



# Final Report and Interim Statement

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?



ICAO

SAFETY

# 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: Final Report and Interim Statement

- ✈ 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



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# Let's build it together

- ✈ Stage 1 – Gathering relevant information
- ✈ Stage 2 - Defining the framework
- ✈ Stage 3 - Writing the procedure



# Stage 1 – Gathering relevant information

✈ 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



# Final Report and Interim Statement

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**?

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?

## Key elements:

1. Final report is completed
2. Soon as possible
3. Interim statement on each anniversary
4. Progress of the investigation and safety issues raised

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?

## Final report is completed

- Different approaches depending on the categories established
- May have different models
- Major investigations will demand for group reports to build the final report



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**?

## Soon as possible

- That means no unnecessary delays
- The auditor will check the investigation documentation to verify any delays in the preparation of the report

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?

## Interim statement on each anniversary

- Interim statements are due every anniversary of the occurrence till the publication of the final report
- A control tool must be in place so the statement is released by the anniversary (the auditor will check the publication date)

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?

## Progress of the investigation and safety issues raised

- Progress of the investigation means all the actions taken (tests, examinations, interviews, flight recorder readouts, etc.) and their results, whenever they are not subjected to the protection of STD 5.12



## ICAO references

STD

A13

6.5 & 6.6

GM

Doc 9756

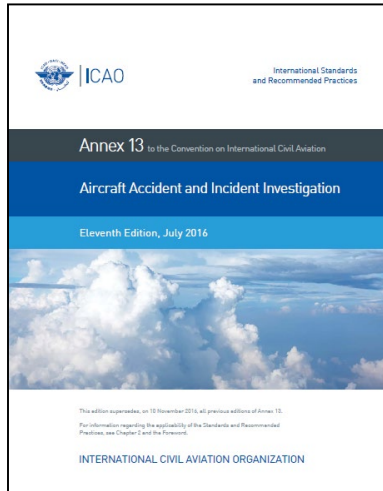
Part IV, 1.5.1

Doc 9962

10.7.1 & 10.7.4

# Stage 1 – Gathering relevant information

## ANNEX 13



## PRELIMINARY REPORT

### RESPONSIBILITY OF THE STATE CONDUCTING THE INVESTIGATION

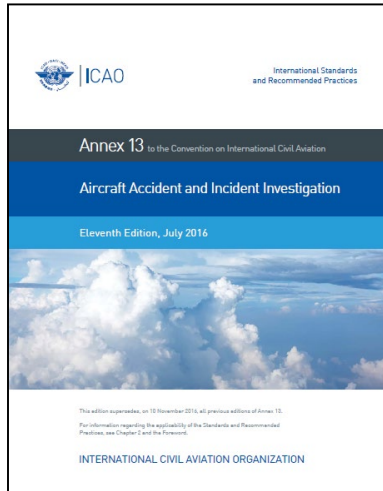
#### ***Release of the Final Report***

6.5 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.

*Note. — Making a Final Report publicly available can be achieved by posting the Final Report on the Internet, and does not necessarily require a hard-copy publication of the Final Report.*

# Stage 1 – Gathering relevant information

## ANNEX 13



## PRELIMINARY REPORT

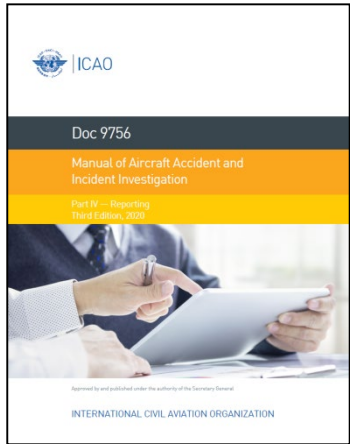
### RESPONSIBILITY OF THE STATE CONDUCTING THE INVESTIGATION

#### *Release of the Final Report*

6.6 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.

