



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



AFI PLAN RASG-AFI AIG Project

AIG WORKSHOP – Regional Accident and Incident
Investigation Organization

Cotonou, Benin

12 – 15 November 2019



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND





ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



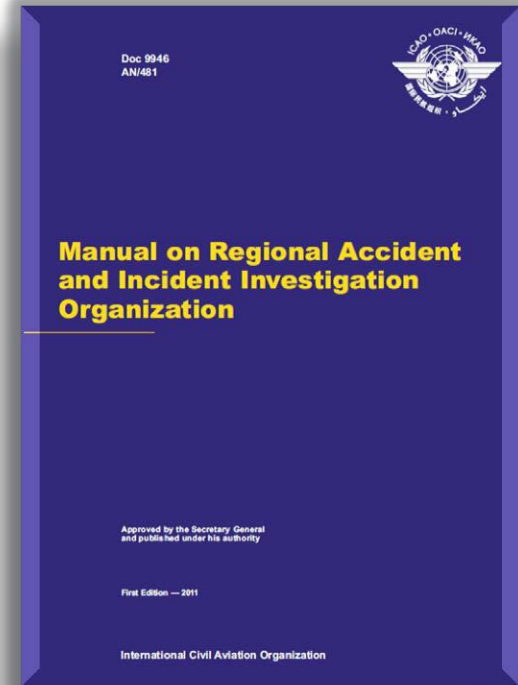
Regional Investigation Systems





Guidance material

Manual on Regional Accident and Incident Investigation Organization (Doc 9946)





Doc 9946 -- Foreword

This manual provides guidance on the establishment and management of a regional accident and incident investigation organization (RAIO) and outlines the duties and responsibilities of ICAO Contracting States, individually and/or collectively, with respect to the establishment and management of a regional accident and incident investigation system.



Doc 9946 -- Foreword

- **Convention – State has complete and exclusive sovereignty over its airspace**
- **Safe and orderly development of international civil aviation needs internationally accepted minimum operating Standards, procedures and practices.**



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



Doc 9946 -- Foreword

- **Requirement to investigate accidents -- can only be met when appropriate organization is in place**

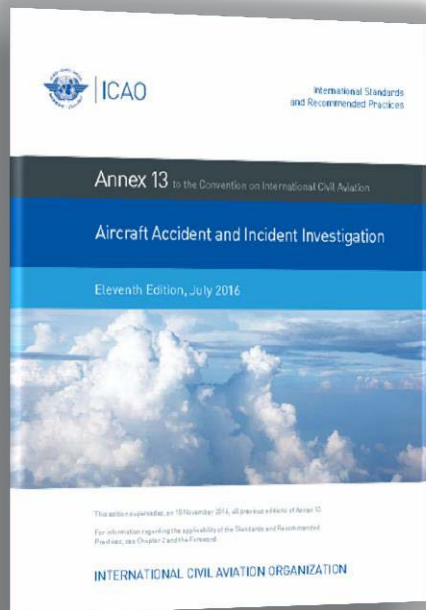


ICAO USOAP audits

Audit findings indicate that many States have not been able to implement an effective accident and incident investigation system. The findings have been associated, in general, with a lack of resources, both human and financial.



Annex 13



5.1 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. In any event, the State of Occurrence shall use every means to facilitate the investigation.

5.1.2 The State of Occurrence shall institute an investigation into the circumstances of a serious incident when the aircraft is of a maximum mass of over 2 250 kg. Such a State 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. In any event the State of Occurrence shall use every means to facilitate the investigation.



“Cooperation” does NOT mean that governments would give up their sovereignty or responsibilities. Regional arrangement is an effective and efficient means for States to achieve the desired level of accident and incident investigation.



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



- R A I O -

ADVANTAGES

- **Eliminate duplication of efforts**
- **Achieve economies of scale**
- **Demonstrate improved regional solidarity**
- **Investigators in the region gain experience quicker**
- **Facilitate recruitment and retainment of investigators in States**
- **Help achieve independence of investigations.**



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



Doc 9946 -- Foreword

- **Same principle as an AIA independent of other civil aviation functions and reporting high level government**



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



Doc 9946 -- Foreword

- **Already some groupings exist which function as RAIOs, eg IAC, BAGAI A**



Regional Investigation Systems





AIG Regional Cooperation Mechanism

(June 2015)



**Argentina, Bolivia, Brazil, Colombia, Chile,
Ecuador, Guyana, Panama, Paraguay, Peru,
Surinam, Uruguay, Venezuela**





Definitions

- **Selected definitions as per Annex 13 and other docs**
- **Audit:** A systematic and objective review of a State's aviation framework to verify compliance with the provisions of the Chicago Convention or national regulation, conformance with or adherence to Standards and Recommended Practices (SARPs), procedures and good aviation safety practices.



Objectives

The objective of this manual is to provide guidance to States that wish to form a regional accident and incident investigation organization.



