



**Asia Regional Aviation Safety Team  
Reporting and Accident Investigations  
Bangkok, Thailand  
23 – 24 November 2009**

## **CONCLUSIONS AND RECOMMENDATIONS ARAST-AIG**

### **Global Safety Initiative/Focus Area 3**

**BP 3a-1 – The State has a legislative framework that protects safety data. (Little)**

1. COSCAP to develop Model Regulations that could be adapted by States to enable then to establish a voluntary reporting system in conformance with ICAO requirements.
2. COSCAP to develop a Voluntary Reporting System Model Policy and Procedures Manual that would enable a State to effectively implement a voluntary reporting system.
3. States who have already developed Voluntary Reporting Systems to provide regulations and guidance material to COSCAP which could be utilized to assist the development of the material outlined in 1., 2.above.
4. COSCAP to examine strategies to assist States in establishing voluntary reporting systems in accordance with ICAO requirements and support the implementation of such a system as required.
5. ICAO will convene a High Level Safety Conference in Montreal during the period of 29 – 31 March 2010. Related to AIG issues the Conference will review the sharing of safety information and the protection of safety information.

5.1 ARAST-AIG to review the outputs from the High Level Safety Conference and determine the impact on the Conclusions from the ARAST-AIG.

**BP 3a-2 – The State implements mandatory reporting of accidents and incidents. (Somewhat)**

6. COSCAP to provide clarification on the Model Regulations and the distinction between mandatory, voluntary incident reporting systems, as well as occurrence reporting required under Annex 6. (Captain Allan Tang)

7. COSCAP to provide additional information on the establishment of a mandatory reporting system based on the review of conclusion 6.

**BP 3a-3 – The State encourages voluntary reporting. (Little)**

8a. Concerning Metric a. (AIG 6.503, 6.505) these will be addressed under BP3a-1.

8b. Concerning Metric b. (AIG 6.507, 6.511) while it was recognized that for small States it was difficult for States to have sufficient data that would enable effective analysis, COSCAP to seek clarification from ICAO, on the means of conducting analysis for States who have limited data related to accident and incident reporting.

**BP 3a-4 – Each aviation professional who has an impact on safety has a clear understanding of what constitutes acceptable and unacceptable behavior.**

9. This BP 3a-4 relates to service providers implementation of SMS and will be referred back to the main ARAST Meeting which is represented by the broader range of stakeholders.

**BP 3b-1 – ICAO assesses the level of implementation of open reporting.**

10. This BP related to the ICAO USOAP programme of assessment, so is not within the purview of the ARAST-AIG.

**BP 3b-2 – The State understands the need for open reporting systems and takes appropriate measures to implement them.**

11. This BP/Metric will be satisfied by the action to be taken by 3a-1.

**BP 3c-1 – An entity is designated in each region as the focal point for collating safety data.**

**BP 3c-2 – States and the industry stakeholders in the region contribute safety data.**

**BP 3c-3 – Safety data is analyzed and action is taken at the regional and State level to correct deficiencies.**

**BP 3c-4 – Safety data are categorized on the ICAO based common taxonomy.**

**BP 3d-1 – The principle of “just culture” underpins the international sharing of data/global data reporting system**

**BP 3d-2 – A common taxonomy is in place.**

**BP 3d-3 – Each Data collection system is designed in such way that sharing of de-identified data is easy.**

**BP 3d-4 – Safety data are analyzed in an objective and scientifically sound manner, independent of any non-safety considerations, and the result is shared with all stakeholders.**

12. The ARAST-AIG recognized that before an entity can collate and analyze safety data on a regional basis, States must establish a system to gather and analyze safety data within a State. It was therefore recommended that establishment of any regional system should be placed in abeyance at this time until ARAST/States have had the opportunity to implement a national system.

13. Reference BP 3c-4, BP3d-2, BP 3d-3 the ARAST-AIG recommended that States who implement such a system ensure that the ICAO Taxonomy is utilized to ensure that safety data can be shared on a regional and/or global basis.

