



Determining the extent of an accident investigation

6.343 Has the State established and implemented policies, procedures and guidelines to help determine the extent of an accident investigation (including the scope of the investigation and whether or not investigators will be deployed on site), depending on the circumstances of the accident and the safety lessons that it expects to draw from the investigation?



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Let's build it together

- ✈ Stage 1 – Gathering relevant information
- ✈ Stage 2 - Defining the framework
- ✈ Stage 3 - Writing the procedure



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✈ Exercise: Determining the extent of an accident investigation

- ✈ To do the exercises, we will use our fictional scenario:
 - ✈ State – Coronaland
 - ✈ Authority – Civil Aviation Authority of Coronaland (CAAC)
 - ✈ The accident investigation unit is not independent, being part of the CAAC



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Let's build it together

- ✈ Stage 1 – Gathering relevant information
- ✈ Stage 2 - Defining the framework
- ✈ Stage 3 - Writing the procedure



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Stage 1 – Gathering relevant information

✈ Gather all information relevant to the development of the procedure

✈ Since the procedure of our exercise comes out from a PQ, we need to know the content of:

✈ the question of the Protocol USOAP

✈ the ICAO references to that PQ

✈ the Guidance for Review of Evidence



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Key elements:

1. Established and implemented
2. Help determine the extent
3. Accident investigation
4. Circumstances of the accident
5. Safety lessons

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Established and implemented

- This PQ requires evidence of implementation

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Help determine the extent

- How far the investigation will go
- Size of the investigation team
- Deployment to the crash site
- Model of final report
- Etc.

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Accident investigation

- Not applicable to serious incidents or other incidents

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Circumstances of the accident

- Type of operation
- Category of aircraft
- Injury level
- Damage
- Social repercussion
- Involvement of other states
- Presence of illegal activity
- Etc.

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Safety lessons

- Repetitiveness
- Illegal interference
- Non-qualified personnel
- Non-certified aircrafts
- Etc.



ICAO references

STD

A13

5.1 & 5.4

RP

A13

5.4.2

GM

Doc 9756

Part I, 2.6, 3.1 & 3.2

Part II, 1.1.3, 2.2.3 & C4

Doc 9962



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Stage 1 – Gathering relevant information

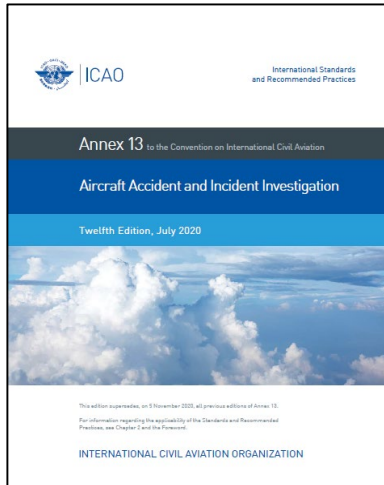
RESPONSIBILITY FOR INSTITUTING AND CONDUCTING THE INVESTIGATION

ACCIDENTS OR INCIDENTS IN THE TERRITORY OF A CONTRACTING STATE

ANNEX 13

State of Occurrence

5.1 The State of Occurrence shall institute an investigation into the circumstances of the accident and be responsible for the conduct of the investigation, but it may delegate the whole or any part of the conducting of such investigation to another State or a regional accident and incident investigation organization (RAIO) by mutual arrangement and consent. In any event, the State of Occurrence shall use every means to facilitate the investigation.





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Stage 1 – Gathering relevant information

ORGANIZATION AND CONDUCT OF THE INVESTIGATION

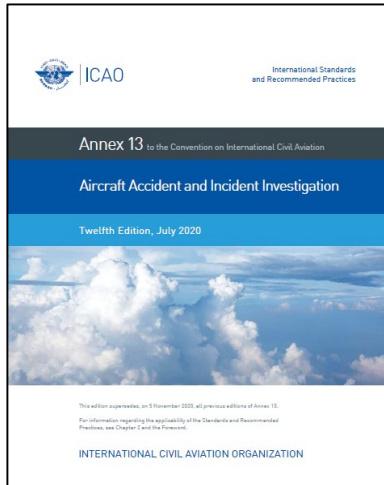
RESPONSIBILITY OF THE STATE CONDUCTING THE INVESTIGATION

ANNEX 13

General

5.4 The accident investigation authority shall have independence in the conduct of the investigation and have unrestricted authority over its conduct, consistent with the provisions of this Annex. The investigation shall normally include:

- a) the gathering, recording and analysis of all relevant information on that accident or incident;
- b) the protection of certain accident and incident investigation records in accordance with 5.12;





RESPONSIBILITY OF THE STATE CONDUCTING THE INVESTIGATION

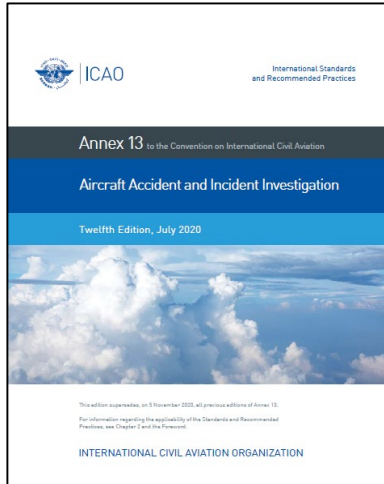
General

ANNEX 13

5.4 ...

