

Template for development of procedures

NUMBER: 90		TITLE: Completion of the final report and publication of interim statements			
Process: Reporting					
Reference: PQ 6.405 - Has the State, as the State conducting the investigation, established and implemented procedures to ensure that the final report is completed as soon as possible and that, if the report is not made available within 12 months, an interim statement is made publicly available on each anniversary of the occurrence, detailing the progress of the investigation and any safety issues raised?					
Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
1	Insert the occurrence in the Investigation Control Spreadsheet	Administrative Assistant	Register the information of the occurrence in the Investigation Control Spreadsheet to be saved in the Investigation Control folder in the AIG secure server, informing the Investigator-in-charge (e-mail)	Within 4 working days after the receipt of the notification	Investigator-in-charge
2	Determine timelines for sending partial reports from groups, other investigators and/or experts	Investigator-in-charge	Whenever the investigation is conducted by a Team, the IIC shall fill the Form 78 (Timelines for partial reports to the IIC), determining the timelines to be observed by Team members ¹ for sending the partial reports regarding the main activities ² of the investigation Once the Form 78 is filled, the IIC shall sent ³ it to each team member through e-mail Note 1- The timelines apply to all investigator(s) and/or expert(s) responsible for specific activities during the investigation, but do not include Accredited Representatives and their advisors) Note 2- Examples of main activities are: reviewing documents, testing and examining parts, interviewing witnesses, reading flight recorders, etc.) Note 3- The Form shall be amended by the IIC and forwarded to Team members to include any necessary activity not previously included	Within 10 working days after the receipt of the notification	Team members
3	Notify the need to prepare an Interim Statement	Administrative Assistant	By sending an email to the IIC, based on the monitoring of the Investigation Control Worksheet, stating the anniversary date of the occurrence for the purposes of preparing the Interim Statement	30 calendar days before each anniversary of the occurrence while the final report is not published	Investigator-in-charge
4	Prepare an Interim Statement	Investigator-in-charge	Based on the information available, and supported by any partial reports received so far, the IIC will prepare the Interim Statement, using the Form 79 (Interim Statement Form), and observing all the protections related to the disclosure of information established by STD 5.12 of Annex 13, sending the	Until 10 working days before the anniversary of the occurrence	Administrative Assistant

			filled Form 79 to the Administrative Assistant by e-mail, for publication.		
5	Publication of Interim Statement	Administrative Assistant	By sending, by email, the filled Form 79 to the Administrator of the CAAC IT Section website for publication in accordance with the IT Section Procedure XX, with copies to the Chief Investigator and the IIC	Until 8 working days before the anniversary of the occurrence	Chief Investigator Investigator-in-charge
6	Update the occurrence record in the Occurrence Control Spreadsheet	Administrative Assistant	Inserting the date of publication of the Interim Statement in the record corresponding to the occurrence and informing the IIC by e-mail	Until 4 working days after the publication of the Interim Statement	Investigator-in-charge
7	Sending activity reports	Relevant Team members	Any investigator and/or expert responsible for specific activities during the investigation will prepare a report ¹ of the activity conducted and send it to the IIC through the CAAC secure FTP Note 1 - the content of any activity report must include: <ul style="list-style-type: none"> - Location and date of the activity - Participating staff - Activity performed and its purpose - Description of the work carried out - Conclusions and / or results (actual or potential) - Safety recommendations (if any) - Derived actions (if applicable) - Total cost of the activity 	In accordance with the timelines established by the Investigator-in-charge through the Form 78	Investigator-in-charge
8	Request partial reports	Investigator-in-charge	The IIC will send an email (with a copy for the Chief Investigator) to any investigator(s) and/or expert(s) who have not yet sent the relevant partial report related to any activity listed on Form 78, reminding the deadline established for sending it	Until 5 working days before the deadline established in the Form 78 issued by the IIC for the activity report to be sent	Chief Investigator Relevant Team members
9	Sending closing reports	Relevant Team members	All investigator(s) and/or expert(s) responsible for any specific activities during the investigation will prepare a closing report ¹ related to his/her participation in the investigation and send it to the IIC through the CAAC secure FTP Note 1 - the content of the closing report must include: <ul style="list-style-type: none"> - A list of all activities conducted under your responsibility - Analysis of the evidence - Conclusions and / or results (actual or potential) - Safety recommendations (if any) - Total cost of the investigation portion under your responsibility 	In accordance with the timelines established by the Investigator-in-charge through the Form 78	Investigator-in-charge
10	Request closing reports	Investigator-in-charge	The IIC will send an email to each member of the Team who has not yet sent the closing report (with a copy to the Chief Investigator) reminding the deadline established for sending it	After the last technical activity of the investigation and until 8 working days before the deadline established in the Form 78 issued by the IIC for the closing reports to be sent	Chief Investigator Team members

