**COMPLIANCE MATRIX**

**UK Regulation (EU) No 376/2014**

**The reporting, analysis and follow-up of occurrences in civil aviation**

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| **Service Provider** |  | | |
| **Matrix version number** |  | Date |  |

Complete all relevant sections and send the compliance matrix and supporting documents to [ansp.certification@caa.co.uk](mailto:ansp.certification@caa.co.uk)

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| **Amendment record** | | |
| **Issue** | **Date** | **Purpose** |
| 3 | November 2021 | Amended by Statutory Instrument 2018/645 |
| 4 | September 2022 | Changed UK Guidance Material to UK Guidance Notes (UK GN). Removed Typo |
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Introduction to Compliance Matrix, Mandatory Occurrence Reporting and Just Culture Requirements of Regulation (EU) No 376/2014 as retained (and amended in UK domestic law) under the European Union (Withdrawal) Act 2018

This Compliance Matrix contains all the regulation 376 requirements applicable to ANSPs.

Completing this Compliance Matrix will indicate that your management system fully meets the requirements of the regulation.

This Compliance Matrix is to be maintained and amended when changes are made to the supporting documents.

All supporting documents and their current issue status are to be entered into the table below.

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| **Index** | **Title of Document** | **Current Issue No.** | **Date of Issue** |
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**How to complete this Compliance Matrix**

The Matrix is laid out in the format shown in the example below.

The first column lists the regulation.

The second column provides a very brief description of the requirements.

The third column provides a link to the actual regulation so full details of the requirement can be viewed as shown below. After viewing the regulation clicking on the ‘return link’ will bring you back to where you were in the compliance matrix. The third column also provides links to Compliance Matrix Guidance Notes (CM GN) where applicable.

The original UK regulation (EU) No 376/2014 document can be accessed via this link [Occurrence Reporting | Civil Aviation Authority (caa.co.uk)](https://info.caa.co.uk/uk-regulations/occurrence-reporting/)

Under each requirement a space is provided to enable you to indicate in which of your organisation’s documents compliance is demonstrated and the location within those documents.

Unless specifically asked for, statements of compliance are not required within the compliance matrix.

Where your organisation is not yet compliant with a requirement enter ‘UNDER DEVELOPMENT’ followed by a target date for completion. The target date should be no more than three months from the date of submission of this compliance matrix.

Complete all relevant sections and send the compliance matrix and supporting documents to [ansp.certification@caa.co.uk](mailto:ansp.certification@caa.co.uk).

**Example of compliance matrix**

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| **The Regulation** | **Requirements for all ANSPs** | **Link** |
| **Art 4.2 Mandatory Reporting System** | Provide a reference that indicates that your organisation’s management system has establish a mandatory reporting system to facilitate the collection of details of occurrences. | [376](#ART_4_2) |
| CM GN |
| **Enter precise reference(s) where compliance is indicated** | SMS, Section 5, Occurrence reporting, Paragraph 12 |  |

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| **Article 4.2 Mandatory reporting**  2.Each organisation established in a Member State shall establish a mandatory reporting system to facilitate the collection of details of occurrences referred to in paragraph 1. | [Return Link 4.2](#RETURN_4_2) |
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| **UK GUIDANCE NOTES providing guidance on compliance with Article 4.2**  The mandatory occurrence reporting process must detail how a staff member can raise an occurrence report. This may be by using an ‘on line’ tool or by paper. Indicate who the report is submitted to. | [Return Link 4.2](#RETURN_4_2) |

