

ROYAL GOVERNMENT OF BHUTAN

MINISTRY OF INFRASTRUCTURE AND TRANSPORT



BHUTAN AIR NAVIGATION REGULATIONS

INVESTIGATION OF ACCIDENTS AND INCIDENTS

2024

**BHUTAN AIR NAVIGATION REGULATIONS- INVESTIGATION OF ACCIDENTS
AND INCIDENTS**

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**BHUTAN AIR NAVIGATION REGULATIONS
INVESTIGATION OF ACCIDENTS AND SERIOUS INCIDENTS**

Foreword

This Regulation, made pursuant to Section 117 of the Civil Aviation Act of Bhutan, prescribes:

1. The manner of exercising and carrying out the Air Accident Investigation Unit's powers, duties and functions under this Regulation, and
2. The standards that the aviation system needs to achieve compliance with the provisions of the ICAO Annex 13 and Investigation Handbook of Air Accident Investigation Unit of Bhutan.


Chandra Bdr. Gurung

(Minister)

Ministry of Infrastructure and Transport

Royal Government of Bhutan-Thimphu

**BHUTAN AIR NAVIGATION REGULATIONS
INVESTIGATION OF ACCIDENTS AND SERIOUS INCIDENTS**

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RECORD OF REVISIONS

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PART I

PRELIMINARY

1. Citation and commencement

This Regulation may be cited as the **Bhutan Air Navigation - Investigation of Accidents and Incidents Regulation 2024** and shall come into operation on 01 July 2024.

2. Definitions and application

(1) For the purpose of implementing the provisions of these regulations, the following terms shall have the following meanings:

“Accident”

An occurrence associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft takes place between the time the aircraft is ready to move with the purpose of flight until such time it comes to rest at the end of the flight and the primary propulsion system is shut down in which:

- (a) a person is fatally or seriously injured as a result of:
 - (i) being in the aircraft, or
 - (ii) direct contact with any part of the aircraft, including parts which have become detached from the aircraft; or
 - (iii) direct exposure to jet blast, except where the injuries are from natural causes, are self-inflicted or inflicted by other persons, or when the injuries are to stowaway hiding outside the areas normally available to passengers and crew; or
- (b) the aircraft sustains damage or structural failure which:
 - (i) adversely affects the structural strength, performance or flight characteristics of the aircraft, and
 - (ii) would normally require major repair or replacement of the affected component,

except engine failure or damage, when the damage is limited to a single engine (including its cowlings or accessories) or to propellers, wing tips, antennas, probes, vanes, tires, brakes, wheels, fairings, panels, landing gear doors, windscreens, the aircraft skin

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(such as small dents or puncture holes),

or minor damage to main rotor blades, tail rotor blades, landing gear;

and those resulting from hail or bird strike (including holes in the radome); or

(c) the aircraft is missing or completely inaccessible.

“Accredited representative”

A person designated by a State, on the basis of his or her qualifications, for the purpose of participating in an investigation conducted by another State. The accredited representative would normally be from the State’s accident investigation authority.

“Adviser”

A person appointed by a Contracting State, on the basis of his qualifications, for the purpose of assisting its accredited representative in an investigation conducted by another State.

“Aircraft”

Any machine that can derive support in the atmosphere from the reactions of the air other than the reactions of the air against the earth’s surface.

“Annex 13”

Annex 13 to the Chicago Convention as amended from time to time by the Council of the International Civil Aviation Organization.

“ATS”

Air traffic services and includes flight information service, alerting service, air traffic advisory service, air traffic control service, area control service, approach control service and aerodrome control service.

“Causes”

In relation to any accident or incident, means actions, omissions, events, conditions, or a combination thereof, which led to the accident or incident. The identification of which does not imply the assignment of fault or the determination of administrative, civil or criminal liability.

“Chief Inspector”

The Chief Inspector of Accidents appointed under paragraph 10 (3);

“Contracting State”

Any State which is a party to the Chicago Convention;

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“Contributing factors”

In relation to an accident or incident, means an action, omission, event, condition, or a combination thereof, which, if eliminated, avoided or absent, would have reduced the probability of the accident or incident occurring, or mitigated the severity of the consequences of the accident or incident. The identification of which does not imply the assignment of fault or the determination of administrative, civil or criminal liability.

“C2 Link”

The data link between the remotely piloted aircraft and the remote pilot station for the purposes of managing the flight.

“Dangerous goods”

Articles or substances which are capable of posing a risk to health, safety, property or the environment.

“Document”

Includes any correspondence, memorandum, book, plan, map, drawing, diagram, pictorial or graphic, film, sound recording, video tape, electronic files and data, and any copy thereof.

“Draft Final Report”

Draft investigation report that is sent in confidence to departments in Bhutan, other States, and organizations involved in the investigation, inviting their significant and substantiated comments on the report.

“Final Report”

A State’s conclusive report on its investigation into an aircraft accident or incident. The Final Report is issued by the Authority and includes the pertinent factual information, analysis, conclusions and, when appropriate, associated safety recommendations. This report is made with the intention of preventing accidents or incidents and in no case has the purpose of creating a presumption of blame or liability.

“Flight recorder”

Any type of recorder installed in the aircraft for the purpose of complementing accident or incident investigation.

“Flying display”

A civilian organised event (including any rehearsal for such event) which:

- (a) consists, wholly or partly, of an exhibition of flying of any civil or military aircraft; and
- (b) takes place at an aerodrome and premises other than a naval, military or air force aerodrome or premises;

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“Incident”

An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of such operation.

“Inspector”

An Inspector of Accidents appointed under paragraph 10 (1).

“Investigation”

A process conducted for the purpose of accident and incident prevention which includes the gathering and analysis of information, drawing of conclusions, including the determination of causes or contributing factors, or both, and, when appropriate, the making of safety recommendations.

“Investigator-in-charge”

A person designated by the Chief Inspector as such under paragraph 11 (3) and charged with the responsibility for the organization, conduct and control of an investigation;

“Military aircraft”

An aircraft:

- (a) belonging to the Royal Bhutan Army/Indian Military Armed forces; or
- (b) belonging to any of the naval, military or air forces of any State;

“Non-contracting State”

Any State which is not a party to the Chicago Convention;

“Operator”

The person, organization or enterprise engaged in or offering to engage in an aircraft operation.

“Owner”

In relation to an aircraft which is registered, means the registered owner of the aircraft.

“Pilot-in-command”

In relation to an aircraft, means a person who for the time being is in charge of the piloting of the aircraft without being under the direction of any other pilot in the aircraft.

“Preliminary Report”

The communication used for the prompt dissemination of data obtained during the early stages of the investigation.

“Remote pilot station”

The component of the remotely piloted aircraft system containing the equipment used to pilot the remotely piloted aircraft.

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“Remotely piloted aircraft (RPA)”

An unmanned aircraft which is piloted from a remote pilot station.

“Remotely piloted aircraft system (RPAS)”

A remotely piloted aircraft, its associated remote pilot station (s), the required C2-Link (s) and any other components as specified in the type design.

