

Forwarding notifications to other States and to ICAO

6.317 Has the State, as State of Occurrence, established and implemented procedures to ensure the forwarding of accident/incident notifications to other States involved and, when applicable, ICAO?



Let's build it together

- ★Stage 1 Gathering relevant information
- **★**Stage 2 Defining the framework
- ★Stage 3 Writing the procedure



Let's build it together

- ★Exercise: Forwarding notifications to other States and to ICAO
 - ★ To do the exercises, we will use our fictional scenario:
 - ★State Coronaland
 - ★Authority Civil Aviation Authority of Coronaland (CAAC)
 - ★The accident investigation unit is not independent, being part of the CAAC



Let's build it together

- ★Stage 1 Gathering relevant information
- **★**Stage 2 Defining the framework
- ★ Stage 3 Writing the procedure



- ★Gather all information relevant to the development of the procedure
 - ★Since the procedure of our exercise comes out from a PQ, we need to know the content of:
 - ★the question of the Protocol USOAP
 - ★the ICAO references to that PQ
 - ★the Guidance for Review of Evidence



Forwarding notifications to other States and to ICAO

6.317 Has the State, as State of Occurrence, established and implemented procedures to ensure the forwarding of accident/incident notifications to other States involved and, when applicable, ICAO?

Key elements:

- 1. Established and implemented
- 2. Forwarding of accident/incident notifications
- 3. Other States involved
 - 4. ICAO

Established and implemented

This PQ requires evidence of implementation

Forwarding of accident/incident notifications

 Applies to accidents, serious incidents and incidents that will be investigated

Other States involved

 States listed in the Standards 4.1 and 4.4 of Annex 13

ICAO

- Notifications shall be sent to ICAO in specific situations
- Although not required, we have asked all the States in the NAM/CAR Regions to copy the NACC RO when sending notifications to other States

ICAO references

STD

A13

4.1 & 4.4

GM

Doc 9756

Part I, 4.3

Doc 9962

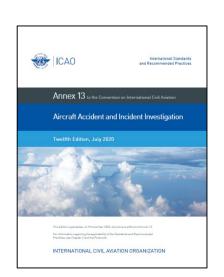
C5



ACCIDENTS OR INCIDENTS IN THE TERRITORY OF A CONTRACTING STATE TO AIRCRAFT OF ANOTHER CONTRACTING STATE

RESPONSIBILITY OF THE STATE OF OCCURRENCE

ANNEX 13



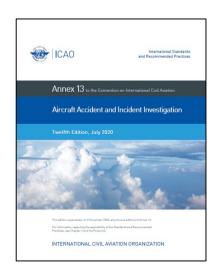
Forwarding

- 4.1 The State of Occurrence shall forward a notification of an accident, a serious incident, or an incident to be investigated within the context of this Annex, with a minimum of delay and by the most suitable and quickest means available, to:
- a) the State of Registry;
- b) the State of the Operator;
- c) the State of Design;
- d) the State of Manufacture; and
- e) the International Civil Aviation Organization, when the aircraft involved is of a maximum mass of over 2 250 kg or is a turbojet-powered aeroplane.



RESPONSIBILITY OF THE STATE OF OCCURRENCE

ANNEX 13



However, when the State of Occurrence is not aware of a serious incident, or an incident to be investigated, the State of Registry or the State of the Operator, as appropriate, shall forward a notification of such an incident to the State of Design, the State of Manufacture and the State of Occurrence.

Note 1.— Telephone, facsimile, e-mail or the Aeronautical Fixed Telecommunication Network (AFTN) will in most cases constitute "the most suitable and quickest means available". More than one means of communication may be appropriate.

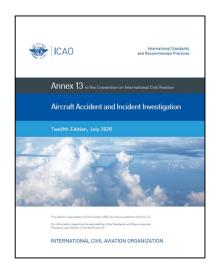
Note 2.— Provision for the notification of a distress phase to the State of Registry by the rescue coordination centre is contained in Annex 12 — Search and Rescue.



ORGANIZATION AND CONDUCT OF THE INVESTIGATION

RESPONSIBILITY OF THE STATE CONDUCTING THE INVESTIGATION

ANNEX 13



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Additional information

4.4 As soon as it is possible to do so, the State of Occurrence shall dispatch the details omitted from the notification as well as other known relevant information.