**COMPLIANCE MATRIX**

**UK Regulation (EU) No 376/2014**

**Mandatory Occurrence Reporting and Just Culture Requirements**

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| **The Regulation** | **Requirements for all ANSPs** | **Link** |
| **Art 4.1 Classification of Mandatory Occurrences** | Provide a reference that indicates that your organisation’s management system ensures the awareness and availability of the list classifying occurrences which may represent a significant risk to aviation safety, and which fall into the categories detailed in Annex 4.1 and the more detailed list classifying occurrences to be mandatory reported in the associated IR 2015/1018. | [376](#ART_4_1) |
| [CM GN](#GM_4_1) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 4.2 Mandatory Reporting System** | Provide a reference that indicates that your organisation’s management system has established a mandatory reporting system to facilitate the collection of details of occurrences. | [376](#ART_4_2) |
| [CM GN](#GM_4_2) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 4.7 Reporting within 72 hours - individual** | Provide a reference that indicates that your organisation’s management system ensures that relevant staff are aware of the need to report occurrences within 72 hours of becoming aware of the occurrence, unless exceptional circumstances prevent this. | [376](#ART_4_7) |
| [CM GN](#GM_4_7) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 4.8 Reporting within 72 hours - organisation** | Provide a reference that indicates that your organisation’s management system ensures that, following notification of an occurrence report, the details of occurrences collected are sent to the CAA as soon as possible, and in any event no later than 72 hours after becoming aware of the occurrence. | [376](#ART_4_8) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 5.1 Voluntary Reporting System** | Provide a reference that demonstrates that your organisation’s management system has established a voluntary reporting system to facilitate the collection of:  Details of occurrences that may not be captured by the mandatory reporting system and;  Other safety-related information which is perceived by the reporter as an actual or potential hazard to aviation safety. | [376](#ART_5_1) |
| [CM GN](#GM_5_1) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 5.6 Submitting Voluntary Reports to the CAA** | Provide a reference that indicates that your organisation’s management system has established a process to report to the CAA, in a timely manner, the details of occurrences and other safety-related information which have been collected which may involve an actual or potential aviation safety risk. | [376](#ART_5_6) |
| [CM GN](#GM_5_6) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 6.1 Independence of Occurrence processing** | Provide a reference that demonstrates that your organisation’s management system has designated one or more persons to handle independently the collection, evaluation, processing, analysis and storage of details of occurrences reported and which ensures that 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’. | [376](#GM_6_1) |
| [CM GN](#GM_6_1) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 6.5 Occurrence Database** | Provide a reference which details of how your organisation stores and records occurrence reports. This may be in one or more databases.  . | [376](#ART_6_5) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 7.1 Common mandatory data fields** | Provide a reference which details of how your organisation ensures that occurrence reports contain at least the information listed in Annex I. | [376](#ART_7_1) |
| [CM GN](#GM_7_1) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 7.2 Safety risk classification** | Provide a reference which details of how your organisation ensures that occurrence reports include a safety risk classification for the occurrence concerned. | [376](#ART_7_2) |
| [CM GN](#GM_7_2) |
| **Enter precise reference(s) where compliance is indicated** |  |  |

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| **Art 7.3 & 4 Data format and quality** | Provide a reference which details of how your organisation has establish a data quality checking processes to improve data consistency, notably between the information collected initially and the report stored in the database. | [376](#ART_7_3) |
| [CM GN](#GM_7_3) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 13.1 Occurrence Analysis** | Provide a reference which details of how your organisation has established a process to analyse reported occurrences in order to identify the safety hazards associated with identified occurrences or groups of occurrences. | [376](#ART_13_1) |
| [CM GN](#GM_13_1) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 13.2 Safety action monitoring** | Provide a reference which details of how your organisation has established a process which identifies any appropriate corrective or preventive action required to address actual or potential aviation safety deficiencies and how it shall:  Implement that action in a timely manner; and  Establish a process to monitor the implementation and effectiveness of the action. | [376](#ART_13_2) |
| [UK GN](#GM_13_2) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 13.3 Safety action feedback** | Provide a reference which details of how your organisation has established a process to regularly provide its employees and contracted personnel with information concerning the analysis of, and follow-up on, occurrences for which preventive or corrective action is taken. | [376](#ART_13_3) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 13.4 Updates of analysis results** | Provide a reference which details of how your organisation has established a process such that when it identifies an actual or potential aviation safety risk, as a result of its analysis of occurrences or group of occurrences, it transmits to the CAA the preliminary results of the analysis and any action to be taken within 30 days from the date of notification of the occurrence by the reporter, and how it reports 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. | [376](#ART_13_4) |
| [CM GN](#GM_13_4) |
| **Enter precise reference(s) where compliance is indicated** |  |  |

