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AFI PLAN RASG-AFI AIG Project

AIG WORKSHOP -- Doc 9962

Cotonou, Benin

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Guidance material

Manual on Accident and Incident Investigation Policies and Procedures (Doc 9962)

Close resemblance to Doc 9756, Part II,
Procedures and checklists



Doc 9962 -- General

Background to Doc 9962 from AIG/08:

- Developed 5.4.2 recommending States to develop documented policies and procedures;
- Recommended for ICAO to develop guidance in the form of a framework of documented policies and procedures; and
- To be used as a template when developing or reviewing their policies and procedures.



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Doc 9962 -- Definitions

Specific to Manual:

- **Occurrence** - Any accident or incident associated with the operation of an aircraft.
- **Definitions added after AIA amendment to Annex 13 -**
 - Accident investigation authority;
 - Balancing test;
 - Competent authority.



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Introduction

- Policies and procedures for investigations in own State and for participating in other investigations.
- In conformity with international Standards and best practices [[Note - assuming the State's legislation, regulations, policies and procedures are in compliance with ICAO]].
- Manual is binding on investigators and management personnel of the State and on any other government and aviation industry organizations and personnel as well as personnel from participating States.



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State safety programme

- State to establish a State Safety Programme – Annex 19
- First component of SSP is “State safety policy and objectives” and third element is “accident and incident investigation”.
- State establish an AIA which is independent of other State aviation authorities and other entities that could interfere with the conduct or objectivity of investigations.
- Similar principles with Regional Accident and Incident Investigation Organization.



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Legislative requirements

ICAO requirements:

- Convention specifies that State to institute an inquiry into circumstances of an accident.
- Annex 13 contains the SARPs for investigating and State to capture these principles in legislation and regulations.



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Legislative requirements in State

- **General:** State adopted legislation, regulations, policies and procedures; Need for filing of differences or not.
- **Legislation:** (Model Accident Investigation Authority Act)

Summary of legislation which include --

- creation of AIA;
- demonstrate independence;
- provided AIA with responsibilities and authorities;
- authorizes publication of government operating regulations.



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Legislative requirements

- **Regulations:** (Model Aircraft Accident and Incident Investigation Regulations)

Promulgation of regulations may take different forms; regulations need to ensure satisfactory compliance with Annex 13 and guidance material.



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Legislative requirements in State

- **Policy matters and manual amendments:**

- Policy to conduct business according to ICAO SARPs.
- Manual supplement Act and Regulations.
- Staff to monitor amendments to SARPs or documents and ensure State laws, regulations, policies and procedures are updated.
- Staff member to review the manual.



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Investigation objective and independence

- ICAO requirements:

- Annex 13, 3.1 (objective), 3.2 (establish AIA), 5.4 (independence in conduct and authority), 5.4.1 (separate from judicial or administrative proceedings), 5.4.3 (access to evidential material), 5.4.4 (Recomm. Cooperation between AIA and judicial).
- The AIA must be strictly objective and totally impartial. The manual needs to include reference to how this is achieved legislatively (structure of AIA).



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Investigation objective and independence

- Independence:
 - Avoiding conflict of interest by means of independence.
 - The criteria for an AIA to be functionally independent:
 - Functional independence;
 - Autonomous investigation;
 - Unrestricted authority to publish information;
 - Independent funding and staffing; and
 - Critical elements embedded in legislation.



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Investigation objective and independence

- Requirements in State:
 - Requirements should be in legislation/regulations to ensure the independence and objectivity.
- Organizational chart of the AIA
 - Depending on the structure of the AIA it could be complex, streamlined.
 - Ad-hoc investigation commissions are not acceptable.



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Planning and preparation for investigation

- General
- Selection and appointment of investigators
 - Specialized task and undertaken by qualified investigators.
 - Investigators from other States or seconded.
- Investigator training
- Investigator equipment
- Health and safety at an accident site



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Initial notification and response

- General
- Reporting requirements -- as per Annex 13
- Notification procedures
- Response to notifications
- Delegation of investigation (in whole or in part)



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Investigation policies and procedures

- General --- extent of investigation
- Rights, authority and obligations of investigators
 - Unhampered access and control and protection of information.
- Investigation operations
 - Practical procedures of investigating



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Actions at the accident site

- General
 - Liaison with other authorities
 - Initial actions at the accident site
- Rescue operations
- Security at the accident site
- Wreckage in the water



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Organization and management of the investigation

- General – assess the extent of investigation needed
- The investigation management system
 - Team system for larger investigations – examples for team structure
 - Organizational meeting
 - Event checklist in Doc 9756, Part II
- Progress meetings
- Cooperation with the media
- Dealing with families of accident victims



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Organization and management of the investigation

- Securing the records, samples and recordings
- Removal of aircraft wreckage
- Release of aircraft wreckage



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Tests and component examinations

- Laboratory testing of aircraft systems and components
- Practical arrangements
- Notes and test results



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Writing the Final Report and making safety recommendations

- General – make Final Report publically available in reasonable timeframe or release interim statements.
- Group reports --- field notes and factual reports
- Technical review
- Format of the Final Report
- Consultation



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Writing the Final Report and making safety recommendations

- Recipients of the Final Report
- Distribution and publication of Final Reports
- Safety recommendations
- Reopening of an investigation



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Reporting to the ICAO accident/incident data (ADREP) Reporting system

- ADREP preliminary reports
- ADREP accident/incident data reports



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Accident prevention measures

- Safety data collection and processing system
- European co-ordination centre for accident and incident reporting systems (ECCAIRS) database, analysis and sharing of data



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Questions ?

