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Webinar – AIG Procedures

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Introductions

- ✈ Turn on the video / Unmute the microphone
- ✈ Tell us:
 - ✈ Your name
 - ✈ Your State
 - ✈ Your position in your organization
- ✈ Turn off the video / Mute the microphone



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Procedure

✈ Procedure means:

- ✈ a set of actions that is the official or accepted way of doing something
- ✈ an order or method of doing something

(Cambridge Dictionary)



Aspects to consider

✈ A procedure is a plan of action for your team

A hand-drawn table with a green border and two orange pushpins at the top. The title 'ACTION PLAN' is written in blue. The table has four columns labeled 'WHO', 'WHAT', 'WHEN', and 'HOW' in orange. The table is currently empty.

ACTION PLAN			
WHO	WHAT	WHEN	HOW



Aspects to consider

✈ A procedure is a plan of action for your team

- ✈ It is a road map that will prevent them from wandering around or getting lost while trying to reach the goal
- ✈ Procedures should be written so that what needs to be done can be easily followed by all users



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Aspects to consider

- ✈ Procedures help you implement a particular policy
 - ✈ Example: when a new standard of Annex 13 becomes effective, you will need to implement it in a consistent way



Aspects to consider

- ✈ Well-defined procedures protect senior management from becoming a micromanager
 - ✈ By using well-written, explicit and uncomplicated procedures, the organization can run different operations without always worrying about the working process



Aspects to consider

✈ Procedures to make everyone's work easier

- ✈ Procedures are developed with the user in mind
- ✈ By using procedures, everyone will know what needs to be done
- ✈ Well developed and thought out procedures provide benefits to the procedure user



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Aspects to consider

✈ Procedures need to be validated

- ✈ To ensure your procedures make sense, you need to see them in action
- ✈ Validation may determine the need to adjust the procedure



Aspects to consider

✈ A review cycle needs to be established

- ✈ Because laws, SARPs and best practices are always evolving, your procedures likely will, too
- ✈ Establish timelines for the revision of your procedures



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Purpose of AIG procedures

✈ Each procedure is established with a specific purpose, which is generally related to an obligation or responsibility inherent to the State and that arises from its status as a signatory to the Chicago Convention



Purpose of AIG procedures

- ✈️ USOAP protocol questions always indicate the purpose of each procedure
- ✈️ The vast majority of procedures exist to “ensure” compliance with a requirement



Elements required in a procedure

✈ Processes and procedures should clarify who does what, how they do it, when they do it (or within what timelines) and in coordination with whom (as applicable)

WHO does **WHAT**, **HOW**, **WHEN** and in **COORDINATION** with whom



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WHO

- ✈ Person responsible for executing each action / task
- ✈ Individualized (position)



"The Head of the Accident Investigation Unit" ✓

"The investigator in charge" ✓

"The investigator on duty" ✓



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WHO

✈ **DON'T USE** a general reference to a "sector" or "organization"



~~"The DGAC will ..."~~



WHAT

- ✈ The procedure must detail each of the actions / tasks that will be carried out during the execution of the procedure
 - ✈ For each action / task the procedure needs to identify the person in charge
 - ✈ As a consequence, in certain procedures, different actions / tasks will be performed by different persons



HOW

✈ The way in which the action / task will be carried out must be detailed enough to allow even an inexperienced person, or newcomer to the organization, to carry it out efficiently

✈ For example, if the procedure requires contacting someone, you must determine the means of contact (phone, email, personally, etc.) and make that person's contacts available



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HOW

✈ The level of detail should be that necessary to guarantee that each time the procedure is performed, the expected result is the same, regardless of the person who performs it



WHEN (timelines, deadlines)

✈ It is essential that each action / task within a procedure has a deadline to be performed, to ensure that the procedure is completed in a timely manner



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WHEN (timelines, deadlines)

✈ We will often find indications of deadlines in ICAO documents (Annex 13, protocol questions, documents and circulars)

PQ	Time requirements
1007, 6361, 6381	timely
6115	expeditious
6205, 6315	without delay
6211, 6375, 6377, 6379	when needed
6321, 6329	with a minimum of delay
6327, 6357, 6405	as soon as possible
6347, 6349	immediately
6391	throughout
6405	within 12 months
6407	within sixty days
6425	within 90 days
6435	as soon as practicable



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In COORDINATION with whom

✈ In some situations, it will be necessary to coordinate a specific action / task with a particular person (sometimes in the organization itself or sometimes in another organization)



"The investigator-in-charge will provide, in coordination with the Head of the Board of Investigation, the invitation to the operator ..."



