



| ICAO SAFETY

# Webinar –AIG Procedures Questions & Answers

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## OBJECTIVE

The purpose of this webinar is to clarify any doubts from the States related to accident and incident investigation related activities.



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# Agenda

- ✈ Questions received in advance
- ✈ Opening the floor to other questions



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# Agenda

✈ Questions received in advance

✈ Opening the floor to other questions



## Questions received in advance

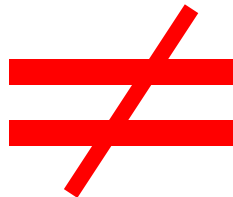
✈ Regarding PQ 6.435, on ADREP accident data reports, on numeral 6.3 of Annex 13, of the sending of the final report for you to submit your comments within 60 days, the questions are the following:

✈ Is the final report sent to the areas involved (such as operator, country of registration, etc.) before being published?



## Confusion !!!!!

PQ 6.435  
is about  
ADREP Report



Std 6.3  
is about  
Draft Final Report



## PQ 6.435

✈ 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?



6.3 The State conducting the investigation shall send a copy of the draft Final Report to the following States inviting their significant and substantiated comments on the report as soon as possible:

- a) the State that instituted the investigation;
- b) the State of Registry;
- c) the State of the Operator;
- d) the State of Design;
- e) the State of Manufacture; and
- f) any State that participated in the investigation as per Chapter 5.

If the State conducting the investigation receives comments within sixty days of the date of the transmittal letter, it shall either amend the draft Final Report to include the substance of the comments received or, if desired by the State that provided comments, append the comments to the Final Report. If the State conducting the investigation receives no comments within sixty days of the date of the first transmittal letter, it shall issue the Final Report in accordance with 6.4, unless an extension of that period has been agreed by the States concerned.

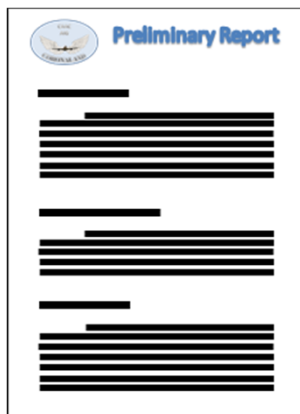




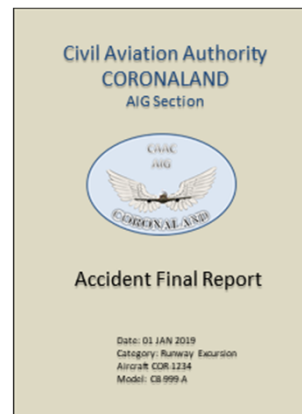
# Answer

There are 4 different types of report:

