



# ICAO

International Civil Aviation Organization  
North American, Central American and Caribbean Office

WORKING PAPER

CARAIO — WP/02  
15/02/17

**First Meeting for the Establishment of Caribbean Regional AIG Organization (CARAIO)**  
Mexico City, Mexico, ICAO NACC Regional Office, 21 to 22 February 2017

**Agenda Item 3: Project Description Phase I / Project Composition**

**SAFE FUND PROJECT FOR CARIBBEAN RAIO**

(Presented by Secretariat)

<b>EXECUTIVE SUMMARY</b>	
This paper presents the SAFE FUND Project approved by ICAO for the development of the RAIOS in the CAR Region	
<b>Action:</b>	See section 3
<b>Strategic Objectives:</b>	<ul style="list-style-type: none"><li>• Safety</li></ul>
<b>References:</b>	<ul style="list-style-type: none"><li>• ICAO SAFE FUND Project for CARAIO</li></ul>

**1. Introduction**

1.1 The Safety Fund (SAFE) serves as a mechanism for the collection and use of voluntary contributions from States and other donors to support ICAO safety programmes in a responsible, consistent, transparent, efficient and timely manner.

1.2 The purpose of SAFE is to improve the safety of civil aviation by addressing serious safety deficiencies in countries which lack the financial means to do so, as well as by providing ICAO with the management reserve required to act immediately and effectively on urgent safety issues and in response to unforeseen events.

**2. Discussion**

2.1 ICAO NACC Office in coordination with CASSOS, developed a Project Proposal for the RAIO for the Caribbean States, which has been formulated to be developed in two phases: Phase 1 Planning and Phase 2 Implementation, with the following three main areas for the planning phase:

- a) CARAIO Study: Conduct a feasibility study for the establishment of the CARAIO in coordination with ICAO HQs AIG Section, COCESNA/ACSA, NTSB, etc.;
- b) CASSOS Member States AIG Capacity Building Assessment:

- I. Conduct study to determine existing capabilities (both human and material) of individual States to carry out their investigation responsibilities, such as number of qualified personnel, research and analysis institutions, and facilities to carry out flight data recorder readout and analysis;
- II. Develop CARAIO models/options that best suits to the region, including recommendations and financing sources to ensure its sustainability; and
- III. Develop a regional training programme in coordination with ICAO Global Aviation Training (GAT), NAM/CAR Training Centers, etc.

c) CASSOS Member States AIG Action Plan:

- ✓ Develop an action plan for improving AIG area under USOAP-CMA
- ✓ Develop an action plan for effective implementation of CARAIO

2.2 The implementation phase (Phase 2) to support the action plan implementation will be defined and implemented in the future, based on the results of the planning phase (Phase 1). Accordingly, this proposal addresses the Phase 1 only.

### **3. Suggested Actions**

3.1 The Meeting is invited to:

- a) review the formulation of the CARAIO Project, its scope, initial funding and activities; and
- b) take the necessary actions for allowing the benefits of the actions be applicable to the two CAR RAIOS (GRIAA and CARAIO)

-----

**APPENDIX**  
**REGIONAL ASSISTANCE PROJECT UNDER ICAO NACC REGIONAL OFFICE NO COUNTRY LEFT BEHIND**  
**STRATEGY (NCLB)**

**TECHNICAL ASSISTANCE PROPOSAL**

**ESTABLISHMENT OF A REGIONAL ACCIDENT AND INCIDENT INVESTIGATION ORGANIZATION (RAIO)**  
**FOR CASSOS MEMBER STATES**

**1. INTRODUCTION**

1.1 Article 26 of the Convention on International Civil Aviation specifies that it is incumbent on a State in which an aircraft accident occurs to institute an inquiry into the circumstances of the accident. This obligation can be met only when an appropriate organization is in place for the investigation of aircraft accidents.

1.2 In accordance with Annex 13 – *Aircraft Accident and Incident Investigation* to the Convention on International Civil Aviation, the State of Occurrence shall institute an investigation into the circumstances of the accident and be responsible for the conduct of the investigation, but it may delegate the whole or any part of the conducting of such investigation to another State or a regional accident and incident investigation organization by mutual arrangement and consent. Furthermore ICAO encourages States to implement an adequately funded, professionally trained accident investigation authority. As per the ICAO State Safety Programme (SSP) in Annex 19 – *Safety Management*, to the Convention on International Civil Aviation, States maintain the independence of the accident and incident investigation organization from other States aviation organizations.

1.3 In the CAR Region, several States present this lack of compliance with AIG matters and particularly Annex 13, like Barbados, Haiti and the Organization of Eastern Caribbean States (OECS): Antigua and Barbuda, Dominica, Grenada, Saint Kitts, Saint Lucia and Nevis, Saint Vincent and the Grenadines. Some of the mentioned States are part of the Caribbean Aviation Safety and Security Oversight System (CASSOS), which was established under the CARICOM Civil Aviation Authorities agreement in 3 July 2008. Currently CASSOS Member States comprises Barbados, Haiti, Jamaica, Trinidad and Tobago, OECS States and active participation from United Kingdom ASSI States (Montserrat, Anguilla and British Virgin Islands).

