



ASSEMBLY — 40TH SESSION

TECHNICAL COMMISSION

Agenda Item 30: Other issues to be considered by the Technical Commission

FOLLOW-UP OF SAFETY RECOMMENDATIONS

(Presented by Argentina)

<b>EXECUTIVE SUMMARY</b>	
<p>This working paper presents a proposal on how the implementation of a programme for the follow-up of safety recommendations (SRs), by Accident Investigation (AIG) organizations, constitutes a valid tool for addressing a global issue related to the continuous improvement of safety, which is the independence of AIG organizations, in accordance with the provisions of ICAO Annex 13, Chapter 6.</p>	
<i>Action</i>	<p>The Assembly is invited to take note and comment on the information and proposals presented in this working paper and that:</p> <ul style="list-style-type: none"><li>a) it be sent to the Council, so that follow-up programmes are disseminated and recognized within AIG organizations; and</li><li>b) the proposal to find a mechanism to manage the funds required for the implementation of the follow-up programmes be reviewed.</li></ul>
<i>Strategic Objectives:</i>	<p>This working paper relates to the Safety Strategic Objective</p>
<i>Financial implications:</i>	<p>There are no financial implications for ICAO.</p>
<i>References:</i>	<p>Annex 13 — <i>Aircraft Accident and Incident Investigations</i> Doc 9756 — <i>Manual of Aircraft Accident and Incident Investigation, Part IV — Reporting</i> Regulation No. 996/2010 of the European Parliament – European Union Aviation Safety Agency (EASA) Safety Recommendations Program, National Transportation Safety Board (NTSB) <i>Comité des Recommandations</i>. [Recommendations Committee] 2015. (BEA) Assessment Rating Guide. 2014. (TSB) Manual of Standards and Procedures for Following Up on Safety Recommendations (JIAAC) (see overleaf) EASA, European Network of Civil Aviation Safety Investigation Authorities (ENCASIA)</p>

<sup>1</sup> Spanish version provided by Argentina.

## 1. INTRODUCTION

1.1 The intent of an accident and/or incident investigation is to identify the contributing factors and latent risks that correlated with one another for the accident to occur. To identify the contributing factors, it is necessary that the investigation be carried out within a context of independence and impartiality in order to expose all the safety deficiencies that occurred within the system and which allowed the accident to happen.

1.2 Once the system's deficiencies have been identified, the organization in charge of the investigation can issue safety recommendations (SRs) in order to contribute to improving safety within the industry. As stated in Doc 9756, Part IV, paragraph 5.1, "...the issuance of safety recommendations by the investigation authority can be viewed as the most important output of the investigation."

1.3 Evaluating and monitoring the implementation of these proposals not only helps improve the system where they were issued, in addition to other systems as experience, but also improve the investigation itself, since it constitutes genuine feedback from the system.

## 2. ANALYSIS OF THE ISSUE

2.1 International best practices indicate that the responsibility of the State issuing an SR does not end with the issuance thereof, but rather, it is suggested that there be follow-up of the impact had by SRs on the safety system.

2.2 Provision is made for this statement in Doc 9756, Part IV, paragraph 1.6.3 "A State conducting the investigation, or any other State issuing a safety recommendation, should implement procedures to record the responses to the safety recommendation issued. A State that receives a safety recommendation should implement procedures to monitor the progress of the action taken in response to that safety recommendation."

2.3 Many AIG organizations worldwide have procedures and methods for the follow-up of SRs, such is the case of the United States, Canada, France, Europe through ENCASIA, etc. The documents prepared for that purpose are mentioned in the Executive Summary of this working paper.

2.4 Nevertheless, there are still many States that do not have established procedures for the follow-up of SRs, or even, that have not yet implemented a follow-up of SRs or their responses.

2.1 In recent years, the Argentina has implemented an SR follow-up programme that already has more than 160 responses received for the 2015-2019 period. In turn, a manual of procedures for the follow-up of recommendations is pending approval.

2.2 A possible explanation for the marked differences among States is the lack of awareness regarding the importance of SR follow-up programmes and procedures and the lack of independence of the AIG organizations, where, in many cases, SR management lies in the follow-up areas of the aviation authority.

2.3 The on-going search for higher safety standards requires the implementation of an SR follow-up programme and the explanation of procedures for that purpose. In this manner, the continuous improvement of safety is reinforced.

### 3. SOLUTION TO THE PROBLEM

3.1 In the light of the above, and based on the experience of leading countries, including Argentina, it is proposed that the countries that have not yet implemented a follow-up programme be encouraged to do so and that a document describing the procedures be prepared to that end.

3.2 That the countries that have made progress in this area provide assistance and cooperation, transferring their knowledge and experiences in SR follow-up.

3.3 That a joint database related to statistics on responses, progress and contributions to SR safety be implemented at the regional level.

3.4 That a depository or unit for the collection of manuals of existing procedures be developed to ensure ease of consultation by the countries which are in the process of preparing their documents.

3.5 That Regional Accident and Incident Investigation Organizations (RAIOs) or Regional Cooperation Mechanisms be used to encourage the implementation of programmes aimed at SR follow-up.

### 4. CONCLUSION

4.1 From the analysis of all the information presented in this working paper, it is proposed that:

- a) implementation of SR follow-up programmes be established as a priority and that documents with procedures for that purpose be prepared;
- b) transfer mechanisms be generated among countries, RAIOs or Regional Cooperation Mechanisms that have made progress in this area and those that have just started or are about to start; and
- c) ICAO find the mechanism to contribute funds to support the development of the tasks mentioned in this working paper.

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