“Runway incursion”

Any occurrence at an aerodrome involving the incorrect presence of an aircraft, a vehicle or a person on the protected area of a surface designated for the landing and take-off of aircraft.

“Safety recommendation”

A proposal of the Chief Inspector, investigator-in-charge or the accident investigation authority of a State conducting an investigation, based on information derived from an investigation and made with the intention of preventing accidents or incidents; and in no case has the purpose of creating a presumption of blame or liability for an accident or incident investigations, safety recommendations may result from diverse sources, including safety studies.

“Safety recommendation of global concern (SRGC)”

A safety recommendation regarding a systemic deficiency having a probability of recurrence, with significant consequences at a global level, and requiring timely action to improve safety.

“Serious incident”

An incident involving circumstances indicating that there was a high probability of an accident and associated with the operation of an aircraft which:

- (a) in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or
- (b) in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time it comes to rest at the end of the flight and the primary propulsion system is shut down, examples of which are set out in the Attachment C.

“Serious injury”

In relation to a person, means an injury which:

- (a) requires hospitalization for a period of more than 48 hours, such period commencing within 7 days from the date of the injury;
- (b) results in a fracture of any bone other than a simple fracture of any

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finger, toe or the nose;

- (c) involves lacerations which cause severe hemorrhage, nerve, muscle or tendon damage;
- (d) involves injury to any internal organ;
- (e) involves second or third degree burns or any burns affecting more than 5% of the surface of the body; or
- (f) involves verified exposure to infectious substances or injurious radiation;

“Bhutan aircraft”

An aircraft that is registered in Bhutan.

“Bhutan operator”

An operator whose principal place of business is located in Bhutan.

“State of Design”

The State having jurisdiction over the organisation responsible for the type design of the aircraft.

“State of Manufacture”

The State having jurisdiction over the organisation responsible for the final assembly of the aircraft, remote pilot station, engine or propeller.

“State of Occurrence”

The State in whose territory an accident or incident occurs.

“State of the Operator”

The State in which the operator’s principal place of business is located or, if there is no such place of business, the operator’s permanent residence.

“State of Registry”

The State on whose register the aircraft is entered.

- (2) For the purposes of this Regulation, an aircraft shall be deemed to be missing when the official search has been terminated and the wreckage has not been located.
- (3) This Regulation shall apply only in relation to:
 - (a) an accident or incident involving a civil aircraft; and
 - (b) an accident or incident involving a military aircraft during a flying display in Bhutan.

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PART II

INVESTIGATIONS

3. Conflicts of Interest

To achieve functional independence of the Unit, and to ensure the credibility of its investigations, members of the Unit shall avoid actual and potential conflicts of interest.

- (a) Members of the AAIU shall not directly or indirectly have an interest in or be an owner, shareholder, director, officer, partner, or otherwise:
 - be engaged in an aviation undertaking or business; or
 - have an interest in the manufacture or distribution of aircraft or aircraft equipment or components.
- (b) On appointment to the AAIU, members of the AAIU shall set aside conflicts of interest detailed in the preceding Section.
- (c) During their terms of office, members of the AAIU shall not accept or hold any office or employment or carry on any activity inconsistent with the performance of their duties under the Act, these Regulations and the policies of the AAIU.
- (d) Civil aviation authority experts assigned to participate in an investigation being conducted by the AAIU shall not be engaged in any duties associated with the civil aviation authority for the duration of their involvement in the investigation.

4. Purpose of investigation

- (1) The sole objective of the investigation of an accident or incident under this regulation shall be the prevention of accidents and incidents.
- (2) It shall not be the purpose of such an investigation to apportion blame or liability.
- (3) An investigation shall normally include:
 - (a) the gathering, recording and analysis of all relevant information on the accident or incident;
 - (b) the protection of certain accident and incident investigation records;
 - (c) timely, public dissemination of factual information, as appropriate;
 - (d) if appropriate, the issuance of safety recommendations,

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- (e) if possible, the determination of the causes or contributing factors, or both; and
 - (f) the completion of the Final Report.
- (4) Any investigation carried out under this Regulation shall be separate from any judicial or administrative proceedings to apportion blame or liability.

5. Crew Statements

As soon as possible after the accident or serious incident, each crew member shall forward to the AAIU a statement setting forth the facts, conditions and circumstances relating to the accident or serious incident as they appear to the member. (If the crew member is incapacitated, the member shall submit the statement as soon as the member is physically able to do so.)

6. Voluntary Reporting

- (1) Any person having knowledge of any safety-related event, other than an accident or incident, may make a voluntary report to the AAIU and provide any information that the person believes is relevant.
- (2) Where a voluntary report is made to the AAIU, no person shall release the identity of the person making the report or any information that could reasonably be expected to reveal that person's identity, unless the person making the report authorizes, in writing, its release.
- (3) A report made to the AAIU under a voluntary reporting system shall not be used against the person who made the report in any disciplinary, civil, administrative and criminal proceedings.
- (4) The protection provided in sub-paragraph (2) and (3) regarding the identity of the person making the voluntary report shall not apply to situations involving unlawful acts, gross negligence or wilful infractions by that person, or unless an appropriate authority determines that, in accordance with national legislation, the value of its disclosure or use in any particular instance outweighs the adverse impact such action may have on aviation safety.

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7. Notification of accidents and incidents:

- (1) Where an accident or a serious incident occurs
 - (a) in Bhutan; or
 - (b) outside Bhutan involving a Bhutan aircraft or an aircraft operated by a Bhutanese operator, the relevant person (pilot in-command or operator) of the aircraft shall, as soon as is reasonably practicable after he becomes aware of the accident or serious incident —
 - (i) in the case of an accident occurring in Bhutan send notice thereof to the Air Accident Investigation Unit (AAIU) Bhutan by the quickest means of communication available; and
 - (ii) in the case of an accident occurring outside Bhutan, notification shall be as reflected in the AAIU handbook.
- (2) The notice to the Air Accident Investigation Unit (AAIU) referred to in subparagraph (1) shall state, as far as possible —
 - (a) for accidents the identifying abbreviation ACCID, for serious incidents SINCID, for incidents INCID;
 - (b) manufacturer, model, nationality and registration marks, and serial number of the aircraft;
 - (c) name of owner, operator and hirer, if any, of the aircraft;
 - (d) qualification of the pilot-in-command, and nationality of crew and passengers;
 - (e) date and time (local time or UTC) of the accident or incident;
 - (f) the last point of departure and the next point of intended landing of the aircraft;
 - (g) the position of the aircraft with reference to some easily defined geographical point and the latitude and longitude;
 - (h) number of crew and passengers; aboard, killed and seriously injured; others, killed and seriously injured;
 - (i) a description of the accident or serious incident and the extent of damage to the aircraft so far as is known;
 - (j) the physical characteristics of the area in which the accident or serious incident occurred and an indication of access difficulties or special requirements to reach the site;

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- (k) the identification of the person sending the notice and where the accident or serious incident occurred outside Bhutan, the means by which the investigator-in-charge and the accident investigation authority of the State of Occurrence may be contacted; and
 - (l) the presence and description of dangerous goods on board the aircraft.
- (3) Where an incident, other than a serious incident, occurs
- (a) in Bhutan; or
 - (b) outside Bhutan involving a Bhutanese aircraft or an aircraft operated by a Bhutanese operator, the owner, operator, pilot-in-command or hirer of the aircraft shall, if so required by notice in writing, send to the Air Accident Investigation Unit (AAIU), such information as is in his possession or control with respect to the incident in such form and at such times as may be specified in the notice.
- (4) The “relevant person” means:
- (a) the owner, operator or pilot-in-command of the aircraft at the time of the accident or serious incident;
 - (b) where the accident or serious incident occurs on or adjacent to an aerodrome in Bhutan, the owner or operator of the aerodrome shall notify Air Accident Investigation Unit (AAIU), where the accident or serious incident occurs in Bhutan airspace, the ATC or airline or aerodrome operator shall notify Air Accident Investigation Unit (AAIU) for necessary action as reflected in the AAIU handbook.

