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**ACCIDENT INVESTIGATION AND PREVENTION (AIG)
DIVISIONAL MEETING (2008) (AIG/08)**

Montréal, 13 to 18 October 2008

REPORT ON AGENDA ITEM 7

The Plenary, on 18 October 2008, approved the report on Agenda Item 7.

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Agenda Item 7: Resolving Deficiencies Identified during ICAO Audits**7.1 INTRODUCTION**

7.1.1 The meeting was presented with a summary of the deficiencies identified by the Universal Safety Oversight Audit Programme of ICAO (USOAP) in the area of accident and incident investigation and prevention.

7.1.2 Identified deficiencies relate to various aspects of a States' investigation and prevention systems. Provisions in the States' legislation and regulations are often insufficient. Organizational deficiencies are also common, and a number of States do not have the capability to establish an investigation system on their own. Furthermore, the necessary training is not always provided to the relevant technical staff. As far as guidance material is concerned, investigation policies and procedures are often missing or are not systematically implemented. The establishment of accident and incident databases has been facilitated by the dissemination of ECCAIRS. However, mandatory incident reporting systems are not always well implemented, and voluntary reporting systems are few.

7.2 DISCUSSION

7.2.1 One State expressed that the word "deficiency" has a negative connotation and recalled that shortcomings identified through the USOAP audits do not always derive from a lack of human or financial resources, but may result from other factors that are beyond the scope of civil aviation. The State also pointed out that USOAP audits can give an opportunity to review in detail the provisions of Annex 13 and to identify why some of these provisions cannot be implemented by States.

7.2.2 Several States and one regional organization expressed their appreciation for the USOAP programme and highlighted how USOAP audits have helped them to identify shortcomings within their civil aviation safety oversight systems and to achieve progress in the correction of these shortcomings. Safety oversight is defined by the USOAP programme as a function by which States ensure the implementation of the safety-related provisions contained in the safety-related Annexes, including Annex 13. It was explained that the USOAP audits do not merely review compliance with the provisions contained in the ICAO Annexes, but also the overall systems implemented in States to ensure compliance with ICAO provisions. It was further explained that, as far as Annex 13 is concerned, the audit addresses not only the investigation system but also the implementation of the provisions contained in Chapter 8 of Annex 13, which are related to the accident prevention system.

7.2.3 The resolution of Annex 13-related findings was the object of several statements by States. One State in particular recalled that, while findings were identified by ICAO, little was done to assist States in resolving them. The meeting was reminded that the main goal of the discussions under this agenda item was to identify where ICAO could concentrate its efforts to best assist States in resolving Annex-13 related deficiencies, and how a study of the findings identified by USOAP could contribute to this.

7.2.4 One State indicated that ICAO already had the authority to conduct studies of the findings identified by USOAP. Another State recalled the origins for the establishment of the ICAO USOAP programme. Other States called for an exchange of views between the AIG auditors of ICAO and

experts from the States' investigation authorities. The meeting was reminded that in 2007 ICAO released a study of audit results, based on the USOAP audits of 53 States audited between April 2005 and May 2007. While this study includes a review of Annex 13-related findings, it does not go into the details contemplated in the study proposed by the Secretariat.

7.2.5 One State pointed out that it would be beneficial to identify the most common Annex 13-related concerns identified in USOAP audits. Another State suggested that a detailed study of the findings in all other areas covered by USOAP be carried out by ICAO.

7.2.6 As a result of the discussions, the meeting made the following recommendation:

**Recommendation 7/1 — Assessment of Annex 13-related
deficiencies identified during USOAP
audits**

That ICAO assess Annex 13-related USOAP audit findings in order to identify the most common serious concerns and to develop measures to address them.

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