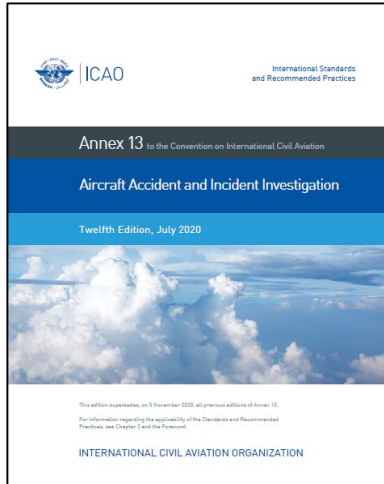
- c) if appropriate, the issuance of safety recommendations;
- d) if possible, the determination of the causes and/or contributing factors; and
- e) the completion of the Final Report.

Where feasible, the scene of the accident shall be visited, the wreckage examined and statements taken from witnesses. The extent of the investigation and the procedure to be followed in carrying out such an investigation shall be determined by the accident investigation authority, depending on the lessons it expects to draw from the investigation for the improvement of safety.





ANNEX 13



RESPONSIBILITY OF THE STATE CONDUCTING THE INVESTIGATION

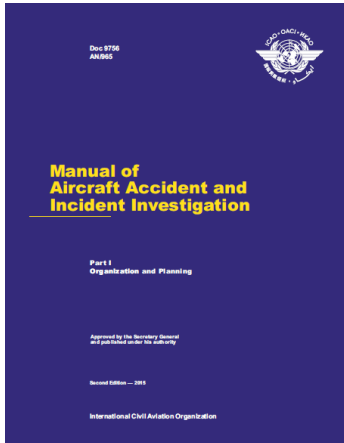
General

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5.4.2 Recommendation.— *The accident investigation authority should develop documented policies and procedures detailing its accident investigation duties. These should include: organization and planning; investigation; and reporting.*

ICAO REFERENCES

DOC 9756, I

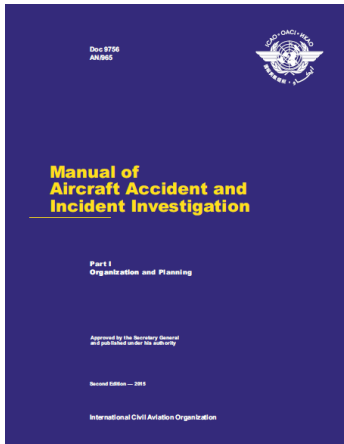


2.6 EQUIPMENT

2.6.1 Proper planning and preparedness are essential in facilitating the prompt arrival of investigators at an accident site and have considerable bearing on the efficiency of the investigation. In this regard, accident investigators should have their investigation field kits and essential personal items packed and ready so that they can proceed without delay to the accident site. Advance consideration should also be given to such details as inoculations, passport requirements and travel facilities. To protect against biological hazards such as blood-borne pathogens, investigators who work amongst wreckage are advised to have tetanus and Hepatitis B vaccinations (and any recommended boosters to maintain immunity) and to wear the necessary personal protective equipment.



ICAO REFERENCES DOC 9756, I

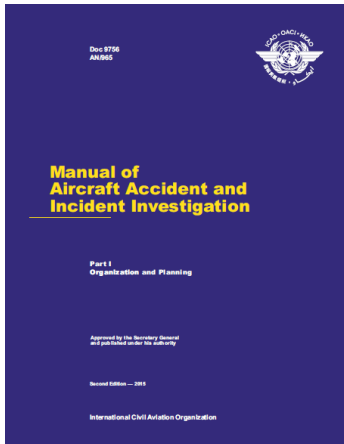


2.6 EQUIPMENT

2.6.2 Accidents and incidents are apt to occur anywhere: at airports, in mountains, swamps, deeply wooded areas, deserts, etc. Hardships are often encountered in reaching accident sites in remote areas, and it is therefore important that investigators be physically fit and that working gear be selected with due consideration to terrain and weather.

ICAO REFERENCES

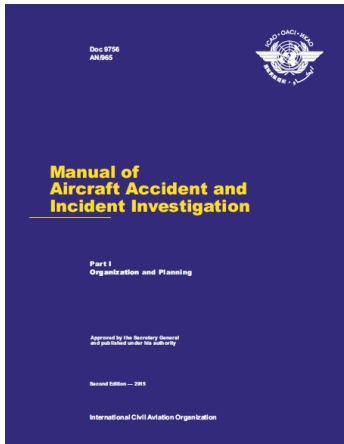
DOC 9756, I



2.6 EQUIPMENT

2.6.3 Clothing should be comfortable and afford protection against the conditions or elements that may be encountered. Spare clothing may also be required. The most essential items of personal clothing are good footwear, a windproof and waterproof jacket and trousers, and appropriate headgear. The investigator should wear suitable boots which provide protection against the hazards at the accident site. Specifically, the boots should provide protection against crushing and piercing injuries and should be waterproof and oil and acid resistant. A “paratroop” type of boot with a heavy moulded sole gives good service as general-purpose footwear in difficult terrain and, “desert” boots have been found suitable in dry, broken ground. Protective items, such as sun block, anti-glare spectacles and insect repellent, should also be available.

