



Schweizerische Eidgenossenschaft  
Confédération suisse  
Confederazione Svizzera  
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Bundesamt für Zivilluftfahrt BAZL  
Sicherheits- und Risikomanagement (SRM)

# **Regulation (EU) No 376/2014 on the Reporting, Analysis and Follow-Up of Occurrences in Civil Aviation**

10 September 2015



# Agenda

- Opening and general introduction
- Overview of key issues
- Q&A session with European Commission  
Mrs. Delphine MICHEAUX NAUDET  
Aviation Safety Policy Officer
- Q&A session with FOCA



# EC376/2014 Basics

- Regulation... «on the Reporting, ***Analysis and Follow Up*** of Occurrences in Civil Aviation»
- Repeals Directive 2003/42/EC
- Implementing Rule (EU) No. 2015/1018 is related
- Within the EU: Adopted April 2014, Effective 15.Nov.2015
- Subject to adoption of the Joint Committee: Effective in Switzerland from 01. February 2016
- Primary Regulation, not under EASA Basic Regulation
- Consistent with other EU Regulations (ie- 216/2008, 996/2010)



# Commonality with existing Swiss System

- Who has to report? – similar to existing Directive
  - No longer limited to Commercial & Turbine powered
- What has to be reported?
  - List contained in IR (EU) 2015/1018
- Reporting channels ?
  - To the «organisation» they are working for, or
  - To FOCA
- Mandatory & Voluntary Occurrences (ex «SWANS»)
- Formal Requirement for analysis and follow-up by Organisation / FOCA



# Key implications for Organisations

- Required to have an internal reporting system
- Occurrences must go onto a database
- Reports must be compatible with ECCAIRS
- Report occurrences to the FOCA within 72 hours
- Report initial analysis and actions within 30 days
- Report final analysis results within 3 months
- Decide which voluntary reports go to FOCA
- Foster an internal «Just Culture»



# Key implications for FOCA

- Increased volume of reports
  - All EASA aircraft types included (GA, Gliders)
  - Some reports will be updated with analysis (3 inputs?)
  - More «voluntary» reports from organisations
  - General improvement of «reporting culture»
- Surveillance should verify presence of a «Just Culture»
- Classification must be entered using the future «European Risk Classification Scheme»



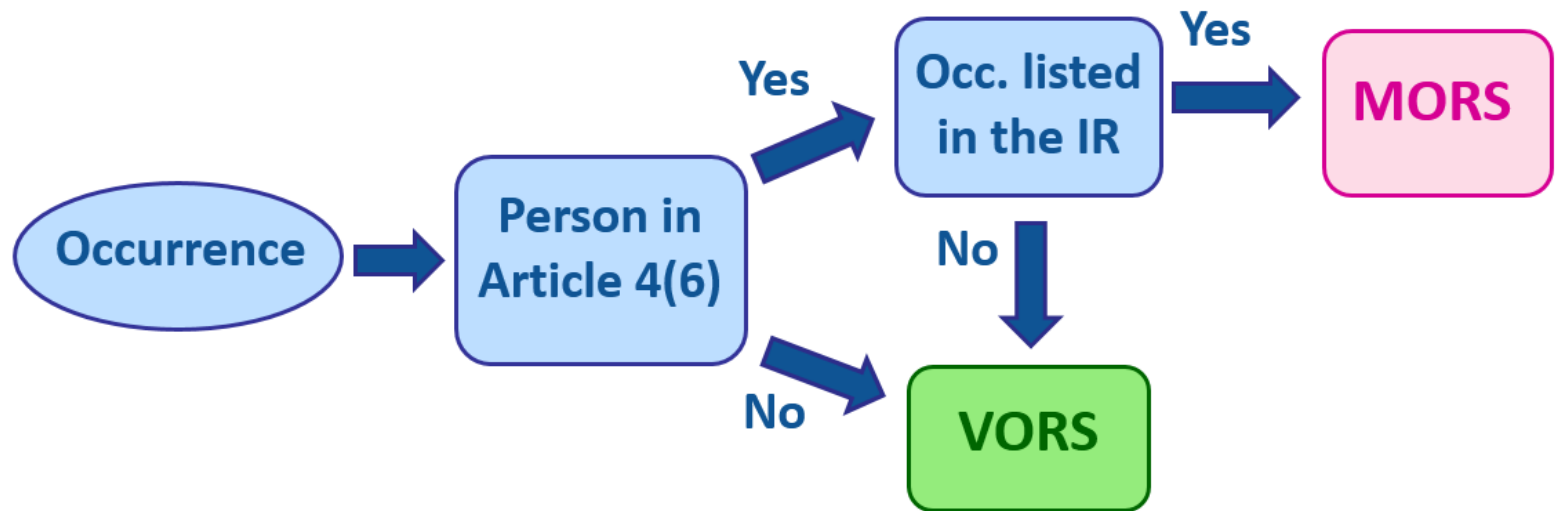
# Analysis...