#### **Global Safety Initiative/Focus Area 4**

**BP 4a-1 – State Accident Investigators are independent.**

14. COSCAP-SEA to develop a discussion paper that would outline an option(s) that would provide for independence of the accident investigation authority, and recognizes the limited resources available for many States with limited aviation activity.

15. Examination of a regional model for the conduct of Accident and Incident Investigation await the initial development of guidance material by ICAO.

**BP 4a-2 – State issues safety recommendations.**

16. States to review the Model Accident and Incident Act/Regulations (Board and No Board) developed by COSCAP and provide comments to the ARAST-AIG no later than 31 December 2009, after which these documents would be finalized.

17. ARAST administrations that have yet to develop Accident and Incident Act/Regulations or who have identified short comings in their legislation to adapt the COSCAP material as required for use in their State.

18. States to review the Model Accident/Incident Investigation Handbook and Model AIU Policy Manual kindly provided by Singapore AAIB and provide comments to ARAST by 31 December 2009.

19. COSCAP to seek comments from ICAO on the Model Regulations and Manuals.

20. ARAST administrations that have yet to develop Accident/Incident Investigation Handbook and/or Policies to adapt the Singapore material as required for use in their State.

**BP 4a-3 – States have access to trained accident investigators.**

21. States to utilize the documents developed in conclusion 16. to 19 above to address any shortfalls identified in this Best Practice and to satisfy the related metric.

22. States with limited resources and experience related to Accident Investigation encouraged to establish MOUs with other States who have significant experience and resources related to AIG.

**BP 4a-4 – States have implemented clear guidance on what to investigate.**

23. COSCAP to amend the Model Regulations to accurately reflect the ICAO requirements related to what to investigate (territory) and also amend the requirement related to ATM provision.

**BP 4a-5 – State has a defined process for allowing involved Parties to participate in an accident investigation.**

24. While included in the Model Manuals a note to be added to insure understanding that laws of other States may not protect the data that is shared outside the State of investigation.

**BP 4a-6 – State has defined a rigorous and complete process for conducting an accident/incident investigation.**

**BP 4a-7 – State conducts its investigations and provides required reports in a timely manner.**

**BP 4a-8 – State has enacted appropriate legislation for the investigation of accidents and incidents.**

25. State to utilize the documents developed in conclusion 16. to 19 above to address any shortfalls identified in these Best Practices (4a-4 to 4a-8) and to satisfy the related metric.

**BP 4a-9 – States provide funding for accident and incident investigations.**

26. COSCAP to examine processes that would satisfy AIG 6.105 and 6.107.

**BP 4b-1 – States’ accident investigations are conducted for safety and not to apportion blame.**

**BP 4b-2 – States protect safety data used during the accident investigation.**

27. State to utilize the documents developed in conclusion 16. to 19 above to address any shortfalls identified in these Best Practices and to satisfy the related metric.

**BP 4b-3 – States have defined an interface between normal operations reporting and accident/ incident reporting & investigation.**

28. BP related to Metric - 6.507 is being addressed Conclusion 8 (3b-2). Metric – 6.509 is being addressed through the effective implementation of Conclusion 13 (3d-1,3d-2).

**BP 4c-1 – States share their accident and serious incident reports globally.**

29. State to utilize the documents developed in conclusion 16. to 19 above to address any shortfall identified in this Best Practice and to satisfy the related metric.

**BP 4c-2 – States and regional organizations establish Incident Review Meetings (IRM).**

**BP 4c-3 – States encourage sharing of best practices in investigation techniques, processes and technology.**

30. ICAO - APAC /COSCAP in conjunction with the next meeting of the ARAST-AIG, to organize a Regional best practices exchange workshop.

31. States who have experiences to share with other administrations to kindly provide support to this Workshop.

**BP 4c-4 – States maintain a mandatory incident reporting system to facilitate collection of information on actual or potential safety issues with common criteria for a given category of operator.**

32. The aspect of mandatory reporting system to be addressed under Conclusion 6. Metric AIG 6.405 to be addressed under BP 4a-7. Metric AIG 6.501 to be addressed under 3b-2. Metric AIG 6.503 to be addressed under 3b-1.

33. The next ARAST-AIG meeting to be convened in the second half of November 2010.