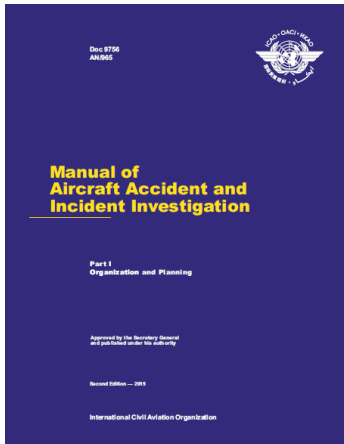
ICAO REFERENCES DOC 9756, I



2.6 EQUIPMENT

2.6.4 Before proceeding to the accident site, investigators should have adequate supplies and equipment most appropriate to the territory to be covered (food, water, first-aid kit, camping gear, communication equipment, etc.) and should have a competent guide if it is necessary to enter wild or rugged terrain. They should anticipate the need for special equipment (i.e. snowmobiles and skis) and have ready access to this type of equipment so that there is no delay in procuring it. They should also be familiar with the use of such equipment.

ICAO REFERENCES DOC 9756, I



2.6 EQUIPMENT

2.6.5 The investigation field kit should contain sufficient equipment to enable examination of the wreckage, the plotting of impact points and wreckage patterns, parts identification and the recording of observations. The list of items in Appendix 1 to this chapter provides guidance on the type of equipment which might be selected for the investigation field kit.

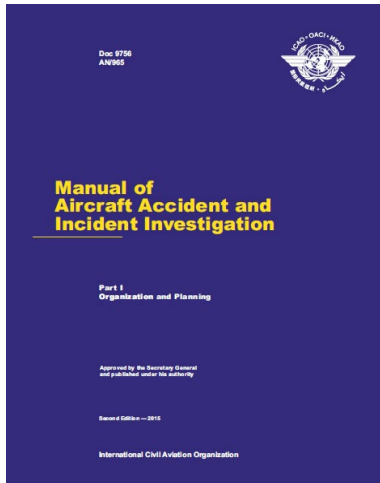


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Stage 1 – Gathering relevant information

DOC 9756 PART I



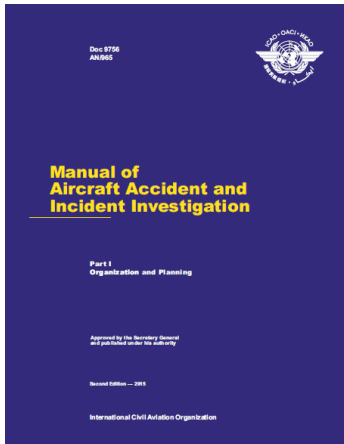
Chapter 3

PLANNING THE INVESTIGATION

3.1 ACCIDENT INVESTIGATION MANAGEMENT

3.2 THE INVESTIGATION MANAGEMENT SYSTEM

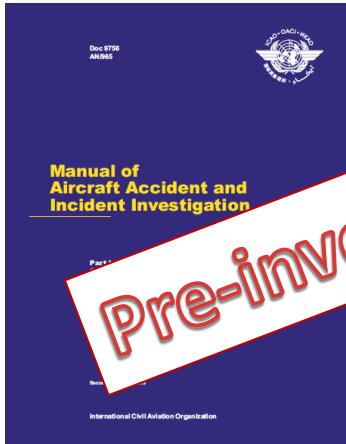
ICAO REFERENCES DOC 9756, I



- Chapter 3, Section 3.1 provides guidance on the planning for management of the investigation, emphasizing the importance of:
- an early assessment of the potential magnitude of the tasks and the scope of the investigation to get an appropriate level of resources (human, financial, equipment, etc.)
 - the management of the investigation team by the IIC in major investigations
 - the need to have, in the case of incidents and non-major accidents, all the functions undertaken by one or two investigators or, alternatively, by an investigator and a specialist



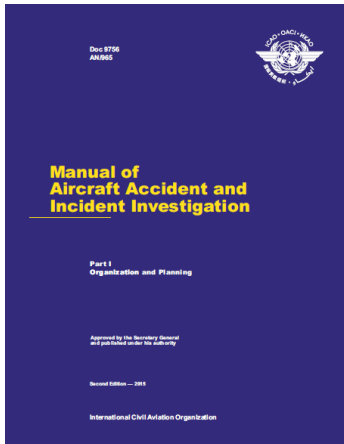
ICAO REFERENCES DOC 9756, I



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Pre-investigation planning is essential in all cases

