



CAA Investigations

Design Delegation Holders Seminar – Grand Hall 31 October 2024

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Background and reason for change

- The 2023 Heron Review looked at our investigation function's alignment with the Authority's strategic and regulatory obligations.
- The recommended changes to our Investigative function were all accepted by the Director.

Aspects of how we work were required to change:

- Triaging, assessing, and prioritising of incoming safety and security information.
- Multidisciplinary investigations.
- Investigation workflow, process, and practice.
- Investigation Leadership and Management.

Multidisciplinary investigations

The former team structure established 'safety' and 'regulatory' investigations.

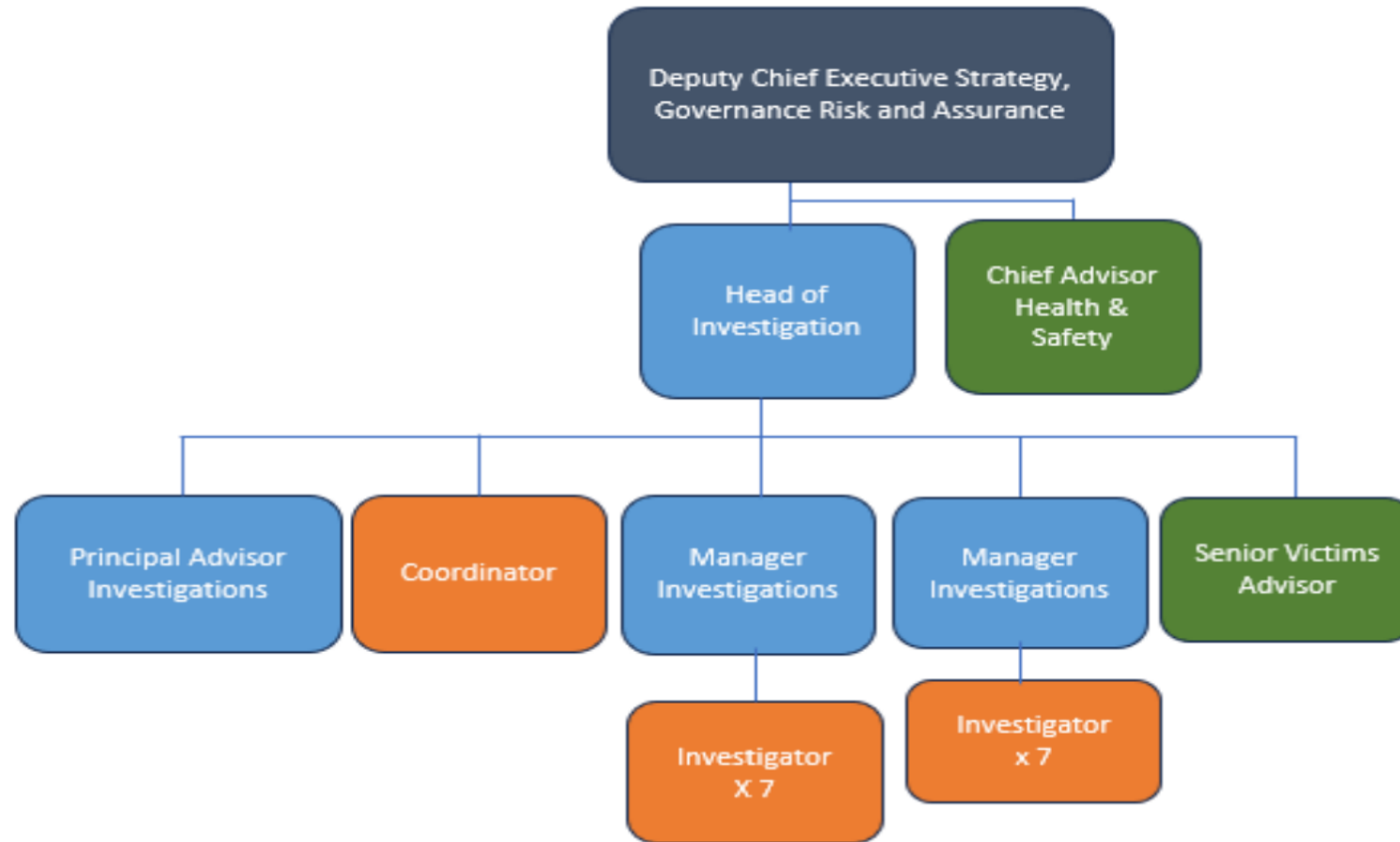
This is out of step with our regulatory role:

