken were commensurate with experience and training, and not on the outcome of an event.
6. Reporters of safety information, and any other person mentioned in the report, are protected from adverse consequences, in accordance with Regulation (EU) No 376/2014.
7. Whilst acknowledging that adverse events can frequently be the driver for analysis, positive behaviour and actions should be captured and encouraged.
8. Organisations should promote effective implementation of Just Culture principles within the organisation at all levels and with all parties, including their representatives. All should actively foster mutual trust and respect, and promote support and cooperation to build the necessary trust across the organisation. Staff should be educated in Just Culture principles and all relevant documentation should be made available.
9. Just Culture internal rules should include, amongst others, the definition of a process, including the actors involved, to determine an unacceptable behaviour, in accordance with its description in Regulation No 376/2014.
10. Just Culture internal rules should document how safety data is managed, stored, protected and disclosed. It should also document to what extent the organisation intends to share de-identified data for safety learning purposes.
11. Support provided by organisations, in cases where staff are subject to external procedures on the basis of an occurrence they have reported or been involved in, reinforces the mutual trust that is necessary to ensure an effective Just Culture.
12. A consistent and effective Just Culture environment requires going beyond publication of Just Culture internal rules.
13. To effectively implement a Just Culture staff at all levels, as well as top management, should understand and accept their responsibility with regards to Just Culture principles and internal rules and their promotion.
14. Organisations, in cooperation with involved parties, including their competent authority, should define how they intend to continuously promote and stimulate the implementation of Just Culture principles and practices throughout the organisation.
15. Organisations should regularly review and assess the maturity of their Just Culture internal rules and compare it to the Just Culture perception within the organisation. Benchmarking may also be of benefit and may be considered.

¹ This non-legally binding Declaration only considers Just Culture within the context of an organisation and does not address or override the judicial rules or proceedings applicable in individual Member States.
² Article 38 (11) of Regulation (EU) No 376/2014 prescribes the presence of 'Just Culture internal rules', supported by internal processes that need to be adopted after consulting the organisation's staff representatives, and implemented in European aviation organisations.

On behalf of Airports Council International (ACI) EUROPE Gérard BOREL - General Counsel	On behalf of the Association of European Airlines (AEA) Ather Husain KHAN - CEO	On behalf of Aircraft Engineers International (AEI) Fred BRUGGEMAN - Secretary General	On behalf of the Airport Regions Conference (ARC) Leo BODOSIAN - Secretary General
On behalf of the Airport Services Association (ASA) S. Samim AYDIN - Chairman	On behalf of the Aerospace and Defence Industries Association of Europe (ADAE) Jan PIE - Secretary General	On behalf of Air Traffic Controller's European Unions Coordination (ATCEUC) Susana LLOREDA	On behalf of the Civil Air Navigation Services Organisation (CANSO) Jeff POOLE - Director General
On behalf of the European Business Aviation Association (EBAA) Fabio GAMBÀ - CEO	On behalf of the European Cockpit Association (ECA) Dirk POLLOCKER - President	On behalf of the European Regions Airline Association (ERAA) Simon MCNAMARA - Director General	On behalf of the European Transport Workers' Federation (ETF) Eduardo CHAGAS - General Secretary
On behalf of the International Air Carrier Association (IACA) Sylviane LUST - Director General	On behalf of the International Federation of Aeronautical Information Management Associations (IFAIMA) Fernando LOPES - President of IFAIMA	On behalf of the International Federation of Air Traffic Controller's Associations (IFATCA) Petrík PETERS - President & CEO	On behalf of the International Federation of Air Safety Electronics Associations (IFATSEA) Theodore KHRITSG - Vice President

This Declaration was signed in Brussels, on Thursday 1st October
In the presence of Václava BULC, European Commissioner for Transport




HIGH LEVEL CONFERENCE

300 registered participants

*High level from industry / MS /
GA / unions and staff / civil
society / Justice*

*Transport Commissioner and
new MOVE DG*

Took place in October 2015

http://ec.europa.eu/transport/modes/air/events/2015-10-01-just-culture_en.htm





EUROPEAN REPORTING PORTAL

➤ Objectives:

**Launched on 15
November 2015**

- ✓ Single European entry point for all occurrence related aspects
- ✓ Availability of relevant information (JC, GM etc)
- ✓ Facilitate ECCAIRS/ADREP compatible reporting for SMEs
- ✓ Facilitate reporting from non-professional pilots (GA)



AVIATION SAFETY REPORTING



Report an Occurrence

Why Safety Reporting?



<http://www.aviationreporting.eu>

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[Applicable Legislation](#)

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- **Interaction with other rules**
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- 376 & 216 = One single system
- Recital 4: one reporting = compliance with both legislations
- Reporters for DOA/POA aligned with 216
- RMT.0681 'Alignment of the EASA Implementing Rules with Regulation (EU) No 376/2014'
- Reference in ERs of revised BR proposal

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- Broad consultation of the industry and authorities
- Workshops to discuss draft GM
- Written consultation
- Guidance material divided in 5 sections, focusing on targeted category of stakeholder
- Addressing most aspects covered under 376 and its IR including issues raised by the MS and industry

- May be updated based on experience/when new elements introduced (ERCS, scope change, adoption new BR)
- MS/stakeholders encouraged to share experience and difficulties encountered
- If any point unclear in GM: contact Commission - DG MOVE

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- Recall objectives of the Regulation
- Explain intended benefit for safety
- Clarify interaction with other rules

Scope clarified

- In principle, not applicable to non-EU MS organisations (organisations approved or certified by a MS / organisations approved or certified by EASA with PPoB in a EU MS)
- Only organisations using staff on professional basis covered

Flow of reporting clarified

- Mandatory reporting obligations (who should report what?) clarified
- Reporters for DOA/POA aligned with 216
- Timeline

Report formats

- ECCAIRS/ADREP compatibility (also on ERP)
- Mandatory data fields
- Risk classification: industry can use any RC / ECRCS only imposed on authorities

Clarification on handling and use of information

- How to implement Just Culture principles
- What information can be shared, with whom and under which circumstances



Guidance Material - 1st edition

<http://www.aviationreporting.eu/fileadmin/avrepdownloads/Guidancematerial376-2014.pdf>



**Thank you for
your attention!**

Any question?