



ICAO

International Civil Aviation Organization
North American, Central American and Caribbean Office

First NACC Virtual Meeting on Accident and Incident Investigation

NACC/AIG/1

Final Report

Online, 10 March 2021

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HISTORICAL

ii.1 Place and Date of the Meeting

The First NACC Virtual Meeting on Accident and Incident Investigation (NACC/AIG/1) was convened online on 10 March 2021 from 13:00 to 15:00 hours CDT (19:00 hrs. UTC).

ii.2 Opening Ceremony

Mr. Fernando Camargo, Regional Officer, Technical Assistance of the North American, Central American and Caribbean (NACC) Office of the International Civil Aviation Organization (ICAO) provided opening remarks, welcomed the participants and officially opened the meeting.

ii.3 Officers of the Meeting

Mr. Fernando Camargo, Regional Officer, Technical Assistance of the ICAO NACC Regional Office served as Secretary of the Meeting.

ii.4 Working Languages

The working languages of the Meeting were English and Spanish. The working papers, information papers and draft report of the meeting were available to participants in both languages.

ii.5 Agenda

Agenda Item 1: Adoption of the Provisional Agenda

Agenda Item 2: Review of assistance activities provided in 2020

Agenda Item 3: Strategy to address AIG problems in the NAM/CAR Regions

Agenda Item 4: Accident and incident notifications (see requirements in Annex 13 – Aircraft Accident and Incident Investigation) – European Coordination Centre for Accident and Incident Reporting Systems (ECCAIRS) taxonomy

Agenda Item 5: AIG database as a part of the State’s Safety data collection and processing systems (SDCPS)

Agenda Item 6: Other Business

ii.6 Attendance

The Meeting was attended by 14 States/Territories from the NAM/CAR Regions and 2 International Organizations, totalling 43 delegates as indicated in the list of participants.

ii.7 List of Decisions

Number	Title	Page
1/1	<i>AIG Assistance Strategy Proposal</i>	3-2

ii.8 List of Working and Information Papers and Presentations

WORKING PAPERS

Number	Agenda Item	Title	Date	Prepared and Presented by
WP/01	1	Provisional Agenda	03/03/21	Secretariat
WP/02	3	AIG Assistance	03/03/21	Secretariat

INFORMATION PAPERS

Number	Agenda Item	Title	Date	Prepared and Presented by
IP/01	--	List of Working, Information Papers and Presentations	09/03/21	Secretariat

PRESENTATIONS			
Number	Agenda Item	Title	Presented by
P/01	2 3 4 5 6	First NACC Virtual Meeting on Accident and Incident Investigation (NACC/AIG/1)	Secretariat

Refer to the Meeting web page:

<https://www.icao.int/NACC/Pages/meetings-2021-naccaig1.aspx>

LIST OF PARTICIPANTS

BAHAMAS

1. Delvin Major
2. Symonne Cargill
3. Jaime Nixon
4. Aniskha Crawley
5. Kendall Dorsett
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7. Ewan Tasker

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HONDURAS

25. Mario Cárcamo

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26. José Armado Tercero
27. Francisco Oropeza
28. Carlos Cruz García
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30. Emilio Morgado
31. Enrique Serrano
32. Venancio Ramírez Quiroz
33. Nelson Cortes

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35. Guillermo Guido
36. Ricardo Cano Muñoz

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38. Dillett Davis

UNITED STATES

39. Frank Hilldrup
40. Jevon Jackson

ALTA

41. Virginio Corrieri

COCESNA

42. Eveling Arauz

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Agenda Item 1: Adoption of the Provisional Agenda

1.1 The Secretariat presented WP/01 inviting the Meeting to approve the provisional agenda and referred to IP/01 with the list of associated documentation and presentations.

1.2 The Meeting approved the agenda as presented in the historical section of this report.

Agenda Item 2: Review of assistance activities provided in 2020

2.1 Under WP/02, the Secretariat gave a retrospective of the main assistance activities carried out by the NACC Office in the field of AIG since 2020.

2.2 As the first activity of 2020, a survey was distributed to collect information from States, in order to guide assistance efforts. Unfortunately, less than half of the States responded to the questionnaire, which limited the application of the information received.

2.3 With the lack of actual and relevant information from the States, a decision was made to develop a series of webinars to address one of the weakest points of the accident and incident investigation systems in the NAM/CAR Regions, as indicated in Table 1.

#	Webinar Subject	PQ
1	Procedures – General and Procedure for forwarding ADREP Data Reports	6.435
2	Procedure for the Provision of Information to Victims and Families	6.381
3	Process for investigating the various types of accidents	6.343
4	Procedure for forwarding Preliminary ADREP Reports	6.431
5	Procedure for the completion of the final report and publication of interim statements	6.405
6	Process for the identification and notification of differences in AIG	6.017
7	Questions and Answers (Q & A)	N/A
8	Procedure for the recovery and read-out of the flight recorders	6.361

Table 1 – AIG Webinars Series.