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| **Art 15.1 Confidentiality** | Provide a reference which details of how your organisation takes the necessary measures to ensure the appropriate confidentiality of the details of occurrences | [376](#ART_15_1) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 15.2 Use of Occurrence information** | Provide a reference which details of how your organisation takes the necessary measures to ensure that information derived from occurrence reports shall be used only for the purpose for which it has been collected and that such information is not make available or use the information on occurrences:  (a) in order to attribute blame or liability; or  (b) for any purpose other than the maintenance or improvement of aviation safety. | [376](#ART_15_2) |
| [CM GN](#GM_15_2) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 16.2 Personal details** | Provide a reference which details of how your organisation ensures 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. | [376](#ART_16_2) |
| **Enter precise reference(s) where compliance is indicated** |  |  |
| **Art 16.11 Just Culture** | Provide a reference which details of how your organisation, after consulting its staff representatives, adopts internal rules describing how ‘just culture’ principles are guaranteed and implemented within that organisation. In particular, employees and contracted personnel who report or who are mentioned in occurrence reports shall not be subject to any prejudice.  See Art 2.12 definition of Just Culture. | [376](#ART_16_11) |
| [CM GN](#GM_16_11) |
| **Enter precise reference(s) where compliance is indicated** |  |  |

**The UK (EU) Regulations and the UK Guidance Notes**

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| **Article 4.1 Mandatory reporting**  1.Occurrences which may represent a significant risk to aviation safety, and which fall into the following categories shall be reported by the persons listed in paragraph 6 through the mandatory occurrence reporting systems pursuant to this Article:  (a) occurrences related to the operation of the aircraft, such as:  (i) collision-related occurrences.  (ii) take-off and landing-related occurrences.  (iii) fuel-related occurrences.  (iv) in-flight occurrences.  (v) communication-related occurrences.  (vi) occurrences related to injury, emergencies and other critical situations.  (vii) crew incapacitation and other crew-related occurrences.  (viii) meteorological conditions or security-related occurrences.  (b) occurrences related to technical conditions, maintenance and repair of aircraft, such as:  (i) structural defects.  (ii) system malfunctions.  (iii) maintenance and repair problems.  (iv) propulsion problems (including engines, propellers and rotor systems) and auxiliary power unit problems.  (c) occurrences related to air navigation services and facilities, such as:  (i) collisions, near collisions or potential for collisions.  (ii) specific occurrences of air traffic management and air navigation services (ATM/ANS). (iii) ATM/ANS operational occurrences. | [Return Link 4.1](#RETURN_4_1) |
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| **CM GUIDANCE NOTES providing guidance on Article 4.1 Mandatory Reporting**  Although not referred to in UK (EU) Regulation 376 itself, 2015/1018 was issued later and refers to regulation 376. This regulation provides a much more detailed list of those occurrences that must be reported. ANSPs should pay attention to ANNEX III ‘OCCURRENCES RELATED TO AIR NAVIGATION SERVICES AND FACILITIES’ and ANNEX IV ‘OCCURRENCES RELATED TO AERODROMES AND GROUND SERVICES’. You must make sure that all relevant staff are aware of this regulation and the lists contained therein. | [Return Link 4.1](#RETURN_4_1) |

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| **Article 4.2 Mandatory reporting**  2.Each organisation established in The United Kingdom shall establish a mandatory reporting system to facilitate the collection of details of occurrences referred to in paragraph 1.  Amended by Statutory Instrument 2019/645 | [Return Link 4.2](#RETURN_4_2) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 4.2**  The mandatory occurrence reporting process must detail how a staff member can raise an occurrence report. This may be by using an ‘online’ tool or by paper. Indicate who the report is submitted to. | [Return Link 4.2](#RETURN_4_2) |
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| **Article 4.7 Mandatory reporting** **- individual**  The persons listed in paragraph 6 shall report occurrences within 72 hours of becoming aware of the occurrence, unless exceptional circumstances prevent this. | [Return Link 4.7](#RETURN_4_7) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 4.7**  The relevant staff members are those referred to in paragraph 4.6 of the regulation. For ANSPs the following are relevant:  *(d) a person who performs a function which requires him or her to be authorised by the CAA as a staff member of an air traffic service provider entrusted with responsibilities related to air navigation services or as a flight information service officer.*  *(f) a person who performs a function connected with the installation, modification, maintenance, repair, overhaul, flight-checking or inspection of air navigation facilities for which a Member State ensures the oversight*. | [Return Link 4.7](#RETURN_4_7) |