Regulation (EU) 376/2014 on the reporting, **analysis** and follow up of occurrences in civil aviation requires analysis to take place at various levels

- Organisational Level for SMS
- State Level for State Safety Plans
- European Level (ECR) through the Network of Analysts for the EASp



# Mandatory and Voluntary Reporting

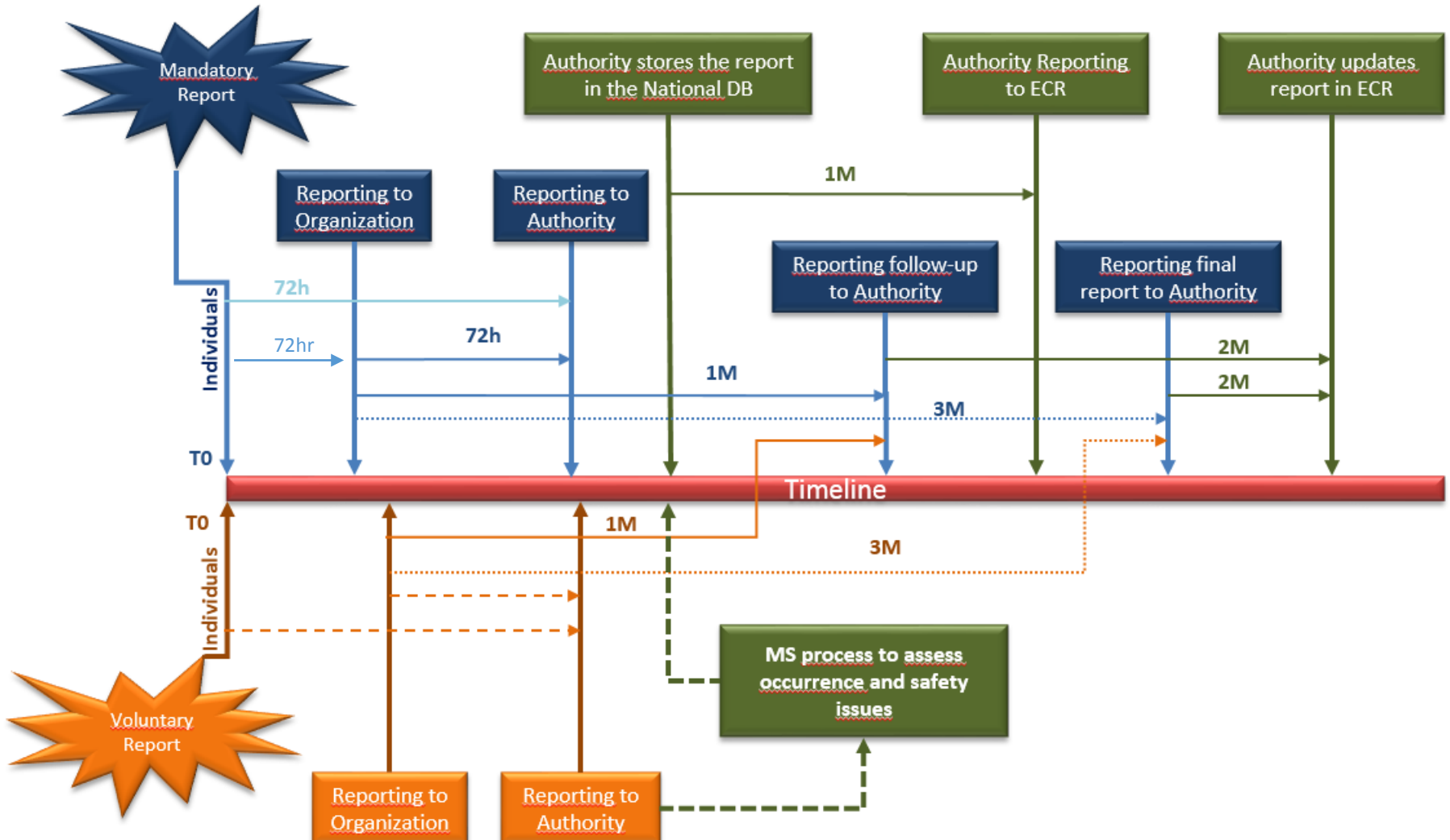


Source: EASA





# REPORTING AND INFORMATION FLOW - TIMELINE





# Information Flow (initial notification)

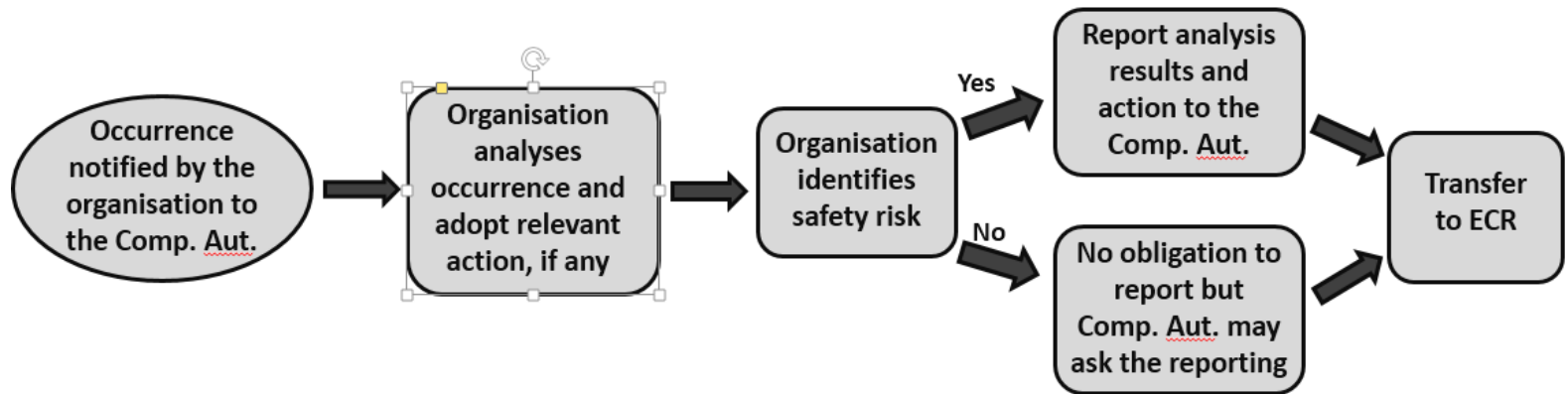


*\*Note: for the purpose of simplification, the scheme indicates that the reporting by individuals is made to the organisation while it is recognised by the Regulation that individuals may report directly to the competent authority.*

Source: EASA



# Information flow (analysis and follow-up notification)



*\*Note: for the purpose of simplification, the scheme only addresses the reporting through organisations while the competent authority may receive occurrences directly from individuals.*

Source: EASA



# What is «ECCAIRS» ?

ECCAIRS stands for European Coordination Centre for Accident and Incident Reporting Systems

It is a database tool, developed and provided by the European Union to facilitate the implementation of aviation occurrence reporting systems across Europe.