Preliminary Report



Final Report



Interim Statement



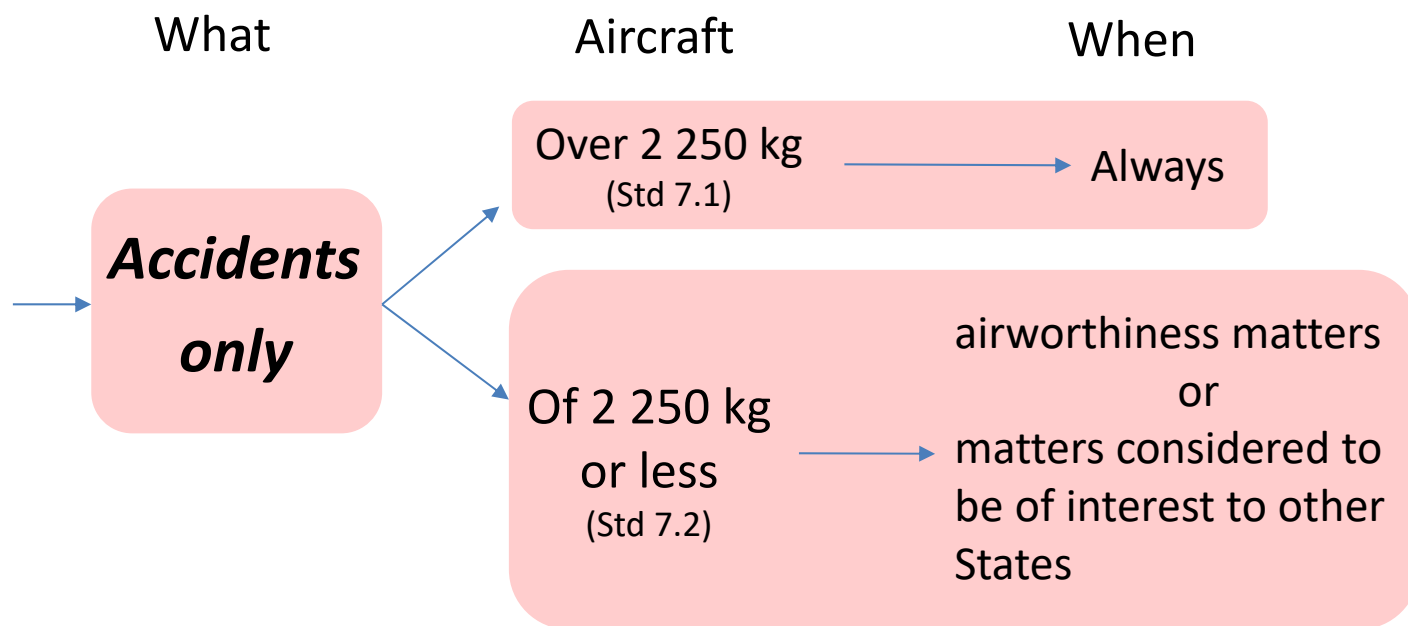
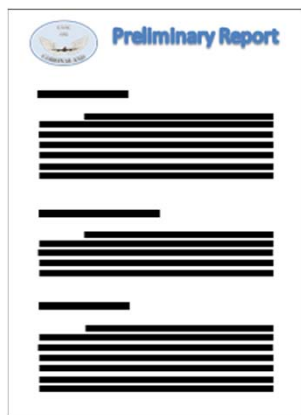
ADREP Report





# Answer

Preliminary Report





# Answer

Preliminary Report



What

Aircraft

When

**Accidents  
only**

Over 2 250 kg  
(Std 7.1)

Always

**PRELIMINARY REPORT**

RESPONSIBILITY OF THE STATE CONDUCTING THE INVESTIGATION

**Accidents to aircraft over 2 250 kg**

**7.1** When the aircraft involved in an accident is of a maximum mass of over 2 250 kg, the State conducting the investigation shall send the **Preliminary Report** to:

- a) the State of Registry or the State of Occurrence, as appropriate;
- b) the State of the Operator;
- c) the State of Design;
- d) the State of Manufacture;
- e) any State that provided relevant information, significant facilities or experts; and
- f) the International Civil Aviation Organization.



# Answer

Preliminary Report



What

**Accidents  
only**

**Accidents to aircraft of 2 250 kg or less**  
7.2 When an aircraft, not covered by 7.1, is involved in an accident and when airworthiness or matters considered to be of interest to other States are involved, the State conducting the investigation shall forward the **Preliminary Report** to:  
a) the State of Registry or the State of Occurrence, as appropriate;  
b) the State of the Operator;  
c) the State of Design;  
d) the State of Manufacture; and  
e) any State that provided relevant information, significant facilities or experts.

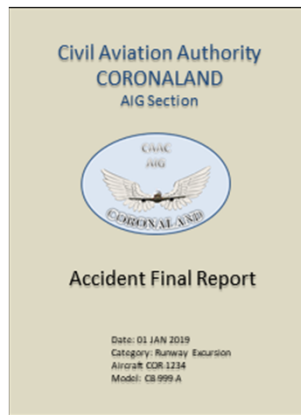
Of 2 250 kg  
or less  
(Std 7.2)

airworthiness matters  
or  
matters considered to  
be of interest to other  
States