# Stage 1 – Gathering relevant information

## ICAO REFERENCES DOC 9756, IV



## RECENTLY APPROVED PART IV OF DOC 9756

### SLIGHTLY DIFFERENT:

#### 2020 Edition:

### 1.5 RELEASE AND DISTRIBUTION OF THE FINAL REPORT

1.5.1 The State conducting the investigation shall release the Final Report in the shortest possible time and, if possible, within twelve months of the date of the occurrence. If the report cannot be released within twelve months, the State conducting the investigation shall release an interim statement on each anniversary of the occurrence detailing the progress of the investigation and any safety issues raised.

# Stage 1 – Gathering relevant information

## ICAO REFERENCES DOC 9962



## Chapter 10

### WRITING THE FINAL REPORT AND MAKING SAFETY RECOMMENDATIONS

#### 10.7 DISTRIBUTION AND PUBLICATION OF FINAL REPORTS

10.7.1 Lessons learned during the investigation contained in the Final Report are important for improving aviation safety. Wide distribution of the Final Report is essential for the prevention of future occurrences and to inform the general public. Accordingly, the *[Accident Investigation Authority]* should adhere to the requirements of ICAO Annex 13, paragraph 6.5 and should make Final Reports publicly available as soon as possible and, if possible, within twelve months.



# Stage 1 – Gathering relevant information

## ICAO REFERENCES DOC 9962



## Chapter 10

### WRITING THE FINAL REPORT AND MAKING SAFETY RECOMMENDATIONS

#### 10.7 DISTRIBUTION AND PUBLICATION OF FINAL REPORTS

10.7.4 If the Final Report cannot be made publicly available within twelve months, the *[Accident Investigation Authority]* should make an interim statement publicly available on each anniversary of the occurrence, detailing the progress of the investigation and any safety issues raised.



# Guidance for Review of Evidence

- 1) Review procedures.
- 2) Verify if there is a time frame for the release of the final report.
- 3) Verify if target dates are met.
- 4) Verify if there is a monitoring system to ensure that target dates are met.
- 5) Verify if there are indications on possible elements to be included in the interim statements, depending on the progress of the investigation.
- 6) Verify that interim statements are effectively made available when needed.



## Stage 2 – Defining the framework

- ✈ “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

<b>NUMBER:</b>		<b>TITLE:</b>			
<b>Process:</b>					
<b>Reference:</b>					
<b>Step</b>	<b>WHAT</b> <small>(Detailed description of the task)</small>	<b>WHO</b> <small>(Designated person responsible for the execution)</small>	<b>HOW</b> <small>(Determination of the way the task will be performed and means to be used)</small>	<b>WHEN</b> <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small>	<b>In COORDINATION with whom</b> <small>(Identify the persons to coordinate the execution of the task with whom applicable)</small>
1					
2					
3					
4					
5					
6					
...					
n					
<b>NOTES</b>					
N1					
N2					
...					
Nn					
<b>ATTACHMENTS</b>					
#	TITLE		DESCRIPTION		
A					
B					
...					
n					

<b>NUMBER:</b>		<b>TITLE:</b>			
<b>Process:</b>					
<b>Reference:</b>					
Step	WHAT <small>(Detailed description of the task)</small>	WHO <small>(Designated person responsible for the execution)</small>	HOW <small>(Determination of the way the task will be performed and means to be used)</small>	WHEN <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small>	In COORDINATION with whom <small>(Identify the persons to coordinate the execution of the task with whom applicable)</small>
1					
2					
3					
4					
5					
6					
...					
n					
<b>ATTACHMENTS</b>					
#	TITLE		DESCRIPTION		
A					
B					
...					
n					

Note – the template is just a tool, and even after filling its fields we won't have the procedure



**NUMBER: 19**

**TITLE: Completion and publication of the final report and 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?**



# Relation with other processes

✈ This procedure works like an “umbrella” for the procedures:

- ✈ 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)
- ✈ Processing the comments on the draft final report (PQ 6.411)
- ✈ Ensuring the inclusion of intended safety recommendations are included in the draft final report (PQ 6.427)
- ✈ Sending the final report (PQ 6.413)

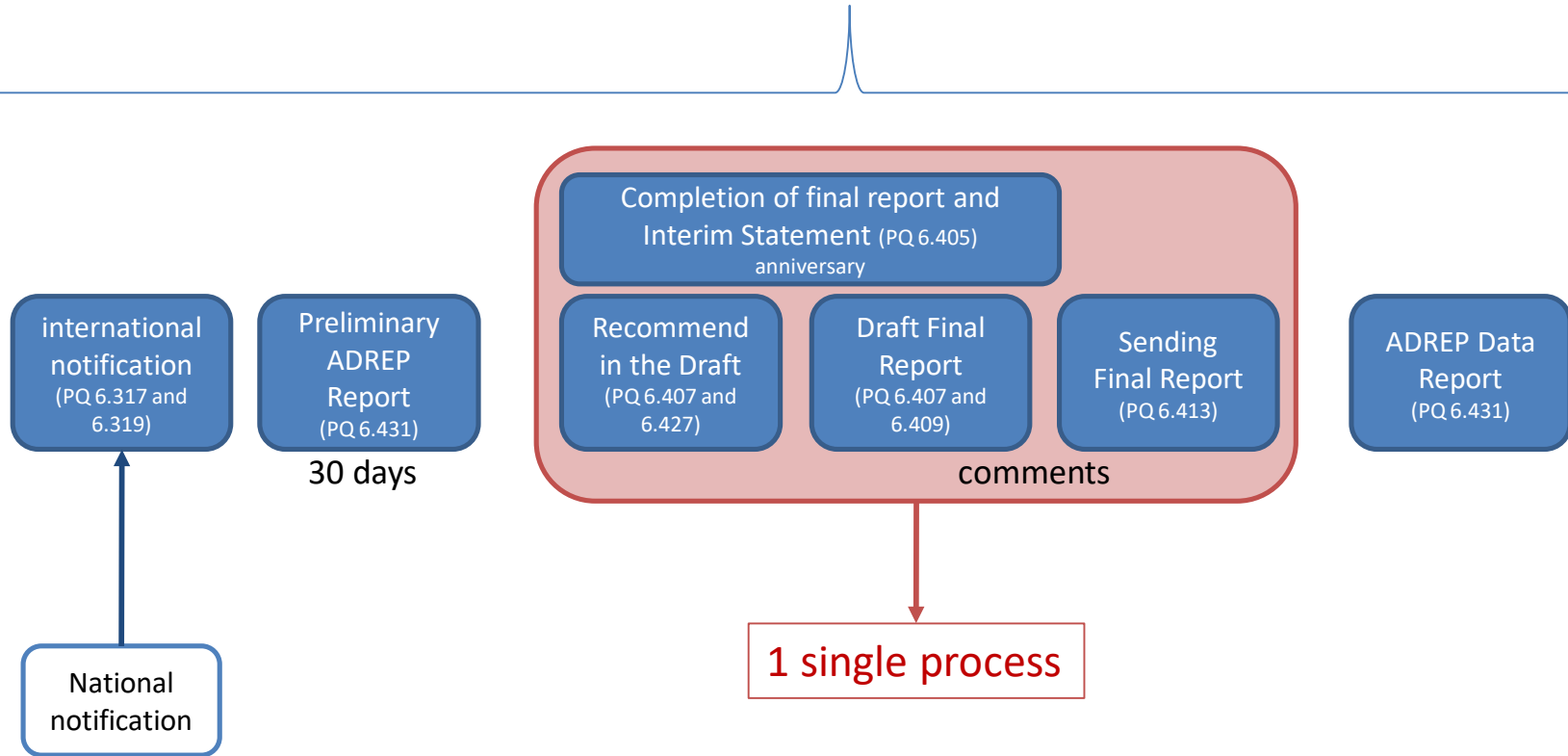


# Relation with other processes

✈ We will develop this procedure, then we will incorporate the parts of the other procedures