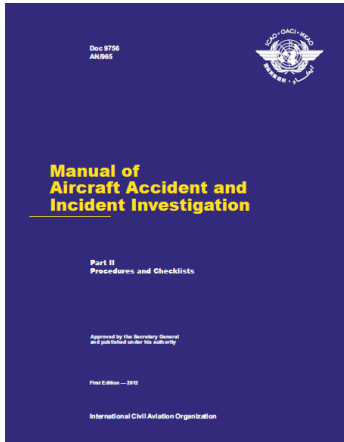
ICAO REFERENCES DOC 9756, I



Chapter 3, Section 3.2 provides specific guidance on the effective management of a major investigation, presenting a system based on a comprehensive plan, checklists, and a method and flow charts to track the progress of the investigation



ICAO REFERENCES DOC 9756, II

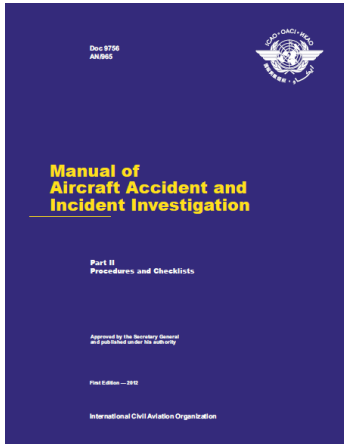


In Part II, paragraph 1.1.3, the Manual presents some factors that, among others, may impact the scope and complexity of the investigation:

- a) injuries, deaths and damage to equipment, third parties and the environment;
- b) identified and potential safety issues underlying the accident/incident;
- c) the likelihood of recurrence, the probability of adverse consequences, and the severity of adverse consequences;
- d) accident and incident history related to the type of operation, size and type of aircraft, the operator, manufacturer, and regulator; and
- e) actual and potential deviations from industry safety and operational regulations, standards, procedures and practices.



ICAO REFERENCES DOC 9756, II



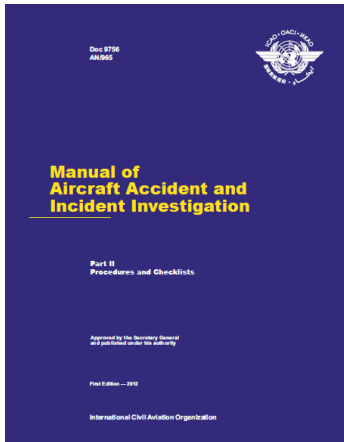
2.2.3 In some investigations, the apparent causes/contributing factors may become evident early in the investigation. In such situations, the subsequent prime investigative effort may then be channelled to good effect into a relatively narrow but specialized area. Nevertheless, it will still be necessary to investigate all factors that might have contributed to the accident and to eliminate those factors that did not. In situations wherein the causes are not readily apparent, the investigator must progress steadily through all aspects of the occurrence, and this type of situation may require substantive effort of many groups of investigators working in a balanced and coordinated manner.

ICAO REFERENCES DOC 9756, II

Chapter 4 MAJOR ACCIDENT INVESTIGATIONS

Chapter 4 brings relevant guidance on:

- The need maintain coordination with all the groups in order to maintain and manage the progress of the investigation during the post-field phase of the investigation
- The importance of timely and effective release of investigation information, including preliminary and other reports, interim statements, final reports and safety recommendations
- The Investigation Management System
- Major Accident Investigation Guide

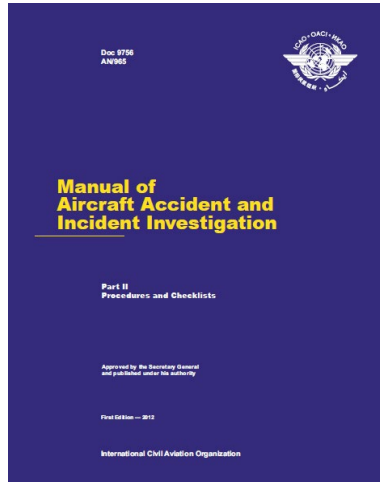




Chapter 4

MAJOR ACCIDENT INVESTIGATIONS

DOC 9756 PART II



4.1 GENERAL

4.2 RESPONDING TO A NOTIFICATION

4.3 SECURING DOCUMENTATION

4.4 FIELD PHASE OF THE INVESTIGATION

4.5 POST-FIELD PHASE OF THE INVESTIGATION

4.6 INVESTIGATION REPORTING

4.7 INVESTIGATION MANAGEMENT SYSTEM (IMS)

4.8 MAJOR ACCIDENT INVESTIGATION GUIDE (MAIG)



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Stage 1 – Gathering relevant information

Manual on Accident and Incident Investigation Policies and Procedures

DOC 9962

Organization

Chapter 1. Introduction

Chapter 2. Legislative requirements

Chapter 3. Investigation objective and independence

Planning

Chapter 4. Planning and preparation for investigation





DOC 9962

Investigation

Chapter 5. Initial notification and response

Chapter 6. Investigation policies and procedures

Chapter 7. Actions at the accident site

Chapter 8. Organization and management of the investigation

Chapter 9. Tests and component examinations





DOC 9962

Reporting

Chapter 10. Writing the Final Report and making safety recommendations

Chapter 11. Reporting to the ICAO Accident/Incident Data (ADREP) Reporting System

Chapter 12. Accident prevention measures





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Stage 1 – Gathering relevant information

DOC 9962



Appendix A

Model Accident Investigation Authority Act

Appendix B

Model Aircraft Accident and Incident Investigation (AIG) Regulations

Appendix C

Agreements and Memoranda of Understanding (MoUs) with other Organizations



DOC 9962

List of examples of serious incidents (Reference to ICAO Annex 13, Attachment C)

Appendix D

Appendix E

Individual Development Plan

Appendix F

Wreckage and Parts Release Form





Guidance for Review of Evidence

- 1) Review policies, procedures and guidance material established.
- 2) Ensure that the policies, procedures and guidance material established are sufficiently detailed and are customized to the system in place.
- 3) Review evidence to confirm effective implementation.