# Answer

## Final Report



## What

***Accidents  
and  
Incidents***

## Aircraft

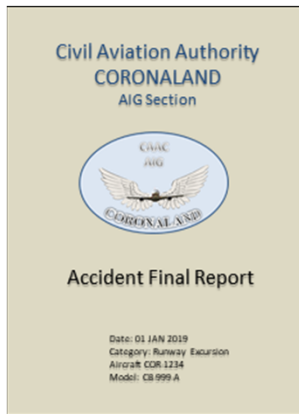
**ALL  
(Std 6.5)**

## When

**As soon as possible  
and, if possible,  
within twelve months**



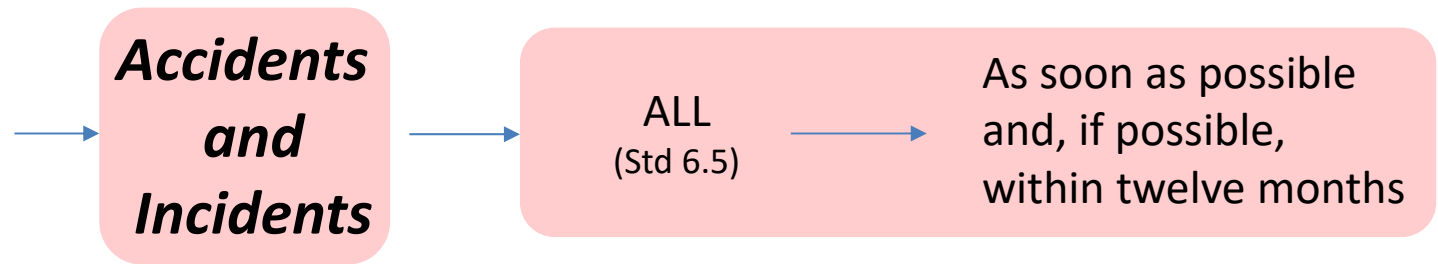
### Final Report



#### **Release of the Final Report**

**6.5** In the interest of accident prevention, the State conducting the investigation of an accident or incident shall make the Final Report publicly available as soon as possible and, if possible, within twelve months.

*Note.* — Making a Final Report publicly available can be achieved by posting the Final Report on the Internet, and does not necessarily require a hard-copy publication of the Final Report.





# Answer

Interim Statement



What

***Accidents  
and  
Incidents***

Aircraft

ALL  
(Std 6.6)

When

Anniversaries  
(while Final Report  
is not published)





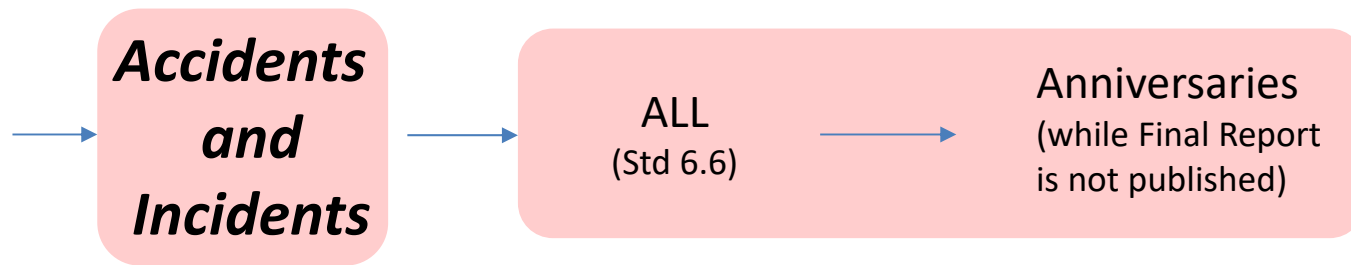
**Release of the Final Report**

6.5 In the interest of accident prevention, the State conducting the investigation of an accident or incident shall make the Final Report publicly available as soon as possible and, if possible, within twelve months.

*Note.— Making a Final Report publicly available can be achieved by posting the Final Report on the Internet, and does not necessarily require a hard-copy publication of the Final Report.*

6.6 If the report cannot be made publicly available within twelve months, the State conducting the investigation shall make an **interim statement** publicly available on each anniversary of the occurrence, detailing the progress of the investigation and any safety issues raised.