8. Action to be taken on receipt of notification

- (1) Where an accident or a serious incident occurs in Bhutan involving a civil aircraft, AAIU Officer In-charge shall do the following:
- (a) with the least possible delay and by the quickest means of communication available, forward a notification of the accident or serious incident containing as much of the information referred to in paragraph 7 (2) above as may be available to —
 - i. Contracting State that is the State of Registry, the State of the Operator, the State of Design or the State of Manufacture; and
 - ii. if the aircraft is of a maximum certificated take-off mass of more than 2,250 kg or is a turbojet-powered aircraft, the International Civil Aviation Organization;

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- (b) inform the States referred to in sub-paragraph (a)(i) either in the communication forwarding the notification or as soon as practicable —
 - i. as to whether, and, if so, the extent to which an investigation will be conducted or is proposed to be delegated to another Contracting State; and
 - ii. as to the means by which he and the investigator-in-charge may be contacted;
 - (c) as soon as it is practicable to do so, provide the States referred to in sub-paragraph (a)(i) with any other information referred to in paragraph 7 (2) which becomes subsequently available to the AAIU Officer In-charge and any other known relevant information pertaining to the accident or serious incident.
- (2) Upon receipt of a notification of an accident or a serious incident which occurs outside Bhutan involving a Bhutanese aircraft or an aircraft operated by a Bhutanese operator, the AAIU Officer In-charge shall do the following:
- (a) acknowledge receipt of the notification;
 - (b) where the State of Occurrence, the State of Registry or the State of the Operator which is investigating the accident or serious incident is a Contracting State, provide the State with the following information with the least possible delay:
 - (i) any relevant information he has regarding the aircraft and flight crew involved in the accident or serious incident; and
 - (ii) if Bhutan is the State of the Operator, details of any dangerous goods on board the aircraft.
 - (c) inform the State referred to in sub-paragraph (b) —
 - (i) whether the Minister intends to appoint or has appointed an accredited representative; and
 - (ii) if such accredited representative will be or has been appointed and will be travelling to the State in which the investigation is being carried out, the contact details and the expected date of arrival of the accredited representative in such State.

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9. Removal of damaged aircraft

- (1) Subject to paragraphs 10 (4) and 11 (5) where an accident or a serious incident occurs in Bhutan.
 - (a) no person other than the AAIU Officer In-charge or his 2IC, or an authorised person appointed by the Minister shall have access to the aircraft involved in the accident or serious incident, the contents thereof or the site of the accident or serious incident; and
 - (b) no person shall move or interfere with the aircraft, its contents or the site of the accident or serious incident except under the authority of the AAIU Officer In- charge or his 2IC, or an authorised person appointed by the Minister or the Chief investigator.
- (2) Notwithstanding sub-paragraph (1):
 - (a) the aircraft involved in an accident or a serious incident may be removed or interfered with to such extent as may be necessary for all or any of the following purposes:
 - (i) extricating persons or animals;
 - (ii) removing any mail, valuables or dangerous goods carried by the aircraft;
 - (iii) preventing destruction by fire or other cause;
 - (iv) preventing any danger or obstruction to the public, air navigation or other transport; and
 - (b) if the aircraft is wrecked in water, the aircraft or any contents thereof may be removed to such extent as may be necessary for bringing the aircraft or its contents to a place of safety.
- (3) Where the AAIU Officer In-charge or his 2IC has authorised any person to remove any goods or passenger baggage from the aircraft or to release any goods or passenger baggage from the custody of the AAIU Officer In-charge, the person may —
 - (a) remove the goods or passenger baggage from the aircraft subject to the supervision of a police; and
 - (b) release the goods or passenger baggage from the custody of the AAIU Officer In- charge subject to clearance by or with the consent of an officer of customs, if the aircraft has come from a place outside Bhutan.

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- (4) Where the AAIU Officer In-charge is of the opinion that the aircraft involved in the accident or serious incident is likely to be a danger or obstruction to the public, air navigation or other transport, he may order the owner, operator or hirer of such aircraft to remove it to such place as the AAIU Officer In-charge or his 2IC shall indicate.
- (5) remove or cause the removal of the aircraft.
- (6) The expenses incurred in removing such aircraft shall be borne by the owner, operator or hirer of the aircraft and where the aircraft is removed by the AAIU Officer In-charge or his 2IC under sub-paragraph (5), shall be recoverable from the owner, operator or hirer or all of them.
- (7) In this paragraph, “authorised person” means —
 - (a) any person authorised by the AAIU Officer In-charge or his 2IC either generally or specifically to have access to any aircraft involved in an accident or a serious incident and includes any police officer or any officer of customs; and
 - (b) in relation to an accident involving a military aircraft belonging to the Bhutan or other Armed Forces, includes any person authorised by the Chief of Army.

10. Inspectors of Accidents

- (1) For the purpose of carrying out investigations into accidents and incidents referred to in paragraph 11 (1) and 11 (2), the Minister may appoint such number of persons as he thinks fit as Inspectors of Accidents.
- (2) The Inspectors of Accidents appointed by the Minister or officer In-charge of AAIU under sub-paragraph (1) shall form the investigation team.
- (3) The Minister shall appoint one of the Inspectors as the Chief Inspector of Accidents.
- (4) The Chief Inspector may arrange for any of his powers and obligations under this Regulation to be performed on his behalf by an Inspector designated by him to be his Deputy.