11	Preparation of the draft final report*	Investigator-in-charge	<p>By compiling all relevant information available¹, including information received through partial and closing reports, into the Form 36 (Final Report Form)</p> <p>Note 1- Any safety recommendations shall be already included in this draft</p> <p>Note 2: The Form 36 (Final Report Form) shall be used to prepare the draft final report, and it is available in the AIG server, at O:\AIG\Documents\InvestigationForms\</p> <p>Note 3: In investigations conducted by the IIC only, the draft final report will be ready to be forwarded to the States and organizations that participated in the investigation for their comments after this step, following the CAAC-AIG Procedure 37</p>	<p>When the investigation is conducted by a Team, within 30 calendar days after receiving the last activity or closing report (what happens last)</p> <p>Otherwise, within 20 working days after the last technical investigation activity conducted¹.</p> <p>Note 1- In the case of activities conducted by third parties (e.g. fuel/lubricant tests) the activity will be considered as conducted after the receipt of the report from the entity responsible for the activity</p>	Team members
<p>* Due to the time limitations for this webinar, we chose to omit the steps for sending the final draft report to other States and organizations for their comments, indicating the use of another procedure to cover it. The ideal would be to have these steps included in this same procedure</p>					
12	Submission of the draft final report for review and comments by Team members	Investigator-in-charge	By submitting this preliminary version of the draft final report to the Team members for comments, using CAAC secure FTP	Immediately after step 11, or the next working day if step 11 is completed on a non-working day	Team members
13	Revision and comments on the preliminary version of the final report	Team members	Each Team member will conduct a revision of the whole content of the preliminary version of the draft final report (including editorial notes) and send it back to the IIC using CAAC secure FTP	Within 10 calendar days after receiving the automatic message of the secure FTP	Investigator-in-charge
14	Consolidation of the draft of the final report	Investigator-in-charge	<p>By amending the content of the draft to incorporate all pertinent comments from the Team members.</p> <p>Note - After this step, the draft final report will be ready to be forwarded to the States and organizations that participated in the investigation for their comments, following the CAAC-AIG Procedure 37</p>	Within 10 calendar days after receiving the automatic message of the secure FTP	Chief Investigator Administrative Assistant
15	Submission of the final report for approval*	Investigator-in-charge	By forwarding a hard copy of the final report (by internal memorandum) to the Chief Investigator for approval	<p>When the investigation is conducted by a Team, within 2 days after step 14</p> <p>Otherwise, within 2 days after step 11</p>	Chief Investigator Administrative Assistant
<p>* Due to the time limitations for this webinar, we chose to omit the steps for sending the final draft report to other States and organizations for their comments, which are considered to have already been carried out at the beginning of this step 15. The ideal would be to have all these steps included in this same procedure</p>					
16	Approval of the final report	Chief Investigator	<p>Signing, in the specific field (next to the IIC signature), the final report (hard copy) received for approval, forwarding the signed document (via internal memo) to the Administrative Assistant for publication, informing the IIC by email</p> <p>Note 1: If there is a need for changes to the final report received for approval, the chief investigator will forward the change instructions to the IIC by email, determining the appropriate time for the document to be resubmitted by the IIC for approval</p>	Within 3 working days after receiving the final report for approval	Investigator in Charge Administrative Assistant

			Note 2: Upon receiving instruction to change the text of the final report, the IIC will arrange for the requested changes and forward a new report via an internal memorandum for approval by the Chief Investigator		
17	Publication of the final report	Administrative Assistant	By sending, by email, the electronic file of the final report to the Administrator of the CAAC IT Section website for publication in accordance with the IT Section Procedure XX, with copies to the Chief Investigator and the IIC Note - The final report must be sent to all states involved and to ICAO, applying the CAAC-AIG Procedure 38	Within 2 working days after the approval	Chief Investigator Investigator-in-charge

NOTES

N1	Consultation with States, air operators, and organizations responsible for the type design and the final assembly of the aircraft on draft final reports (PQ 6.407, and 6.409)
N2	Amendment of draft final reports to include comments received (PQ 6.411)
N3	Sending the final report to all States involved and to ICAO as applicable (PQ 6.413, and 6.415)
N4	Ensuring the inclusion of intended safety recommendations are included in the draft final report (PQ 6.427)

ATTACHMENTS

#	TITLE	DESCRIPTION
A	Investigation Control Spreadsheet	A tool to help the management of the administrative tasks related to the investigation
B	F-31 – Transmittal Letter e-mail for forwarding draft final reports for comments	A template to be used for forwarding draft final reports for comments
C	F-66 – Final Report Form	A template for completing the Final Report
D	F-78 – Timelines for partial reports to the IIC	A form to be filled by the IIC when determining the timelines for receiving partial reports from other investigators and experts
E	F-79 – Interim Statement Form	A template for completing Interim Statements