Interim Statement







# Answer

ADREP Report



What

**Accidents**  
*and*  
**Incidents**

Aircraft

Over 2250 kg  
(Std 7.5)  
Over 5700 kg  
(Std 7.7)

When

After publication  
of  
Final Report





# Answer

ADREP Report



What

**Accidents**  
*and*

Aircraft

Over 2250 kg  
(Std 7.5)

When

After publication  
of  
Final Report

## ACCIDENT/INCIDENT DATA REPORT

RESPONSIBILITY OF THE STATE CONDUCTING THE INVESTIGATION

### **Accidents to aircraft over 2 250 kg**

7.5 When the aircraft involved in an accident is of a maximum mass of over 2 250 kg, the State conducting the investigation shall send, as soon as practicable after the investigation, the Accident Data Report to the International Civil Aviation Organization.



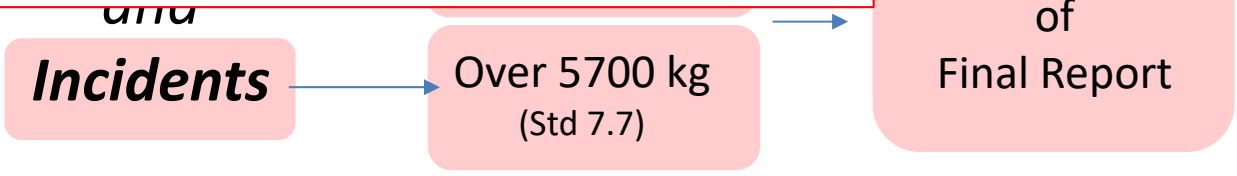
# Answer

## ACCIDENT/INCIDENT DATA REPORT

RESPONSIBILITY OF THE STATE CONDUCTING THE INVESTIGATION

### *Incidents to aircraft over 5 700 kg*

7.7 If a State conducts an investigation into an incident to an aircraft of a maximum mass of over 5 700 kg, that State shall send, as soon as is practicable after the investigation, the Incident Data Report to the International Civil Aviation Organization.





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## Back to the question

Is the final report sent to the areas involved (such as operator, country of registration, etc.) before being published?



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Is the final report sent to the areas involved (such as operator, country of registration, etc.) before being published?



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**When all  
technical  
activities of  
an  
investigation  
are  
concluded, a  
Final Report  
will be  
completed**



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When all technical activities of an investigation are concluded, a Final Report will be completed

Before its publication, other participants in the investigation have the right to make their comments, thus the draft of this report shall be sent to those participants (Std 6.3)



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When all technical activities of an investigation are concluded, a Final Report will be completed

Before its publication, other participants in the investigation have the right to make their comments, thus the draft of this report shall be sent to those participants (Std 6.3)

Comments received within 60 days shall be incorporated into the Final Report





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When all technical activities of an investigation are concluded, a Final Report will be completed

Before its publication, other participants in the investigation have the right to make their comments, thus the draft of this report shall be sent to those participants (Std 6.3)

Comments received within 60 days shall be incorporated into the Final Report

Once completed (with all comments dully incorporated), the Final Report may be submitted to a formal approval by the relevant authority (depending on the legislation of the State)



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When all technical activities of an investigation are concluded, a Final Report will be completed

Before its publication, other participants in the investigation have the right to make their comments, thus the draft of this report shall be sent to those participants (Std 6.3)

Comments received within 60 days shall be incorporated into the Final Report

Once completed (with all comments dully incorporated), the Final Report may be submitted to a formal approval by the relevant authority (depending on the legislation of the State)

After the approval (if that is required), the Final Report shall be sent to the entities entitled to receive it (see Std 6.4)



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When all technical activities of an investigation are concluded, a Final Report will be completed

Before its publication, other participants in the investigation have the right to make their comments, thus the draft of this report shall be sent to those participants (Std 6.3)

Comments received within 60 days shall be incorporated into the Final Report

Once completed (with all comments fully incorporated), the Final Report may be submitted to a formal approval by the relevant authority (depending on the legislation of the State)

After the approval (if that is required), the Final Report shall be sent to the entities entitled to receive it (see Std 6.4)

Soon after this, the report shall be released to the public (website) (std 6.5)



## Questions received in advance

✈ If the draft final report is sent for comments in the 11<sup>th</sup> month after the accident, and in accordance to Annex 13 States are supposed to release the report within 12 months after the accident, what should be done? Should I wait 60 days for comments or 12 months is a provisional statement published?