The screenshot shows the ECCAIRS reporting form with several sections and annotations:

- Administrative data:** Points to the 'Headline' and 'Reporting' fields.
- Where:** Points to the 'State/area of occurrence' and 'Location of occ' fields.
- When:** Points to the 'Local date' and 'UTC date' fields.
- General Weather Conditions:** Points to the 'Weather conditions' and 'Light conditions' fields.
- Severity:** Points to the 'Injury level' and 'Third party damage' fields.
- Events & Phases:** Points to the 'Events' section, which contains a list of events including 'An aircraft collision with the terrain, during Missed approach or go-around. (Occurrence)' and 'Aircraft fire, during Post-impact. (Occurrence)'.
- Narrative:** Points to the 'Narrative' section, which contains a text area for the incident description.

The form includes the following fields and values:

- Headline:** IL76 crash Timor - Leste
- Reporting:** Australia (ATSB)
- Report identification:** [Empty]
- State reporting:** Australia
- State file number:** BO/20030263
- State/area of occurrence:** Timor-Leste
- Location of occ:** Bacau
- Local date:** 2001/01/31 21:00 PM
- UTC date:** 2001/01/31 06:26:00 AM
- Injury level:** Fatal
- Third party damage:** Yes
- Damage aircraft:** Destroyed
- Occurrence class:** Accident
- Weather conditions:** IMC
- Light conditions:** Daylight

The **Events** section contains the following text:

An aircraft collision with the terrain, during Missed approach or go-around. (Occurrence)

Aircraft fire, during Post-impact. (Occurrence)

The **Narrative** section contains the following text:

Arial Narrow 8

The aircraft impacted the ground during an approach to runway 14 at Cakung Airport, Baucau, Timor Leste. The impact site was about 2 km to the north-northwest of the airport. Impact forces and post-impact fire destroyed the aircraft, and the six occupants were fatally injured.

The aircraft was operating an international non-scheduled cargo flight from Macau International Airport, Macau, to Cakung Airport, Baucau, Timor Leste, carrying about 31 tonnes of telecommunications equipment.



# Compatible Reporting Means

## Off-line report

## On-line report

## Data transfer file (E5X)



Source: EC



# Compatible Reporting Means

- Reduced Interface Taxonomy - Subset of ADREP
  - ✧ We encourage organisations to use the RIT in their systems
  
- E5X Data Transfer Format
  - ✧ EASA working with SMS Software Companies to enable compatibility for their user communities
  - ✧ Support available for organisations through EASA and NAAs
  
- European Portal - On-line and off-line reporting
  - ✧ Standardises and simplifies reporting to competent authority
  - ✧ Reports offered: GA Report, Flight Operations, Aerodrome, ATM, Birdstrike, Dangerous Goods and Technical (Wildlife)

Source: EC



# Mandatory Data Fields

- Organisations and competent authorities databases shall contain the mandatory data fields listed in Annex I
- Mandatory data fields include common data fields as well as fields to be provided only when relevant in the context of the occurrence
- If the information is not known, it may be transmitted with the value “Unknown” or other relevant value (e.g. "Not applicable")

Source: EC



# Just Culture in an Organisation



**Employees** and contracted personnel who report or are mentioned in occurrence reports **shall not be subject to any prejudice by their employer** or by the organisation for which the services are provided **on the basis of the information supplied** by the reporter





# Just Culture in the Context of the State



- MS prevented to institute proceedings on the basis of occurrences unless if national criminal law allows it
- When administrative or disciplinary proceedings instituted, information cannot be used against reporter or other involved



# Two exceptions to protection principle

✧ cases of wilful misconduct

✧ unacceptable behaviour

*i.e. where there has been a manifest, severe and serious disregard of an obvious risk and profound failure of professional responsibility to take such care as is evidently required in the circumstances, causing foreseeable damage to a person or property, or which seriously compromises the level of aviation safety*



# Designation of a «Body» (Just Culture)

- Article 16(12) requires the Member State to designate a body responsible for implementation of Article 16 (6), (9) and (11)
- MS have full flexibility to decide which entity shall be entrusted with this role






