



International Civil Aviation Organization

Third Meeting of the Asia Pacific Regional Aviation Safety Team (APRAST/3)
(Bangkok, Thailand, 7 – 10 May 2013)

Agenda Item 3: Review RASG APAC/2 and APRAST/2 Conclusions, the work of its subsidiary bodies and related safety initiatives

REPORT ON THE MEETINGS OF THE APRAST-AIG AD-HOC WORKING GROUP

(Presented by the Chairman of the APRAST-AIG AWG)

SUMMARY

The APRAST-AIG AWG has held three meetings since June 2012. The meetings discussed the issues of independence of investigation, investigator training, investigation cooperation, voluntary and non-punitive incident reporting, and accident and incident database.

Key initiatives include the formation of the Asia-Pacific Accident Investigation Group and the implementation of an Asia and Pacific Regions Code of Conduct on Cooperation Relating to Civil Aviation Accident/Incident Investigation, which is a written framework aiming at promoting mutual cooperation in accident/incident investigation.

1. INTRODUCTION

1.1 As a sub-group of the APRAST specialising in accident investigation matters, the APRAST-AIG AWG has the objective of identifying intervention measures in the area of accident investigation systems.

1.2 To date, the APRAST-AIG AWG has convened three meetings. The First Meeting (APRAST-AIG AWG/1) was held in the ICAO APAC Office on 6-8 June 2012. The Second Meeting (APRAST-AIG AWG/2) was held in Macao, China on 6-7 September 2012 in conjunction with Macao CAA's hosting of the ICAO Asia and Pacific Regional Accident Investigation Workshop on 4-5 September 2012. The Third Meeting (APRAST-AIG AWG/3) was held in the ICAO APAC Office on 11-12 March 2013.

1.3 The meetings reviewed the ICAO USOAP deficiency findings in AIG matters in respect of the APAC States/Administrations and discussed the issues of independence of investigation, investigator training, investigation cooperation, voluntary and non-punitive incident reporting, and accident and incident database. This paper presents the key outcomes of the meetings.

2. DISCUSSION

2.1 The APRAST-AIG AWG decided that it should in the initial phase focus on intervention measures that will help States/Administrations address at the strategic level the deficiencies in their accident investigation systems.

2.2 The APRAST-AIG AWG recognised that it is highly desirable for States/Administrations to have: (1) an independent investigation system; (2) an accountable person for AIG matters; and (3) a core group of trained investigators. It can organise assistance for States/Administrations that are eager to address the USOAP deficiency findings.

2.3 Accordingly, the APRAST-AIG AWG initiated, among others, the following two key initiatives, which have the approval of the RASG-APAC:

a) Asia and Pacific Regions Code of Conduct on Cooperation Relating to Civil Aviation Accident/Incident Investigation

The APRAST-AIG AWG has developed an Asia and Pacific Regions Code of Conduct on Cooperation Relating to Civil Aviation Accident/Incident Investigation (CoC) with a view to promoting mutual cooperation in accident/incident investigation in the Asia and Pacific regions. The CoC provides for mutual cooperative support in terms of investigation facilities, equipment, manpower, skills and expertise, and covers also the areas of investigator training, observer attachment, and exchange of information.

This CoC initiative is in line with ICAO's emphasis on regional investigation cooperation. States/Administrations with limited means can still achieve effective and successful investigations with the participation and assistance of other States/Administrations.

The ICAO APAC Office has sent out a State Letter [Ref. T 6/13.9- AP012/13 (FS) dated 25 January 2013] to invite States/Administrations to pledge their support to the CoC. To date, 10 States/Administrations have pledged their support¹.

Although it has been stated that the CoC is not meant to be legally binding, some States/Administrations still have reservation over this. To address this concern, the CoC was reviewed to reduce the use of words that may be perceived as having a legally binding meaning. The ICAO APAC Office has sent out a State Letter [Ref. T 6/13.9- AP054/13 (FS) dated 23 April 2013] to invite comments by 14 June 2013 on a draft revision to the CoC.

b) Asia-Pacific Accident Investigation Group

A significant milestone is the decision made at APRAST-AIG AWG/3 to form the Asia-Pacific Accident Investigation Group (APAC-AIG). This followed the RASG-APAC's approval of a recommendation from APRAST-AIG AWG/1 for the formation of a group of experts on accident/incident investigation with representation from the investigation authorities, industry partners and professional bodies to institutionalise a network for the exchange of views, practices and experiences. All APAC States/Administrations will be members of the APAC-AIG.

The formation of the APAC-AIG is now pending consideration and approval by the Chairman of the RASG-APAC. The APAC-AIG is to be formed by a restructuring of the APRAST-AIG AWG. When the APAC-AIG is formed, the APRAST-AIG AWG will be dissolved. The APAC-AIG will report to the RASG-APAC through the APRAST for its activities and work programme. In

¹ Australia, Bangladesh, Hong Kong China, Indonesia, Maldives, Myanmar, Philippines, Republic of Korea, Singapore and Sri Lanka.

this respect, the Regional Officer, Flight Safety, of the ICAO APAC Office will continue to serve as the Secretary of the APAC-AIG, and the current Chairman and Vice Chairman of the APRAST-AIG AWG will serve as the Chairman and Vice Chairman of the APAC-AIG. The APAC-AIG will aim to meet at least once a year. Meetings may be held at the ICAO APAC Office or hosted by States/Administrations.

