



*International Civil Aviation Organization*

**Second Meeting of the Middle East Regional Aviation Safety Group  
(RASG-MID/2)**

*(Abu Dhabi, UAE, 12 - 14 November 2012)*

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**Agenda Item 3: Regional Performance Framework for Safety**

**ESTABLISHMENT OF RSOOs AND RAIOS**

*(Presented by the Secretariat)*

**SUMMARY**

The purpose of this paper is to present the outcome of the DGCA-MID/1 meeting related to the establishment of Regional Safety Oversight Organizations (RSOOs) and Regional Accident and Incident Investigation Organizations (RAIOs) in the MID Region and agree on the necessary follow-up actions.

Action by the meeting is at paragraph 3.

**REFERENCES**

- DGCA-MID/1 Report
- RSC/1 Report

**1. INTRODUCTION**

1.1 The Safety Oversight Manual Doc 9734 Part A provides guidance to assist States with the establishment of a national safety oversight system.

1.2 Part B of Doc 9734 provides guidance on the establishment and management of a Regional Safety Oversight System and outlines the duties and responsibilities of States, individually and/or collectively, with respect to the establishment and management of a regional safety oversight system.

1.3 The following is an extract of the Assembly Resolution A37-8 on Regional cooperation and assistance to resolve safety-related deficiencies:

- promote the concept of regional cooperation, including RSOOs;
- promote assistance to regional safety and safety oversight bodies, including RSOOs; and
- analyse safety critical information for determining effective means of assisting States, regional and sub-regional bodies, including RSOOs.

## 2. DISCUSSION

2.1 The DGCA MID/1 was held in Abu-Dhabi, UAE, 22 – 24 March 2011. The meeting was attended by a total of Fifty Six (56) participants, which included experts from Eleven (11) States (Bahrain, Egypt, Jordan, Kuwait, Lebanon, Oman, Qatar, Saudi Arabia, Sudan and United Arab Emirates) and Five (5) International/Regional Organizations (AACO, ACAC, CANSO, IATA and IFALPA).

2.2 The DGCA-MID/1 Meeting noted that safety oversight audits and audit follow-ups conducted by ICAO indicated that a number of States have not been able to implement an effective safety oversight system over their aviation activities due to the lack of adequate resources, specifically in terms of qualified technical expertise. This has led ICAO to conclude that regional or sub-regional safety oversight organizations may be required to overcome this problem through shared objectives, strategies, and activities and, most importantly, that they would enable States to pool resources and thus be able to attract, recruit, and retain appropriately qualified and experienced personnel in the aviation fields.

2.3 The meeting was further informed that the new ICAO Manual on Regional Accident and Incident Investigation Organization (Doc 9946, First Edition-2011) has been recently posted by ICAO on the ICAO NET website (<http://icao.int/icaonet/>).

2.4 The meeting noted that in many of the ICAO Regions, Regional Safety Oversight Organizations (RSOOs) and Regional Accident and Incident Investigation Organizations (RAIOs) have been considered as the most viable way of meeting the States' safety oversight obligations in an effective and sustainable manner; and accordingly a number of such Organizations have been already established.

2.5 The meeting noted that ICAO, through its Technical Cooperation Programme, has formulated intra-State (Regional/Sub-Regional) projects, known as the Cooperative Development of Operational Safety and Continuing Airworthiness Projects (COSCAPs). It was highlighted that COSCAPs represent the first step towards establishment of RSOOs.

2.6 Based on the above, the meeting recognized that RSOOs and RAIOs represent a viable way of meeting the States' safety oversight obligations in an effective and sustainable manner. However, it was highlighted that prior to the establishment of any RSOO, States willing to participate in this regional/sub-regional project should formulate a strategy that is well-defined in terms of purpose, scope, activities, objectives, duration and the expected results or outcomes. In this respect, the meeting requested ICAO to organize a Workshop on the subject, in order to address the technical, institutional and financial aspects related to the establishment of RSOOs and RAIOs and develop appropriate recommendations and a regional strategy based on identified common priorities and programmes, to enhance States' safety oversight capabilities and solve common safety-related deficiencies.

2.7 The meeting further noted that, one of the options which could be considered is to evolve the COSCAP-GS into a RSOO. In addition, it was further noted that ICAO Technical Cooperation Bureau (TCB) can play a significant role in this endeavour.