Verify existing guidance on the scope and depth of the investigation, and whether or not investigators will be deployed on site



Stage 2 – Defining the framework

✈ As we have seen in the session 2 of the Project (and some of you might have seen in the webinar series of 2020), the State needs to develop different approaches regarding the investigation, thus it is necessary to establish the different categories of accidents



Stage 2 – Defining the framework

- ✈ In our example of Coronaland, we have accidents distributed into 6 different classes (each one will have a different investigation approach)
- ✈ Differences might be, for example, in the size of the investigation team, in the deployment or not to the site, in the involvement of pathologist, in the model of the final report, etc.

Classes of Accidents in Coronaland

CLASS	TYPE OF OPERATION	INJURY LEVEL	SOCIAL REPERCUSSION	PARTICIPATION OF OTHER STATES	SAFETY LESSONS EXPECTED
1	Commercial – PAX (Schedule)	Fatal Non-fatal	High profile	Accredited representative No accredited representative	Expected
2	Commercial – PAX (Non-schedule) General aviation	Fatal	High profile	Accredited representative	Expected
3	Commercial – PAX (Non-schedule)	Fatal	Low profile	No accredited representative	Expected
4	Commercial – PAX (Non-schedule)	Non-fatal	Low profile	No accredited representative	Expected
	General aviation Agricultural Other	Fatal			
5	General aviation Agricultural Other	Non-fatal	Low profile	No accredited representative	Expected
6	General aviation Agricultural Other	Non-fatal	Low profile	No accredited representative	Not expected

NOTES:

- a) Any accident may be put in a higher class at the discretion of the Chief Investigator
- b) Accidents that cannot be directly classified in any of the classes will be assigned to one of them by the Chief Investigator

Investigation Approaches for Each Class of Accident

CLASS	MINIMUM SIZE OF INVESTIGATION TEAM	DEPLOYMENT TO THE SITE	INVOLVEMENT OF PATHOLOGIST	INVOLVEMENT OF PUBLIC RELATIONS OFFICER	INVOLVEMENT OF FOREIGN AFFAIRS OFFICER	MODEL OF FINAL REPORT
1	1 IIC, 1 Coordinator, and 3 Group Chairman	Y	Y/N	Y	Y	Complete
2	1 IIC, 1 Coordinator, and 3 Group Chairman	Y	Y	Y	Y	Complete
3	1 IIC, 1 Investigator (OPS or AIR)	Y	Y	If requested by IIC	N	Complete
4	1 IIC, 1 Investigator (OPS or AIR)	Y	Y/N	If requested by IIC	N	Complete
5	1 IIC	IIC decision	N	If requested by IIC	N	Short
6	1 IIC	N	N	If requested by IIC	N	Short
	<p>NOTES:</p> <p>a) The inputs in this Appendix must be seen as a guidance for the initial steps towards the investigation, and different approaches may be adopted when required by the circumstances of the investigation and approved by the Chief Investigator</p> <p>b) Nothing in this Appendix precludes the IIC from requesting any assistance in accordance with the circumstances of the accident</p>					



Stage 2 – Defining the framework

- ✈ “Brainstorm” to find out which tasks would be part of the procedure
- ✈ We may use the template we developed to guide us in the process

NUMBER:		TITLE:			
Process:					
Reference:					
Step	WHAT <small>(Detailed description of the task)</small>	WHO <small>(Designated person 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					
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NUMBER:		TITLE:			
Process:					
Reference:					
Step	WHAT <small>(Detailed description of the task)</small>	WHO <small>(Designated person 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>
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N1					
N2					
...					
Nn					
ATTACHMENTS					
#	TITLE		DESCRIPTION		
A					
B					
...					
n					

Note – the template is just a tool, and even after filling its fields we won't have the procedure



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
1	Classification of the accident				



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
1	Classification of the accident	Investigator on duty			



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
1	Classification of the accident	Investigator on duty	The investigator on duty will, based on the his/her assessment of the information available and in coordination with the Chief Investigator, establish the class of the accident in accordance with the Appendix 1 (Classes of Accidents in Coronaland)		



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
1	Classification of the accident	Investigator on duty	The investigator on duty will, based on the his/her assessment of the information available and in coordination with the Chief Investigator, establish the class of the accident in accordance with the Appendix 1 (Classes of Accidents in Coronaland)	Within 1 hour after becoming aware of the accident	