# Send to States and ICAO





# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
1	Insert the occurrence in the Investigation Control Spreadsheet				



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
1	Insert the occurrence in the Investigation Control Spreadsheet	Administrative Assistant			



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (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)		

The investigation control spreadsheet mentioned here represents any tool used to assist the accident investigation authority to ensure that certain important milestones in the investigation process are achieved

These tools may be specific proprietary software, commercial project management software, electronic calendars or even a simple spreadsheet





# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (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	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (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





# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
2	Determine timelines for sending partial reports from groups, other investigators and/or experts				



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
2	Determine timelines for sending partial reports from groups, other investigators and/or experts	Investigator-in-charge			



# Stage 2 – Defining the framework

Step	WHAT <small>(Detailed description of the task)</small>	WHO <small>(Designated person responsible for the execution)</small>	HOW <small>(Determination of the way the task will be performed and means to be used)</small>	WHEN <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small>	<b>In COORDINATION with whom</b> <small>(Identify the persons to coordinate the execution of the task with when applicable)</small>
2	Determine timelines for sending partial reports from groups, other investigators and/or experts	Investigator-in-charge	<p>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 for sending the partial reports regarding the main activities of the investigation</p> <p>Once the Form 78 is filled, the IIC shall sent it to each team member through e-mail</p> <p>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)</p> <p>Note 2- Examples of main activities are: reviewing documents, testing and examining parts, interviewing witnesses, reading flight recorders, etc.)</p> <p>Note 3- The Form shall be amended by the IIC and forwarded to Team members to include any necessary activity not previously included</p>		



# Stage 2 – Defining the framework

Step	WHAT <small>(Detailed description of the task)</small>	WHO <small>(Designated person responsible for the execution)</small>	HOW <small>(Determination of the way the task will be performed and means to be used)</small>	WHEN <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small>	In COORDINATION with whom <small>(Identify the persons to coordinate the execution of the task with when applicable)</small>
2	Determine timelines for sending partial reports from groups, other investigators and/or experts	Investigator-in-charge	<p>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 for sending the partial reports regarding the main activities of the investigation</p> <p>Once the Form 78 is filled, the IIC shall sent it to each team member through e-mail</p> <p>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)</p> <p>Note 2- Examples of main activities are: reviewing documents, testing and examining parts, interviewing witnesses, reading flight recorders, etc.)</p> <p>Note 3- The Form shall be amended by the IIC and forwarded to Team members to include any necessary activity not previously included</p>	<p>Within 10 working days after the receipt of the notification</p>	



Step	<b>WHAT</b> <small>(Detailed description of the task)</small>	<b>WHO</b> <small>(Designated person responsible for the execution)</small>	<b>HOW</b> <small>(Determination of the way the task will be performed and means to be used)</small>	<b>WHEN</b> <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small>	<b>In COORDINATION with whom</b> <small>(Identify the persons to coordinate the execution of the task with when applicable)</small>
2	<p>Determine timelines for sending partial reports from groups, other investigators and/or experts</p>	<p>Investigator-in-charge</p>	<p>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 for sending the partial reports regarding the main activities of the investigation</p> <p>Once the Form 78 is filled, the IIC shall sent it to each team member through e-mail</p> <p>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)</p> <p>Note 2- Examples of main activities are: reviewing documents, testing and examining parts, interviewing witnesses, reading flight recorders, etc.)</p> <p>Note 3- The Form shall be amended by the IIC and forwarded to Team members to include any necessary activity not previously included</p>	<p>Within 10 working days after the receipt of the notification</p>	<p>Team members</p>



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
3	Sending activity reports				



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
3	Sending activity reports	Relevant Team members			



