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Webinar – Procedimientos AIG

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Procedimiento

✈ El significado de procedimiento es:

✈ 1. m. Acción de proceder.

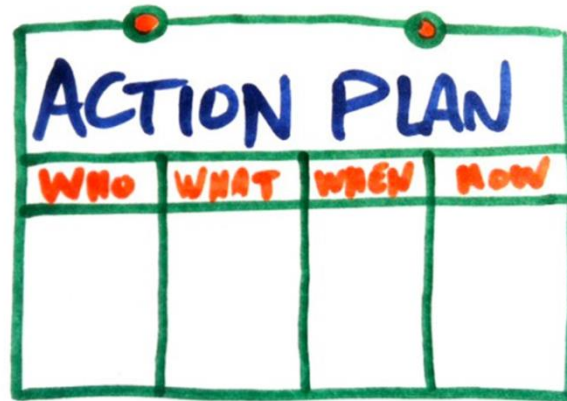
✈ 2. m. Método de ejecutar algunas cosas.

✈ 3. m. Der. Actuación por trámites judiciales o administrativos.

(Diccionario de la Lengua Española de la Real Academia Española)

Aspectos a considerar

✈ Un procedimiento es un plan de acción para su equipo



A hand-drawn diagram of an 'ACTION PLAN' table. The title 'ACTION PLAN' is written in blue capital letters at the top. Below it is a table with four columns labeled 'WHO', 'WHAT', 'WHEN', and 'HOW' in red capital letters. The table has two rows of empty cells for data entry. The entire diagram is drawn with green lines and has two red dots at the top, resembling pushpins.

| ACTION PLAN | | | |
|-------------|------|------|-----|
| WHO | WHAT | WHEN | HOW |
| | | | |
| | | | |



Aspectos a considerar

- ✈ Un procedimiento es un plan de acción para su equipo
 - ✈ Es una hoja de ruta que les prevendrá de distracciones o de perder el objetivo mientras trata de alcanzar el objetivo
 - ✈ Los procedimientos deben estar por escrito para que las cosas que necesiten hacerse sean seguidas al pie de la letra por todos los usuarios



Aspectos a considerar

- ✈ Los procedimientos le ayudan a implementar una política en particular
 - ✈ Ejemplo: cuando una nueva norma del Anexo 13 entra en vigor, usted necesitará implementarla de manera consistente



Aspectos a considerar

- ✈ Los procedimientos bien definidos protegen a la alta gerencia de volverse en micro-gestores
- ✈ Al utilizar procedimientos bien escritos, explícitos y sin complicaciones, la organización puede llevar a cabo operaciones distintas sin tener preocupaciones relacionadas con el proceso de trabajo



Aspectos a considerar

✈ Procedimientos para facilitar el trabajo de todos

- ✈ Los procedimientos deben desarrollarse con el usuario en mente
- ✈ Al utilizar procedimientos, todos y todas sabrán lo que debe hacerse
- ✈ Los procedimientos bien desarrollados y pensados brindan beneficios al usuario de dicho procedimiento

Aspectos a considerar

✈ Los procedimientos necesitan ser validados

- ✈ Para garantizar que sus procedimientos tengan sentido, necesita verlos en acción
- ✈ La validación puede determinar la necesidad de ajustar el procedimiento



Aspectos a considerar

✈ Necesita establecerse un ciclo de revisión

- ✈ Considerando que las leyes, las SARPS y los métodos recomendados siempre están en evolución, es muy probable que sus procedimientos también lo estén
- ✈ Establecer líneas de tiempo para la revisión de sus procedimientos



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Propósito de los procedimientos AIG

✈ Cada procedimiento está establecido con un propósito en específico, la cual está relacionada, por lo general, con una obligación o responsabilidad inherente al Estado y esto surge de su condición de firmante al Convenio de Chicago