## What Annex 13 says...

6.3 The State conducting the investigation shall send a copy of the draft Final Report to the following States inviting their significant and substantiated comments on the report as soon as possible:

...

If the State conducting the investigation receives comments within sixty days of the date of the transmittal letter, it shall either amend the draft Final Report to include the substance of the comments received or, if desired by the State that provided comments, append the comments to the Final Report. If the State conducting the investigation receives no comments within sixty days of the date of the first transmittal letter, it shall issue the Final Report in accordance with 6.4, unless an extension of that period has been agreed by the States concerned.



## What Annex 13 says...

That means you need to wait the 60 days

6.3 ... all send a copy of the draft Final Report to the following States concerned with the accident or incident, and with substantiated comments on the report as soon as possible after the date of the draft report.

... If the State conducting the investigation receives comments within sixty days of the date of the first transmittal letter, it shall issue the Final Report to include the substance of the comments received. If no comments are received within sixty days, it shall issue the Final Report, append the comments, and append the comments to the Final Report.

If the State conducting the investigation receives no comments within sixty days of the date of the first transmittal letter, it shall issue the Final Report in accordance with 6.4, unless an extension of that period has been agreed by the States concerned.



## What Annex 13 says...

6.6 If the report cannot be made publicly available within twelve months, the State conducting the investigation shall make an interim statement publicly available on each anniversary of the occurrence, detailing the progress of the investigation and any safety issues raised.

You will always have to release an interim report in each anniversary of the occurrence till the Final Report is released. In other words, if the 60 days for comments will end after the anniversary of the occurrence, you will need to release an interim statement.



## Questions received in advance

✈ What role do the accident investigation authorities play to support the victims' families to receive some monetary compensation with the aircraft insurance?





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# Answer

No role at all



## AR A39-27



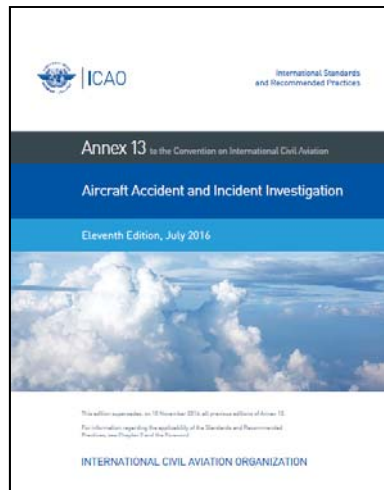
The Assembly:

1. Calls on Member States to reaffirm their commitment to support victims of civil aviation accidents and their family members;
2. Urges Member States to establish legislation, regulations and/or policies to support victims of civil aviation accidents and their family members, in consideration of the ICAO Policy in Doc 9998 and of Annex 9, and pursuant to Article 28 of the Montréal Convention of 28 May 1999 and Resolution No. 2 adopted by the Montréal Conference;

...



## ANNEX 13



### PARTICIPATION OF STATES HAVING SUFFERED FATALITIES OR SERIOUS INJURIES TO THEIR CITIZENS

#### *Rights and entitlement*

5.27 A State which has a special interest in an accident by virtue of fatalities or serious injuries to its citizens shall be entitled to appoint an expert who shall be entitled to:

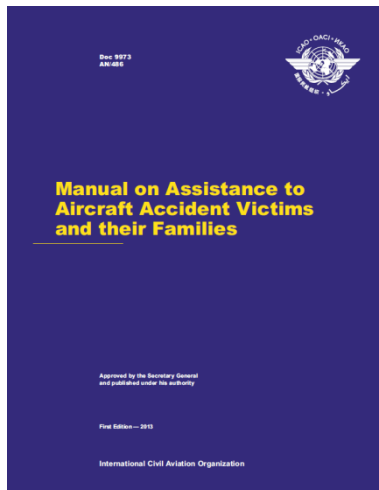
...

b) have access to the relevant factual information which is approved for public release by the State conducting the investigation, and information on the progress of the investigation;

...