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
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Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
2	Designation of the investigator-in-charge				



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
2	Designation of the investigator-in-charge	Chief Investigator			



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
2	Designation of the investigator-in-charge	Chief Investigator	<p>The Chief Investigator will, based on the class of the accident, designate the investigator-in-charge through the Form 08/AIG (Designation of the investigator-in-charge), which will be sent through email to the designee with copy to the Administrative Assistant.</p> <p>Note: For classes 1 and 2 accidents, only senior investigators could be designate as investigator-in-charge.</p>		



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
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Stage 2 – Defining the framework

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Stage 2 – Defining the framework

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3	Proposal of the investigation team				



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
3	Proposal of the investigation team	Investigator-in-charge			



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
3	Proposal of the investigation team	Investigator-in-charge	<p>The investigator-in-charge will, based on the class of the accident, propose the assignment of other personnel to form the investigation team, sending the proposal by email to the Chief Investigator with copy to the Administrative Assistant.</p> <p>Note 1: For classes 5 and 6 accidents, this step is not applicable.</p> <p>Note 2: When a secondment from other areas of the CAA is necessary, the investigator-in-charge shall prepare the request using Form 12/AIG (Request for Secondment), and follow the Procedure 13/CAAC (Procedure for the secondment to the AIG Section of inspectors to support investigations).</p>		



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
3	Proposal of the investigation team	Investigator-in-charge	<p>The investigator-in-charge will, based on the class of the accident, propose the assignment of other personnel to form the investigation team, sending the proposal by email to the Chief Investigator with copy to the Administrative Assistant.</p> <p>Note 1: For classes 5 and 6 accidents, this step is not applicable.</p> <p>Note 2: When a secondment from other areas of the CAA is necessary, the investigator-in-charge shall prepare the request using Form 12/AIG (Request for Secondment), and follow the Procedure 13/CAAC (Procedure for the secondment to the AIG Section of inspectors to support investigations).</p>	<p>Within 1 hour after the being designated as IIC</p>	



Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
3	Proposal of the investigation team	Investigator-in-charge	<p>The investigator-in-charge will, based on the class of the accident, propose the assignment of other personnel to form the investigation team, sending the proposal by email to the Chief Investigator with copy to the Administrative Assistant.</p> <p>Note 1: For classes 5 and 6 accidents, this step is not applicable.</p> <p>Note 2: When a secondment from other areas of the CAA is necessary, the investigator-in-charge shall prepare the request using Form 12/AIG (Request for Secondment), and follow the Procedure 13/CAAC (Procedure for the secondment to the AIG Section of inspectors to support investigations).</p>	Within 1 hour after the being designated as IIC	Chief Investigator Administrative Assistant



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
3	Assessment of the proposal of investigation team composition				



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
3	Assessment of the proposal of investigation team composition	Investigator-in-charge			



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
3	Assessment of the proposal of investigation team composition	Investigator-in-charge	The Chief Investigator will assess and decide on the proposal made by the IIC, informing the decision by email to the IIC with copy to the Administrative Assistant.		



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
3	Assessment of the proposal of investigation team composition	Investigator-in-charge	The Chief Investigator will assess and decide on the proposal made by the IIC, informing the decision by email to the IIC with copy to the Administrative Assistant.	Within 30 minutes after the receipt of the proposal from the IIC	



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
3	Assessment of the proposal of investigation team composition	Investigator-in-charge	The Chief Investigator will assess and decide on the proposal made by the IIC, informing the decision by email to the IIC with copy to the Administrative Assistant.	Within 30 minutes after the receipt of the proposal from the IIC	Investigator-in-charge Administrative Assistant



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
4	Preparation of the designation approval of a team member (for AIG Section personnel)				



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
4	Preparation of the designation approval of a team member (for AIG Section personnel)	Administrative Assistant			



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
4	Preparation of the designation approval of a team member (for AIG Section personnel)	Administrative Assistant	<p>The Administrative Assistant will complete Form 09/AIG (Designation of member of an investigation team) with information regarding the AIG Section personnel whose participation in the investigation has been authorized by the Chief Investigator, sending the form by email for the Chief's digital signature, with a copy to the IIC.</p> <p>Note 1: Designations of persons outside the AIG Section will follow another process.</p> <p>Note 2: If no one from the AIG Section has been authorized to participate in the investigation as a team member, this task is not applicable.</p>		



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
4	Preparation of the designation approval of a team member (for AIG Section personnel)	Administrative Assistant	<p>The Administrative Assistant will complete Form 09/AIG (Designation of member of an investigation team) with information regarding the AIG Section personnel whose participation in the investigation has been authorized by the Chief Investigator, sending the form by email for the Chief's digital signature, with a copy to the IIC.</p> <p>Note 1: Designations of persons outside the AIG Section will follow another process.</p> <p>Note 2: If no one from the AIG Section has been authorized to participate in the investigation as a team member, this task is not applicable.</p>	Within 30 minutes after the receipt of the decision email from the Chief Investigator	



