



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

COSCAP-SEA

AIRCRAFT ACCIDENT/INCIDENT INVESTIGATION AUTHORITY WORKSHOP

Module 2.4

Investigation policies and procedures

Policy, process & procedure



- Policy: ‘a course or principle of action adopted or proposed by an organization or individual’ (very high level - *principle*).
- Process: ‘a series of actions or steps taken in order to achieve a particular end’. A process states *what* needs to be done and why (*high level – strategic*).
- Procedure: ‘an established or official way of doing something’. In particular, a procedure states *how* the *process* needs to be done (lower level – *tactical/operational*). A procedure is often accompanied by work instructions - step-by-step guidelines to implement the process and procedure, segmented to focus on those who are doing the actual work.

Purpose



- Enable preparedness - avoid improvisation and poor decisions.
- **Reflect the system in place**, including the legislation, structure and arrangements in place, as well as the available financial and human resources (key importance of customization of policies and procedures).
- Enable management to ensure that tasks are performed in an effective, efficient, timely and standardized manner.
- Provide clarity to personnel on how to accomplish their specific functions and activities.
- Facilitate and focus the training of the relevant personnel.

What procedures should address



- Who?
- What?
- When?
- How?
- In coordination with whom?

Customization and coordination

- Policies need to reflect the State's strategy.
- Procedures need to be customized to the system in place.
- Due coordination is needed before establishing/publishing procedures involving outside agencies
- Procedures need to be tested/validated and amended as needed based on experience.

Who?



- Job position or function concerned - in charge of each task.
- Authority to carry out the task.

What?



- Each step of the process and each task to be performed within the sequence of actions.
- Expected results / deliverable.
- Links with other procedures, if any.

When?



- At which step of the process the procedure is to be applied?
- Maximum time period, or deadline, for completion of each task.
- For repetitive actions: periodicity and maximum interval between actions.

How?



- Often the most detailed part of procedures (guidelines).
- Need for clear and practical details.
- Customization to the system in place is critical – except for ‘universal aspects’ (which are often already included in ICAO manuals, and could simply be referred to).
- When needed : provide checklists, forms and/or templates activity, and provide links to these checklists and forms within the procedure.



In coordination with whom?

- Many procedures call for ‘internal’ or ‘external’ coordination.
- If external agencies are involved:
 - **Clearly** identify them;
 - Indicate and practical details (e.g. contact details); and
 - Describe the coordination method and decision making process.

Three main sets of policies and procedures



- Procedures related to the notification phase.
- Procedures related to the conduct of the investigation (including final report, safety recommendations and follow-up on recommendations).
- Procedures related to the participation in investigations conducted by other States.



Notification phase: critical aspects

- 24/7 On-duty system to receive notifications from within and outside the State.
- Processing of incident reports/notifications.
- Identification of serious incidents.
- Decision to investigate.



Investigation phase: critical aspects

- Preservation of evidence.
- Coordination with judicial authorities and other agencies.
- Designation of the IIC.
- Notification of other States and ICAO.
- Size, structure and composition of the investigation team.
- Recovery and read out of flight recorders.
- Investigation into technical aspects.
- Investigation into operational and org. aspects.

Final report and beyond



- Development of the draft final report.
- Development and issuance of safety recommendations (incl. urgent recs).
- Consultation and processing of comments.
- Issuance of final reports.
- Issuance of interim statements.
- Follow up on issued safety recommendations.

Checklists



- Important tool but...
- Need to be customized to reflect the system in place in the State and the AIIA.
- Need to be accompanied by guidance, including on record keeping.
- Need to be completed with caution (avoid the 'box-ticking approach').

What is your State's experience?



ICAO

North American
Central American
and Caribbean
(NACC) Office
Mexico City

South American
(SAM) Office
Lima

ICAO
Headquarters
Montréal

Western and
Central African
(WACAF) Office
Dakar

European and
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