## DOC 9973

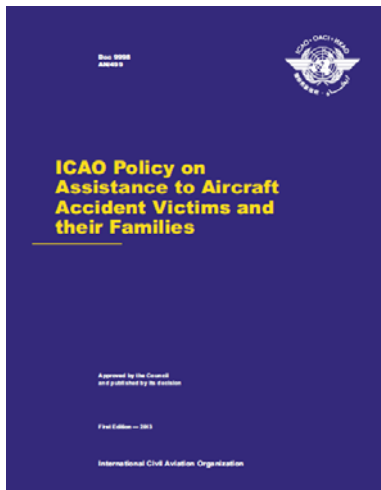


### PROVISION OF INFORMATION ABOUT THE ACCIDENT INVESTIGATION

**3.30** As the accident investigation authority proceeds through the investigation, family members and survivors should be provided, through periodic advisories, with updated, validated information on the progress of the investigation before the information is released to the public. To the extent appropriate, the families should be invited to attend public meetings related to the accident and should be provided with copies of reports as they are released to the public through the accident investigation authority's normal process. Families should also be notified of the upcoming release of such reports and the scheduling of meetings in order to plan accordingly. Care should be taken when providing information in multiple languages to ensure that translations are accurate. Advance notification can be made via e-mail and through family associations.



DOC 9998



## Family assistance plan

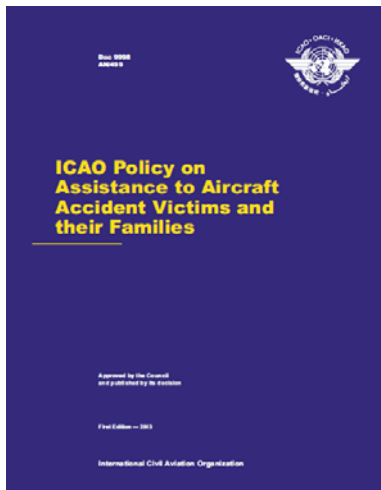
...

2.5 The Council recommends that a family assistance plan should consider the following factors:

- a) recipients of family assistance;
- b) types of family assistance to be provided;
- c) when family assistance should be provided;
- d) family assistance providers;
- e) periodic review and exercise of the plan; and
- f) enactment of legislation, regulations and /or policies necessary to implement the plan.



DOC 9998



## Family assistance providers

(cont.)

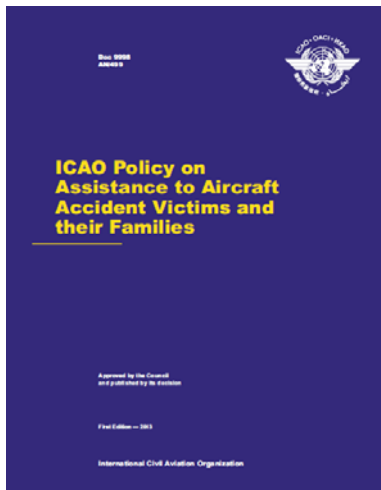
2.10 There are five main groups involved in providing family assistance:

- a) the government of the State of Occurrence and other States involved in the occurrence;
- b) the air operators;
- c) the airport operators;
- d) third parties (e.g. non-governmental aid agencies, commercial companies); and
- e) family associations, when required.

Note.— Each group has different resources and responsibilities to the family assistance efforts. The work of these groups should be synchronized and well-coordinated in order to have an effective family assistance response.



DOC 9998



## Government

(cont.)