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)
3	Sending activity reports	Relevant Team members	<p>Any investigator and/or expert responsible for specific activities during the investigation will prepare a report<sup>1</sup> of the activity conducted and send it to the IIC through the CAAC secure FTP</p> <p>Note 1 - the content of any activity report must include:</p> <ul style="list-style-type: none"><li>• Location and date of the activity</li><li>• Participating staff</li><li>• Activity performed and its purpose</li><li>• Description of the work carried out</li><li>• Conclusions and / or results (actual or potential)</li><li>• Safety recommendations (if any)</li><li>• Derived actions (if applicable)</li><li>• Total cost of the activity</li></ul>		





# Stage 2 – Defining the framework

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)
3	Sending activity reports	Relevant Team members	<p>Any investigator and/or expert responsible for specific activities during the investigation will prepare a report<sup>1</sup> of the activity conducted and send it to the IIC through the CAAC secure FTP</p> <p>Note 1 - the content of any activity report must include:</p> <ul style="list-style-type: none"><li>• Location and date of the activity</li><li>• Participating staff</li><li>• Activity performed and its purpose</li><li>• Description of the work carried out</li><li>• Conclusions and / or results (actual or potential)</li><li>• Safety recommendations (if any)</li><li>• Derived actions (if applicable)</li><li>• Total cost of the activity</li></ul>	In accordance with the timelines established by the Investigator-in-charge through the Form 78	



# Stage 2 – Defining the framework

Step	WHAT <small>(Detailed description of the task)</small>	WHO <small>(Designated person responsible for the execution)</small>	HOW <small>(Determination of the way the task will be performed and means to be used)</small>	WHEN <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small>	In COORDINATION with whom <small>(Identify the persons to coordinate the execution of the task with when applicable)</small>
3	Sending activity reports	Relevant Team members	<p>Any investigator and/or expert responsible for specific activities during the investigation will prepare a report<sup>1</sup> of the activity conducted and send it to the IIC through the CAAC secure FTP</p> <p>Note : The content of any activity report must include:</p> <ul style="list-style-type: none"> <li>• Location and date of the activity</li> <li>• Participating staff</li> <li>• Activity performed and its purpose</li> <li>• Description of the work carried out</li> <li>• Conclusions and / or results (actual or potential)</li> <li>• Safety recommendations (if any)</li> <li>• Derived actions (if applicable)</li> <li>• Total cost of the activity</li> </ul>	In accordance with the timelines established by the Investigator-in-charge through the Form 78	Investigator-in-charge



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
4	Request partial reports				



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
4	Request partial reports	Investigator-in-charge			



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
4	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		



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
4	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	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
4	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 has(ve) 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



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
5	Notify the need to prepare an Interim Statement				





# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
5	Notify the need to prepare an Interim Statement	Administrative Assistant			



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
5	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		



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
5	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	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
5	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



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
6	Prepare an Interim Statement				



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
6	Prepare an Interim Statement	Investigator-in-charge			



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
6	Prepare an Interim Statement	Investigator-in-charge	Based on the information available, and supported by the 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 filled Form 79 to the Administrative Assistant by e-mail, for publication.		



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
6	Prepare an Interim Statement	Investigator-in-charge	Based on the information available, and supported by the 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 filled Form 79 to the Administrative Assistant by e-mail, for publication.	Until 10 working days before the anniversary of the occurrence	





# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
6	Prepare an Interim Statement	Investigator-in-charge	Based on the information available, and supported by the 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 filled Form 79 to the Administrative Assistant by e-mail, for publication.	Until 10 working days before the anniversary of the occurrence	Administrative Assistant



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
7	Publication of Interim Statement				



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
7	Publication of Interim Statement	Administrative Assistant			



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
7	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		



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
7	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	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
7	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	Adm CAAC IT Section website Chief Investigator Investigator-in-charge



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
8	Update the occurrence record in the Occurrence Control Spreadsheet				



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
8	Update the occurrence record in the Occurrence Control Spreadsheet	Administrative Assistant			





# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
8	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		



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
8	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	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
8	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



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
9	Sending closing reports				



# Stage 2 – Defining the framework

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)
9	Sending closing reports	Relevant Team members			



# Stage 2 – Defining the framework

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)
9	Sending closing reports	Relevant Team members	<p>All investigator(s) and/or expert(s) 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</p> <p>Note: The content of the closing report must include:</p> <ul style="list-style-type: none"> <li>• A list of all activities conducted under your responsibility</li> <li>• Analysis of the evidence</li> <li>• Conclusions and / or results (actual or potential)</li> <li>• Safety recommendations (if any)</li> <li>• Total cost of the investigation portion under your responsibility</li> </ul>		



# Stage 2 – Defining the framework

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)
9	Sending closing reports	Relevant Team members	<p>All investigator(s) and/or expert(s) 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</p> <p>Note: The content of the closing report must include:</p> <ul style="list-style-type: none"><li>• A list of all activities conducted under your responsibility</li><li>• Analysis of the evidence</li><li>• Conclusions and / or results (actual or potential)</li><li>• Safety recommendations (if any)</li><li>• Total cost of the investigation portion under your responsibility</li></ul>	In accordance with the timelines established by the Investigator-in-charge through the Form 78	



# Stage 2 – Defining the framework

Step	WHAT <small>(Detailed description of the task)</small>	WHO <small>(Designated person responsible for the execution)</small>	HOW <small>(Determination of the way the task will be performed and means to be used)</small>	WHEN <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small>	<b>In COORDINATION with whom</b> <small>(Identify the persons to coordinate the execution of the task with when applicable)</small>
9	Sending closing reports	Relevant Team members	<p>All investigator(s) and/or expert(s) 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</p> <p>Note: The content of the closing report must include:</p> <ul style="list-style-type: none"> <li>• A list of all activities conducted under your responsibility</li> <li>• Analysis of the evidence</li> <li>• Conclusions and / or results (actual or potential)</li> <li>• Safety recommendations (if any)</li> <li>• Total cost of the investigation portion under your responsibility</li> </ul>	In accordance with the timelines established by the Investigator-in-charge through the Form 78	Investigator-in-charge





# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
10	Reminder of closing reports				



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
10	Reminder of closing reports	Investigator-in-charge			



# Stage 2 – Defining the framework

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)
10	Reminder of closing reports	Investigator-in-charge	<p>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.</p> <p>Note 1: This step is applicable to Team investigations only</p> <p>Note 2: 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> <p>Note 3: In this reminder, the Investigator-in-charge will emphasize the importance of the safety recommendation as a prevention tool, encouraging everyone to present recommendation proposals.</p>		



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
10	Reminder of closing reports	Investigator-in-charge	<p>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.</p> <p>Note 1: This step is applicable to Team investigations only</p> <p>Note 2: 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> <p>Note 3: In this reminder, the Investigator-in-charge will emphasize the importance of the safety recommendation as a prevention tool, encouraging everyone to present recommendation proposals.</p>	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	



# Stage 2 – Defining the framework

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)
10	Reminder of closing reports	Investigator-in-charge	<p>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.</p> <p>Note 1: This step is applicable to Team investigations only</p> <p>Note 2: 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> <p>Note 3: In this reminder, the Investigator-in-charge will emphasize the importance of the safety recommendation as a prevention tool, encouraging everyone to present recommendation proposals.</p>	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	<p>Chief Investigator</p> <p>Team members</p>



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
11	Preparation of the draft final report				



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
11	Preparation of the draft final report	Investigator-in-charge			