2.4 Figure 1 shows the degree of involvement and participation of States in the activities carried out:

STATES	Survey	Webinar 1st round	Accident Serious Incident data 21/5/2021	Webinar 2nd round 23 & 25/6/2020	Webinar 3rd round 18 & 20/8/2020	Webinar 4th round 22 & 24/9/2020	Webinar 5th round 13 & 15/10/2020	Webinar 6th round 17 & 19/11/2020	Webinar 7th round 16 & 17/12/2020	Webinar 8th round 2 & 4/2/2021
	N	N	N	N	N	N	N	N	N	N
	Y	Y	Y	Y	Y	Y	Y	Y	N	Y
	N	N	N	N	N	N	N	N	N	N
	Y	Y	Y	Y	Y	Y	Y	Y	Y	N
	N	Y	Y	N	N	N	N	N	N	N
	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
	N	Y	N	N	N	N	Y	N	N	N
	N	Y	Y	Y	N	Y	Y	Y	N	Y
	Y	Y	Y	Y	Y	Y	Y	Y	N	Y
	N	Y	N	N	N	N	N	N	Y	N
	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
	N	N	N	N	N	N	N	N	N	N
	Y	N	Y	N	N	Y	Y	N	N	Y
	N	Y	Y	Y	N	Y	Y	N	N	N
	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
	N	N	N	N	N	Y	N	N	N	N
	N	N	N	N	N	N	N	N	Y	N
	N	Y	N	Y	Y	Y	Y	Y	N	Y
	Y	Y	Y	Y	Y	N	Y	Y	Y	N

Figure 1 – Participation of States in AIG activities.

2.5 The Secretariat informed that, per request of some States, specific assistance has been provided, as follows:

- Revision of AIG Procedures – Mexico (partial);
- Revision of the AIG Training Manual – Cuba; and
- Revision of the AIG Procedures Manual – Bahamas (ongoing).

2.6 Another important point related to the assistance was the recollection of occurrences data, made through the spreadsheet sent to all States/Territories. The purpose of this recollection is to produce good and valid safety data for the NAM/CAR Regions. All the data collected is validated by the ICAO Occurrence Validation Study Group (OVSG) and feed the ICAO Safety Report, to be used globally.

2.7 Finally, the Secretariat commented that the main obstacle to the provision of assistance to the States has been the lack of feedback. It has been difficult to plan and conduct any activity without the engagement of the recipients of the assistance. Additionally, there is a lack of support for AIG in many States, preventing some actions to succeed. The Secretariat also commented that the virtual environment is very limiting for the assistance, as in many cases, it is necessary to be side-by-side with the State. Therefore, there has been a heavy workload, but with low results.

2.8 States recognized the efforts made by the NACC Office to assist in the implementation of AIG despite the difficulties brought by the pandemic.

Agenda Item 3: Strategy to address AIG problems in the NAM/CAR Regions

3.1 Under WP/02, the Secretariat presented the strategy proposal to address the issues related to the accident and incident investigation implementation in the NAM/CAR Regions.

3.2 The Secretariat explained that the strategy would be developed under three main streams:

- Building national capacity;
- Building regional cooperation; and
- Establishing a Regional Accident Investigation Organization (RAIO).

3.3 The first stream would consist of the provision of tailored assistance to individual States in order to improve and maintain a minimum level of efficiency in the activities related to accident and incident investigation. That assistance would include:

- The identification of gaps in the State's primary aviation legislation;
- Advice for the construction of legal, regulatory and infrastructure bases that allow the establishment of an independent accident investigation authority; and
- Guidance for the improvement of the operational capacity and capability.

3.4 The second stream would focus on the establishment and consolidation of mechanisms of cooperation (MoC) in the AIG domain, seeking synergy, and fostering mutual support on the development of regulation, procedures, guidance, training opportunities, and the establishment of a regional database of accidents and incidents.

3.5 In the long term, this initiative will assist in the evolution of the MoC to a RAIO (third stream), after all the previous conditions are implemented; i. e. that all States involved have established the appropriate legal framework (that allows the delegation of investigations and accept/empowers foreign RAIO investigators acting in any of its member States), and are ready to allocate, on a continuous basis, the appropriate financial and human resources.

3.6 The Secretariat also stated that a RAIO would be the best approach for CAR States, and that such an organization shall be seen as an operational entity (not an authority), to be charged with the conduction of the investigation process only, not affecting the requirement for each State to establish an independent investigation authority.

3.7 The main difference with the RAIO is that the accident investigation authority may be very simple (with three of four persons only), being in charge of administrative and preventive actions, like: receiving notifications, delegating investigations, approving reports, controlling recommendations, and gathering safety data, and (really important) dealing with the internal approval of annual financial contribution correspondent to the State for the operation of the RAIO.

3.8 For this strategy to be viable, it is necessary that certain prerequisites be met by the States:

- Commitment from the part of the State;
- Designated AIG focal point (preferably a qualified investigator); and
- Permanent full time staff (may be the focal point).

