



DIRECTORS GENERAL OF CIVIL AVIATION-MIDDLE EAST REGION

Fourth Meeting (DGCA-MID/4) (Muscat, Oman, 17-19 October 2017)

Agenda Item 5: Aviation Safety

REVISED STRATEGY FOR THE ENHANCEMENT OF COOPERATION AMONG THE MIDDLE EAST AND NORTH AFRICA (MENA) STATES IN THE PROVISION OF AIG FUNCTIONS

(Presented by the Secretariat)

SUMMARY

This paper presents the Draft Strategy for enhancement of cooperation among the Middle East and North Africa (MENA) States in the provision of AIG functions.

Action by the meeting is at paragraph 3.

REFERENCES

- DGCA-MID/1, DGCA-MID/2, DGCA-MID/3 Reports
- RASG-MID/5 and RASG-MID/6 Reports

1. INTRODUCTION

1.1 The DGCA-MID/1 Meeting (Abu Dhabi, UAE, 22 - 24 March 2011), through Conclusion 1/9, invited States to cooperate towards the establishment of Regional Safety Oversight Organizations (RSOOs) and Regional Accident and Incident Investigation Organizations (RAIOs), in order to strengthen safety oversight capabilities and solve common safety-related deficiencies, in an effective, cooperative and sustainable manner.

1.2 As a follow-up action to the DGCA-MID/1 Conclusion 1/10, an ACAC/ICAO Seminar/Workshop on regional safety Oversight Programmes (Rabat, Morocco, 10 -12 December 2012) developed Draft Strategies for the establishment of RSOO(s) and RAIO(s).

1.3 The DGCA-MID/2 Meeting (Jeddah, Saudi Arabia, 20 - 22 May 2013), through Conclusion 2/11, endorsed the Strategy for establishment of RAIO(s).

1.4 The DGCA-MID/3 Meeting (Doha, Qatar, 27-29 April 2015) urged States to provide feedback on the implementation of the different steps and agreed that a progress report on the subject should be presented to the DGCA-MID/4 meeting.

2. DISCUSSION

2.1 The RASG-MID/5 meeting (Doha, Qatar, 22-24 May 2016) agreed that Strategy for establishment of RAIO(s) needs to be revised in order to reach a mature level of regional cooperation before considering establishment of RAIO(s). It was agreed through Conclusion 5/13, that an ACAC/ICAO joint Workshop be organized in 2017 in order to develop a revised Strategy.

2.2 The ACAC/ICAO AIG Workshop was successfully held in Jeddah, Saudi Arabia, 25-27 April 2017. A new Draft Strategy was developed by the Workshop. The objective of the new Strategy is to contribute to the improvement of aviation safety in the MENA States by enabling States to conduct effective and independent investigations of aircraft accidents and incidents, and support States in fulfilling their investigation obligations in Annex 13. The Draft Strategy is at **Appendix A**.

2.3 A Roadmap for the implementation of the Strategy was developed, under the framework of RASG-MID. The Roadmap is a live document which includes Key Performance Indicators (KPIs) developed for monitoring the implementation to ensure that the Roadmap agreed goals are achieved.

2.4 The meeting may wish to note that the RASG-MID/6 meeting (Manama, Bahrain, 26-28 September 2017) reviewed and supported the new Strategy for final endorsement by the DGCA-MID/4 meeting. It was agreed that the Roadmap would be further finalized by the relevant RASG-MID subsidiary bodies and the RASG-MID Steering Committee.

3. ACTION BY THE MEETING

3.1 The meeting is invited to endorse the draft Strategy for enhancement of cooperation among the MENA States in the provision of AIG functions at **Appendix A**.