2.8 Considering all of the foregoing, the meeting agreed to the following Conclusions:

*DGCA-MID/1 CONCLUSION 1/9 - ESTABLISHMENT OF RSOOs AND RAIOS IN THE MID REGION*

*That, in order to strengthen their safety oversight capabilities and solve common safety-related deficiencies, in an effective, cooperative and sustainable manner, MID States:*

- a) cooperate towards the establishment of Regional Safety Oversight Organizations (RSOOs) and Regional Accident and Incident Investigation Organizations (RAIOs); and*
- b) further address the subject within the framework of RASG-MID.*

*DGCA-MID/1 CONCLUSION 1/10 - WORKSHOP ON REGIONAL SAFETY OVERSIGHT PROGRAMMES*

*That, as part of the Regional preparations for the establishment of Regional Safety Oversight Organizations (RSOOs) and Regional Accident and Incident Investigation Organizations (RAIOs), the ICAO MID Regional Office organize a Workshop on Regional Safety Oversight Programmes, in order to address the technical, institutional and financial aspects related to these regional/sub-regional projects.*

2.9 The main challenges/obstacles for the establishment of RSOOs and RAIOS are as follows:

- lack of a solid regional framework;
- resistance to the change “regional dimension”;
- lack of resources (funds and expertise);
- sovereignty;
- self-sufficiency; and
- lack of coordination of the initiatives:
  - within the region; and
  - with the int’l partners and donors.

2.10 The meeting may wish to note that, as a follow-up action to the above DGCA-MID/1 Conclusions, an ACAC/ICAO Seminar/Workshop on Regional Safety Oversight Programmes is scheduled to be held in Rabat, Morocco, 10-12 December 2012.

2.11 The RSC/1 Meeting was apprised of the UAE proposal related to better coordination of the Accident and Incident Investigation activities in the MID Region, which may lead to the establishment of a MID Region Accident and Incident Investigation Organization (RAIO). The meeting noted that based on a proposal by UAE, the ACAC 40<sup>th</sup> Executive Council held in Rabat, Morocco, 14 - 15 May 2012, agreed to the creation of a ‘Task Force’ to prepare a study on establishing a ‘joint investigation Unit’ manpowered by ACAC’s members’ qualified investigators.

2.12 The RSC/1 Meeting noted the stepwise approach proposed by UAE at **Appendix A** to this working paper and invited States and International Organizations to provide their comments on the proposed approach to the ICAO MID Regional Office, before 15 October 2012, for review by the RASG-MID/2 meeting. Accordingly, the meeting agreed to the following Draft Conclusion:

*DRAFT CONCLUSION 1/4: REGIONAL COOPERATION FOR THE PROVISION OF ACCIDENT AND INCIDENT INVESTIGATION SERVICES*

*That, States and International Organizations provide their comments on the proposed approach for Regional Cooperation for the provision of Accident and Incident Investigation Services at Appendix 4B to the Report on Agenda Item 4, to the ICAO MID Regional Office, before 15 October 2012, for review by the RASG-MID/2 meeting.*

2.13 Unfortunately, no comments have been received from States, so far.

2.14 In order to get a general picture of the Accident and Incident Investigation activities and capabilities in the MID Region, the RSC/1 Meeting agreed that the ICAO MID Regional Office carry out a survey based on the questionnaire proposed by UAE at **Appendix B** to this working paper. Accordingly, the meeting agreed to the following Draft Conclusion:

*DRAFT CONCLUSION 1/5: ACCIDENT AND INCIDENT INVESTIGATION ACTIVITIES AND CAPABILITIES IN THE MID REGION*

*That, the questionnaire at Appendix 4C to the Report on Agenda Item 4 be used for the conduct of a survey related to Accident and Incident Investigation activities and capabilities in the MID Region.*

2.15 As a follow-up action to the above Draft Conclusion, the ICAO MID Regional Office issued State Letter Ref.: AN 11/21.1-12/198 dated 4 July 012 requesting States to complete the questionnaire related to Accident and Incident Investigation activities and capabilities.

2.16 The meeting may wish to note that four (4) States (Egypt, Jordan, Oman and UAE) have replied to the questionnaire on AIG activities and capabilities. From the replies received, the following is to be highlighted:

- in some States, the independence of the accident investigation authority is still not addressed;
- not all States have established an organizational structure for the investigation of aircraft accidents and serious incidents;
- not all States have necessary laboratories and equipment to download DFDRs, CVRs, etc and assist in the investigation;
- in some States, a voluntary reporting system has not been established;
- not all States have established an accident and incident database; and
- the volume of activities varies from 0 to 60 occurrences investigated per year.

**3. ACTION BY THE MEETING**

3.1 The meeting is invited to:

- a) endorse the RSC/1 Draft Conclusions with necessary amendments, as appropriate;
- b) encourage States and all partners to participate actively in the ACAC/ICAO Seminar/Workshop on Regional Safety Oversight Programmes scheduled to be held in Rabat, Morocco, 10-12 December 2012; and
- c) agree on the next course of actions to develop a MID Region Strategy/Action Plan with regard to the establishment of RSOO(s) and RAIO(s) in the MID Region.