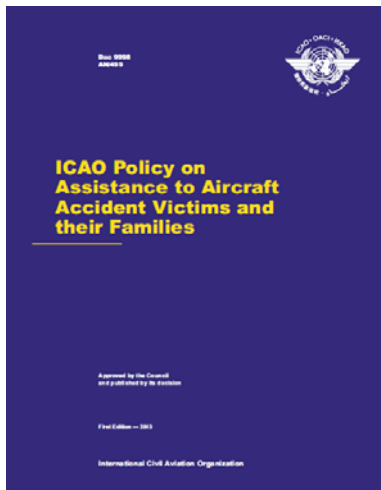
### *State of occurrence*

...

2.13 The Council recommends that States designate and specify in their regulations and/or policies a coordinator/coordinating agency to ensure that the various family assistance providers work in an efficient and coordinated manner so as to provide the most appropriate and timely assistance possible. The coordinator/coordinating agency may also be the point of contact between the families, the government agencies and non-government organizations.



DOC 9998



## Aircraft accident investigation authority

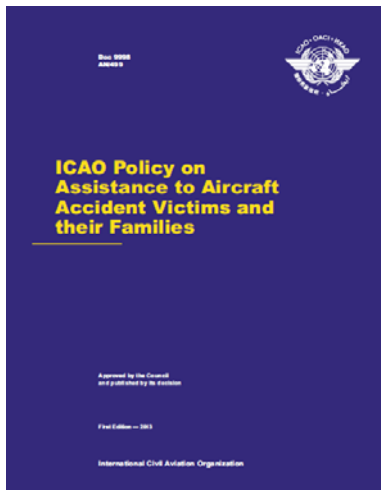
(cont.)

2.14 The Council emphasizes that the sole objective of an aircraft accident investigation, as defined in Annex 13 — Aircraft Accident and Incident Investigation, is the prevention of accidents and incidents, not the apportionment of blame or liability, and is separate from the provision of family assistance. However, the accident investigation authority has a responsibility to provide relevant, timely and validated information to the families and the accident survivors regarding the progress of the investigation, provided that it does not compromise the objective of the investigation.





DOC 9998



## Aircraft accident investigation authority

(cont.)

2.15 To ensure the timeliness of the release of validated information to accident victims and their families, the Council recommends that the accident investigation authority, or other appropriate authority, consider appointing a liaison person as a focal point to ensure effective communications with other providers of family assistance, and to coordinate visits to the accident site by the families and survivors when required, and when access is practicable.



## Questions received in advance

✈ What power does the investigator in charge have to declare a crashed aircraft as a total loss and then the operator considers it repairable?



## Answer

- ✈ There is no international requirement on this subject
- ✈ This is a matter for each State to regulate
- ✈ In fact, the loss of an aircraft is determined (in most cases) by the economic unfeasibility of its recovery
  - ✈ One of the practices adopted is to declare that *the recovery of the aircraft is not economically viable*



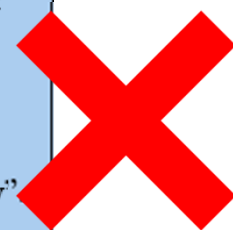
## Questions received in advance

✈ If the State has difficulty setting up a server to keep records in ECCAIRS, can the records kept on an Excel spreadsheet be considered valid?



# Answer

PQ No.	Protocol Question	Guidance for Review of Evidence
6.507	Has the State established an accident and incident database to facilitate the effective analysis of information on actual or potential safety deficiencies and to determine any preventive actions required?	1) Review database established. 2) Review the stored data.
PQ No.	Protocol Question	Guidance for Review of Evidence
6.509	<u>Is the database created in a standardized format to facilitate data exchange?</u>	1) Review the database format. 2) Verify if the taxonomy is compatible with ADREP/European Co-ordination Centre for Aviation Incident Reporting Systems (ECCAIRS).  Note: If there is no database in place, this question should be marked “not satisfactory”





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## Answer

✈ Let us hope that ECCAIRS 2 (to be released by EASA in 2021) solve all server / installation problems



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This presentation will be available at the ICAO NACC AIG webpage:

<https://www.icao.int/NACC/Pages/edocs-aig.aspx>





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THANK YOU