Propósito de los procedimientos AIG

- ✈ Las preguntas de protocolo del USOAP siempre indican el propósito de cada procedimiento
- ✈ La gran mayoría de los procedimientos existen para “asegurar” el cumplimiento con un requerimiento



Elementos requeridos en un procedimiento

- ✈ Los procesos y procedimientos deben aclarar quién hace qué y cómo lo hace, cuándo lo hace (o dentro de qué plazos de tiempo) y en coordinación con quién (según aplique)



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Diferencia entre procedimiento y orientación

✈ Los procedimientos informan:

QUIÉN hace **QUÉ**, **CÓMO**, **CUANDO** y en **COORDINACIÓN** con quién



Diferencia entre procedimiento y orientación

✈ El material de orientación explica:

POR QUÉ

- se realiza una **determinada acción / tarea**
- se selecciona a **cierta persona** para realizar la acción / tarea
- la acción / tarea se realiza de una **manera específica**
- se ha asignado un **plazo específico** a la acción / tarea
- la coordinación con cierta persona es **necesaria**

QUIÉN

- ✈ Persona responsable para ejecutar cada acción / tarea
- ✈ Individualizada (puesto)



“El/la jefe/a de la unidad de investigación de accidentes” ✓

“El/la investigador/a cargo” ✓

“El/la investigador/a en turno” ✓



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QUIÉN

✈ **NO UTILICE** una referencia general o relativa a un “sector” u “organización”



~~“La DGAC hará...”~~



QUÉ

- ✈ El procedimiento debe detallar cada una de las acciones/tareas que se llevarán a cabo durante la ejecución del procedimiento
 - ✈ Para cada acción/tarea el procedimiento necesita identificar a la persona a cargo
 - ✈ Como consecuencia, en algunos procedimientos, diferentes acciones/tareas serán ejecutadas por diferentes personas



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CÓMO

✈ La manera en la cual la acción/tarea se lleve a cabo debe estar lo suficientemente detallada para permitir que hasta una persona sin experiencia, recién llegada a la organización, pueda llevarla a cabo de manera eficiente

✈ Por ejemplo, si el procedimiento requiere contactar a alguien, usted debe determinar los medios de contacto (teléfono, correo electrónico, personalmente, etc.) y tener disponible la información de contacto de esa persona



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CÓMO

✈ El nivel de detalle debe ser tal que sea necesario garantizar que cada vez que se realice el procedimiento, el resultado esperado sea el mismo, sin importar la persona que lo ejecute



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CUÁNDO (líneas de tiempo, fechas límite)

✈ Es esencial que cada acción/tarea dentro de un procedimiento tenga una fecha límite para realizarse, para garantizar que el procedimiento se complete de manera puntual



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CUÁNDO (líneas de tiempo, fechas límite)

✈ Frecuentemente encontraremos indicativos de las fechas límite en los documentos de la OACI (Anexo 13, preguntas de protocolo, documentos y circulares)

| PQ | Requerimientos de tiempo |
|------------------------|-----------------------------|
| 1007, 6361, 6381 | oportuno |
| 6115 | diligente |
| 6205, 6315 | sin retraso |
| 6211, 6375, 6377, 6379 | cuando sea necesario |
| 6321, 6329 | con un retraso mínimo |
| 6327, 6357, 6405 | lo antes posible |
| 6347, 6349 | de inmediato |
| 6391 | de principio a fin |
| 6405 | dentro de 12 meses |
| 6407 | dentro de sesenta días |
| 6425 | dentro de noventa días |
| 6435 | tan pronto como sea posible |



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En COORDINACIÓN con quién

✈ En algunas situaciones, será necesario coordinar una acción/tarea específica con una persona determinada (algunas veces en la misma organización o en otra organización)



“El/la investigador/a responsable proporcionará, en coordinación con el/la Jefe/a de la Junta de Investigación, la invitación al explotador...”