Initial steps for developing procedures

- ✈ Identify the requirements (legislation, regulation, policy, standard, PQ, etc)
 - ✈ Gather all the relevant documentation regarding the requirements
- ✈ Identify the process the procedure is part of
 - ✈ You should structure AIG in your State in a way that all the elements that are part of your system (e.g. Legislation, infrastructure, human resources, documentation, etc.) can be clearly seen
 - ✈ You need to define all the process that need to be carried out in order to establish your system and to develop all the AIG related activities



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Initial steps for developing procedures

- ✈ Describe the way that, in practice, your organization is used to act to comply with the requirements
- ✈ We developed a template to help you
 - ✈ The template is a guidance
 - ✈ Feel free to adjust it the way it fits better for you

Template for development of procedures

NUMBER:	TITLE:				
Process:					
Reference:					
Step	WHAT <small>(Detailed description of the task)</small>	WHO <small>(Designated person in responsible for the execution)</small>	HOW <small>(Determination of the way the task will be performed and means to be used)</small>	WHEN <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small>	In COORDINATION with whom <small>(Identify the persons to coordinate the execution of the task with whom applicable)</small>
1					
2					
3					
4					
5					
6					
...					
n					
NOTES					
N1					
N2					
...					
Nn					
ATTACHMENTS					
#	TITLE	DESCRIPTION			
A					
B					
...					
n					



AIG PQs Requiring Procedures

- ✈ There are around 40 PQs requiring procedures
- ✈ There are requirements for procedures also in LEG PQs (we will not deal with that at this time)



AIG PQs Requiring Procedures

✈ In the following slides, there is a table with the AIG procedures related PQs and their lack of implementation in our region according to the OLF*

***OLF information is only accurate for States that had a full audit in the last 5 years. All other States should consider a complete revision of their level of implementation**

PQ	PROTOCOL QUESTIONS OF AIG PROCEDURES	Percentage of States not compliant with each PQ
6435	Has the State, as the State conducting the investigation, developed and implemented procedures to ensure that it sends ADREP accident data reports involving aircraft of a maximum mass of over 2 250 kg to ICAO, as soon as practicable after the investigation?	82%
6431	Has the State, as the State conducting the investigation, developed and implemented procedures to ensure that it sends preliminary ADREP reports, when the aircraft involved in an accident is of a maximum mass of over 2 250 kg, to all involved States and ICAO?	76%
6437	Has the State, when it has investigated an incident to an aircraft of a maximum mass of over 5 700 kg, established and implemented procedures to ensure that it sends ADREP incident data reports to ICAO?	76%
6135	If the State <u>uses experts seconded by the State's</u> CAA or other organizations in the State as investigators, has it established and implemented measures to avoid possible conflicts of interest?	59%
6405	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that the final report is completed as soon as possible and that, if the report is not made available within 12 months, an interim statement is made publicly available on each anniversary of the occurrence, detailing the progress of the investigation and any safety issues raised?	59%
6415	Has the State, when it has investigated an accident or incident to an aircraft of a maximum mass of over 5 700 kg, established and implemented procedures to ensure that it sends the final report to ICAO?	59%
6303	Has the investigation authority developed and issued an investigation procedures manual or equivalent guidance material, containing the policies and procedures to be followed for investigation related tasks?	53%
6381	Has the investigation authority established and implemented procedures to ensure that relevant and timely information on the progress of the investigation will be provided to the families and accident survivors?	53%
6017	Has the State implemented a procedure for identifying and notifying differences, if any, to ICAO?	47%
6361	Has the State established and implemented procedures to ensure the timely recovery and read-out of the flight recorders?	47%
6397	Has the State, as a State having suffered fatalities or serious injuries to its citizens, established and implemented procedures to send an expert to the State of Occurrence?	47%
6501	Has the State established and implemented (through the necessary legislation, procedures and guidance to the industry) a mandatory incident reporting system to facilitate the collection of information on actual or potential safety deficiencies?	47%

PQ	PROTOCOL QUESTIONS OF AIG PROCEDURES	Percentage of States not compliant with each PQ
6329	Has the State, as the State of the Operator, established and implemented procedures to ensure that it provides the State conducting the investigation with the details of dangerous goods on board the aircraft with a minimum of delay and by the most suitable and quickest means available?	41%
6363	Has the State established and implemented procedures to ensure that it complies with Attachment D to Annex 13 regarding the choice of the read-out facility and the participation of the State of Design/Manufacture and the State of the Operator in the flight recorder read-out and analysis activities?	41%
6395	<u>Has the State established and implemented procedures</u> to ensure that it appoints advisers proposed, as applicable, by the operator or by the organizations responsible for the type design and the final assembly of the aircraft?	41%
6421	Has the State, as the State conducting the investigation, established and implemented guidelines regarding the development and issuance of safety recommendations to the appropriate authorities, including those in other States, at any stage of an accident or incident investigation?	41%
6423	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it addresses, when appropriate, any safety recommendations arising from its investigations to accident investigation authorities in other State(s) concerned and, when ICAO documents are involved, to ICAO?	41%
6425	Has the State, as the State receiving safety recommendations from other States, established and implemented procedures: a) to monitor the progress of any action taken in response to these safety recommendations, and b) to ensure that it informs the proposing State within 90 days of the preventive action taken or under consideration or the reasons why no action will be taken?	41%
6209	Has the investigation authority established and implemented means to ensure that its investigators are provided with the necessary, up-to-date documentation to effectively accomplish their functions and responsibilities?	35%
6317	Has the State, as State of Occurrence, established and implemented procedures to ensure the forwarding of accident/serious incident notifications to other States involved and, when applicable, ICAO?	35%
6327	<u>Has the State established and implemented procedures</u> to ensure that it provides the State conducting the investigation with, as applicable, any relevant information regarding the aircraft and flight crew involved in an aircraft accident or serious incident as soon as possible?	35%