11. Obligation to investigate

- (1) Subject to sub-paragraph (6), the Chief Inspector shall cause an investigation to be carried out into an accident or a serious incident in the following circumstances:
 - (a) where the accident or serious incident occurs in Bhutan;

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- (b) where the accident or serious incident occurs in any Non-contracting State which does not intend to carry out an investigation of the accident in accordance with Annex 13 and involves a Bhutan aircraft or an aircraft operated by a Bhutan operator;
 - (c) where the accident or serious incident involves a Bhutan aircraft or an aircraft operated by a Bhutan operator and the investigation has been delegated to Bhutan by another Contracting State by mutual arrangement and consent;
 - (d) where the accident or serious incident occurs in a location which cannot be definitely established as being in the territory of any State and involves a Bhutan aircraft.
- (2) The Chief Inspector may, when he expects to draw air safety lessons from it, cause an investigation to be carried out into an incident, other than a serious incident, which occurs -
- (a) in Bhutan; or
 - (b) outside Bhutan involving a Bhutan aircraft or an aircraft operated by a Bhutan operator.
- (3) The Chief Inspector may designate himself or any Inspector as investigator-in-charge for the purpose of carrying out an investigation referred to in subparagraph (1) or (2).
- (4) Without prejudice to the power of an investigator-in-charge to seek such advice or assistance as he may consider necessary in carrying out an investigation, the Chief Inspector may appoint any person as an adviser to assist an investigator-in-charge in a particular investigation carried out under this Regulation.
- (5) In any case where the Chief Inspector is of the view that more than one Inspector is needed to carry out an investigation, he may designate one or more Inspectors, one of whom shall be designated Deputy investigator-in-charge, to assist the investigator-in-charge.
- (6) The Chief Inspector may, with the approval of the Minister, delegate the task of carrying out an investigation into an accident or a serious incident to another Contracting State, or to a regional accident investigation organisation, by mutual arrangement and consent.
- (7) Where the Chief Inspector delegates the task of carrying out an investigation, he shall to the best of his ability, facilitate investigation carried out by the investigator-in-charge appointed by the Contracting State or the regional accident investigation organization conducting the investigation.

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- (8) Where the Minister is of the opinion that it would be desirable for public notice to be given that an investigation is taking place, he may do so in such manner as he thinks fit.
- (9) The notice may, if the Minister thinks appropriate, state that any person who desires to make representations concerning the circumstances, causes or contributing factors of the accident or incident may do so in writing within a time to be specified in the notice.

12. Powers of Inspectors and advisers

- (1) For the purpose of enabling him to carry out an investigation into an accident or incident in the most efficient way and within the shortest time possible, an investigator-in-charge shall have the access rights and powers specified in subparagraphs (2) and (3) where the whole or any part of the investigation is carried out in Bhutan.
- (2) The investigator-in-charge shall —
 - (a) have free and unhampered access to the site of the accident or incident as well as to the aircraft, its contents or its wreckage;
 - (b) have immediate and unrestricted access to and use of the contents of the flight recorders, ATS records and any other recordings;
 - (c) have access to and be provided with the results of examination of the bodies of victims or of tests made on samples taken from the bodies of the victims;
 - (d) have immediate access to and be provided with the results of examinations of the persons involved in the operation of the aircraft or of tests made on samples taken from such persons; and
 - (e) have free access to any relevant information or records held by the owner, the operator, the operator's maintenance contractors and sub-contractors, the hirer, the designer or the manufacturer of the aircraft and by the authorities for civil aviation or airport operation or ATS.
 - (f) In the case of a remotely piloted aircraft system, relevant material includes the remotely piloted aircraft, its associated remote pilot station(s), the required C2 Link(s), any other components as specified in the type design, and any associated recordings and documents.
- (3) The investigator-in-charge may —
 - (a) by summons under his hand —
 - (i) call before him and examine any person as he thinks fit;

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- (ii) require such person to answer any question or furnish any information or produce any books, papers, documents and articles which he may consider relevant; and
- (iii) make copies of and retain any such books, papers, documents and articles until the completion of the investigation;
- (b) take statements from all such persons as he thinks fit and require any such person to make and sign a declaration of the truth of the statement made by him;
- (c) on production, if required, of his credentials, enter and inspect any place, building or aircraft the entry or inspection whereof appears to him to be necessary for the purposes of the investigation;
- (d) on production, if required, of his credentials, remove, test, take measures for the preservation of or otherwise deal with any aircraft other than an aircraft involved in the accident or incident where it appears to him to be necessary for the purposes of the investigation;
- (e) take possession of, examine, remove, test or take measures for the preservation of any object or evidence as he considers necessary for the purposes of the investigation.
- (f) require an immediate listing of evidence and removal of debris or components for examination or analysis purposes;
- (g) require the readout of the flight recorders;
- (h) in the case of a fatal accident, require a complete autopsy examination of fatally injured flight crew, and, when necessary, passengers and cabin crew by a pathologist, and if a pathologist experienced in the investigation of aircraft accidents is available, by such pathologist;
- (i) where appropriate, require the medical and toxicological examination of the crew,
- (j) passengers and aviation personnel involved in the accident or incident by a medical practitioner, and if a medical practitioner experienced in the investigation of aircraft accidents is available, by such medical practitioner;
- (k) require the crew, passengers and aviation personnel involved in the accident or incident to undergo such other tests (including a breath analyzer test) as he considers necessary for the purposes of the investigation; and
- (l) seek such advice or assistance as he considers necessary for the purposes of the investigation.

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- (4) The following persons may, where the whole or any part of the investigation is carried out in Bhutan, exercise the rights and powers of an investigator-in-charge specified in sub paragraphs (2) and (3):
- (a) the Deputy investigator-in-charge and any inspectors designated by the Chief Inspector to assist the investigator-in-charge under paragraph 11 (5);
 - (b) any adviser appointed by the Chief Inspector under paragraph 11 (4) to assist the investigator-in-charge, but only to the extent specified by the Chief Inspector.
- (5) Every person summoned as a witness in accordance with this paragraph shall be allowed such expenses as the Minister may, from time to time, determine.
- (6) Any expenses incurred by reason of anything done by the investigator-in-charge or the persons specified in sub-paragraph (4) in exercise of any rights or powers referred to in sub-paragraph (2) or (3) for the purposes of the investigation shall be borne by the owner or operator of the aircraft and be recoverable from either or both of them.
- (7) Without prejudice to the generality of sub-paragraph (3)(k), the investigator-in-charge may request another Contracting State to provide such information, facilities or experts as he may consider necessary for the purposes of an investigation.

13. Form and conduct of investigations

- (1) An investigation shall be held in private.
- (2) The extent of investigations and the procedure to be followed in carrying out investigations required or authorised under this Regulation shall be determined by the Chief Inspector taking into account —
- (a) the purpose of the investigation set out in paragraph 4;
 - (b) the principles and objectives of Annex 13; and
 - (c) the lessons he expects to draw from the accident or incident for the improvement of safety.
- (3) If, in the course of an investigation into an accident or a serious incident, it becomes known or is suspected that an act of unlawful interference was involved in the accident or serious incident, the investigator-in-charge shall, after consultation with the Chief Inspector and the Minister —
- (a) immediately inform the Bhutan Police; or

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- (b) take steps to ensure that the aviation security authorities of other Contracting States concerned are informed of the fact.

14. Accredited Representatives, Advisers, etc., of Contracting States

- (1) Where an investigation into an accident or a serious incident is being carried out by an investigator-in-charge under this Regulation, each of the following States that is a Contracting State shall be entitled to appoint an accredited representative to participate in the investigation and one or more advisers, to assist the accredited representative:
 - (a) the State of Registry;
 - (b) the State of the Operator;
 - (c) the State of Manufacture;
 - (d) the State of Design;
 - (e) a State which has, on request, provided information, facilities or experts to the investigator-in-charge in connection with the investigation.
- (2) An accredited representative shall be entitled to participate in all aspects of an investigation under the control of the investigator-in-charge and shall be entitled, in particular, to:
 - (a) visit the scene of the accident;
 - (b) examine the wreckage;
 - (c) obtain witness information and suggest areas for questioning witnesses;
 - (d) have full access to all relevant evidence as soon as possible;
 - (e) receive copies of all pertinent documents;
 - (f) participate in readouts of recorded media;
 - (g) participate in off-scene investigative activities such as component examinations, technical briefings, tests and simulations;
 - (h) participate in investigation progress meetings, including deliberations related to analysis, findings, causes, contributing factors and safety recommendations; and
 - (i) make submissions in respect of various aspects of the investigation.