1.4 The ICAO Universal Safety Oversight Audit Programme (USOAP) has highlighted that CASSOS Member States have:

- EI average for AIG area is 43.06%
- EI average of CE-3: 44.07% and CE-4: 33.49%
- Lack of aviation accident/incident investigation mechanisms/structures in certain States
- Lack of quality and low rate of the reports to ICAO ADREP in certain States
- Lack of independence of the aircraft accident and incident investigation organization from the CAAs

1.5 There are many contributory factors to this issue, mainly associated with lack of resources (human and financial), appropriate legislation and regulations; an appropriate organization for the investigation of accidents and incidents; a training system in place for investigators; equipment to conduct investigations; and policies, procedures and guidelines for accident and incident investigation.

1.6 The ICAO NACC Regional Office (NACC RO) had promoted that regional collaboration and solutions as the most feasible and cost effective ways for States to be compliant with ICAO SARPs, and so the existence of regional safety oversight organizations (RSOOs) like CASSOS is a sample of this approach.

1.7 Currently a Regional Accident and Incident Investigation Organization (RAIO) exists in the CAR Region established for Central American States, which are Members of COCESNA, denoted GRIAA (*Grupo Regional de Investigación de Accidentes Aéreos*). The GRIAA is supported as a Regional Aviation Safety Group – Pan America (RASG-PA) project under the leadership of COCESNA/ACSA, which is a RSOO.

1.8 In this regard, CASSOS and ICAO NACC Regional Office considered that the establishment of a RAIO - under the guidance of ICAO *Manual on Regional Accident and Incident Investigation Organization* (RAIO) Doc 9946 - would allow CASSOS member States to comply with the provisions of Annex 13 to the Convention on International Civil Aviation.

1.9 Based on the above, the NACC RO under the No Country Left Behind (NCLB) Strategy, and in coordination with CASSOS, COCESNA/ACSA and the United States NTSB, presented the project proposal for a RAIO for CASSOS to the sixth North American, Central American and Caribbean Directors Meeting (NACC/DCA/6) in May 2016 in Nassau, Bahamas, where all States agreed/ supported and formulated the following conclusion:

**CONCLUSION  
NACC/DCA/6/4**

**ESTABLISHMENT OF A RAIO IN THE CAR REGION**

That, in order to foster the improvement in the Effective Implementation in the AIG matters in the CAR Region and enhance regional collaboration under the NACC NCLB Strategy through the establishment of a RAIO for CASSOS Member States and other CAR States as required, CAR States led by ICAO NACC Regional Office:

- a) designate a PoC for this action by **31 May 2016**;
- b) develop and implement an action plan including as a minimum the Project areas detailed in **Appendix C**; and
- c) present the progress accomplished from item b) by the NACC/DCA/7 meeting.

**2. SCOPE**

2.1 The CASSOS RAIO (CARAIO) establishment will be developed in two phases: Phase 1 Planning and Phase 2 Implementation, with the following three main areas for the planning phase:

- 2.1.1. CARAIO Study: Conduct a feasibility study for the establishment of the CARAIO in coordination with ICAO HQs AIG Section, COCESNA/ACSA, NTSB, etc.

### 2.1.2. CASSOS Member States AIG Capacity Building Assessment:

- a. Conduct study to determine existing capabilities (both human and material) of individual States to carry out their investigation responsibilities, such as number of qualified personnel, research and analysis institutions, and facilities to carry out flight data recorder readout and analysis;
- b. Develop CARAIO models/options that best suits to the region, including recommendations and financing sources to ensure its sustainability; and
- c. Develop a regional training programme in coordination with ICAO Global Aviation Training (GAT), NAM/CAR Training Centres, etc.

### 2.1.3. CASSOS Member States AIG Action Plan:

- a. Develop an action plan for improving AIG area under USOAP-CMA
- b. Develop an action plan for effective implementation of CARAIO

2.2 The implementation phase (Phase 2) to support the action plan implementation will be defined and implemented in the future, based on the results of the planning phase (Phase 1). Accordingly, this proposal addresses the Phase 1 only.