PQ	PROTOCOL QUESTIONS OF AIG PROCEDURES	Percentage of States not compliant with each PQ
6407	<p><u>Has the State established and implemented procedures</u> to ensure the consultation on the draft final report with all States which participated in the investigation, inviting their substantiated comments on the report within sixty days from the date of the transmittal letter?</p>	35%
6411	<p>Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it will either amend the draft final report to include the substance of the comments received or, if desired by the State which provided the comments, append the comments to the final report?</p>	35%
6129	<p>Has investigation authority established and implemented a system for the maintenance of training records for its technical personnel, including records on the OJT received?</p>	29%
6319	<p>Has the State established and implemented procedures to ensure the forwarding of accident/serious incident notifications to the States involved and, when applicable, ICAO in the following situations where it is not the State of Occurrence;</p> <ul style="list-style-type: none"> • As State of Registry, in the case of an occurrence in a non-Contracting State or outside the territory of any State? • As State of Registry or State of the Operator, when the State of Occurrence is not aware of a serious incident? 	29%
6349	<p><u>Has the State established and implemented procedures</u> to ensure the immediate initiation of an investigation through the designation of an investigator-in-charge (IIC) and the appointment of an investigation team, as necessary?</p>	29%
6357	<p><u>Has the State established and implemented procedures</u> to ensure that in the event of an accident or serious incident, all air traffic services (ATS) communication recordings and documents associated with the flight are secured and placed in safe keeping as soon as possible?</p>	29%
6369	<p>Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it invites to participate in the investigation:</p> <ol style="list-style-type: none"> a) the air operator, when neither the State of Registry nor the State of the Operator appoints an accredited representative; b) the organizations responsible for the type design and the final assembly of the aircraft, when neither the State of Design nor the State of Manufacture appoints accredited representatives? 	29%
6391	<p>Has the State, as a State participating in an aircraft accident or serious incident investigation, established and implemented procedures to ensure that it provides the State conducting an investigation with all the information and elements required throughout the investigation process?</p>	29%

PQ	PROTOCOL QUESTIONS OF AIG PROCEDURES	Percentage of States not compliant with each PQ
6409	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that a copy of the draft final report is sent for comments; a.) through the State of the Operator to the air operator; and b.) through the State of Design and State of Manufacture to the organizations responsible for the type design and the final assembly of the aircraft?	29%
6413	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it sends the final report to all States involved, including any State having suffered fatalities or serious injuries to its citizens and any State which provided relevant information, significant facilities or experts?	29%
6015	<u>Has the State implemented procedures</u> for the amendment of its accident and serious incident investigation enabling regulations and national standards?	24%
6325	Has the State established and implemented procedures to ensure that it informs the State conducting the investigation if it intends to appoint an accredited representative and, if so, provides the associated details?	24%
6347	Has the investigation authority established and implemented procedures to ensure that it informs the aviation security authorities immediately if an act of unlawful interference was involved or is suspected?	24%
6373	Has the investigation authority established and implemented procedures and guidance material for the protection of investigators against biological hazards and other hazards at the accident site?	24%
6429	Has the State developed and implemented <u>procedures</u> to record responses to the safety recommendations it has issued?	24%
6201	Does the State provide its investigators with all necessary investigation equipment to enable the conduct of investigations?	18%
6427	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that intended safety recommendations are included in the draft final report forwarded to the States and organizations concerned?	18%
6211	Has the State established and implemented arrangements and procedures to ensure the availability of hangars/storage facilities when needed in order to protect the evidence and maintain safe custody of the aircraft for such a period as may be necessary for the purposes of the investigation?	12%
6316	Has the State established procedures and guidance, including a checklist, for the initial response following the receipt of a notification?	12%
6103	If the investigation authority has regional offices, is there a system in place for coordination and standardization?	6%



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This presentation will be available at the ICAO Secure Portal, in the group:

NACC_AIG_REF

Those who have not yet joined this group, it is highly recommended that they do so



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Dakar

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North Atlantic
(EUR/NAT) Office
Paris

Middle East
(MID) Office
Cairo

Eastern and
Southern African
(ESAF) Office
Nairobi

Asia and Pacific
(APAC) Sub-office
Beijing

Asia and Pacific
(APAC) Office
Bangkok



THANK YOU