Notwithstanding sub-paragraph (2), the participation of the accredited representative

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of a Contracting State other than the State of Registry, the State of the Operator, the State of Design and the State of Manufacture may be limited to those matters in respect of which the State has, on request, provided information, facilities or experts to the investigator-in-charge in connection with the investigation.

(3) A State which has a special interest in an accident by virtue of fatalities or serious injuries to its citizens shall be entitled to appoint an expert to participate in the investigation.

(4) An expert appointed under sub-paragraph (3) shall be entitled to:

- (a) visit the scene of the accident;
- (b) have access to the relevant factual information which is approved for public release by the investigator-in-charge, and to information on the progress of the investigation; and
- (c) receive a copy of the Final Report.

This will not preclude the State from also assisting in the identification of victims and in meetings with survivors from that State.

(5) An adviser assisting an accredited representative shall be entitled to participate in the investigation under the accredited representative's supervision and to the extent necessary to make the accredited representative's participation effective.

(6) The accredited representative, his adviser and the expert appointed under sub-paragraph (1):

- (a) shall provide the investigator-in-charge with all relevant information available to them; and
- (b) shall not disclose any information on the progress and findings of the investigation without the express consent in writing of the investigator-in-charge.

15. Appointment of accredited representative, adviser and expert by Minister

(1) The Minister may appoint an accredited representative to participate in investigation into an accident or incident which occurs in another Contracting State and one or more advisers to assist the accredited representative in any of the following cases:

- (a) where Bhutan is the State of Registry, State of the Operator, State of Manufacture or State of Design of the aircraft involved in the accident or incident; or

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- (b) where Bhutan has, at the request of the Contracting State conducting the investigation, provided information, facilities or experts to the State in connection with the investigation.
- (2) The Minister may appoint an expert to participate in the investigation into an accident which occurs in another Contracting State where Bhutan has a special interest in the accident by virtue of fatalities or injuries to citizens of Bhutan.
- (3) The accredited representative and, to the extent specified by the Chief Inspector, an adviser appointed by the Minister under sub-paragraph (1) may, for the purposes of the investigation in which they are participating, exercise all or any of the rights and powers of the investigator-in-charge specified in paragraph 12 (2) and 12 (3) in respect of any aircraft, records, information, documents, objects, witnesses or other evidence in Bhutan or held by any person in Bhutan which or whom the accredited representative or adviser considers to be relevant or necessary to the investigation.
- (4) Any expenses incurred by the accredited representative and the adviser by reason of their participation in an investigation under sub-paragraph (1) or by reason of anything done during, in or incidental to the investigation by the accredited representative and the adviser in exercise of the rights and powers specified in paragraph 12 (2) and 12 (3) shall be borne by and be recoverable from the owner or operator of the aircraft or both.
- (5) The Minister may, if he thinks appropriate, authorise the Chief Inspector to exercise the minister's power under sub-paragraph (1) either generally or in any particular case.

16. Investigations involving military aircraft or civil aircraft in military aerodrome

- (1) This paragraph shall apply to any accident or incident —
 - (a) involving a military aircraft during flying display;
 - (b) occurring while a civil aircraft was on, in the course of taking off from or landing on, an aerodrome controlled by the military.
- (2) If it appears to the investigator-in-charge that the investigation into an accident or incident referred to in sub-paragraph (1) has been completed but for the investigation of matters relating to discipline or internal administration of the Bhutan military which are more appropriate for investigation by some other person or body, the investigation may be treated as if it has been completed without such matters being investigated under this regulation.
- (3) Where an investigation of matters relating to the discipline or internal administration has not been carried out by virtue of sub-paragraph (2), the report

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of the investigation into the accident or incident shall state the matters to which the investigation has not been extended.

- (4) An investigation of an accident or incident involving a civil aircraft occurring within a Military site in the territory of Bhutan shall be the joint responsibility of the Minister and the Military with respect to the power to investigate or arrange by contract or otherwise for the investigation of, accidents or incidents involving civil aircraft registered by the BCAA, and for the purpose of determining the facts, conditions and circumstances relating to the accident or incident and the probable cause thereof.
- (5) A civil aircraft involved in an accident or incident with a Military aircraft occurring in the territory of the State of the Authority or within the Military site shall be the joint responsibility of the BCAA and the Military with respect to taking any corrective action intended to prevent similar accidents or incidents in the future based on the findings of the accident or incident investigations authorised under this Section.
- (6) An incident involving an aircraft of the armed forces of any foreign State occurring in the territory of Bhutan shall be the responsibility of the Military.

17. Investigation reports

- (1) Where an investigation is carried out into an accident involving:
 - (a) an aircraft of a maximum certificated take-off mass of more than 2,250 kg;
or
 - (b) an aircraft of a maximum certificated take-off mass of 2,250 kg or less and when airworthiness or matters considered to be of interest to other Contracting States are involved, the investigator-in-charge shall, unless an Accident Data Report has been sent within 30 days of the accident, send a Preliminary Report within that period to-
 - (i) each of the following States that is a Contracting State:
 - a. the State that instituted the investigation;
 - b. the State of Registry or the State of Occurrence, as appropriate;
 - c. the State of the Operator;
 - d. the State of Design;
 - e. the State of Manufacture;
 - f. any State that provided relevant information, significant facilities or

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experts; and

- (ii) where the aircraft is of a maximum certificated take-off mass of more than 2,250 kg, the International Civil Aviation Organization
- (2) The investigator-in-charge shall, as soon as possible after the completion of an investigation, do the following:
- (a) send a copy of the draft Final Report to each of the following Contracting States, inviting their significant and substantiated comments on the draft Final Report:
 - (i) the Contracting State that instituted the investigation;
 - (ii) the Contracting States that participated in the investigation; and
 - (iii) the following Contracting States, whether or not they participated in the investigation:
 - a. the State of Registry;
 - b. the State of the Operator;
 - c. the State of Design; and
 - d. the State of Manufacture;
 - (b) If Bhutan receives comments within thirty days of the date of the transmittal letter, it shall either amend the draft Final Report to include the substance of the comments received or, if desired by the State that provided comments, append the comments to the Final Report.
 - (c) If Bhutan receives no comments within thirty days of the date of the first transmittal letter, it shall issue the Final Report to the following recipient States with a minimum of delay, unless an extension of that period has been agreed by the States concerned:
 - (i) the State that instituted the investigation;
 - (ii) the State of Registry;
 - (iii) the State of the Operator;
 - (iv) the State of Design;
 - (v) the State of Manufacture;
 - (vi) any State that participated in the investigation;

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- (vii) any State having suffered fatalities or serious injuries to its citizens; and
 - (viii) any State that provided relevant information, significant facilities or experts.
 - (ix) where the accident or incident involves an aircraft of a maximum certificated take-off mass of more than 5,700 kg, the International Civil Aviation Organization.
- (d) where the accident involves an aircraft of a maximum certificated take-off mass of more than 2,250 kg, send the Accident Data Report to the International Civil Aviation Organization; and
- (e) where the incident involves an aircraft of a maximum certificated take-off mass of more than 5,700 kg, send the Incident Data Report to the International Civil Aviation Organization.
- (3) The Final Report of an investigation shall state the sole objective of the investigation as set out in paragraph 4.
- (4) In this Regulation, “Accident Data Report” and “Incident Data Report” mean the Accident Data Report and Incident Data Report referred to in Annex 13.

