

## **AIG REGIONAL COOPERATION MECHANISM (ARCM) OF SOUTH AMERICA**

### **THIRD MEETING OF AIG AUTHORITIES**

(Lima, Peru, 07 to 09 March 2016)

#### **Agenda Item 7: Non-serious incident investigation**

##### **a) Role of the organizations involved in non-serious incident investigation**

(Working paper presented by the ARCM Technical Committee)

#### **Summary**

This working paper presents to the Third Meeting of AIG Authorities an approach to the role of the accident and incident investigation bodies before the occurrence of an event classified as incident (non-serious) and the potential conflicts arising from the application of certain concepts related to event reporting and investigation in Annex 13 and Annex 19, among others.

In addition, it provides a general vision of how the interaction between the accident and incident investigation bodies and the rest of the Aviation Authorities involved in the potential or real safety deficiencies and (non-serious) incident data processing should be, taking into account that all these bodies are part of the State Safety Programme (SSP).

#### **References**

- Annex 13 – Aircraft Accident and Incident Investigation
- Annex 19 – Safety Management
- Doc. 9859 – Safety Management Manual

#### **1. Introduction**

1.1. According to the last outcomes achieved under the framework of the activities of the ICAO Universal Safety Oversight Audit Programme (USOAP), one of the audit areas with less effective implementation (EI) in relation to the safety oversight capabilities of the SAM States is still aircraft accident and incident investigation (AIG).

1.2. In this area, it is mainly observed that the subgroups of investigation policies and procedures; development, completion and release of the final report; organization, staffing and training of the accident investigation authority; development, issuance, and recording of safety recommendations and forwarding of Accident/Incident Data Reports (ADREP) procedures are the ones that have the highest number of unsatisfactory Protocol Questions (PQ) as the SAM States general average.

1.3. Under the framework of the ARCM as regional cooperation mechanism, one of the objectives is to collaborate and assist the States as to accident and incident investigation, therefore:

- ✓ one of the ways to contribute to reaching the best practices in aircraft accident and incident investigation is analysing and clarifying the concepts that may bring potential problems in the implementation of the standards and recommended practices; and
- ✓ the continuous monitoring of the documents that establish the standards and recommended practices for accident and incident investigation under a framework of study and analysis and, if pertinent, the proposals to amend the corresponding documents should be done.

1.4. Due to the advance in the SSP implementation in the ARCM members States, it is necessary that the investigation bodies assume an active role as parties and custodians together with the Aviation Authorities in the State safety implementation and oversight, dictated by the SSP.

## 2. **Definition of the problem**

2.1 It is essential that the SAM Region has a harmonized and clear concept about the intervention of the AIG bodies before the occurrence of a non-serious incident, the level of such an intervention and the way they should coordinate with the rest of the Aviation Authorities that are part of the SSP.

2.2 Every AIG body, before the occurrence of a non-serious incident, should apply established criteria that define the intervention levels in agreement with Annex 13, where it is suggested that the event investigation should be made taking into account whether a high-impact safety outcome may be achieved.

2.3 In those cases (non-serious incidents) the AIG Authority has no interest in investigating, it can delegate the investigation to other Aviation Authorities or service providers as appropriate as long as they have the ability to do so; meanwhile, the AIG body would only intervene as observer if convenient.

2.4 Therefore, it is necessary that coordination mechanisms among the different Aviation Authorities in charge of State safety implementation and oversight are established. Their purpose is optimizing the use of resources and efforts to collect as much information as possible, process it and produce safety intelligence allowing the establishment of trends and indicators and suggest the corresponding recommendations in order to mitigate the risks identified in the aviation system.

2.5 AIG bodies must contribute to the strengthening of the State *Safety Data Collection and Processing System (SDCPS)*, providing all the processed information obtained from the investigations that can show indicators and trends affecting safety. Taking into account that the State SDCPS may be made up of one or several mandatory or voluntary reporting systems and of collection systems of each Aviation Authority and AIG Authority that obtain reactive information (AIG bodies) as well as proactive (potential or real safety deficiencies), this system (SDCPS) will require coordination efforts between the Aviation Authorities and investigation authorities for the interaction and processing of the necessary information in pursuit of the strengthening of the State safety management.

## 3. **Suggested actions**

3.1 AIG Authorities of the Region are invited to:

- a) take note and comment on the information provided in this working paper;

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- b) approve the formation of a task group in order to be able to determine the intervention criteria of the AIG Authority, Aviation Authority and service providers before an event classified as *non-serious incident*, as well as the criteria about how to determine the *investigation abilities* of the Aviation Authorities as well as the service providers;
- c) request a revision of the ICAO documents (Annexes and Doc.) regarding accident and incident investigation and proposed amendments, if pertinent, in order that they are completely harmonized as regards the use of the terms of accidents, serious incidents, incidents and safety deficiencies, as appropriate; and
- d) take actions so that AIG bodies have an active role in the SSP together with the State Aviation Authorities.

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