



International Civil Aviation Organization

**WORKING PAPER**

A39-WP/308  
EX/111, TE/135  
25/8/16  
**(Information paper)**  
**English and Russian only<sup>1</sup>**

**ASSEMBLY — 39TH SESSION**

**EXECUTIVE COMMITTEE  
AND  
TECHNICAL COMMISSION**

**Agenda Item 27: Increasing the efficiency and effectiveness of ICAO**  
**Agenda Item 36: Aviation safety and air navigation implementation support**

**STRENGTHENING ICAO AND RAIO ROLES IN INTERNATIONAL INVESTIGATIONS OF  
MAJOR AVIATION ACCIDENTS**

(Presented by the Interstate Aviation Committee)

**EXECUTIVE SUMMARY**

This document presents proposals for reinforcement of ICAO role and mobilization of its resources, as well as for expanding the use of the capacity of Regional Accident and Incident Investigation Organizations (RAIO), to investigate heavy aviation accidents affecting the interests of many States in order to improve the effective implementation of ICAO Standards and Recommended Practices in this area.

<i>Strategic Objectives:</i>	This working paper relates to the Safety Strategic Objective.
<i>Financial implications:</i>	It is justifiable to consider allocation of additional resources for the operation of the accident investigation section (AIG)
<i>References:</i>	Annex 13 — <i>Aircraft Accident and Incident Investigation</i> Doc 9946, <i>Manual on Regional Accident and Incident Investigation Organization</i> Doc 9756, <i>Manual of Aircraft Accident and Incident Investigation</i> Doc 10004, <i>2014-2016 Global Aviation Safety Plan</i>

<sup>1</sup> English and Russian versions provided by IAC.

## 1. INTRODUCTION

1.1 In accordance with Doc 9756 par. 2.1.2. "The accident investigation authority must be strictly objective and totally impartial and must also be perceived to be so. The authority should be established in such a way that it can withstand political or other interference or pressure."

1.2 The Doc 9756 also notes that "Aircraft accident investigation - is a specialized task, which should be undertaken by qualified investigators. However, many States will not have personnel dedicated solely to accident investigation."

1.3 The problem of qualified personnel is acute in all ICAO regions. So, in the second edition of the Global Aviation Safety Plan (Doc 10004, paragraph 4.4.2) states that "the EC-4 relating to the qualified technical personnel in the State, has the lowest rate of all EI CE" (47.75%). The problem of attracting the necessary resources to the investigation of aviation accidents and incidents, to solving problems of increasing flight safety and efficient use of these resources is one of the main and most difficult problems which exist in many ICAO States at this time.

## 2. DISCUSSION

2.1 USOAP missions demonstrated that many States do not have the necessary resources to carry out investigations of aviation accidents and incidents in full capacity, and the implementation of a thorough analysis of the data on aviation accidents and incidents.

2.2 In accordance with ICAO Manual (Doc 9946 p. 2.1.3) "For the investigation of major accidents in States which do not have the resources to carry out the investigation, other interested States (i.e. the State of Registry, State of Operator, State of Design or State of Manufacture) may assist and provide support to the State of Occurrence. However, assistance and support, such as the delegation of the whole or part of the investigation to another State, does not relieve the State of Occurrence from its responsibility to institute an investigation and to complete a Final Report of the investigation " In addition, the delegation of the investigation to another State does not completely solve the issues related to the independence of the investigation, information security, issues related to the political risks of such a decision.

- a) Investigations within the framework of RAIO allows States the following:
- b) promote investigation independence;
- c) eliminate duplication of efforts by combining human, technical and financial resources;
- d) achieve economy by means of scale that will ensure efficiency and effectiveness;
- e) allow investigators of the region to gain the relevant experience;
- f) facilitate the hiring and continued stable operation of investigators by the States.

2.3 In accordance with p. 2.5.3 Global Aviation Safety Plan (Doc 10004) "Regional accident and incident investigation organizations (RAIO) contribute to the implementation of investigation systems for accidents and incidents, creating conditions for States to share the necessary financial and human resources, and meet their investigation obligations. Some groups of States have already created RAIO and currently put forward other initiatives. Main tasks of RAIO are as follows.:

- a) ensure the establishment of an adequately funded, professionally trained personnel and independent regional organization to investigate accidents and incidents;
- b) ensure that all accidents and incidents are investigated in compliance with the provisions of Annex 13 "Investigation of the Aviation Accidents and Incidents";
- c) enhance cooperation, eliminating duplication of efforts;
- d) promote the information exchange."

2.4 The creation and use of the RAIO potentials allow almost any State to ensure compliance with ICAO Standards and Recommended Practices (SARPs) in the investigation of accidents and incidents, and to promote the introduction of the latest achievements in the field of flight safety, thus responding to the ICAO project principles of "No country left behind". Joint use of RAIO resources confirms its effectiveness and presently this model of international cooperation in the field of flight safety is becoming more demanded one.

2.5 Doc 9756 refers to the Interstate Aviation Committee (IAC), as an example of the creation of such an organization. Indeed, the IAC has been making progress in the field of accident investigation for the past 25 years. Over those years, more than 600 investigations in 74 countries in the interest of the 12 States that have signed the Agreement on Civil Aviation and Use of Airspace in 1991, had been conducted.

2.6 The long-term experience demonstrates that the investigation of aviation accidents that entailed huge loss of lives and affected the interests of many States must be conducted by international expert teams under the supervision of international or regional organizations, and in some cases, with the participation or under the auspices of ICAO. The involvement of international experts and organizations, in difficult cases of investigation, may contribute to investigation independence of the politically-motivated interference, allowing for establishing the true causes of the accident and develop effective recommendations based on the results of investigation. Involvement of international experts in the investigation also assists in minimizing potential conflicts between participants of the investigation and ensures the credibility of the investigation results among the international community.

### 3. CONCLUSION

3.1 The Interstate Aviation Committee supports ICAO's efforts aimed at the promotion of the conditions for the implementation of ICAO Standards and Recommended Practices by all States, within the framework of campaign "No country left behind" (NCLB), and supports ICAO policy to expand the use of regional accidents and incidents investigation organizations (RAIO).

3.2 The Interstate Aviation Committee, while calling upon States for more intensive cooperation within the framework of regional and international aviation accidents and incidents investigation organizations and use of the capacity of these organizations, considers that it is advisable to also involve ICAO resources when investigating the heavy aviation accidents that resulted in huge loss of lives and affected the interests of many countries, and believes that such involvement would contribute to the independence and objectivity of such investigations.