- We are not a 'no fault' investigation agency.
- We do not investigate with a primary intent to enforce.

All our investigations must have an overall focus on improving safety or security outcomes.

Investigators would still contribute as needed across the two teams where this makes best use of specialist skills and our overall resource capacity.

Investigation Structure



Investigation processes - intent

Purposeful, quality investigations that are:

Timely and transparent – prevention of harm is paramount; the first consideration should always be immediate safety concerns and risks.

Impartial and neutral – we investigate to learn, then consider the facts through the decision-making model.

Proportionate – Investigation response and effort is proportionate to the actual risk, conduct of the participants, nature of the occurrence, and organisational priorities.

Evidence based – Outcomes, findings, and recommendations are substantiated by solid evidence.

Grounded in good practice –

All investigations and responses have a statutory basis.

Statutory tools and powers are used correctly.

Rules and laws covering evidence collection, privacy, and natural justice are reflected in our practices.

Overriding all of this is the importance of acting in the public interest – which includes operating according to just culture principles. See section 340 and 341 of the Civil Aviation Act 2023

'Just Culture' Principles embedded in the new Act

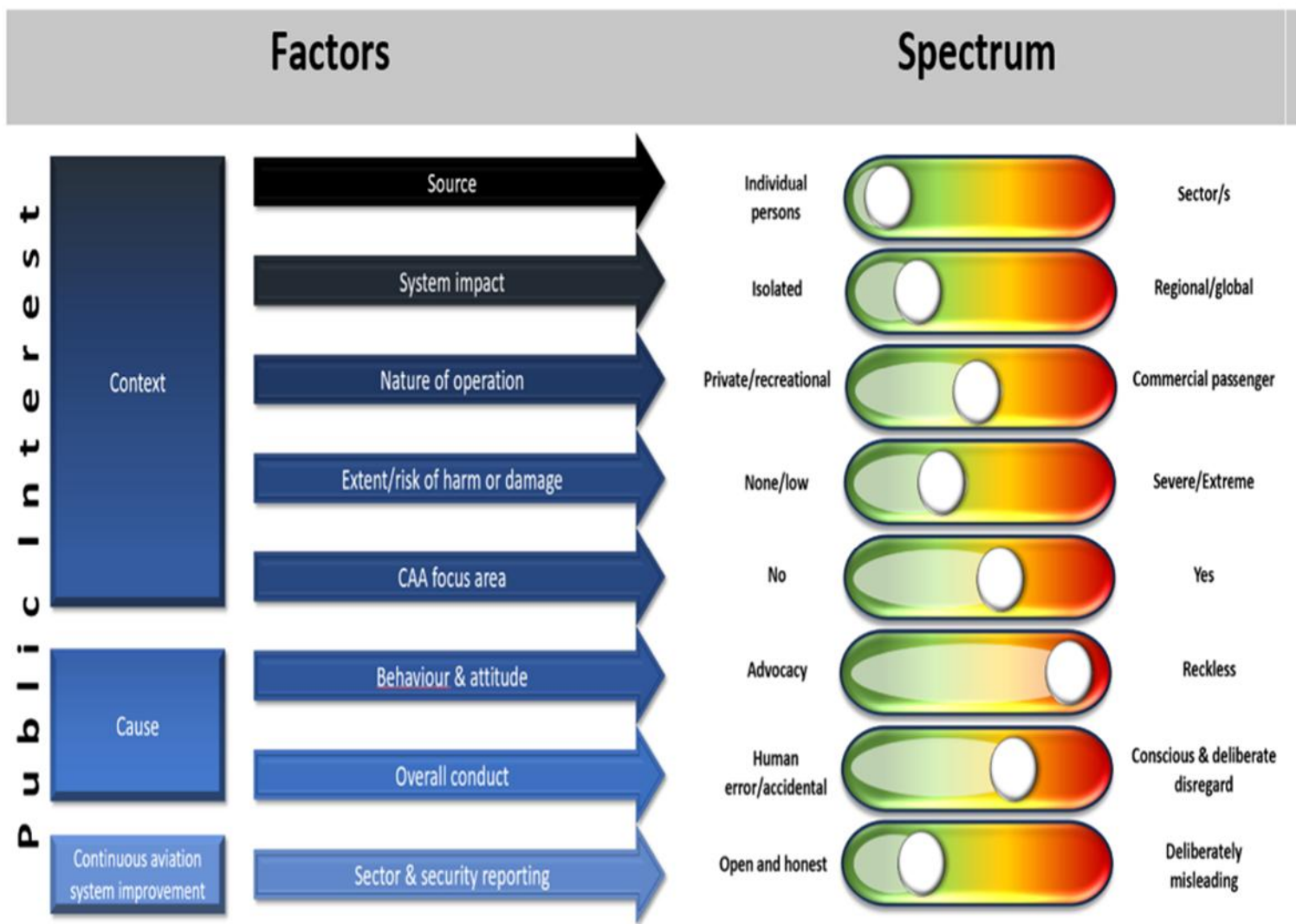
Sec 341 When the Director may take law enforcement action in relation to a notified incident