Pasos iniciales para desarrollar procedimientos

- ✈ Identificar los requerimientos (legislación, regulación, políticas, normas, PQ, etc.)
 - ✈ Reunir toda la documentación relevante sobre los requerimientos
- ✈ Identificar que el proceso del procedimiento sea parte de
 - ✈ Debe estructurar el AIG en su Estado de manera que todos los elementos que sean parte de su sistema (por ejemplo: legislación, infraestructura, recursos humanos, documentación, etc.) puedan ser claramente vistos
 - ✈ Necesita definir todos los procesos que necesitan llevarse a cabo para establecer su sistema y desarrollar todas las actividades relacionadas con AIG



Pasos iniciales para desarrollar procedimientos

- ✈ Describir la manera en la que, en práctica, su organización es utilizada para accionar y cumplir con los requerimientos
- ✈ Hemos desarrollado una plantilla para ayudarle
 - ✈ La plantilla es una orientación
 - ✈ Siéntase en la libertad de ajustarla y modificarla de manera que sea útil para usted

Plantilla para el desarrollo de procedimientos

| NUMBER: | TITLE: | | | | |
|-------------------|---|--|--|---|---|
| Process: | | | | | |
| Reference: | | | | | |
| Step | WHAT <small>(Detailed description of the task)</small> | WHO <small>(Designated person in responsible for the execution)</small> | HOW <small>(Determination of the way the task will be performed and means to be used)</small> | WHEN <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small> | In COORDINATION with whom <small>(Identify the persons to coordinate the execution of the task with whom applicable)</small> |
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| ... | | | | | |
| n | | | | | |
| NOTES | | | | | |
| N1 | | | | | |
| N2 | | | | | |
| ... | | | | | |
| Nn | | | | | |
| ATTACHMENTS | | | | | |
| # | TITLE | DESCRIPTION | | | |
| A | | | | | |
| B | | | | | |
| ... | | | | | |
| n | | | | | |



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Procedimientos requeridos en las PQs de AIG

- ✈ Existen aproximadamente 40 PQs que requieren procedimientos
- ✈ Existen requerimientos de procedimientos también en las PQs de LEG (no trataremos ese tema por el momento)



Procedimientos requeridos en las PQs de AIG

✈ En las siguientes diapositivas, hay una tabla con los procedimientos requeridos en las PQs de AIG y su **falta de implementación** en nuestra región de acuerdo al OLF*

***La información del OLF es acertada solamente para los Estados que han tenido una auditoría completa en los últimos 5 años. Todos los otros Estados deben considerar una revisión completa de su nivel de implementación**

| PQ | PROTOCOL QUESTIONS OF AIG PROCEDURES | Percentage of States not compliant with each PQ |
|------|--|---|
| 6435 | Has the State, as the State conducting the investigation, developed and implemented procedures to ensure that it sends ADREP accident data reports involving aircraft of a maximum mass of over 2 250 kg to ICAO, as soon as practicable after the investigation? | 82% |
| 6431 | Has the State, as the State conducting the investigation, developed and implemented procedures to ensure that it sends preliminary ADREP reports, when the aircraft involved in an accident is of a maximum mass of over 2 250 kg, to all involved States and ICAO? | 76% |
| 6437 | Has the State, when it has investigated an incident to an aircraft of a maximum mass of over 5 700 kg, established and implemented procedures to ensure that it sends ADREP incident data reports to ICAO? | 76% |
| 6135 | If the State <u>uses experts seconded by the State's</u> CAA or other organizations in the State as investigators, has it established and implemented measures to avoid possible conflicts of interest? | 59% |
| 6405 | Has the State, as the State conducting the investigation, established and implemented procedures to ensure that the final report is completed as soon as possible and that, if the report is not made available within 12 months, an interim statement is made publicly available on each anniversary of the occurrence, detailing the progress of the investigation and any safety issues raised? | 59% |
| 6415 | Has the State, when it has investigated an accident or incident to an aircraft of a maximum mass of over 5 700 kg, established and implemented procedures to ensure that it sends the final report to ICAO? | 59% |
| 6303 | Has the investigation authority developed and issued an investigation procedures manual or equivalent guidance material, containing the policies and procedures to be followed for investigation related tasks? | 53% |
| 6381 | Has the investigation authority established and implemented procedures to ensure that relevant and timely information on the progress of the investigation will be provided to the families and accident survivors? | 53% |
| 6017 | Has the State implemented a procedure for identifying and notifying differences, if any, to ICAO? | 47% |
| 6361 | Has the State established and implemented procedures to ensure the timely recovery and read-out of the flight recorders? | 47% |
| 6397 | Has the State, as a State having suffered fatalities or serious injuries to its citizens, established and implemented procedures to send an expert to the State of Occurrence? | 47% |
| 6501 | Has the State established and implemented (through the necessary legislation, procedures and guidance to the industry) a mandatory incident reporting system to facilitate the collection of information on actual or potential safety deficiencies? | 47% |