APPENDIX A

STRATEGY FOR THE ENHANCEMENT OF COOPERATION AMONG THE MIDDLE EAST AND NORTH AFRICA (MENA) STATES IN THE PROVISION OF AIG FUNCTIONS

1- Background

Whereas it is incumbent on the State in which an accident occurs to institute an inquiry into the circumstances of the accident in conformity with Article 26 of the Convention;

Whereas Assembly Resolution A36-10, inter-alia:

- urges Contracting States to undertake every effort to enhance accident prevention measures, particularly in the areas of personnel training, information feedback and analysis and to implement voluntary and non-punitive reporting systems, so as to meet the new challenges in managing flight safety, posed by the anticipated growth and complexity of civil aviation;
- urges Contracting States to cooperate with ICAO and other States in a position to do so, in the development and implementation of accident prevention measures designed to integrate skills and resources to achieve a consistently high level of safety throughout civil aviation;

Whereas, amendment 15 of Annex 13 (STD 3.2) stipulates that a State shall establish an accident investigation authority that is independent from State aviation authorities and other entities that could interfere with the conduct or objectivity of an investigation;

Whereas, owing to the growing sophistication and complexity of modern aircraft, the conduct of an accident or serious incident investigation requires participation by experts from many specialized technical and operational fields and access to specially equipped facilities for investigation;

Whereas many Contracting States do not have such specialized technical and operational expertise and appropriate facilities;

Whereas the costs of salvage and investigation of major aircraft accidents may place a heavy financial burden on the resources of the State where the accident occurred;

Whereas Assembly Resolution A37-15 (Appendix U), recommends that Contracting States cooperate in the investigation of major aircraft accidents or accidents in which the investigation requires highly specialized experts and facilities;

Whereas, the ICAO Universal Safety Oversight Audit Programme (USOAP) audit findings indicate that a number of States have not been able to implement an effective accident and incident investigation system for their aviation activities;

Recognizing that the USOAP findings have been associated, in general, with a lack of resources (both human and financial), lack of appropriate legislation and regulations, lack of an organization for the investigation of accidents and incidents, lack of a training system for investigators, lack of equipment to conduct investigations and lack of policies, procedures and guidelines for accident and incident investigations;

Recognizing that combined with the expected increase in air transport operations, the relatively unchanged trend in the accident rate over the past several years might lead to an increase in the number of accidents per year;

Recognizing that there are many challenges to effective accident prevention, and that more effective identification and correction of aviation hazards and system deficiencies are required in order to complement regulatory efforts in further reducing the number of worldwide accidents and to improve the accident rate;

Recognizing that a regional investigation system can provide economies of scale by allowing for the sharing of required resources, and that by working together, States of a region or sub-region can have a more persuasive voice on the world stage and can help secure a more favorable climate aimed at a safer international air transportation system;

Acknowledging that during the AIG Divisional Meeting (2008) several States highlighted that, in regions where individual States do not have investigation capability, implementing a regional accident and incident investigation organization (RAIO) would ensure the effectiveness of investigations, reinforce conformity with the provisions of Annex 13, and contribute to the enhancement of aviation safety;

Whereas, Annex 13 (STD 5.1 and 5.1.2) stipulates that the State of Occurrence shall institute an investigation into the circumstances of the accident and serious incident (maximum mass of over 2 250 kg) and be responsible for the conduct of the investigation, but it may delegate the whole or any part of conducting of such investigation to another State or a RAIO by mutual arrangement and consent. In any event, the State of Occurrence shall use every means to facilitate the investigation;

Considering that the DGCA-MID/2 meeting (Jeddah, Saudi Arabia, 20 - 22 May 2013) noted that it is widely considered that implementing a RAIO would ensure the effectiveness of investigations, reinforce conformity with the provisions of Annex 13, and contribute to the enhancement of aviation safety; and accordingly through Conclusion 2/11 endorsed the First version of the Strategy for the establishment of RAIO(s);

Considering the AIG needs and capabilities of the Middle East and North Africa (MENA) States; and the implementation of different levels of cooperation for the provision of AIG services/functions at the regional/sub-regional level; and

Considering the challenges related to the establishment of a RAIO;

A strategy is crucial for the enhancement of cooperation in the provision of AIG services/functions among the Middle East and North Africa (MENA) States.

2- Objective

Contribute to improvement of aviation safety in the MENA States by enabling States to conduct effective and independent investigations of aircraft accidents and incidents; and support States in fulfilling their investigation obligations in Annex 13.