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| **Article 4.8 Mandatory reporting ­- Organisation**  Following notification of an occurrence, any organisation established in the United Kingdom shall report to the CAA, as referred to in Article 6(3), the details of occurrences collected in accordance with paragraph 2 of this Article as soon as possible, and in any event no later than 72 hours after becoming aware of the occurrence.  Amended by Statutory Instrument 2019/645 | [Return Link 4.8](#RETURN_4_8) | |
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| **Article 5.1 Voluntary reporting**  Each organisation established in The United Kingdom 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 an actual or potential hazard to aviation safety.  Amended by Statutory Instrument 2019/645 | [Return Link 5.1](#RETURN_5_1) | |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 5.1**  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 an actual or potential hazard to aviation safety.  NOTE: Art 5.8 Information received from voluntary and mandatory reporting may be integrated into a single system. | [Return Link 5.1](#RETURN_5_1) | |
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| **Art 5.6 Submitting Voluntary Reports to the CAA**  6.Each organisation established in the United Kingdom shall, in a timely manner, report to the CAA the details of occurrences and other safety-related information which have been collected pursuant to paragraph 1 of this Article and which may involve an actual or potential aviation safety risk. The CAA may require any organisation established in the United Kingdom to report the details of all occurrences collected pursuant to paragraph 1 of this Article.  Amended by Statutory Instrument 2019/645 | [Return Link 5.6](#RETURN_5_6) |

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| **CM GUIDANCE NOTES providing guidance on compliance with Article 5.6**  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.  Information received from voluntary and mandatory reporting may be integrated into a single system. | [Return Link 5.6](#RETURN_5_6) | |
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| **Art 6.1 Independence of Occurrence processing**  1.Each organisation established in The United Kingdom shall designate one or more persons to handle independently the collection, evaluation, processing, analysis and storage of details of occurrences reported pursuant to Articles 4 and 5. 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’.  Amended by Statutory Instrument 2019/645 | [Return Link 6.1](#RETURN_6_1) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 6.1**  Be sure that all reports are handled with confidentiality and only used for their intended purpose. Consider the requirements of the General data protection regulation. | [Return Link 6.1](#RETURN_6_1) | |
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| **Art 6.5 Occurrence Database** **Art 7.1 Common mandatory data fields**  Organisations shall store occurrence reports drawn up on the basis of details of occurrences collected in accordance with Articles 4 and 5 in one or more databases. | [Return Link 6.5](#RETURN_6_5) | |
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| **7.1 Common mandatory data fields**  1.Occurrence reports referred to in Article 6 shall contain at least the information listed in Annex I. | [Return Link 7.1](#RETURN_7_1) |

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| **CM GUIDANCE NOTES providing guidance on compliance with Article 7.1**  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 376/2014. | [Return Link 7.1](#RETURN_7_1) | |
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| **Art 7.2 Safety risk classification**  Occurrence reports referred to in paragraphs 5, 6 and 8 of Article 6 shall include a safety risk classification for the occurrence concerned. That classification shall be reviewed and if necessary, amended and shall be endorsed by the competent authority, in accordance with the common European risk classification scheme referred to in paragraph 5 of this Article. | [Return Link 7.2](#RETURN_7_2) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 7.2**  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 re-classify using the ‘common European risk classification scheme’. | [Return Link 7.2](#RETURN_7_2) | |
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| **Art 7.3 & 4 Data format and quality**  3.Organisations shall establish data quality checking processes to improve data consistency, notably between the information collected initially and the report stored in the database.  4.The databases referred to in paragraphs 5 and 6 of Article 6 shall use formats which are:  (a) standardised to facilitate information exchange; and  (b) compatible with the ADREP taxonomy.  Amended by Statutory Instrument 2019/645 | [Return Link 7.3 & 4](#RETURN_7_3) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 7.3 & 4**  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 capable of producing an appropriate ECCAIRS format report. | [Return Link 7.3 & 4](#RETURN_7_3) | |
| **Art 13.1 Occurrence Analysis**  Each organisation shall develop a process to analyse occurrences collected in accordance with Articles 4(2) and 5(1) in order to identify the safety hazards associated with identified occurrences or groups of occurrences. | [Return Link 13.1](#RETURN_13_1) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 13.1**  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. | [Return Link 13.1](#RETURN_13_1) | |
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| **Art 13.2 Safety action monitoring**  2.When, following the analysis referred to in paragraph 1, an organisation identifies any appropriate corrective or preventive action required to address actual or potential aviation safety deficiencies, it shall:  (a) implement that action in a timely manner; and  (b) establish a process to monitor the implementation and effectiveness of the action. | [Return Link 13.2](#RETURN_13_2) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 13.2**  When an organisation identifies corrective or preventive actions 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. | [Return Link 13.2](#RETURN_13_2) | |
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| **Art 13.3 Safety action feedback**  3.Each organisation shall regularly provide its employees and contracted personnel with information concerning the analysis of, and follow-up on, occurrences for which preventive or corrective action is taken. | [Return Link 13.2](#RETURN_13_2) |