4.3 RESPONSIBILITIES OF THE STATE OF OCCURRENCE





4.3.1 Annex 13, Chapter 4, contains provisions for the notification of accidents and serious incidents.

4.3.2 When an accident or serious incident occurs in the territory of a Contracting State to an aircraft registered in another Contracting State, the State in which the accident or serious incident occurred (State of Occurrence) shall send a notification with a minimum of delay to the State of Registry, the State of the Operator, the State of Design and the State of Manufacture of the aircraft.







4.3.3 When the State of Occurrence is not aware of a serious incident, the State of Registry or the State of the Operator, as appropriate, shall forward a notification of such an incident to the State of Design, the State of Manufacture and the State of Occurrence.

4.3.4 When an accident or serious incident occurs in the territory of the State in which the aircraft is registered (State of Registry), in a non-Contracting State, or outside the territory of any State, then the State of Registry shall send a notification with a minimum of delay to the State of the Operator, the State of Design and the State of Manufacture of the aircraft.



DOC 9756 PART I



4.3.5 For accidents or serious incidents involving aircraft of a maximum certificated take-off mass of over 2 250 kg or a turbojet-powered aeroplane, the notification shall also be sent to ICAO.







4.3.6 The State of Occurrence should also notify States which have a special interest in an accident by virtue of fatalities or serious injuries to its citizens. Those States shall be permitted by the State conducting the investigation to appoint an expert who shall be entitled to visit the scene of the accident, to have access to the relevant factual information approved for public release by the State conducting the investigation and information on the progress of the investigation, and to receive a copy of the Final Report. This will not preclude the State from also assisting in the identification of the victims and in meetings with survivors from that State.







4.3.7 The State of Occurrence may also wish to send a notification to those States which may be requested to provide information to the investigation authority conducting the investigation, i.e. the State(s) whose air traffic services had the aircraft under control prior to the accident or serious incident.

4.3.8 Each State shall have appropriate regulations and procedures in place to ensure that its accident investigation authority sends the notification to the accident investigation authorities of the other States concerned with a minimum of delay. Instructions regarding the preparation and dispatch of notifications should be readily available to the investigator(s) on call.







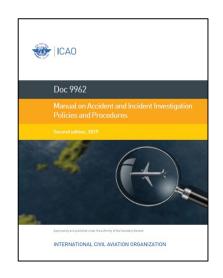
4.3.9 The accident investigation authority should be organized in such a way that accident investigators are available on a 24-hour basis. This will reduce notification delays and will allow the investigation to begin promptly.

4.3.10 Where possible, the notification should be addressed to the accident investigation authorities in the State of Registry, the State of the Operator, the State of Design and the State of Manufacture, as appropriate.





Investigation



Chapter 5. Initial notification and response

- 5.1 General
- 5.2 Reporting requirements
- 5.3 Notification procedures
- 5.4 Response to notifications
- 5.5 Delegation of the investigation (in whole or in part)



Guidance for Review of Evidence

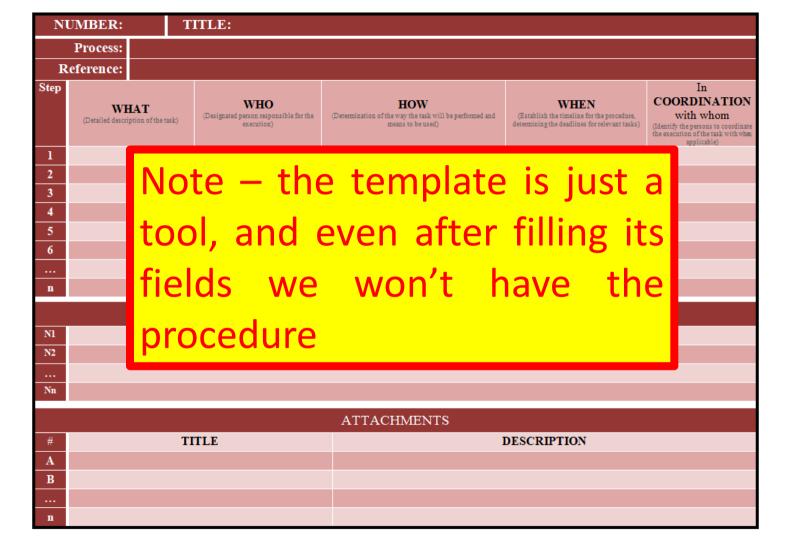
1) Review procedures and recent notifications (in particular notifications transmitted to ICAO).