In forming the APAC-AIG, the modalities of the APRAST-AIG AWG were reviewed and it is considered that the terms of reference for the APAC-AIG, which are listed below, will adequately cover the work scope of the APRAST-AIG AWG²:

- To assist States/Administrations in keeping abreast of developments in the area of accident/incident investigation
- To enhance the capabilities and professionalism of the accident/incident investigation bodies
- To promote the sharing of expertise, experience and information among accident/incident investigation bodies
- To develop and strengthen cooperation among the accident/incident investigation bodies

The next meeting of the APRAST-AIG AWG (or the First Meeting of the APAC-AIG, if the APAC-AIG is formed) will be held in Indonesia on 18-19 September 2013, in conjunction with the hosting of the ICAO Asia-Pacific Regional Accident Investigation Workshop on 16-17 September 2013 by the National Transportation Safety Committee (NTSC) of Indonesia.

2.4 To facilitate the drawing up of a work programme by the APRAST-AIG AWG, or in its place the APAC-AIG, the ICAO APAC Office has sent out the following State Letters and invited States/ Administrations to provide inputs:

- (a) State Letter of 18 June 2012 [Ref: T 6/13.11.2 – AP086/12 (FS)] on *Survey on Accident/ Incident Investigation Related Matters Arising from the Conclusions of APRAST-AIG AWG/1*
- (b) State Letter of 4 March 2013 [Ref: T 10/8.3 – AP031/13(FS)] on *Survey on Assistance and Training Needs in the Setting Up of an Independent Accident Investigation System*

To date, 16 States/Administrations have responded to the State Letter of 18 June 2012³, and 9 States/ Administrations have responded to the State Letter of 4 March 2013⁴.

² The work scope of the APRAST-AIG AWG is as follows:

- Review and/or prepare policies and procedures that can be used in the region to establish an voluntary incident reporting system as envisioned by Global Safety Initiative 3;
- Review and/or prepare policies and procedures that can be used in the region to establish an accident investigation capability as envisioned by Global Safety Initiative 4;
- Identify areas of concern that may be unique to the region or require emphasis within the region, and develop and/or review policies and procedures to address those concerns;
- Work closely with the APRAST, service providers, airlines, manufacturers, industry and labour associations, and other appropriate organizations to ensure that the policies and procedures are developed through a coordinated effort.

³ Australia, Bangladesh, Brunei Darussalam, Hong Kong China, Macao China, DPR Korea, Japan, Lao PDR, Malaysia, Myanmar, New Zealand, Philippines, Samoa, Singapore, Thailand and French Polynesia

⁴ Bangladesh, DPR Korea, Hong Kong China, Japan, Pakistan, Papua New Guinea, Republic of Korea, Samoa and Singapore

2.5 **Attachment A** is a summary of the AIG-related activities in the current RASG-APAC Standing Work Programme.

3. **ACTION BY THE MEETING**

3.1 The meeting is invited to:

- a) Note the activities of the APRAST-AIG AWG, in particular its initiatives in respect of the Asia and Pacific Regions Code of Conduct on Cooperation Relating to Civil Aviation Accident/Incident Investigation and the proposed formation of the APAC Accident Investigation Group (APAC-AIG);
- b) Remind States/Administrations that have not done so to provide their inputs to the following ICAO APAC Office States Letters:
 - State Letter of 18 June 2012 [Ref: T 6/13.11.2 – AP086/12 (FS)] on *Survey on Accident/ Incident Investigation Related Matters Arising from the Conclusions of APRAST-AIG AWG/1*
 - State Letter of 4 March 2013 [Ref: T 10/8.3 – AP031/13(FS)] on *Survey on Assistance and Training Needs in the Setting Up of an Independent Accident Investigation System*
 - State Letter of 23 April 2013 [Ref: T 6/13.9 – AP054/13(FS)] on *Comments on draft revision to Asia Pacific Regions Code of Conduct on Cooperation Relating to Civil Aviation Accident/Incident Investigation.*
- c) Encourage States/Administrations to attend the ICAO Asia-Pacific Regional Accident Investigation Workshop which will be hosted by the National Transportation Safety Committee (NTSC) of Indonesia on 16-17 September 2013; and
- d) Encourage States/Administrations to attend the next meeting of the APRAST-AIG AWG (or the First Meeting of the APAC-AIG, if the APAC-AIG is formed) which will be held in Indonesia on 18-19 September 2013 in conjunction with NTSC's hosting of the ICAO Asia-Pacific Regional Accident Investigation Workshop on 16-17 September 2013.