3- Methodology

During the ACAC/ICAO AIG Workshop held in Jeddah, Saudi Arabia, 25-27 April 2017, three (3) levels of cooperation for the provision of AIG services/functions in the MENA States have been defined as follows:

Level 1:

Cooperation among MENA States under the framework of Annex 13 and/ or a standard bilateral MOU to share, on ad-hoc basis, resources, training, information, documentation and capabilities; and strengthen conformity with Annex 13.

Level 2:

Cooperation among MENA States under the framework of a regional cooperation mechanism (well-defined scope and set of coordinated, organized and harmonized procedures and mechanisms) for the conduct of accidents and serious incidents investigations.

Level 3:

Establishment of a RAIO with well-defined mandate, roles and responsibilities, organization (human resources), funding mechanism, etc.; with a centralized decision-making process on RAIO activities.

The Table in **Attachment 1** provides more details about each level.

4- Strategic Plan

- (a) States are urged to develop and further strengthen regional/sub-regional cooperation for accidents and incidents investigation.
- (b) MENA States should take necessary measures to reach at least level 2.
- (c) An implementation Roadmap for MENA States should be developed, under the framework of RASG-MID, to provide the details and timelines related to the implementation of the different levels.
- (d) Key Performance Indicators (KPIs) should be developed for the monitoring of the implementation of the Roadmap to ensure that the agreed goals are achieved.
- (e) The decision on whether to continue towards the establishment of a full MENA RAIO, or to be satisfied with level 2 cooperation, will be taken in due course, depending on the achievement of the expected KPIs/goals.

Attachment 1

	Level 1 (Bilateral Agreements)	Level 2 (Regional Cooperation Mechanism)	Level 3 (RAIO)
Human resources	Shared between the two States	List of MENA States' investigators available to support States in the conduct of investigations, as required. The State conducting the investigation will hold the cost	Investigators from RAIO will lead/participate in investigation conducted by a member State, The cost share is determined by RAIO
AIG training	Shared between the two States	List of planned training courses in all member States is maintained by a voluntary State. Member States may benefit from training conducted by other member States.	<ul style="list-style-type: none"> - The syllabus of the basic training is RAIO-centralized. - Advanced and specialized trainings are determined by RAIO
Equipment, tools, and technology	Shared between the two States	List of MENA States' special equipment is determined and maintained by a voluntary State for use by all member States, as required. The State conducting the investigation will hold the cost	RAIO-centralized tools and equipment are used by member States. Cost share is determined by RAIO
Accidents and incidents database	Access may be granted to the other State's accident/incident database	Database is shared voluntary and managed by a voluntary State	Database is obliged to be shared and is RAIO-centralized
Data repository	Access may be granted to the other State's data repository	Common data repository is managed by a voluntary State	Data repository is RAIO-centralized
Knowledge, safety information, and procedures	Shared between the two States	<ul style="list-style-type: none"> - Knowledge and information is stored in data repository managed by a voluntary State - Procedure is common 	<ul style="list-style-type: none"> - Knowledge and information is stored in RAIO-centralized data repository - Procedure is centralized

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Services of State's National Centers of research, laboratories, institutions, experts, etc. (External to the AIG)	A State can utilize the other State's National Centers	List of MENA States' Centers that can be utilized by any member State. The State conducting the investigation will hold the cost	RAIO-centralized list of Centers. Cost share is determined by RAIO
Investigation regulations	Individual, but a State can benchmark the other State	Harmonized and coordinated by a voluntary State	RAIO-centralized
Oversight of the State investigation authority	Individual, but a State may conduct a peer-review upon the other State request	Pooled peer-review group maintained by a voluntary State	RAIO oversight (either by a RAIO group or by outsourced organization)
Funding of conducting investigations	The State responsible for initiating the investigation holds the cost	The State responsible for initiating the investigation holds the cost	Investigations into certain category of accidents are conducted by RAIO based on published criteria. Cost share is determined by RAIO
Funding of regional investigation organization	-	-	Centralized fund by States' contributions

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