# Next Steps

- Legal adoption by due process
- FOCA assistance to Top Reporting Organisations (TRO) to establish databridge solutions
- Establish portal for data transfers (EU or FOCA)
- Identify need for additional guidance material (if any)
- Update FOCA «reporting» website as appropriate
- Communication / Promotion / Training



# FOCA Internet .... more to come



Schweizerische Eidgenossenschaft  
Confédération suisse  
Confederazione Svizzera  
Confederaziun svizra

Bundesamt für Zivilluftfahrt BAZL  
Portal für Fachleute

-- Bitte wählen --

Luftfahrzeuge

Flugverkehr

Flugplätze

Ausbildung und Lizenzen

Regulation und Grundlagen

Das BAZL

Luftfahrzeugregister

Lufttüchtigkeitsanweisungen (LTA)

Entwicklung, Herstellung & Baumuster

Lufttüchtigkeit Flugmaterial

Instandhaltung an Luftfahrzeugen

CAMO

Technische Mitteilungen

Luftfahrzeugbuch

Lärmzertifizierung von Luftfahrzeugen

Schadstoffzertifizierung von Luftfahrzeugen

Lärmabhängige Landegebühen

Schadstoffabhängige Landegebühen

Sicherheits-Management-Systeme

Meldewesen

Einführung neue Meldeverordnung EU 376/2014

Obligatorisches Meldewesen

Startseite > Luftfahrzeuge > Meldewesen > Einführung neue Mel...  
[Diese Seite drucken](#)

## Neue Verordnung (EU) 376/2014 zur Meldung, Analyse und Weiterverfolgung von Ereignissen in der Zivilluftfahrt

Die Europäische Kommission hat die Richtlinie 2003/42/EG des europäischen Parlaments und des Rates vom 13. Juni 2003 über die Meldung von Ereignissen in der Zivilluftfahrt revidiert. Die neue Verordnung (EU) Nr. 376/2014 wird am 15. November 2015 in anwendbar. Der Zeitpunkt der Einführung in der Schweiz ist abhängig von der Übernahme durch den Gemischten Ausschuss. Die Anwendbarkeit in der Schweiz erfolgt voraussichtlich im Frühling 2016.

Der Geltungsbereich der neuen Verordnung wurde angepasst. Folgende Neuerungen gilt es unter anderem zu beachten:

- Meldepflichtig sind neu alle Teilnehmer der Luftfahrt.
- Die Meldekanäle werden standardisiert.
- Die Ereignisse sollen von den Stakeholder-Organisationen analysiert und klassifiziert werden, zudem müssen entsprechende Korrekturmaßnahmen ergriffen werden. Die Resultate sind der Behörde zu melden.
- Der Aufbau eines freiwilligen Meldewesens („Voluntary Reporting“) innerhalb der Organisationen wird formalisiert.

Schweizer Luftfahrtunternehmen werden möglicherweise Anpassungen im Bereich der Meldungen und deren Analyse vornehmen müssen. Das BAZL wird die Industrie bei der Einführung und Umsetzung der neuen Verordnung unterstützen, unter anderem durch Beratungen zur Erfassung und Analyse von Vorfällen, Publikation von nationalem Guidance Material und die Organisation eines Workshops.

### Workshop zur EU-Verordnung 376/2014

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**Workshop vom 10. September 2015**  
■  [Detailprogramm BAZL-Workshop R376/2014](#)  
12.08.2015 | 95 kb | PDF

**Informationsmaterial und Dokumente**  
■  [REGULATION \(EU\) No 376/2014](#)  
OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 3 April 2014 on the reporting, analysis and follow-up of occurrences in civil aviation  
30.07.2015 | 466 kb | PDF  
■  [COMMISSION IMPLEMENTING REGULATION \(EU\) 2015/1018](#)  
of 29 June 2015, laying down a list classifying occurrences in civil aviation to be mandatorily reported according to Regulation (EU) No 376/2014 of the European Parliament and of the Council  
30.07.2015 | 384 kb | PDF  
■  [Guidance Material 376-2014 final draft](#)  
(26/06/2015)