## 3. DELIVERABLES

3.1 The following deliverables will be produced in the Phase 1:

- 3.1.1. Report about the feasibility of the implementation of the CARAIO
- 3.1.2. Report on existing AIG capabilities by the CASSOS Member States and RAIO models/options, including recommendations, as well as financing sources
- 3.1.3. Regional training programme
- 3.1.4. Action plan for AIG EI% improvement
- 3.1.5. Action plan for the implementation of the CARAIO

3.2 The above deliverables will allow in the Phase 2 of the project to:

- 3.2.1. Establish an RAIO in the region
- 3.2.2. Foster and establish the regional training, cooperation and safety information exchange among CASSOS Member States for AIG activities and other CAR Region States
- 3.2.3. Enhance Accident and Incident Investigation rate and quality in the CAR Region
- 3.2.4. Enhance reporting of occurrences
- 3.2.5. Reduce of fatality risk in the CAR Region according to RASG-PA goal
- 3.2.6. Improve USOAP-CMA results

## 4. PROJECT INPUTS

4.1 States, International Organizations, Industry and ICAO Inputs

4.1.1 Up to date, based on the coordination teleconferences conducted, United States NTSB will provide in kind assistance for the AIG training and COCESN/ACSA will also provide in kind assistance and experience from the GRIAA for the establishment of the CARAIO. The COCESNA/ACSA support is provided as part of the Memorandum of Cooperation COCESNA-CASSOS. Designated Points of Contact had been provided from US NTSB, CASSOS, COCESNA/ACSA and ICAO NACC RO.

**5. PROJECT REVIEW, MONITORING AND REPORTING**

5.1 ICAO NACC RO will be in charge to monitor the implementation of the project and report to regular CASSOS Board Meetings and ICAO HQs.

**6. PROJECT BUDGET**

6.1 The cost of the project, including travel, documentation, and miscellaneous expenses is estimated at US\$ 31,912 (details in Appendix) for the planning phase only.

-----

**Appendix**  
(Project Budget)

**1. Feasibility study for the establishment of the RAIO (Deliverable 3.1.1)**

Item	Description	Location	No. of Participants	Calculations	Total (US\$)	Responsible
1	Meeting of Subject Matter Expert (SME) with ICAO NACC Regional Office leadership to discuss the project and collect information	Mexico	1 from ICAO HQs	4 days DSA US\$320 Ticket Fare US\$800 Terminals US\$ 152	1,280 + 800+152 Total US\$2,232	ICAO NACC RO
2	Meeting of CASSOS leadership with ICAO NACC leadership to present the project, identify POC, collect information, etc.	Jamaica	1 from Mexico	7 days DSA US\$313 Ticket Fare US\$900 Terminals US\$ 152	2,191 + 900+152 Total US\$3,243	ICAO NACC RO
3	Coordination with other stakeholders (COCESNA/ACSA, NTSB, CENIPA, FAA, etc.) to collect and process information to produce the report	---	1 SME	30 days US\$200	Total US\$6,000	ICAO NACC RO
4	Meeting with CASSOS leadership/Board and ICAO NACC RO leadership to present the report	Jamaica	1 from Mexico	3 days DSA US\$313 Ticket Fare US\$900 Terminals US\$ 152	939 + 900+152 Total US\$1,991	ICAO NACC RO
<b>Total US\$</b>					13,466	ICAO NACC RO

**2. Report on existing AIG capacity of States and regional training programme (Deliverables 3.1.2 and 3.1.3)**

Item	Description	Location	No. of Participants	Calculations	Total (US\$)	Responsible
5	Meeting of SME with NAM/CAR/CATCs leadership to assess AIG training programmes	Mexico	1 from HQs	3 days DSA US\$320 Ticket Fare US\$800 Terminals US\$ 152	960 + 800 +152 Total US\$1,912	ICAO NACC RO
6	Collect and process information to produce the report	---	1 SME	20 days US\$200	Total US\$4,000	ICAO NACC RO
7	Meeting with CASSOS leadership/Board and ICAO NACC RO leadership to present the report	Jamaica	1 from Mexico	3 days DSA US\$313 Ticket Fare US\$900 Terminals US\$ 152	939 + 900+152 Total US\$1,991	ICAO NACC RO
<b>Total US\$</b>					7,903	ICAO NACC RO

**3. Report on AIG EI% improvement action plan and RAIO implementation plan (Deliverables 3.1.4 and 3.1.5)**

<b>Item</b>	<b>Description</b>	<b>Location</b>	<b>No. of Participants</b>	<b>Calculations</b>	<b>Total (US\$)</b>	<b>Responsible</b>
8	Process information and produce the report	---	1 SME	30 days US\$200	Total US\$6,000	ICAO NACC RO
9	Meeting with ICAO NACC RO leadership to discuss the report	Mexico	1 from HQs	5 days DSA US\$320 Ticket Fare US\$800 Terminals US\$ 152	1,600 + 800+152 Total US\$2,552	ICAO NACC RO
10	Meeting with CASSOS leadership/ Board and ICAO NACC RO leadership to present the report	Jamaica	1 from Mexico	3 days DSA US\$313 Ticket Fare US\$900 Terminals US\$ 152	939 +900+152 Total US\$1,991	ICAO NACC RO
<b>Total US\$</b>					10,543	ICAO NACC RO





— A8 —

-----

or

— END —