18. Publication of reports

- (1) The Chief Inspector shall cause the report of an investigation into an accident or incident to be made public.
- (2) The report shall be made public —
- (a) After the Final Report has been sent out to the relevant Contracting States under paragraph 17 (2) (c);
 - (b) In the shortest time possible; and
 - (c) In such manner as the Chief Inspector thinks fit.
- (3) No person shall circulate, publish, disclose or give access to any draft report or any part of its contents or any documents obtained during an investigation of an accident or incident which is carried out under this Regulation or carried out by another Contracting State without the express consent of the investigator-in-charge or the State which conducted the investigation unless the report has already been published by the investigator-in-charge or the State concerned, as the case may be.

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- (4) In the interest of accident prevention, the State conducting the investigation of an accident or incident shall make the Final Report publicly available as soon as possible and, if possible, within twelve months.
- (5) If the report cannot be made publicly available within twelve months, the State conducting the investigation shall make an interim statement publicly available on each anniversary of the occurrence, detailing the progress of the investigation and any safety issues raised.

19. Safety recommendations

- (1) The Chief Inspector or the investigator-in-charge may, at any stage of an investigation carried out under this Regulation, shall:
 - (a) Recommend, in a dated transmittal correspondence, to the appropriate authorities including those in other States, any preventive action that the investigator-in-charge considers necessary to be taken promptly to enhance aviation safety; and
 - (b) address, when appropriate and in a dated transmittal correspondence, any safety recommendation arising out of the investigation to the accident investigation authorities of the other Contracting States concerned and where International Civil Aviation Organization documents are involved, to the International Civil Aviation Organization.
- (2) The Chief Inspector shall cause to be communicated to such relevant person or authority in Bhutan as he may determine
 - (a) the recommendation of preventive action or safety recommendation referred to in sub-paragraph (1); or
 - (b) any recommendation of preventive action or safety recommendation forwarded to the Minister or Chief Inspector by another Contracting State.
- (3) Any person or authority in Bhutan to whom or to which a recommendation for preventive action or safety recommendation is communicated under sub-paragraph (2) shall, without delay:
 - (a) take that recommendation into consideration and, where appropriate, act upon it;
 - (b) send to the Chief Inspector —
 - (i) full details of the measures, if any, he or it has taken or proposes to take to implement the recommendation and, if such measures are to be implemented, the schedule for the implementation; or

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- (ii) a full explanation as to why no measures will be taken to implement the recommendation; and
- (c) give notice to the Chief Inspector if at any time any information provided to the Chief Inspector under sub-paragraph (b) concerning the measures it proposes to take or the schedule for securing the implementation of the recommendation is rendered inaccurate by any change of circumstances.
- (4) A recommendation for preventive action or safety recommendation shall, in no case, create a presumption of blame or liability for an accident or incident.
- (5) Where any recommendation for preventive action or safety recommendation has been forwarded to the Minister or the Chief Inspector by another Contracting State, the Chief Inspector shall, within 90 days of the date of the transmittal correspondence from that Contracting State, notify the proposing State of the preventive action taken or under consideration or the reasons as to why no action will be taken.
- (6) A State issuing a safety recommendation of global concern (SRGC) shall inform ICAO of the issuance of that recommendation and its responses in dated transmittal correspondence, even when the SRGC is not addressed to ICAO.
- (7) A state conducting the investigation or any other state issuing a safety recommendation shall implement procedures to record the responses received to the safety recommendations issued.

20. Reopening of investigation

- (1) The Minister shall cause the investigation of an accident or a serious incident carried out under this Regulation to be re-opened if new and significant evidence becomes available after the completion of the investigation.
- (2) The Chief Inspector may cause the investigation of an incident (other than a serious incident) to be re-opened if new and significant evidence becomes available after the completion of the investigation.
- (3) Where the investigation of an accident or a serious incident was instituted by another Contracting State, the Minister shall obtain the consent of that State before causing the investigation to be re-opened under sub-paragraph (1).
- (4) Any re-opened investigation shall be carried out in accordance with this Regulation.

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PART III

MISCELLANEOUS

21. Non-disclosure of records

- (1) Subject to sub-paragraph (2), no person shall disclose or make available to any other person any of the following records for any purpose other than an investigation carried out under this Regulation unless the Court determines that the benefits resulting from disclosure outweighs the adverse domestic and international impact the disclosure may have on that or any future investigation:
 - (a) any statement taken from persons in the course of an investigation;
 - (b) any communication between persons having been involved in the operation of the aircraft;
 - (c) any medical or private information regarding persons involved in the accident or incident;
 - (d) Any cockpit voice recording and transcript from such recording;
 - (e) Any ATIS recording and transcript from such recording;
 - (f) Any cockpit airborne image recording and any part or transcript from such recording;
 - (g) any opinion expressed in the analysis of information, including flight recorder information.
- (2) A record referred to in sub-paragraph (1) shall be included in a Final Report or its appendices, or in any other report only when it is relevant to the analysis of the accident or incident.
- (3) Such parts of the record which are not relevant to the analysis of the accident or incident shall not be included in the Final Report.
- (4) The names of the persons involved in the accident or incident shall not be disclosed by the Chief Inspector, the Inspectors or the Air Accident Investigation Unit Bhutan.

22. Release and disposal of aircraft and wreckage

- (1) If the retention of the aircraft involved in an accident or incident, parts of the aircraft or aircraft wreckage, or any contents of the aircraft is no longer necessary for the purposes of an investigation, the Chief Inspector shall release custody of the aircraft, parts, wreckage or contents to the following person or persons:

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- (a) if the aircraft is a Bhutan aircraft:
 - (i) the owner of the aircraft, parts, wreckage or contents;
 - (ii) where the owner is dead, his personal representative; or
 - (iii) a person authorised in writing by the owner or his personal representative to take custody on behalf of the owner or the owner's personal representative;
 - (b) in any other case, to the person or persons designated by the State of Registry or the State of the Operator, as the case may be.
- (2) If a person to whom custody of the aircraft, parts, wreckage or contents is to be released refuses to take custody thereof or fails to take custody within a reasonable period, the aircraft, parts, wreckage or contents may be disposed of in such manner as the Chief Inspector considers fit.
- (3) The expenses incurred by the Chief Inspector in disposing of the aircraft, parts, wreckage or contents shall be recoverable from the owner or operator of the aircraft or both.