Director needs to be satisfied:

The public interest in taking action outweighs any adverse impact the action will have on further accident or incident notification

Some public factors listed:

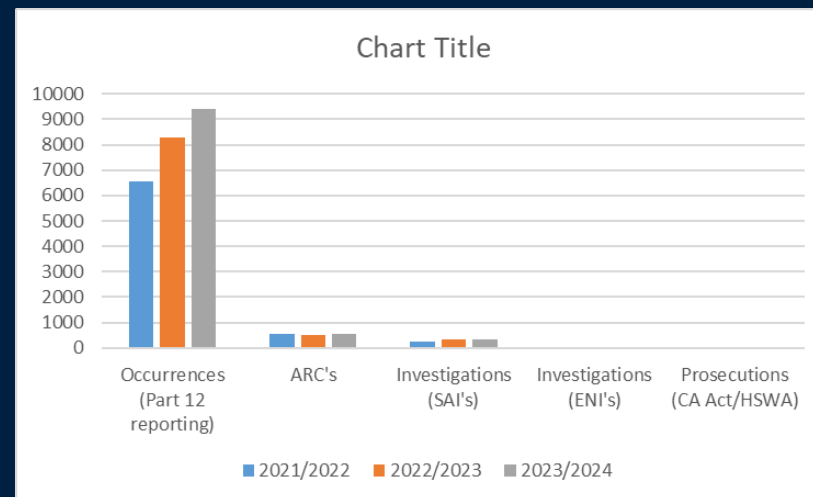
- Behaviour of the involved person is a major departure from standard
Recklessly caused unnecessary danger to any person or property
- Repeat behaviour



Occurrences and Investigations –

Very few prosecutions are undertaken by CAA, generally for serious HSWA or Act offences where safety is compromised and passengers at risk .

Years	Occurrences (Part 12 reporting)	ARC's	Investigations (SAI's)	Investigations (ENI's)	Prosecutions (CA Act/HSWA)	Prosecution per ARC	Prosecution per ENI percentage
2021/2022	6569	547	240	34	2	0.4%	5.9%
2022/2023	8293	484	336	36	2	0.4%	5.6%
2023/2024	9399	529	338	39	3	0.6%	7.7%



Thank You