— END —

**RASG-APAC Standing Work Programme
Status of AIG-related Activities**

| Ref to RASG-APAC Decision | Ref to APRAST Conclusion | Ref to APRAST-AIG AWG Conclusion | Tasks | Status of follow-up action |
|---------------------------|--------------------------|----------------------------------|--|--|
| 2/3 | 2/5 | 1/4 | <p>The RASG-APAC to emphasise to States/Administrations the desirability of the following:</p> <ul style="list-style-type: none"> • An independent system of accident investigation • The appointment of an accountable person for accident investigation matters • The formation of a core group of personnel to be trained as investigators | <p>These have been conveyed by ICAO APAC Office to States/Administrations in a State Letter (SL) [Ref: T 10/8.3 – AP031/13(FS) dated 4 March 2013].</p> <p>The SL requests States/Administrations to indicate if they need any of the following types of assistance:</p> |
| 2/3 | 2/6 | 1/6 | <p>The RASG-APAC to encourage those States/Administrations which do not yet have an independent investigation system to establish some form of independent investigation system and consider the possible options described by the AIG AWG.</p> <p>(Note: Possible options for an independent investigation system are described in the working paper WP/5 of the APRAST-AIG AWG/1.)</p> | <ul style="list-style-type: none"> (a) Advice on setting up of a new independent investigation agency/system (b) Audit to assess compliance with Annex 13 (c) Review of investigation policies and procedures (d) Accident/incident investigation training (e) Attachment to other investigation agencies |
| 2/3 | 2/8 | 1/7 | <p>The RASG-APAC to encourage States/Administrations to have a dedicated core of one or more trained accident investigators, lest the effort in training go to waste through frequent changes of investigation personnel.</p> | <p>The SL also requests States/Administrations to indicate if they need any of the following training:</p> <ul style="list-style-type: none"> (a) ICAO Annex 13 Requirements (b) Accident Investigation Fundamentals (c) Accident Site Safety (d) Human Factors (e) Flight Recorder Basics |

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| | | | | <p>(f) Crisis Management/Handling the Media (g) ECCAIRS User Training (h) Workshop and Exercises</p> |
| 2/3 | 2/9 | 1/10, 2/1 | <p>The RASG-APAC to implement a written framework, such as a Code of Conduct, aiming at promoting mutual cooperation in accident/incident investigation.</p> <p>The AIG AWG to develop a draft Code of Conduct.</p> | <p>An Asia and Pacific Regions Code of Conduct on Cooperation Relating to Civil Aviation Accident/Incident Investigation (CoC) was developed by the AIG AWG and approved by RASG-APAC/2.</p> <p>ICAO APAC Office sent out an SL to encourage States/Administrations to pledge acceptance to the CoC [Ref: T 6/13.9 – AP012/13(FS) dated 25 January 2013].</p> <p>The CoC was reviewed to reduce the use of words that may be perceived as having a legally binding meaning. ICAO APAC Office sent out an SL to invite comments by 14 June 2013 on a draft revision to the CoC [Ref: T 6/13.9 – AP054/13(FS) dated 23 April 2013].</p> |
| 2/3 | 2/10, 2/11 | 1/11, 2/2 | <p>The RASG-APAC to form a Group of Experts on Accident/Incident Investigation (APAC-ACC) with representation from the investigation authorities, industry partners and professional bodies to institutionalise a network for the exchange of views, practices and experiences. (Note: The APAC-ACC may be formed by a restructuring of the AIG AWG.)</p> <p>The AIG AWG to develop terms of reference for the activities of the APAC-ACC for consideration by the RASG-APAC.</p> | <p>The terms of reference were developed by the AIG AWG and approved by RASG-APAC/2.</p> <p>The APAC-ACC was renamed the APAC Accident Investigation Group (APAC-AIG) at APRAST-AIG AWG/3.</p> <p>The APAC-AIG is to be formed from a restructuring of the AIG AWG. APRAST-AIG AWG's Chairman and Vice Chairman will become APAC-AIG's Chairman and Vice Chairman. When the APAC-AIG is formed, the AIG AWG will be dissolved.</p> |

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| | | | | The formation of the APAC-AIG is pending consideration and approval by the Chairman of the RASG-APAC. |
| 2/3 | 2/12 | 1/12 | The RASG-APAC to encourage States/Administrations to implement a Confidential Aviation Incident Reporting (CAIR) system. | These have been conveyed by ICAO APAC Office to States/Administrations in a State Letter (SL) [Ref: T 10/2.3 – AP043/13(FS) dated 12 April 2013]. |
| 2/3 | 2/13 | 1/14 | The RASG-APAC to encourage States/Administrations interested in setting up a CAIR programme to contact the International Confidential Aviation Safety Systems Group (ICASS) for assistance in designing and implementing new systems. | |
| 2/3 | 2/14 | 1/15 | The RASG-APAC to encourage States/Administrations to use the European Coordination Centre for Aviation Incident Reporting System (ECCAIRS) database software for their accident and incident database. | These will be conveyed by ICAO APAC Office to States/Administrations in an SL. |
| 2/3 | 2/15 | 1/17 | The RASG-APAC to encourage States/Administrations to consider the use of Accident/Incident Data Report (ADREP) compatible systems. | |