The need to develop RAIO

- **Obligation of State of Occurrence**
- **Many States lack resources**
- **Other participating States may assist – delegation of investigation does not relieve SoO to institute an investigation and make sure a Final Report is released.**



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



Appendix 1

**MODEL AGREEMENT FOR THE ESTABLISHMENT AND
MANAGEMENT OF AN RAIO**



20 Articles

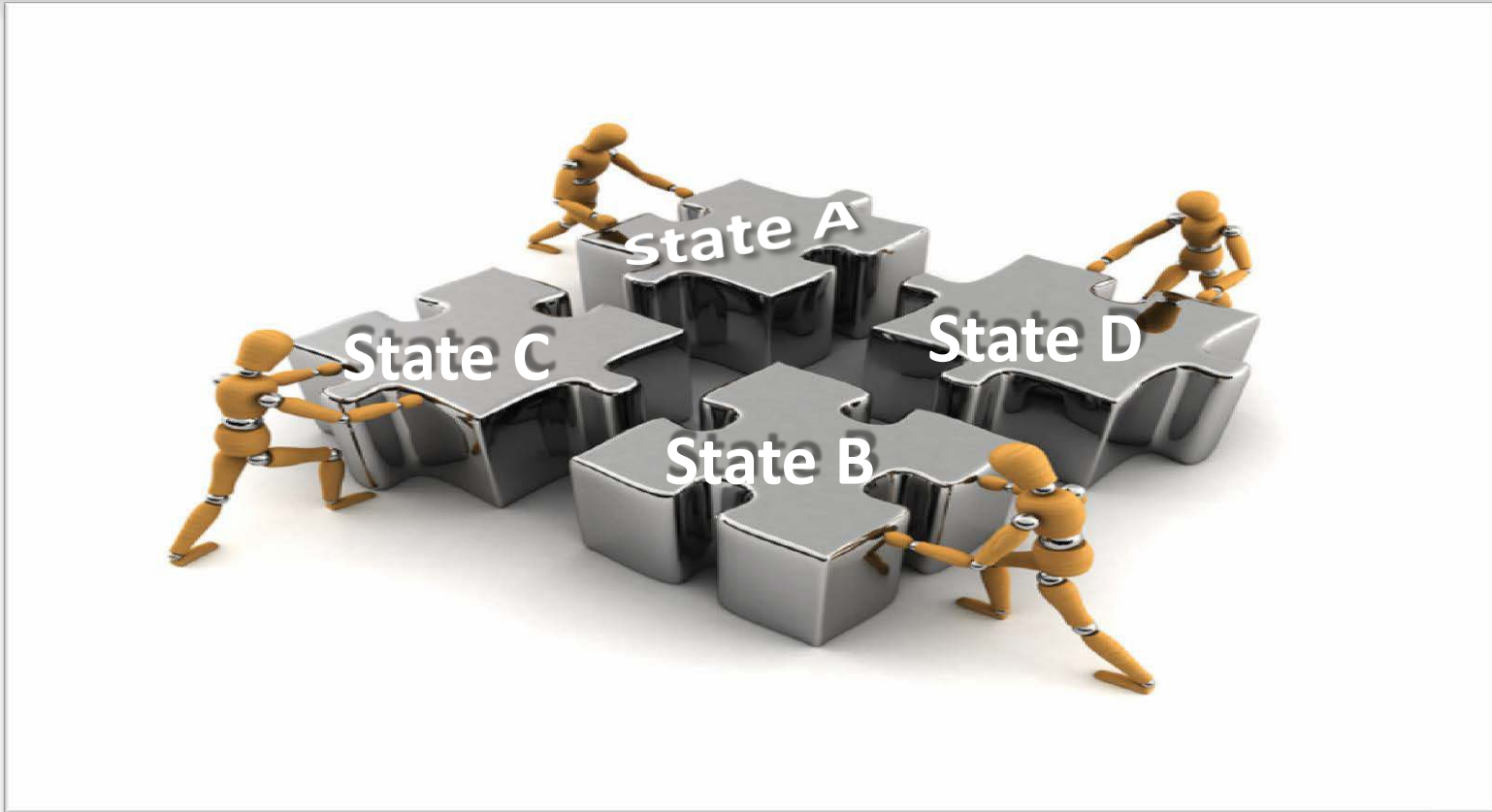


Appendix 1

Article 3

Establishment

The Member States hereby establish the [*Name of RAIO*] as a independent accident and incident investigation organization reporting to the Member States.





Establishment and management of RAIO

Agreement document:

- **Coordinate and harmonize principles, rules and procedures --- legal status**
- **Other aspects and objectives to the proper functioning of the RAIO.**

Qualification of RAIO officials



Establishment of an RAIO

- ▶ **Memorandum of Understanding (MOU)**
Memorandum of Cooperation (MOC)
- ▶ **Define organizational and operational procedures, policies of RAIO agreed upon by Member States.**
- ▶ **RAIO should have regulations, as per ICAO SARPs, for the conduct of investigations.**
- ▶ **RAIO should have a system for amending its regulations and procedures consistent with amendments to Annex 13.**





Establishment and management of RAIO

Legal framework

- **Charter of agreement to support RAIO**
- **Rules of engagement when investigating**

Independence --- strictly objective and totally impartial



Establishment and management of RAIO

Objectives

Relationships with other aviation-related organizations

Duties and responsibilities – mission statement

Organizational structure



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



Implementation of a RAIO

Compliance with SARPs

**Regulations, guidance material,
procedures and processes**

Reporting and sharing of information

Processing of safety recommendations



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



Financing a RAIO

Benefits from economies of scale

Sources of financing

Trust funds

States' obligations and contributions

Development of a budget



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



Training programme of RAIO

Training and technical investigation staff

Training policy and objective

Training programme

Training process

Individual development plan



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



Training programme of RAIO

Training requirements

Maintenance of training records

Training evaluation

Competence requirements



RAIO

MOU/MOC

The agreement establishing the RAIO must be registered with ICAO, as per Art. 83 of the Convention.



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



Questions ?

