



Investigations Information Brochure



Introduction

This brochure outlines the Civil Aviation Authority's (CAA) approach to investigating aviation accidents, occurrences, and compliance with rules and legislation. Read on to find out what you can expect from us and understand more about the investigation process.

The CAA is committed to enhancing aviation safety and security through thorough and impartial investigations.

Our primary investigation purpose is to gather unbiased, comprehensive facts that will inform regulatory decisions and support actions to improve aviation safety.

The investigation process is designed to be transparent and collaborative. Throughout this process, we prioritise effective communication with everyone involved, ensuring they're kept informed of progress, and of decisions as appropriate.

This brochure also details our decision-making framework, which emphasises the importance of impartiality and expertise in reviewing investigation findings.

Additionally, it outlines the standards of conduct that our investigators are expected to adhere to, ensuring professionalism and respect for all individuals involved.

We encourage any questions or concerns regarding this process to be directed to the assigned investigator, as we strive to maintain openness and professionalism throughout each investigation.

Investigation process

1

Upon an accident, occurrence, or allegation of non-compliance, CAA investigators may conduct initial enquiries to understand the circumstances to:

- address any immediate safety concerns
- determine the necessity of any further enquiries.

2

During the investigation you will be kept informed of:



The CAA's intentions and decisions



Relevant timeframes



Progress updates

3

Sometimes other agencies may have an interest in conducting investigations independent from the CAA. When this happens, the CAA may need to collaborate and coordinate with:

WORKSAFE
Mahi Haumaruru Aotearoa



Transport Accident
Investigation
Commission



Note: Usually acting on behalf of a Coroner

Purpose of investigation

The CAA performs a range of functions, which includes:

- investigating accidents and occurrences
- ensuring adherence to aviation regulations.

The primary objective of these investigations is to:

- collect comprehensive facts that identify and support an appropriate range of outcomes to enhance aviation safety.

Possible outcomes of an investigation are:

- sharing safety messages relating to the cause and factors that contributed to the accident or incident
- improving the civil aviation rules
- improving our regulatory practice
- informing, advising and educating industry and/or specific participants about rules and safety standards
- taking regulatory action after consideration of the relevant Act and our Regulatory Decisions Operational Policy which has public interest and just culture principles at its core.

Decision-making framework

- The CAA observes the principles of natural justice and will ensure that you will be given the opportunity to be heard and comment on any investigation findings before any decisions are made.
- While CAA investigators conduct the investigation, they do not make final decisions on whether to take any regulatory action.
- For significant events an independent panel, possessing appropriate subject matter expertise, will:
 - review all facts upon the conclusion of an investigation
 - utilise the CAA's regulatory decision-making model to determine the most appropriate outcomes ensuring public interest and just culture principles are applied.
- For other matters, decisions will be made by an appropriately qualified and experienced manager.



For additional information on decision-making processes, refer to



aviation.govt.nz/about-us/what-we-do/operational-policies/

Standards of conduct

CAA investigators adhere to the following standards:



Openness, transparency,
and effective
communication



Treating all people with
respect, consideration
and kindness



Compliance with all
lawful obligations
and requirements



Professional conduct
and communication
at all times



Commitment to acting
in good faith



Timeliness in conducting
investigative work



Maintenance of privacy
rights for all individuals



Provision of information
regarding rights and
obligations



If you have any questions or concerns,
contact your assigned investigator.

Want to find out more?

See more information at

 aviation.govt.nz

You can also reach out with any questions to

 investigations@caa.govt.nz

