



UK Regulation (EU) No 376/2014 Compliance Checklist (Issue 2)

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Regulation Reference	Guidance	Expo / Proc.	Comments
Art 4.1 Classification of Mandatory Occurrences	Awareness and availability of the list classifying mandatory occurrences - IR 2015/1018		
Art 4.2 Mandatory Reporting System	Organisations shall establish a mandatory reporting system to facilitate the collection of details of occurrences.		
Art 4.7 Reporting within 72 hours - individual	Persons shall report occurrences within 72 hours of becoming aware of the occurrence, unless exceptional circumstances prevent this.		
Art 4.8 Reporting within 72 hours - organisation	Following notification of an occurrence, organisations shall report to the CAA the details of occurrences collected as soon as possible and in any event no later than 72 hours after becoming aware of the occurrence.		
Art 5.1 Voluntary Reporting System	Organisations shall establish a voluntary reporting system to facilitate the collection of: (a) details of occurrences that may not be captured by the mandatory reporting system; (b) other safety-related information which is perceived by the reporter as		

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	<p>an actual or potential hazard to aviation safety.</p> <p>Art 5.8 Information received from voluntary and mandatory reporting may be integrated into a single system.</p>		
Regulation Reference	Guidance	Expo / Proc.	Comments
Art 5.6 Submitting Voluntary Reports to the CAA	<p>Organisations shall, in a timely manner, report to the CAA the details of occurrences and other safety-related information which have been collected and which may involve an actual or potential aviation safety risk.</p> <p>Information received from voluntary and mandatory reporting may be integrated into a single system.</p>		
Art 6.1 Independence of Occurrence processing	<p>Organisations shall designate one or more persons to independently handle the collection, evaluation, processing, analysis and storage of details of occurrences reported. The handling of the reports shall be done with a view to preventing the use of information for purposes other than safety, and shall appropriately safeguard the confidentiality of the identity of the reporter and of the persons mentioned in occurrence reports, with a view to promoting a 'just culture'.</p>		

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Art 6.5 Occurrence Database	Organisations shall store occurrence reports in one or more databases.		
Art 7.1 Common mandatory data fields	When entering information on every occurrence mandatorily reported and, to the best extent possible, every occurrence voluntarily reported, organisations must ensure that occurrence reports in their database contain at least the information in Annex I to EC 376/2014		
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Art 7.2 Safety risk classification	Occurrence reports shall include a safety risk classification for the occurrence concerned. Note. The organisation can use any risk classification but the CAA will subsequently classify it using the 'common European risk classification scheme'.		
Art 7.3 & 4 Data format and quality	Organisations shall establish data quality checking processes to improve data consistency. To enable efficient information exchange reports sent to the CAA should be compatible with ECCAIRS, either by using the CAA online system or through their database being capable of producing an appropriate ECCAIRS format report.		

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Art 13.1 Occurrence Analysis	Organisations shall develop a process to analyse occurrences in order to identify the associated safety hazards. Based on that analysis, each organisation shall determine any appropriate corrective or preventive action, required to improve aviation safety.		
Art 13.2 Safety action monitoring	When an organisation identifies corrective or preventive action to address actual or potential aviation safety deficiencies, it shall implement that action in a timely manner and establish a process to monitor the implementation and effectiveness of the action.		
Regulation Reference	Guidance	Expo / Proc.	Comments
Art 13.3 Safety action feedback	Organisations shall regularly provide its employees and contracted personnel with information concerning the analysis and follow-up of occurrences for which preventive or corrective action is taken.		
Art 13.4 Updates of analysis results	Where an organisation identifies an actual or potential aviation safety risk as a result of its analysis of occurrences or group of occurrences, it shall transmit to the CAA the preliminary results of the analysis and any action to be taken		

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	<p>within 30 days from the date of notification of the occurrence by the reporter.</p> <p>The organisation shall report the final results of the analysis, where required, as soon as they are available and, in principle, no later than 3 months from the date of notification of the occurrence.</p>		
Art 15.1 Confidentiality	Organisations, in accordance with their national law, shall take the necessary measures to ensure the appropriate confidentiality of the details of occurrences.		

Regulation Reference	Guidance	Expo / Proc.	Comments
Art 15.2 Use of Occurrence information	Information derived from occurrence reports shall be used only for the purpose for which it has been collected. Organisations shall not make available or use the information on occurrences to attribute blame or liability, or for any purpose other than the maintenance or improvement of aviation safety.		

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Art 16.2 Personal details	<p>Organisations shall ensure that personal details are made available within the organisation only where absolutely necessary in order to investigate occurrences with a view to enhancing aviation safety.</p>		
Art 16.11 Just Culture	<p>Organisations shall, after consulting its staff representatives, adopt internal rules describing how 'just culture' principles are guaranteed and implemented within that organisation. In particular, employees and contracted personnel who report or are mentioned in occurrence reports shall not be subject to any prejudice. See Art 2.12 definition of Just Culture.</p>		