



*International Civil Aviation Organization*

**FOURTH MEETING OF THE ASIA PACIFIC ACCIDENT INVESTIGATION GROUP  
(APAC-AIG/4)**

*Tokyo, Japan, 1-2 September 2016*

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**Agenda Item 3: New initiatives to assist States in improving the Effective Implementation rate**

**IMPROVING USOAP AUDIT EFFECTIVE IMPLEMENTATION RATE**

*(Presented by Singapore)*

**SUMMARY**

This paper proposes a suite of training that would assist States/Administrations in improving their USOAP audit Effective Implementation rate.

**1 INTRODUCTION**

1.1 The results of the ICAO audits, using Comprehensive System Approach, under the Universal Safety Oversight Audit Programme (USOAP) show that the Effective Implementation (EI) rate for APAC States in the area of accident investigation (AIG) ranges from zero to almost 97%, with an average of 45.58%. Fifteen States are above the average and 21 States below. This APAC average is below the global average AIG EI rate of 54.89%.

1.2 With the transition of the USOAP to the Continuous Monitoring Approach, the Regional Aviation Safety Group - Asia and Pacific Regions (RASG-APAC) has set a target for APAC States/Administrations to achieve an average AIG EI rate of at least 60% by 2017.

1.3 At its Eighth Meeting on 28 March – 1 April 2016, the Asia Pacific Regional Aviation Safety Team (APRAST) of the RASG-APAC requested the APAC-AIG to identify potential initiatives to help improve accident investigation capabilities and USOAP AIG EI rates of States/Administrations.

**2 DISCUSSION**

2.1 A State might well have believed that it had an investigation system in place (e.g. officers have been identified to take on investigation task when necessary, officers have undergone some form of investigation training) and yet did not meet ICAO's expectations. The reasons could be:

- a) Lack of understanding of the PQs (e.g. not knowing the difference between process, procedure and guideline, or between establishing and promulgating a process)
- b) Lack of documentation of the investigation process

- c) Lack of a training system (including training records system), plans or programmes
- d) Lack of coordination with external agencies
- e) Lack of experience in the day-to-day administration of an accident investigation unit; and
- f) Lack of a systematic compilation of evidence to demonstrate compliance with the PQs.

2.2 In this regard, a suite of training is proposed in **Attachment A**, with a view to addressing these lacks.

### **3 ACTION BY THE MEETING**

3.1 The meeting is invited to:

- a) Support the idea of having a suite of training to assist States/Administrations to improve USOAP audit effective Implementation rate;
- b) Discuss and refine the suite of training proposed in Attachment A;
- c) Recommend that the APRAST consider requesting ICAO APAC Office to initiate such a suite of training to assist States/Administrations to improve USOAP audit Effective Implementation rate; and
- d) Volunteer instructor resource to support the ICAO APAC Office in anticipation of a launch of the training.

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**Proposal for a suite of training to assist States/Administrations to improve USOAP audit  
Effective Implementation rate**

S/N	Area	Training modules
1	PQs	a. Understanding what the PQs are aiming at
2	Documentation of legislation amendment	a. Developing policies and procedures to address PQs' requirements b. Compiling of amendment table b. Amendment process
3	Documentation of the investigation process	a. Filling up and dispatching of notification form to ICAO, State of Registry, State of the Operator, State of Manufacturer, State of Design, etc. b. Appointing investigator-in-charge (IIC) and team members / Drafting of appointment letter c. Drafting of preliminary report d. Organisation of investigation team / Deciding on team set-up e. Conduct of investigation meetings f. Medical and toxicology examinations of persons involved g. Recorder readout process and considerations h. Special examinations (e.g. disassembly, laboratory tests, manufacturer's inspections and tests) i. Developing checklists of information to be gathered from cabin crew members and passengers j. Identifying storage areas for aircraft wreckage k. Formulating safety recommendations l. Consultation process for Draft Final Report / Drafting of transmittal correspondence m. Processing and documenting of comments received / Finalising Final Report n. Dissemination of Final Report / Drafting of transmittal correspondence o. Publication of investigation Final Report p. Tracking responses to safety recommendations q. Review of safety actions taken in response to safety recommendations r. Developing checklists for guiding IIC and investigators through the investigation process (from initial notification to issuance of final report)
4	Training system, plan and programme	a. Training objectives b. Initial, recurrent and on-the-job training plan c. Establishing training needs matrix d. Developing checklists for documenting practical training achievements e. Maintaining training records
5	Investigation manpower	a. Volunteer investigators b. Regional cooperation c. Assistance MOUs

6	Coordination with external agencies	a. Coordination with counterpart agencies – Joint Standing Operation Procedures (SOP), MOUs, etc., with CAA, airport authority, ATC, police, judicial authority, maritime administrations, search and rescue body, military (e.g. air force, navy), etc.
7	Administration of an accident investigation unit	a. Day-to-day running b. Duty officer system c. Immunisation for investigators d. Attachment to established accident investigation unit
8	Showing compliance with PQs' requirements	a. Organisation of evidence and documents needed for the USOAP audit

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