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
4	Preparation of the designation approval of a team member (for AIG Section personnel)	Administrative Assistant	<p>The Administrative Assistant will complete Form 09/AIG (Designation of member of an investigation team) with information regarding the AIG Section personnel whose participation in the investigation has been authorized by the Chief Investigator, sending the form by email for the Chief's digital signature, with a copy to the IIC.</p> <p>Note 1: Designations of persons outside the AIG Section will follow another process.</p> <p>Note 2: If no one from the AIG Section has been authorized to participate in the investigation as a team member, this task is not applicable.</p>	Within 30 minutes after the receipt of the decision email from the Chief Investigator	Chief Investigator Investigator-in-charge



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
5	Designation as a team member (for AIG Section personnel)				



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
5	Designation as a team member (for AIG Section personnel)	Chief Investigator			



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
5	Designation as a team member (for AIG Section personnel)	Chief Investigator	The Chief Investigator will sign (digitally) the Form 09/AIG prepared by the Administrative Assistant, sending the form by email back to the Administrative Assistant for filing purposes, with a copy to the IIC.		



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
5	Designation as a team member (for AIG Section personnel)	Chief Investigator	The Chief Investigator will sign (digitally) the Form 09/AIG prepared by the Administrative Assistant, sending the form by email back to the Administrative Assistant for filing purposes, with a copy to the IIC.	Within 30 minutes after the receipt of the Form 09/AIG	



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
5	Designation as a team member (for AIG Section personnel)	Chief Investigator	The Chief Investigator will sign (digitally) the Form 09/AIG prepared by the Administrative Assistant, sending the form by email back to the Administrative Assistant for filing purposes, with a copy to the IIC.	Within 30 minutes after the receipt of the Form 09/AIG	Administrative Assistant Investigator-in-charge



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Let's build it together

- ✈ Stage 1 – Gathering relevant information
- ✈ Stage 2 – Defining the framework
- ✈ Stage 3 – Writing the procedure**



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Writing the procedure

✈ After this “brainstorm” and with the template completed, we will probably be able to write the procedure

DISCLAIMER



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PROCEDURE No 11/CAAC-AIG - DETERMINING THE EXTENT OF THE INVESTIGATION OF AN ACCIDENT

INTRODUCTION

Any occurrence in aviation, being an accident or an incident, will have so many different aspects involved that it can be said that there is no two equal events. On the other hand, for the purposes of investigation planning and efficiency, it is possible to determine categories of occurrences that, having a certain degree of similarity, may be approached in a standardized way, turning the investigation process more effective, thus improving safety in a better way.

POLICY

It is the policy of the CAAC to carry out, through the AIG Section, the investigation of all accidents in accordance with the pre-established plans developed to ensure an effective process of investigation to achieve the best possible results in terms of safety, yet with a balanced effort commensurate with the characteristics of the civil aviation system of Coronaland.

PROCEDURE

- 1- The investigator on duty will, within 1 hour after becoming aware of the accident, establish the class of the accident in accordance with the Appendix 1 (Classes of Accidents in Coronaland), based on the his/her assessment of the information available and in coordination with the Chief Investigator.
- 2- The Chief Investigator will, within 1 hour after the classification of the accident and based on the class of the accident, designate the investigator-in-charge through the Form 08/AIG (Designation of the investigator-in-charge), which will be sent through email to the designee with copy to the Administrative Assistant.
- 3- The investigator-in-charge will propose, within 1 hour after the being designated as IIC and based on the class of the accident, the assignment of other personnel to form the investigation team, sending the proposal by email to the Chief Investigator with copy to the Administrative Assistant.
Note 1: For classes 5 and 6 accidents, this step is not applicable.
Note 2: When a secondment from other areas of the CAA is necessary, the investigator-in-charge shall prepare the request using Form 12/AIG (Request for Secondment), and follow the Procedure 13/CAAC (Procedure for the secondment to the AIG Section of inspectors to support investigations).
- 4- The Chief Investigator will assess and decide on the proposal made by the IIC within 30 minutes after the receipt of the proposal, informing the decision by email to the IIC with copy to the Administrative Assistant.

- 5- The Administrative Assistant will, within 30 minutes after the receipt of the decision email from the Chief Investigator, complete and send, by email for the Chief's digital signature (with a copy to the IIC), the Form 09/AIG (Designation of member of an investigation team) with information regarding the AIG Section personnel whose participation in the investigation has been authorized by the Chief Investigator.

Note 1: Designations of persons outside the AIG Section will follow another process.

Note 2: If no one from the AIG Section has been authorized to participate in the investigation as a team member, this task is not applicable.

- 6- The Chief Investigator will, within 30 minutes after the receipt of the Form 09/AIG prepared by the Administrative Assistant, sign (digitally) and send the Form, by email, back to the Administrative Assistant for filing purposes, with a copy to the IIC.

DISCLAIMER

The following procedure is purely fictitious, intended exclusively for educational purposes, and ICAO is not responsible for the adoption of its text without due care for adapting to the characteristics of the civil aviation system in place.