23. Disposal of records

- (1) The Minister, the Chief Inspector and an investigator-in-charge shall not be required to hold aircraft records or factual information concerning an accident or incident beyond such time as is necessary for the completion of the investigation and reports.
- (2) The records and information referred to in sub-paragraph (1) include:
- (a) photographs;
 - (b) written statements; and
 - (c) documents pertaining to the accident or incident, the circumstances of the accident or incident, or the aircraft or personnel involved.
- (3) Such records shall be returned to the persons from whom they were obtained and if not claimed by such persons after a reasonable period, may be disposed of in any manner that the Chief Inspector considers fit.

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24. Obstruction of investigation

- (1) No person shall obstruct or impede an Inspector or any person acting under the authority of the Minister or the Chief Inspector in the exercise of any rights, powers or duties under this Regulation.
- (2) No person shall without reasonable excuse and after having had the expenses (if any) to which he is entitled tendered to him, fail to comply with any summons of:
 - (a) an investigator-in-charge carrying out an investigation under this Regulation;
or
 - (b) any person empowered to exercise the powers of the investigator-in-charge under paragraph 12 (4).
- (3) The onus of proving reasonable excuse for failing to comply with a summons shall lie on the person relying on such excuse.

25. Evidence of investigators

- (1) In the interest of safety and in accordance with the purpose of the investigation, the AAIU investigators shall not be compellable to give an opinion on matters of blame or liability in civil, criminal, administrative or disciplinary proceedings.

26. Liability

- (1) As such, for an accident/incident in Bhutan, the Chief Inspector of Accidents and the investigator-in-charge (IIC) will not be liable for any damage done to the accident/incident aircraft during its removal either because of the absence of the owner, operator or hirer of the aircraft, or because of failure by the owner, operator or hirer to comply with the order by the Minister to remove the aircraft.
- (2) Similarly, the Chief Inspector of Accidents and the investigator-in-charge (IIC) and the Inspectors assisting the IIC, the Bhutan accredited representative and any of their advisors will also not be liable for any damage done to the accident/incident aircraft (for accident/incident in Bhutan) in the course of the investigation, or to any other aircraft or object or evidence required by them in the course of the investigation, where there has been no negligence on their part.
- (3) Nevertheless, investigators are reminded to exercise due care and to minimize damage to any aircraft or object or evidence in the course of the investigation.

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27. Offences and Penalty

Any person who contravenes paragraph 7 (1) or (3), 9 (1), 18 (3), 21 (1), 24 (1) or (2), shall be guilty of an offence on conviction to a fine not exceeding Ngultrum 35,000 or to imprisonment for a term not exceeding one year or to both.

28. Saving of powers

Nothing in this Regulation shall limit the powers of cancelling, suspending or endorsing any license, certificate or other document under the Act or any legislation made thereunder.

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ATTACHMENT A. FORMAT OF THE FINAL REPORT

PURPOSE

The purpose of this format is to present the Final Report in a convenient and uniform manner.

FORMAT

Title. The Final Report begins with a title comprising:

name of the operator; manufacturer, model, nationality and registration marks of the aircraft; and place and date of the accident or incident.

Synopsis. Following the title is a synopsis describing briefly all relevant information regarding:

notification of accident to national and foreign authorities; identification of the accident investigation authority and accredited representation; organization of the investigation; authority releasing the report and date of publication; and concluding with a brief résumé of the circumstances leading to the accident.

Body. The body of the Final Report comprises the following main headings:

1. Factual information
2. Analysis
3. Conclusions
4. Safety recommendations

each heading consisting of a number of subheadings as outlined in the following.

Appendices Include as appropriate.

1. FACTUAL INFORMATION

1.1 ***History of the flight.*** A brief narrative giving the following information:

- ⊗ Flight number, type of operation, last point of departure, time of departure (local time or UTC), point of intended landing.
- ⊗ Flight preparation, description of the flight and events leading to the accident, including reconstruction of the significant portion of the flight path, if appropriate.
- ⊗ Location (latitude, longitude, elevation), time of the accident (local time or UTC), whether day or night.

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1.2 ***Injuries to persons.*** Completion of the following (in numbers):

<i>Injuries</i>	<i>Crew</i>	<i>Passengers</i>	<i>Others</i>
Fatal			
Serious			
Minor/None			

1.3 ***Damage to aircraft.*** Brief statement of the damage sustained by aircraft in the accident (destroyed, substantially damaged, slightly damaged, no damage).

1.4 ***Other damage.*** Brief description of damage sustained by objects other than the aircraft.

1.5 ***Personnel information:***

- a) Pertinent information concerning each of the flight crew members including: age, validity of licences, ratings, mandatory checks, flying experience (total and on type) and relevant information on duty time.
- b) Brief statement of qualifications and experience of other crew members.
- c) Pertinent information regarding other personnel, such as air traffic services, maintenance, etc., when relevant.

1.6 ***Aircraft information:***

- a) Brief statement on airworthiness and maintenance of the aircraft (indication of deficiencies known prior to and during the flight to be included, if having any bearing on the accident).
- b) Brief statement on performance, if relevant, and whether the mass and centre of gravity were within the prescribed limits during the phase of operation related to the accident. (If not and if of any bearing on the accident give details.)
- c) Type of fuel used.

1.7 ***Meteorological information:***

- a) Brief statement on the meteorological conditions appropriate to the circumstances including both forecast and actual conditions, and the availability of meteorological information to the crew.
- b) Natural light conditions at the time of the accident (sunlight, moonlight, twilight, etc.).

1.8 ***Aids to navigation.*** Pertinent information on navigation aids available, including landing aids such as ILS, MLS, NDB, PAR, VOR, visual ground aids, etc., and their effectiveness at the time.

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- 1.9 **Communications.** Pertinent information on aeronautical mobile and fixed service communications and their effectiveness.
- 1.10 **Aerodrome information.** Pertinent information associated with the aerodrome, its facilities and condition, or with the take-off or landing area if other than an aerodrome.
- 1.11 **Flight recorders.** Location of the flight recorder installations in the aircraft, their condition on recovery and pertinent data available therefrom.
- 1.12 **Wreckage and impact information.** General information on the site of the accident and the distribution pattern of the wreckage, detected material failures or component malfunctions. Details concerning the location and state of the different pieces of the wreckage are not normally required unless it is necessary to indicate a break-up of the aircraft prior to impact. Diagrams, charts and photographs may be included in this section or attached in the appendices.
- 1.13 **Medical and pathological information.** Brief description of the results of the investigation undertaken and pertinent data available therefrom.
- 1.14 **Fire.** If fire occurred, information on the nature of the occurrence, and of the firefighting equipment used and its effectiveness.
- 1.15 **Survival aspects.** Brief description of search, evacuation and rescue, location of crew and passengers in relation to injuries sustained, and failure of structures such as seats and seat-belt attachments.
- 1.16 **Tests and research.** Brief statements regarding the results of tests and research.
- 1.17 **Organizational and management information.** Pertinent information concerning the organizations and their management involved in influencing the operation of the aircraft. The organizations include, for example: the operator; the air traffic services; airway, aerodrome and weather service agencies; and the regulatory authority. The information could include, but not be limited to, organizational structure and functions, resources, economic status, management policies and practices, and regulatory framework.
- 1.18 **Additional information.** Relevant information not already included in 1.1 to 1.17.
- 1.19 **Useful or effective investigation techniques.** When useful or effective investigation techniques have been used during the investigation, briefly indicate the reason for using these techniques and refer here to the main features as well as describing the results under the appropriate subheadings 1.1 to 1.18.