| PQ | PROTOCOL QUESTIONS OF AIG PROCEDURES | Percentage of States not compliant with each PQ |
|------|---|---|
| 6329 | Has the State, as the State of the Operator, established and implemented procedures to ensure that it provides the State conducting the investigation with the details of dangerous goods on board the aircraft with a minimum of delay and by the most suitable and quickest means available? | 41% |
| 6363 | Has the State established and implemented procedures to ensure that it complies with Attachment D to Annex 13 regarding the choice of the read-out facility and the participation of the State of Design/Manufacture and the State of the Operator in the flight recorder read-out and analysis activities? | 41% |
| 6395 | <u>Has the State established and implemented procedures</u> to ensure that it appoints advisers proposed, as applicable, by the operator or by the organizations responsible for the type design and the final assembly of the aircraft? | 41% |
| 6421 | Has the State, as the State conducting the investigation, established and implemented guidelines regarding the development and issuance of safety recommendations to the appropriate authorities, including those in other States, at any stage of an accident or incident investigation? | 41% |
| 6423 | Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it addresses, when appropriate, any safety recommendations arising from its investigations to accident investigation authorities in other State(s) concerned and, when ICAO documents are involved, to ICAO? | 41% |
| 6425 | Has the State, as the State receiving safety recommendations from other States, established and implemented procedures: a) to monitor the progress of any action taken in response to these safety recommendations, and b) to ensure that it informs the proposing State within 90 days of the preventive action taken or under consideration or the reasons why no action will be taken? | 41% |
| 6209 | Has the investigation authority established and implemented means to ensure that its investigators are provided with the necessary, up-to-date documentation to effectively accomplish their functions and responsibilities? | 35% |
| 6317 | Has the State, as State of Occurrence, established and implemented procedures to ensure the forwarding of accident/serious incident notifications to other States involved and, when applicable, ICAO? | 35% |
| 6327 | <u>Has the State established and implemented procedures</u> to ensure that it provides the State conducting the investigation with, as applicable, any relevant information regarding the aircraft and flight crew involved in an aircraft accident or serious incident as soon as possible? | 35% |