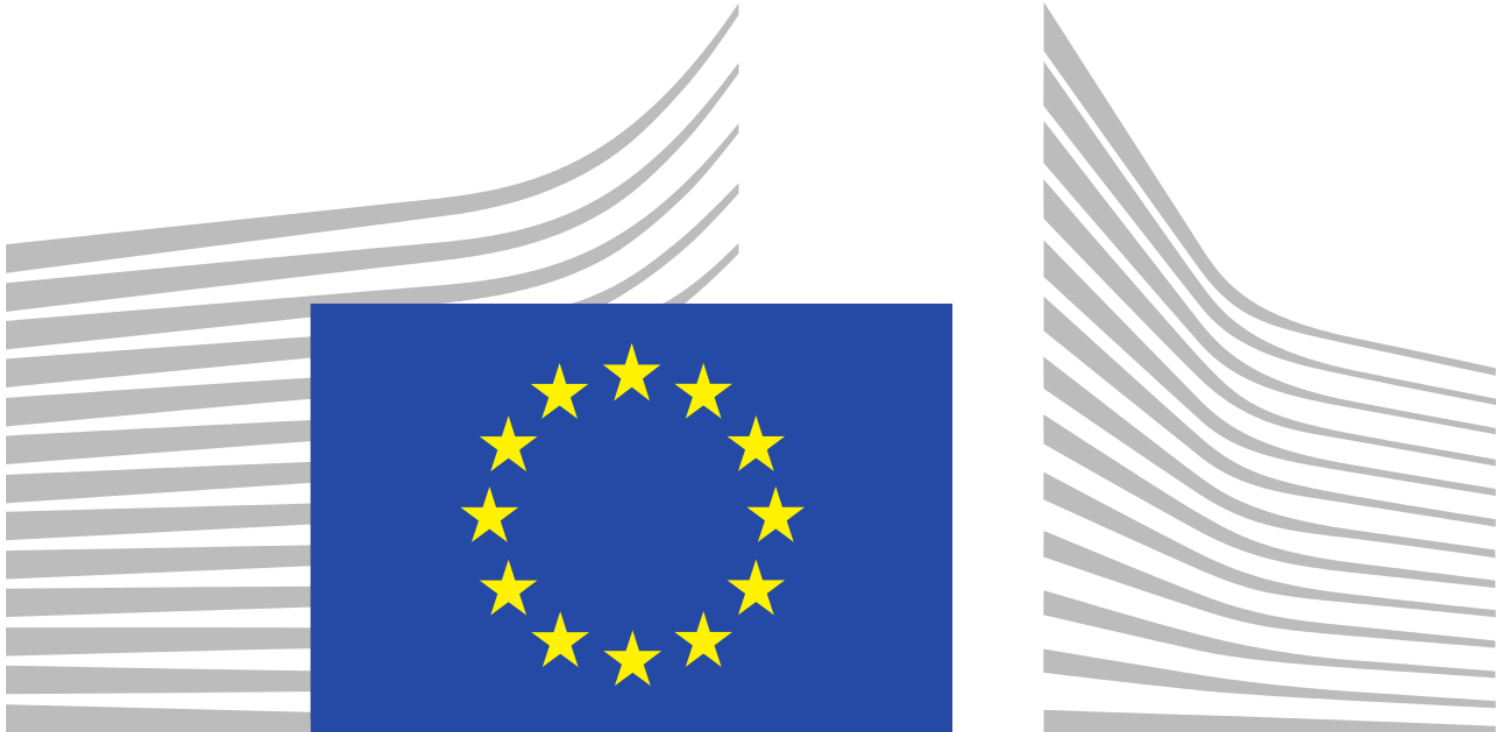


**Please be seated by 10:40 !!**





# Questions & Answers



**European  
Commission**



Mrs. Delphine MICHEAUX NAUDET  
Aviation Safety Policy Officer



# Questions & Answers







# Final Thought....



Occurrence Reporting is not new!

EC 376 fosters more effective usage of existing  
(Safety) Management Systems

Swiss aviation safety culture is already  
good...this is an opportunity to get even  
better!