

DISCLAIMER

The following procedure is purely fictitious, intended exclusively for educational purposes, and ICAO is not responsible for the adoption of its text without due care for adapting to the characteristics of the civil aviation system in place.

PROCEDURE No 90 - COMPLETION OF THE FINAL REPORT AND PUBLICATION OF INTERIM STATEMENTS

- 1- The Administrative Assistant will, within 4 working days after the receipt of the notification, register the information of the occurrence in the Investigation Control Spreadsheet, and will inform the Investigator-in-charge by e-mail when the Spreadsheet is ready.
Note: The Investigation Control Spreadsheet shall be saved in the Investigation Control folder in the AIG secure server.
- 2- The Investigator-in-charge will send, within 10 working days after the receipt of the notification, the timelines for groups leaders, other investigators and/or experts to observe when sending partial reports.
Note 1: This step is applicable to Team investigations only.
Note 2: The Form 78 (Timelines for partial reports to the IIC) shall be used by the IIC to inform Team members of the timelines.
Note 3: 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 4: Examples of main activities are reviewing documents, testing and examining parts, interviewing witnesses, reading flight recorders, etc.).
Note 5: Whenever necessary, the Form shall be amended by the IIC and forwarded to the Team members to include any necessary activity not previously included.
- 3- The Administrative Assistant will notify the Investigator-in-charge, 30 calendar days before each anniversary of the occurrence while the final report is not published, through e-mail, about the need to prepare an Interim Statement.
Note: The Administrative Assistant shall monitor the information on the Investigation Control Spreadsheet to be aware of all the necessary administrative actions related to the occurrence.
- 4- The Investigator-in-charge will prepare the Interim Statement based on the information available, and supported by any partial reports received so far, until 10 working days before the anniversary of the occurrence, sending it to the Administrative Assistant by e-mail, for publication.
*Note 1: The Form 79 (Interim Statement Form) shall be used to fill the statement, and it is available in the AIG server, at O:\AIG\Documents\InvestigationForms\
*Note 2: The content of the Interim Statement shall observe all the protections related to the disclosure of information established by STD 5.12 of Annex 13.**
- 5- The Administrative Assistant will arrange, until 8 working days before the anniversary of the occurrence, for the publication of the Interim Statement by sending, through email, the filled Form 79 to the Administrator of the CAAC IT Section website in accordance with the IT Section Procedure XX, with copies to the Chief Investigator and the IIC.
- 6- The Administrative Assistant will, until 4 working days after the publication of the Interim Statement, update the occurrence record in the Occurrence Control Spreadsheet, inserting the date of publication of the Statement in the record corresponding to the occurrence, notifying the Investigator-in-charge by e-mail when update is complete.

7- Any investigator and/or expert responsible for any specific activities during the investigation will prepare a report of the activity conducted and send it to the IIC through the CAAC secure FTP, in compliance with the timelines established by the Investigator-in-charge through the Form 78 (step 2 above).

Note 1: This step is applicable to Team investigations only.

Note 2: the content of any activity report must include:

- 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.

8- The Investigator-in-charge will, until 5 working days before the deadline established in the Form 78, send an email (with a copy for the Chief Investigator) to any investigator(s) and/or expert(s) who have not yet sent the report related to any activity listed on Form 78, reminding the deadline established for the report to be sent.

Note: This step is applicable to Team investigations only.

9- Any investigator and/or expert responsible for any specific activities during the investigation will prepare a closing report related to his/her participation in the investigation and send it to the IIC through the CAAC secure FTP, in compliance with the timelines established by the Investigator-in-charge through the Form 78 (step 2 above).

Note 1: This step is applicable to Team investigations only.

Note 2: the content of the closing report must include:

- A list of all activities conducted under his/her 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.

10- The Investigator-in-charge will, after the last technical activity of the investigation and until 8 working days before the deadline established in the Form 78, send an email (with a copy to the Chief Investigator) to each member of the Team who has not yet sent the closing report, reminding the deadline established for the report to be sent.

Note: This step is applicable to Team investigations only.

11- The Investigator-in-charge will prepare the draft final report by compiling all relevant information available, including information received through partial and closing reports:

- Within 30 calendar days after receiving the last activity or closing report (what happens last), when the investigation is conducted by a Team; or
- Within 20 working days after the last technical investigation activity conducted, when the investigation is conducted by the IIC only.

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.

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\.

Note 3: Any safety recommendations shall be already included in this draft.

Note 4: 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*.

* 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

12- The Investigator-in-charge will, immediately after step 11, or the next working day if step 11 is completed on a non-working day, submit the draft final report to the Team members for review and comments, using CAAC secure FTP.

Note: This step is applicable to Team investigations only.

13- 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.

Note 1: This step is applicable to Team investigations only.

Note 2: The comments shall not be limited to technical issues, but may include editorial notes.

Note 3: Comments shall include any safety recommendations considered that are not yet in the draft.

14- The Investigator-in-charge will, within 10 calendar days after receiving the automatic message of the secure FTP, consolidate the draft final report by amending its content to incorporate all pertinent comments from the Team members.

Note 1: This step is applicable to Team investigations only.

Note 2: 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.

15- The Investigator-in-charge will submit the final report to the Chief Investigator for approval*, by forwarding a hard copy of the report by internal memorandum, within 2 days after step 14 (a Team), or within 2 days after step 11 (for investigations conducted by the IIC only).

* 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

16- The Chief Investigator will approve the final report by signing in the specific field (next to the IIC signature) the printed document received for approval, within 3 working days after receiving the document, forwarding it, once signed (via internal memorandum), to the Administrative Assistant for publication and informing the IIC by e-mail.

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.

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- The Administrative Assistant will arrange for the publication of the final report within 2 working days after the approval by sending, through email (with copies to the Chief Investigator and the IIC), the electronic file of the report to the Administrator of the CAAC IT Section website, in accordance with the IT Section Procedure XX.

Note: The final report must be sent to all States involved and to ICAO, applying the CAAC-AIG Procedure 38.