3.9 After the presentation, the Meeting made the following decision:

DECISION	
NACC/AIG/1/1	AIG ASSISTANCE STRATEGY PROPOSAL
<p>What:</p> <p>That, in view of the requirements established for the implementation of the strategy the Secretariat shall present the AIG Assistance Strategy proposal to the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCAs) by 30 April 2021.</p>	<p>Expected impact:</p> <p><input type="checkbox"/> Political / Global</p> <p><input type="checkbox"/> Inter-regional</p> <p><input type="checkbox"/> Economic</p> <p><input type="checkbox"/> Environmental</p> <p><input checked="" type="checkbox"/> Operational/Technical</p>
<p>Why:</p> <p>The efficient implementation of the strategy will require commitment and allocation of resources from the part of the interested States</p>	
<p>When: By 30 April 2021</p>	<p>Status: <input checked="" type="checkbox"/> Valid / <input type="checkbox"/> Superseded / <input type="checkbox"/> Completed</p>
<p>Who: <input type="checkbox"/> States <input checked="" type="checkbox"/> ICAO <input type="checkbox"/> Other:</p>	

Agenda Item 4: Accident and incident notifications (see requirements in Annex 13 – Aircraft Accident and Incident Investigation) – European Coordination Centre for Accident and Incident Reporting Systems (ECCAIRS) taxonomy

4.1 Under P/01, the Meeting was reminded by the Secretariat that the notification of occurrences must be made with a minimum of delay and by the most suitable and quickest means available, as per the requirements of Annex 13.

4.2 In addition, there are correlated obligations, like:

- Acknowledging receipt of the notification (Recommendation 4.9);
- Upon request, provision of any relevant information available regarding the flight crew and the aircraft involved in the accident to the State of Registry (Standard 4.10); and
- Provision to the State of Registry of the details of dangerous goods on board the aircraft (Standard 4.11).

4.3 Therefore, the Meeting was reminded that every State has to have a system to ensure that notifications of accidents and incidents (forwarded within the State or forwarded by other States) are received and processed without delay during office hours as well as out-of-office hours. In other words, States are expected to have the appropriate means to receive and process notifications on a 24-hour basis.

4.4 The Secretariat urged those States that are not in compliance with the aforementioned Annex 13 requirements, to take the necessary actions in order to ensure an appropriate system is put in place to address them.

4.5 In addition, the Secretariat reminded of the importance maintaining all existing contact details for the notification publicly available and up-to-date within the State and internationally, which includes ICAO Headquarters and the NACC Regional Office.

4.6 The Secretariat commented on the important role of the taxonomy in the recollection, analysis and dissemination of safety data, stressing that the ICAO Accident/Incident Data Reporting (ADREP) system is based on the ADREP taxonomy, which is a set of definitions and descriptions used during the gathering and reporting of accident/incident data to ICAO.

4.7 The Meeting was informed that the ADREP taxonomy is available at: <https://www.icao.int/safety/airnavigation/AIG/Pages/ADREP-Taxonomies.aspx>.

Agenda Item 5: AIG database as a part of the State's Safety data collection and processing systems (SDCPS)

5.1 Under P/01, the Meeting was reminded by the Secretariat that States are required to establish and maintain an accident and incident database to facilitate the effective analysis of information on actual or potential safety deficiencies and to determine any preventive actions need.

5.2 The Secretariat also reminded that State authorities responsible for the implementation of the State Safety Programme (SSP) should have access to the aforementioned accident and incident database to support their safety responsibilities.

5.3 Another important point mentioned by the Secretariat was that the database should include air traffic incidents, and that this is usually a finding during the audits.

5.4 Due to the importance of the database for the management of safety within the State, the Secretariat urged those States that are not in compliance with the aforementioned requirements to take the necessary actions to address them as soon as possible.

Agenda Item 6: Other Business

6.1 Honduras commented on the benefits of having regionally standardized accident and incident investigation procedures.

6.2 The Secretariat reminded the Meeting that this would be among the benefits of having an investigation cooperation mechanism (ICM) in the region. It was also commented that Honduras itself is already part of an ICM called GRIAA (that stands for *Gerencia Regional de Investigación de Accidentes de Aviación*, in Spanish), thus it is expected that Central American States will benefit from such a mechanism.

6.3 In the case of the Caribbean States, and in accordance with the assistance strategy planned by the NACC Regional Office, there is a need to build national capacity before the first steps to form an ICM.

6.4 Costa Rica sent in advance an issue to be addressed under this Agenda Item, which would be related to “the possibility of having alternative ways to obtain support from other States in an expeditious manner, the mechanisms that are fast and with the guidance and supervision of ICAO, for acceptable products”.

6.5 The Secretariat informed that, since Costa Rica was not present at the Meeting and it was not possible to contextualize the issue presented, the topic would be addressed in the future.

6.6 El Salvador has also sent in advance question regarding "the reasons for the independence of the AIG and how to establish it". The Secretariat reminded the Meeting that the independence is necessary to avoid interference in the investigation, and such an interference may come not only from aviation authorities, but also from other authorities, like the Police, Courts, etc.

6.7 The Secretariat also explained that such an independence might be achieved by establishing the accident investigation unit under an authority (e.g. a Minister) that is not related to aviation. It was also emphasized that the investigation authority does not need to be a huge organization, but commensurate with the complexity of the State’s aviation system. For that to happen, appropriate primary aviation legislation provisions are necessary.