2. ANALYSIS

Analyse, as appropriate, only the information documented in 1. — Factual information and which is relevant to the determination of conclusions and causes and/or contributing factors.

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3. CONCLUSIONS

List the findings, causes and/or contributing factors established in the investigation. The list of causes and/or contributing factors should include both the immediate and the deeper systemic causes and/or contributing factors.

4. SAFETY RECOMMENDATIONS

As appropriate, briefly state any recommendations made for the purpose of accident prevention and identify safety actions already implemented.

APPENDICES

Include, as appropriate, any other pertinent information considered necessary for the understanding of the Final Report.

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**ATTACHMENT B. GUIDANCE FOR THE DETERMINATION OF
AIRCRAFT DAMAGE**

1. If an engine separates from an aircraft, the event is considered an accident even if damage is confined to the engine.
2. A loss of engine cowls (fan or core) or reverser components, which does not result in further damage to the aircraft, is not considered an accident.
3. An occurrence where any compressor, turbine blade, or other engine internal component is ejected through the engine tail pipe is not considered an accident.
4. A collapsed or missing radome is not considered an accident, unless there is related substantial damage in other structures or systems.
5. Any missing flap, slat and other lift augmenting device, winglet, etc., that is permitted for dispatch under the Configuration Deviation List is not considered to be an accident.
6. Where retraction of a landing gear leg, or wheels up landing, has resulted in skin abrasion only and if the aircraft can be safely dispatched after minor repairs or patching, and subsequently undergoes more extensive work to effect a permanent repair, then the occurrence is not considered an accident.
7. If the structural damage is such that the aircraft depressurizes, or cannot be pressurized, the occurrence is considered an accident.
8. Any occurrence that entails the removal of any component for inspection following an occurrence, such as the precautionary removal of an undercarriage leg following a low-speed runway excursion, while such removal may involve considerable work, is not considered an accident unless significant damage is found.
9. Any occurrence that involves an emergency evacuation is not considered an accident unless someone has sustained serious injuries, or the aircraft has sustained significant damage, as a result of the occurrence.

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ATTACHEMNT C. LIST OF EXAMPLES OF SERIOUS INCIDENTS

1. The term “serious incident” is defined in paragraph 2 as follows:

Serious incident. An incident involving circumstances indicating that there was a high probability of an accident and associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down.

2. There may be a high probability of an accident if there are few or no safety defences remaining to prevent the incident from progressing to an accident. To determine this, an event risk-based analysis (that takes into account the most credible scenario had the incident escalated and the effectiveness of the remaining defences between the incident and the potential accident) can be performed as follows:

a) consider whether there is a credible scenario by which this incident could have escalated to an accident; and assess the remaining defences between the incident and the potential accident as:

— effective, if several defences remained and needed to coincidentally fail; or

— limited, if few or no defences remained, or when the accident was only avoided due to providence.

2.1 Consider both the number and robustness of the remaining defences between the incident and the potential accident. Ignore defences that failed, and consider only those that worked and any subsequent defences still in place.

2.2 The combination of these two assessments helps to determine which incidents are serious incidents:

		<i>b) Remaining defences between the incident and the potential accident</i>	
		<i>Effective</i>	<i>Limited</i>
<i>a) Most credible scenario</i>	<i>Accident</i>	Incident	Serious Incident
	<i>No Accident</i>	Incident	

3. In the case of an unmanned aircraft, consider whether the most credible outcome, had the incident escalated into an accident, could have resulted in a person being fatally or seriously injured. Fatal and serious injuries are more likely to justify an investigation than those occurrences where the most credible outcome was merely damage to or loss of the unmanned aircraft. The risk of fatal or serious injury may also influence the extent of the investigation to be conducted.

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4. The incidents listed are examples of what may be serious incidents. However, the list is not exhaustive and, depending on the context, items on the list may not be classified as serious incidents if effective defences remained between the incidents and the credible scenario.

Near collisions requiring an avoidance manoeuvre to avoid a collision or an unsafe situation or when an avoidance action would have been appropriate.

Collisions not classified as accidents.

Controlled flight into terrain only marginally avoided.

Aborted take-offs on a closed or engaged runway, on a taxiway or unassigned runway.

Take-offs from a closed or engaged runway, from a taxiway¹ or unassigned runway.

Landings or attempted landings on a closed or engaged runway, on a taxiway¹, on an unassigned runway or on unintended landing locations such as roadways.

Retraction of a landing gear leg or a wheels-up landing not classified as an accident.

Dragging during landing of a wing tip, an engine pod or any other part of the aircraft, when not classified as an accident.

Gross failures to achieve predicted performance during take-off or initial climb.

Fires and/or smoke in the cockpit, in the passenger compartment, in cargo compartments or engine fires, even though such fires were extinguished by the use of extinguishing agents.

Events requiring the emergency use of oxygen by the flight crew.

Aircraft structural failures or engine disintegrations, including uncontained turbine engine failures, not classified as an accident.

Multiple malfunctions of one or more aircraft systems seriously affecting the operation of the aircraft. Flight crew incapacitation in flight:

- a) for single pilot operations (including remote pilot); or
- b) for multi-pilot operations for which flight safety was compromised because of a significant increase in workload for the remaining crew.

Fuel quantity level or distribution situations requiring the declaration of an emergency by the pilot, such as insufficient fuel, fuel exhaustion, fuel starvation, or inability to use all usable fuel on board.

Runway incursions classified with severity A. The Manual on the Prevention of Runway Incursions (Doc 9870) contains information on the severity classifications.

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Take-off or landing incidents. Incidents such as under-shooting, overrunning or running off the side of runways.

System failures (including loss of power or thrust), weather phenomena, operations outside the approved flight envelope or other occurrences which caused or could have caused difficulties controlling the aircraft.

Failures of more than one system in a redundancy system mandatory for flight guidance and navigation.

The unintentional or, as an emergency measure, the intentional release of a slung load or any other load carried external to the aircraft.

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ATTACHMENT D. NOTIFICATION AND REPORTING CHECKLIST

FINAL REPORT

Accidents and incidents wherever they occurred

<i>From</i>	<i>Type of report</i>	<i>Concerning</i>	<i>Send to</i>	<i>Annex 13 reference</i>
State conducting the investigation	FINAL REPORT	All aircraft	State instituting the investigation State of Registry State of the Operator State of Design State of Manufacture Other States participating in the investigation State having suffered fatalities or serious injuries to its citizens State providing information, significant facilities or experts	6.4
		Aircraft over 5700 kg	ICAO	6.7