| PQ | PROTOCOL QUESTIONS OF AIG PROCEDURES | Percentage of States not compliant with each PQ |
|------|--|---|
| 6407 | <p><u>Has the State established and implemented procedures</u> to ensure the consultation on the draft final report with all States which participated in the investigation, inviting their substantiated comments on the report within sixty days from the date of the transmittal letter?</p> | 35% |
| 6411 | <p>Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it will either amend the draft final report to include the substance of the comments received or, if desired by the State which provided the comments, append the comments to the final report?</p> | 35% |
| 6129 | <p>Has investigation authority established and implemented a system for the maintenance of training records for its technical personnel, including records on the OJT received?</p> | 29% |
| 6319 | <p>Has the State established and implemented procedures to ensure the forwarding of accident/serious incident notifications to the States involved and, when applicable, ICAO in the following situations where it is not the State of Occurrence;</p> <ul style="list-style-type: none"> • As State of Registry, in the case of an occurrence in a non-Contracting State or outside the territory of any State? • As State of Registry or State of the Operator, when the State of Occurrence is not aware of a serious incident? | 29% |
| 6349 | <p><u>Has the State established and implemented procedures</u> to ensure the immediate initiation of an investigation through the designation of an investigator-in-charge (IIC) and the appointment of an investigation team, as necessary?</p> | 29% |
| 6357 | <p><u>Has the State established and implemented procedures</u> to ensure that in the event of an accident or serious incident, all air traffic services (ATS) communication recordings and documents associated with the flight are secured and placed in safe keeping as soon as possible?</p> | 29% |
| 6369 | <p>Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it invites to participate in the investigation:</p> <ol style="list-style-type: none"> a) the air operator, when neither the State of Registry nor the State of the Operator appoints an accredited representative; b) the organizations responsible for the type design and the final assembly of the aircraft, when neither the State of Design nor the State of Manufacture appoints accredited representatives? | 29% |
| 6391 | <p>Has the State, as a State participating in an aircraft accident or serious incident investigation, established and implemented procedures to ensure that it provides the State conducting an investigation with all the information and elements required throughout the investigation process?</p> | 29% |

| PQ | PROTOCOL QUESTIONS OF AIG PROCEDURES | Percentage of States not compliant with each PQ |
|------|---|---|
| 6409 | Has the State, as the State conducting the investigation, established and implemented procedures to ensure that a copy of the draft final report is sent for comments; a.) through the State of the Operator to the air operator; and b.) through the State of Design and State of Manufacture to the organizations responsible for the type design and the final assembly of the aircraft? | 29% |
| 6413 | Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it sends the final report to all States involved, including any State having suffered fatalities or serious injuries to its citizens and any State which provided relevant information, significant facilities or experts? | 29% |
| 6015 | <u>Has the State implemented procedures</u> for the amendment of its accident and serious incident investigation enabling regulations and national standards? | 24% |
| 6325 | Has the State established and implemented procedures to ensure that it informs the State conducting the investigation if it intends to appoint an accredited representative and, if so, provides the associated details? | 24% |
| 6347 | Has the investigation authority established and implemented procedures to ensure that it informs the aviation security authorities immediately if an act of unlawful interference was involved or is suspected? | 24% |
| 6373 | Has the investigation authority established and implemented procedures and guidance material for the protection of investigators against biological hazards and other hazards at the accident site? | 24% |
| 6429 | Has the State developed and implemented <u>procedures</u> to record responses to the safety recommendations it has issued? | 24% |
| 6201 | Does the State provide its investigators with all necessary investigation equipment to enable the conduct of investigations? | 18% |
| 6427 | Has the State, as the State conducting the investigation, established and implemented procedures to ensure that intended safety recommendations are included in the draft final report forwarded to the States and organizations concerned? | 18% |
| 6211 | Has the State established and implemented arrangements and procedures to ensure the availability of hangars/storage facilities when needed in order to protect the evidence and maintain safe custody of the aircraft for such a period as may be necessary for the purposes of the investigation? | 12% |
| 6316 | Has the State established procedures and guidance, including a checklist, for the initial response following the receipt of a notification? | 12% |
| 6103 | If the investigation authority has regional offices, is there a system in place for coordination and standardization? | 6% |



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Esta presentación estará disponible en el Portal seguro de la OACI, en el grupo:

NACC_AIG_REF

Si usted no se ha unido a este grupo, se recomienda altamente que lo haga.



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NO DEJES EL WEBINAR!
MANTENTE CONECTADO!



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Dakar

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(APAC) Sub-office
Beijing

Asia and Pacific
(APAC) Office
Bangkok



MUCHAS GRACIAS