PROCEDURE No 11/CAAC-AIG - DETERMINING THE EXTENT OF THE INVESTIGATION OF AN ACCIDENT

INTRODUCTION

Any occurrence in aviation, being an accident or an incident, will have so many different aspects involved that it can be said that there is no two equal events. On the other hand, for the purposes of investigation planning and efficiency, it is possible to determine categories of occurrences that, having a certain degree of similarity, may be approached in a standardized way, turning the investigation process more effective, thus improving safety in a better way.

POLICY

It is the policy of the CAAC to carry out, through the AIG Section, the investigation of all accidents in accordance with the pre-established plans developed to ensure an effective process of investigation to achieve the best possible results in terms of safety, yet with a balanced effort commensurate with the characteristics of the civil aviation system of Coronaland.

PROCEDURE

- 1- The investigator on duty will, within 1 hour after becoming aware of the accident, establish the class of the accident in accordance with the Appendix A (Classes of Accidents in Coronaland), based on the his/her assessment of the information available and in coordination with the Chief Investigator.
- 2- The Chief Investigator will, within 1 hour after the classification of the accident and based on the class of the accident, designate the investigator-in-charge through the Form 08/AIG (Designation of the investigator-in-charge), which will be sent through email to the designee with copy to the Administrative Assistant.

- 3- The investigator-in-charge will propose, within 1 hour after the being designated as IIC and based on the investigation approach for that class of the accident (Appendix B), the assignment of other personnel to form the investigation team, sending the proposal by email to the Chief Investigator with copy to the Administrative Assistant.

Note 1: For classes 5 and 6 accidents, this step is not applicable.

Note 2: When a secondment from other areas of the CAA is necessary, the investigator-in-charge shall prepare the request using Form 12/AIG (Request for Secondment), and follow the Procedure 13/CAAC (Procedure for the secondment to the AIG Section of inspectors to support investigations).

- 4- The Chief Investigator will assess and decide on the proposal made by the IIC within 30 minutes after the receipt of the proposal, informing the decision by email to the IIC with copy to the Administrative Assistant.

5- The Administrative Assistant will, within 30 minutes after the receipt of the decision email from the Chief Investigator, complete and send, by email for the Chief's digital signature (with a copy to the IIC), the Form 09/AIG (Designation of member of an investigation team) with information regarding the AIG Section personnel whose participation in the investigation has been authorized by the Chief Investigator.

Note 1: Designations of persons outside the AIG Section will follow another process.

Note 2: If no one from the AIG Section has been authorized to participate in the investigation as a team member, this task is not applicable.

6- The Chief Investigator will, within 30 minutes after the receipt of the Form 09/AIG prepared by the Administrative Assistant, sign (digitally) and send the Form, by email, back to the Administrative Assistant for filing purposes, with a copy to the IIC.

Appendix A - Classes of Accidents in Coronaland

CLASS	TYPE OF OPERATION	INJURY LEVEL	SOCIAL REPERCUSSION	PARTICIPATION OF OTHER STATES	SAFETY LESSONS EXPECTED
1	Commercial – PAX (Schedule)	Fatal Non-fatal	High profile	Accredited representative No accredited representative	Expected
2	Commercial – PAX (Non-schedule) General aviation	Fatal	High profile	Accredited representative	Expected
3	Commercial – PAX (Non-schedule)	Fatal	Low profile	No accredited representative	Expected
4	Commercial – PAX (Non-schedule)	Non-fatal	Low profile	No accredited representative	Expected
	General aviation Agricultural Other	Fatal			
5	General aviation Agricultural Other	Non-fatal	Low profile	No accredited representative	Expected
6	General aviation Agricultural Other	Non-fatal	Low profile	No accredited representative	Not expected

NOTES:

- a) Any accident may be put in a higher class at the discretion of the Chief Investigator
- b) Accidents that cannot be directly classified in any of the classes will be assigned to one of them by the Chief Investigator

Appendix B – Investigation Approaches for Each Class of Accident

CLASS	MINIMUM SIZE OF INVESTIGATION TEAM	DEPLOYMENT TO THE SITE	INVOLVEMENT OF PATHOLOGIST	INVOLVEMENT OF PUBLIC RELATIONS OFFICER	INVOLVEMENT OF FOREIGN AFFAIRS OFFICER	MODEL OF FINAL REPORT
1	1 IIC, 1 Coordinator, and 3 Group Chairman	Y	Y/N	Y	Y	Complete
2	1 IIC, 1 Coordinator, and 3 Group Chairman	Y	Y	Y	Y	Complete
3	1 IIC, 1 Investigator (OPS or AIR)	Y	Y	If requested by IIC	N	Complete
4	1 IIC, 1 Investigator (OPS or AIR)	Y	Y/N	If requested by IIC	N	Complete
5	1 IIC	IIC decision	N	If requested by IIC	N	Short
6	1 IIC	N	N	If requested by IIC	N	Short
<p>NOTES:</p> <p>a) The inputs in this Appendix must be seen as a guidance for the initial steps towards the investigation, and different approaches may be adopted when required by the circumstances of the investigation and approved by the Chief Investigator</p> <p>b) Nothing in this Appendix precludes the IIC from requesting any assistance in accordance with the circumstances of the accident</p>						



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Informs acts of unlawful interference

6.347 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?