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APPENDIX A

**APPROACH FOR REGIONAL COORDINATION FOR  
THE PROVISION OF ACCIDENT AND INCIDENT INVESTIGATION SERVICES**

**Stage A** (this Stage might take up to three years):

1. Establish and approve a list of research institutions and centers, within the member states, specialized in metallurgy, electronics, human factors, flight recorders, composites, etc.
2. Establish and approve a list of investigators, along with their capabilities that other States may utilize in case of an accident.
3. Establish and approve a list of member states' national, as well as international, recognized recorders (FDR & CVR) readout and analysis centers.
4. Establish a common training program to the member states' investigators taking into consideration the continuation, advanced and specialized courses.
5. The UAE GCAA is inviting all interested parties to attend a Workshop in November.
6. The GCAA will organize and host the event in order to discuss the possibility of organizing better coordination. The workshop will be enhanced with ICAO participation for better understanding issues associated with Regional coordination efforts.
7. Form a Regional Air Safety Investigation Society similar to the International Air Safety Investigators 'ISASI' and Asian Societies of Air Safety Investigators 'AsiaSASI'.
8. At the end of this Stage all interested States will agree if there is a need to move to the next Stage.

**Stage B** (This Stage will be initiated in case Stage A is successfully completed):

1. Sign MOUs between and among the interested parties, for closer coordination.
2. Create a taskforce that will coordinate efforts.
3. Organize a study that will provide a better understanding of the detailed issues.
4. The financial aspects of the project should be thoroughly addressed in the study.
5. Promulgate joint regulations and publications to enable the member states utilize any of the individual member's mutual agreements with a third party State especially in activities pertinent to underwater wreckage recovery, toxicology testing, aviation pathology, etc.

6. At the end of this Stage all interested States will agree if there is need to move to the next Stage which will be to agree to further review for the Middle East Accident Investigation Organization (MID-RAIO).

***Stage C:***

1. Initiate processes in accordance with Doc 9946 to establish the MID-RAIO.

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APPENDIX B

ACCIDENT AND INCIDENT INVESTIGATION  
ACTIVITIES AND CAPABILITIES IN THE MID REGION

STATE \_\_\_\_\_

Date / /

1. Please provide the contact details of the Accident Investigation focal point within your State.
2. Has the State formally designated and established an organizational structure (specific agency, commission, board or other body) for the investigation of aircraft accidents and serious incidents, supported by appropriate legislative framework?
3. Does the legislation provide for the independence of the accident investigation authority in charge of conducting aircraft accident and serious incident investigations?
4. Has the State established a process for funding the accident investigation authority to investigate accidents and serious incidents which fall into its area of responsibility?
5. Does the State have sufficient human resources to meet its national and international obligations related to aircraft accident investigations?
6. Does the State have its own appropriately qualified personnel identified and charged with aircraft accident and serious incident investigation duties?
7. How many trained accident investigators are employed by the Organisation that performs accident and incident investigation within your State?



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8. Does your organisation perform necessary investigation related training?
  
9. Has the State/investigation authority established minimum qualifications and experience requirements for aircraft accident investigators?
  
10. If the State does not have its own appropriately qualified personnel, does the State have arrangements (i.e. memoranda of understanding [MOUs]) with other States or with regional organizations to obtain the necessary personnel in an expeditious manner in the event of an accident?
  
11. Does the investigation authority provide investigators with appropriate equipment to enable the conduct of investigations?
  
12. Does your organisation have the capability to download DFDRs and/or CVRs?
  
13. Does your organisation have any type of laboratory assisting your investigations?
  
14. Has the State established and implemented a mandatory incident reporting system to facilitate the collection of information on actual or potential safety deficiencies?
  
15. Has the State established and implemented voluntary occurrence reporting system, managed at the State level, to facilitate the collection of information that may not be captured by a mandatory incident reporting system?
  
16. Has the State promulgated legislation and procedures for ensuring that its voluntary occurrence reporting system is non-punitive and for ensuring protection to the sources of the information?

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17. Has the State established an accident and incident database for facilitating the effective analysis of information obtained, including that from its accident and incident reporting systems?
18. Is the database created in a standardized format to facilitate data exchange (is the taxonomy compatible with ADREP/ECCAIRS)?
19. Does the State analyse the information contained in its accident/incident reports and the database to determine any preventive actions required?
20. How many occurrences have you investigated in :
- |      |       |      |       |
|------|-------|------|-------|
| 2009 | _____ | 2010 | _____ |
| 2011 | _____ | 2012 | _____ |

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