- ★"Brainstorm" to find out which tasks would be part of the procedure
- ★We may use the template we developed to guide us in the process

NU	NUMBER: TITLE:							
	Process:							
R	eference:							
Step	WHAT (Detailed description of the ta	ask)	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)		
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NUMBER:	09 TITLE: Forwarding notifications to other States and to ICAO
Process:	Notification
Reference:	PQ 6.317 – Has the State, as State of Occurrence, established and implemented procedures to ensure the forwarding of accident/incident notifications to other States involved and, when applicable, ICAO?



Relation with other processes

★The procedure is related to the establishment and implementation of procedures to forward a notification in the situations described in the PQ 6.319



Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	$oldsymbol{ ext{HOW}}$ (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	Verify the information received by national notification				



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1	Verify the information received by national notification	Investigator on duty			



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1	Verify the information received by national notification	Investigator on duty	The investigator on duty will verify the accuracy of the information received through national notifications, by contacting the operator, service providers, other areas of the CAAC and any other source as necessary. Note: National notification is the one primarily sent by the operator and/or service providers through one of the approved channels established by the CAAC, to comply with the legislation		



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2	Prepare an international notification				



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2	Prepare an international notification	Investigator on duty	The investigator on duty will prepare an international notification, using the Form 02/AIG (Template of international notifications).	Within 30 minutes after the verification of the content of the national notification	



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3	Send the international notification	Investigator on duty	The investigator on duty will send, primarily by email (with copies to the Chief Investigator and the Administrative Assistant), the international notification to the State of Registry, the State of the Operator, the State of Design, the State of Manufacture, and ICAO when applicable, using the Form 02/AIG (Template of international notifications). Note 1: The contact information of the accident investigation authorities of the States will be obtained at https://www.icao.int/safety/AIA/Pages/default.aspx . Note 2: Notifications will be sent to ICAO when the aircraft involved is of a maximum mass of over 2 250 kg or is a turbojet-powered aeroplane. Note 3: Notifications to ICAO will be addressed to ADREP@icao.int and AIGinbox@icao.int .		



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Let's build it together

- ★Stage 1 Gathering relevant information
- **★**Stage 2 Defining the framework
- ★Stage 3 Writing the procedure



Writing the procedure

★After this "brainstorm" and with the template completed, we will probably be able to write the procedure



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

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PROCEDURE No 05/CAAC-AIG - INFORMING THE INTENTION TO APPOINT ACCREDITED REPRESENTATIVE

INTRODUCTION

turbojet-powered aeroplane.

As per Standards 4.1 and 4.4 of Annex 13, Coronaland shall send a notification of an accident, a serious incident, or an incident to be investigated, with a minimum of delay and by the most suitable and quickest means available, to the State of Registry, the State of the Operator, the State of Design, the State of Manufacture; and the ICAO, when the aircraft involved is of a maximum mass of over 2 250 kg or is a

This procedure aims at complying with such requirement.

For the purposes of this procedure, the following definitions are adopted:

- National notification: Means the notification received within Coronaland, usually sent by the operator and/or service providers through one of the approved channels established by the CAAC, to comply with the legislation.
- International notification: Means the notification prepared by Coronaland to be sent to the States involved and to ICAO, as per Standard 4.1 of Annex 13.

PROCEDURE

1 The investigator on duty will, within 1 hour after the receipt of a national notification, verify the accuracy of the information received through national notifications, by contacting the operator, service providers, other areas of the CAAC and any other source as necessary. Note: National notification is the one primarily sent by the operator and/or service providers through one of the

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- 3 The Chief Investigator will, within 30 minutes after the preparation of the international notification, send, primarily by email (with copies to the Chief Investigator and the Administrative Assistant), the international notification to the State of Registry, the State of the Operator, the State of Design, the State of Manufacture, and ICAO when applicable, using the Form 02/AIG (Template of international notifications).

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Forwarding notifications – other cases

- 6.319 Has the State established and implemented procedures to ensure the forwarding of accident/incident notifications to the States involved and, when applicable, ICAO in the following situations where it is not the State of Occurrence:
- As State of Registry, in the case of an occurrence in a non-Contracting State or outside the territory of any State?
 - As State of Registry or State of the Operator, when the State of Occurrence is not aware of an incident?