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| **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 reported pursuant to Articles 4(8) and 5(6), it shall transmit to the CAA within 30 days from the date of notification of the occurrence by the reporter:  (a) the preliminary results of the analysis performed pursuant to paragraph 1, if any; and  (b) any action to be taken pursuant to paragraph 2.  The organisation shall report the final results of the analysis, where required, as soon as they are available and, in principle, no later than three months from the date of notification of the occurrence.  The CAA may request organisations to transmit to it the preliminary or final results of the analysis of any occurrence of which it has been notified but in relation to which it has received no follow-up or only the preliminary results.  Amended by Statutory Instrument 2019/645 | [Return Link 13.4](#RETURN_13_4) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 13.4**  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 within 30 days from the date of notification of the occurrence by the reporter.  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. | [Return Link 13.4](#RETURN_13_4) | |
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| **Art 15.1 Confidentiality**  1.Organisations, in accordance with national law shall take the necessary measures to ensure the appropriate confidentiality of the details of occurrences received by them pursuant to Articles 4 and 5. Each organisation shall process personal data only to the extent necessary for the purposes of this regulation and without prejudice to data protection legislation within the meaning of section 3(9) of the Data Protection Act 2018.  Amended by Statutory Instrument 2019/645 | [Return Link 15.1](#RETURN_15_1) |

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| **Art 15.2 Use of Occurrence information**  Without prejudice to the provisions relating to the protection of safety information in Articles 12, 14 and 15 of UK (EU) Regulation No 996/2010, 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:  (a) in order to attribute blame or liability; or  (b) for any purpose other than the maintenance or improvement of aviation safety.  Amended by Statutory Instrument 2019/645 | [Return Link 15.2](#RETURN_15_2) |
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| **CM GUIDANCE NOTES providing guidance on compliance with Article 15.2**  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. | [Return Link 15.2](#RETURN_15_2) | |
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| **Art 16.2 Personal details**  2.Each organisation shall ensure that all personal details are made available to staff of that organisation other than persons designated in accordance with Article 6(1) only where absolutely necessary in order to investigate occurrences with a view to enhancing aviation safety.  Disidentified information shall be disseminated within the organisation as appropriate. | [Return Link 16.2](#RETURN_16_2) |
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| **Art 16.11 Just Culture**  2.Each organisation established in the United Kingdom shall ensure that all personal details are made available to staff of that organisation other than persons designated in accordance with Article 6(1) only where absolutely necessary in order to investigate occurrences with a view to enhancing aviation safety.  Disidentified information shall be disseminated within the organisation as appropriate.  Amended by Statutory Instrument 2019/645 | [Return Link 16.11](#RETURN_16_11) |

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| **CM GUIDANCE NOTES providing guidance on compliance with Article 16.11**  Article 2, 12 definition of Just Culture.  just culture’ means a culture in which front-line operators or other persons are not punished for actions, omissions or decisions taken by them that are commensurate with their experience and training, but in which gross negligence, wilful violations and destructive acts are not tolerated. | [Return Link 16.11](#RETURN_16_11) |