



*International Civil Aviation Organization*

**First Meeting of the APRAST – Accident Investigation Ad hoc Working Group  
(APRAST-AIG AWG/1)**

*(Bangkok, Thailand, 6-8 June 2012)*

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**Agenda Item 3: Review of Performance of APAC States/Administrations in AIG Matters under USOAP**

**ICAO USOAP FINDINGS FOR APAC STATES IN AIG MATTERS**

(Presented by Singapore)

**SUMMARY**

This paper reviews the findings in respect of the AIG related protocol questions in ICAO's Universal Safety Oversight Audit Programme (USOAP) and identifies and proposes some critical areas for the RASG-APAC to pursue.

**1. INTRODUCTION**

1.1 The objective of the ICAO Universal Safety Oversight Audit Programme (USOAP) is to promote global aviation safety through the regular auditing of safety oversight systems in all ICAO States. ICAO determines, through the audits, whether States have in place the critical elements of a safety oversight system and also the extent to which States have implemented safety-relevant ICAO Standards and Recommended Practices (SARPs), associated procedures, guidance material and practices.

1.2 The first series of USOAP audits, carried out after the launch of the USOAP in 1999, focused on States' safety oversight system in respect of Annexes 1, 6 and 8. A second series of audits, commenced in 2005 and completed in 2010, extended the scope of the audit to include also, among others, Annex 13.

**2. REVIEW OF ICAO USOAP RESULTS FOR APAC STATES**

2.1 There are 38 States in the APAC regions. The results of the ICAO's second series of USOAP audits are known for 34<sup>1</sup> of the 38 States. Attachment 1 is a list of the top 20 AIG-related USOAP protocol questions in terms of unsatisfactory implementation status on the part of the States. The numbers of States not meeting ICAO's expectation in respect of these protocol questions are shown in Figure 1. About 70% of the 34 States had not been meeting ICAO's expectation.

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<sup>1</sup> Other than for Afghanistan, Cook Islands, Kiribati and Pakistan.

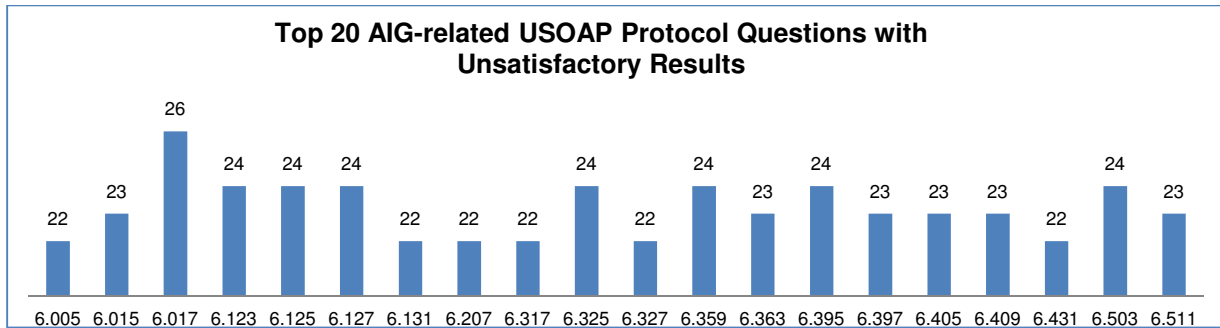


Figure 1. Table showing the number of States which had unsatisfactory results in respect of the USOAP protocol questions

2.2 The deficient areas as identified in Attachment 1 may be categorised as follows:

- Investigation system not perceived/regarded as independent from other authorities
- No formal training systems (training policy, training plans, etc.)
- Investigation procedures not in place
- Absence of a state-level voluntary and non-punitive reporting system
- Lack of accident/incident database

2.3 To address these deficiencies efficiently, it is useful to first tackle the more fundamental issues. States/Administrations need to:

- Make a policy decision as to the degree of independence of the investigation authorities<sup>2</sup>;
- Have an accountable person for accident investigation matters who can exercise leadership to guide the development of the investigation authority (this will include organising the investigation resources at domestic and international levels, putting in place the necessary legislation and procedures, developing training plans, implementing projects, etc.); and
- Train and retain a core group of personnel as investigators<sup>3</sup>.

### 3. ACTION BY THE MEETING

3.1 The meeting is invited to consider suggesting to the APRAST that:

a) RASG-APAC emphasise to States/Administrations the desirability of the following:

- An independent system of accident investigation
- The appointment of an accountable person for accident investigation matters
- The formation of a core group of personnel to be trained as investigators

b) RASG-APAC request States/Administrations which not having an independent investigation authority to indicate if they have an immediate plan to address the deficiency.

<sup>2</sup> Working Paper APRAST-AIG AWG/1-WP/5 presents a number of models with varying degree of perceived independence.

<sup>3</sup> The European Union requires its member States to have an independent investigation authority which shall be staffed by at least one person.

**Attachment 1**

<b>PQ No</b>	<b>Question</b>
6.005	Does the legislation provide for the independence of the accident investigation authority in charge of conducting aircraft accident and serious incident investigations?
6.015	Has the State developed and implemented procedures for the amendment of its accident and serious incident investigation enabling regulations and national standards?
6.017	Has the State developed and implemented a procedure for identifying and notifying differences, if any, to ICAO?
6.123	Is there a formal training programme detailing what type of training should be provided to its investigators?
6.125	Does the investigation authority develop a periodic training plan detailing and prioritizing what type of training will be provided during the established period?
6.127	Is the training programme appropriately implemented?
6.131	Does the investigation authority provide investigators with training related to safety at the accident site?
6.207	Does the investigation authority provide investigators with protective equipment and guidelines to address biological hazards and other hazards at accident sites?
6.317	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?
6.325	Has the State established and implemented procedures to ensure that it informs the State conducting the investigation whether it intends to appoint an accredited representative and, if so, for providing the associated details?
6.327	Has the State established and implemented procedures 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 accident or serious incident as soon as possible?
6.359	Has the State established means (e.g., procedures or MOUs) to facilitate coordination between the IIC and the judicial authorities?
6.363	Has the State established and implemented procedures to ensure that it complies with the provisions contained in Attachment D to Annex 13?
6.395	Has the State established and implemented procedures 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?
6.397	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?
6.405	Has the State, as the State conducting the investigation, established and implemented procedures to ensure the release of the final report as soon as possible?
6.409	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 comment?
6.431	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it sends preliminary reports, when the aircraft involved in an accident is of a maximum mass of over 2 250 kg?
6.503	Has the State established and implemented voluntary occurrence reporting system, managed at the State level, to facilitate the collection of information that may not be captured by a mandatory incident reporting system?
6.511	Does the State analyse the information contained in its accident/ incident reports and the database to determine any preventive actions required?