# Stage 2 – Defining the framework

Step	WHAT <small>(Detailed description of the task)</small>	WHO <small>(Designated person responsible for the execution)</small>	HOW <small>(Determination of the way the task will be performed and means to be used)</small>	WHEN <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small>	In COORDINATION with whom <small>(Identify the persons to coordinate the execution of the task with when applicable)</small>
11	Preparation of the draft final report	Investigator-in-charge	<p>By compiling all relevant information available, including information received through partial and closing reports, into the Form 36 (Final Report Form)</p> <p>Note 1- The Investigation Manual of the CAAC contains guidance on the preparation of the final report.</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: Any considered proposal of safety recommendations shall be already included in this draft.</p> <p>Note 4: The process related with the consultation of other States and organizations regarding the draft final report is addressed by Procedure 37/CAAC-AIG (Consultation for the draft final report).</p> <p>Nota 5: Both safety recommendations issued during the investigation and the intended recommendation must be included in the draft of the final report.</p>		





# Stage 2 – Defining the framework

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)
11	Preparation of the draft final report	Investigator-in-charge	<p>By compiling all relevant information available, including information received through partial and closing reports, into the Form 36 (Final Report Form)</p> <p>Note 1- The Investigation Manual of the CAAC contains guidance on the preparation of the final report.</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: Any considered proposal of safety recommendations shall be already included in this draft.</p> <p>Note 4: The process related with the consultation of other States and organizations regarding the draft final report is addressed by Procedure 37/CAAC-AIG (Consultation for the draft final report).</p> <p>Nota 5: Both safety recommendations issued during the investigation and the intended recommendation must be included in the draft of the final report.</p>	<p>When the investigation is conducted by a Team, within 30 calendar days after receiving the last partial or closing report (what happens last)</p> <p>Otherwise, within 20 working days after the last technical investigation activity conducted.</p>	



# Stage 2 – Defining the framework

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)
11	Preparation of the draft final report	Investigator-in-charge	<p>By compiling all relevant information available, including information received through partial and closing reports, into the Form 36 (Final Report Form)</p> <p>Note 1- The Investigation Manual of the CAAC contains guidance on the preparation of the final report.</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: Any considered proposal of safety recommendations shall be already included in this draft.</p> <p>Note 4: The process related with the consultation of other States and organizations regarding the draft final report is addressed by Procedure 37/CAAC-AIG (Consultation for the draft final report).</p> <p>Nota 5: Both safety recommendations issued during the investigation and the intended recommendation must be included in the draft of the final report.</p>	<p>When the investigation is conducted by a Team, within 30 calendar days after receiving the last partial or closing report (what happens last)</p> <p>Otherwise, within 20 working days after the last technical investigation activity conducted.</p>	<p>Team members</p>



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
12	Submission of the draft final report for review and comments by Team members				



# Stage 2 – Defining the framework

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)
12	Submission of the draft final report for review and comments by Team members	Investigator-in-charge			



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
12	Submission of the draft final report for review and comments by Team members	Investigator-in-charge	<p>By forwarding this preliminary version of the draft final report to the Team members for comments, using CAAC secure FTP.</p> <p>Note 1: This step is applicable to Team investigations only.</p> <p>Note 2: When sending the draft, Investigator-in-charge will remind all members that this would be the last opportunity to propose safety recommendations not yet proposed.</p>		



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
12	Submission of the draft final report for review and comments by Team members	Investigator-in-charge	By forwarding this preliminary version of the draft final report to the Team members for comments, using CAAC secure FTP. Note 1: This step is applicable to Team investigations only. Note 2: When sending the draft, Investigator-in-charge will remind all members that this would be the last opportunity to propose safety recommendations not yet proposed.	Immediately after step 11, or the next working day if step 11 is completed on a non-working day	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
12	Submission of the draft final report for review and comments by Team members	Investigator-in-charge	By forwarding this preliminary version of the draft final report to the Team members for comments, using CAAC secure FTP. Note 1: This step is applicable to Team investigations only. Note 2: When sending the draft, Investigator-in-charge will remind all members that this would be the last opportunity to propose safety recommendations not yet proposed.	Immediately after step 11, or the next working day if step 11 is completed on a non-working day	Team members



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
13	Revision and comments on the preliminary version of the final report				





# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
13	Revision and comments on the preliminary version of the final report	Team members			



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
13	Revision and comments on the preliminary version of the final report	Team members	<p>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.</p> <p>Note 1: This step is applicable to Team investigations only.</p> <p>Note 2: The comments shall not be limited to technical issues, but may include editorial notes.</p> <p>Note 3: Comments shall include any safety recommendations considered that are not yet in the draft.</p>		



# Stage 2 – Defining the framework

Step	WHAT <small>(Detailed description of the task)</small>	WHO <small>(Designated person responsible for the execution)</small>	HOW <small>(Determination of the way the task will be performed and means to be used)</small>	WHEN <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small>	In COORDINATION with whom <small>(Identify the persons to coordinate the execution of the task with when applicable)</small>
13	Revision and comments on the preliminary version of the final report	Team members	<p>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.</p> <p>Note 1: This step is applicable to Team investigations only.</p> <p>Note 2: The comments shall not be limited to technical issues, but may include editorial notes.</p> <p>Note 3: Comments shall include any safety recommendations considered that are not yet in the draft.</p>	Within 10 calendar days after receiving the automatic message of the secure FTP	



# Stage 2 – Defining the framework

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)
13	Revision and comments on the preliminary version of the final report	Team members	<p>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.</p> <p>Note 1: This step is applicable to Team investigations only.</p> <p>Note 2: The comments shall not be limited to technical issues, but may include editorial notes.</p> <p>Note 3: Comments shall include any safety recommendations considered that are not yet in the draft.</p>	Within 10 calendar days after receiving the automatic message of the secure FTP	Investigator-in-charge



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
14	Consolidation of the draft of the final report				



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
14	Consolidation of the draft of the final report	Investigator-in-charge			



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
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 submitted to the Chief Investigator for approval, before sending for consultation of States and organizations</p>		



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
14	Consolidation of the draft of the final report	Investigator-in-charge	By amending the content of the draft to incorporate all pertinent comments from the Team members. Note - After this step, the draft final report will be ready to be submitted to the Chief Investigator for approval, before sending for consultation of States and organizations	Within 10 calendar days after receiving the automatic message of the secure FTP	





# Stage 2 – Defining the framework

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)
14	Consolidation of the draft of the final report	Investigator-in-charge	By amending the content of the draft to incorporate all pertinent comments from the Team members. Note - After this step, the draft final report will be ready to be submitted to the Chief Investigator for approval, before sending for consultation of States and organizations	Within 10 calendar days after receiving the automatic message of the secure FTP	Chief Investigator Administrative Assistant

At this point, we will insert the procedures for consulting States/organizations (PQ 6.407 and 6.409) and processing comments received (PQ 6.411)



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# Let's build it together

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



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# Writing the procedure

✈ After this “brainstorm” and with the template completed, we will probably be able to write the procedure

## **DISCLAIMER**



**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 19/CAAC-AIG - COMPLETION AND PUBLICATION OF THE FINAL REPORT AND INTERIM STATEMENTS

### Introduction

This procedure encompasses several connected requirements, being a complex process that has, as a supporting control tool, the Form 25/AIG (Checklist for the preparation of the final report), whose application shall be supervised by the Investigator-in-charge.

### Create record in the Investigation Control Spreadsheet

- 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.*

### Establishing the Team reporting schedule

- 2- The Investigator-in-charge will send, within 10 working days after the receipt of the notification, the timelines for group 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- 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.*

for the deadline established in the Form 78, to any investigator(s) and/or expert(s) who is/are listed on Form 78, reminding the deadline

Investigator-in-charge, 30 calendar days before each report is published, through e-mail, about the need to update the Investigation Control Spreadsheet to be used for the occurrence.

statement based on the information available, until 10 working days before the anniversary of the occurrence, and it is available in the AIG secure server. The IIC shall ensure all the protections related to the disclosure of

working days before the anniversary of the occurrence, through email, the filled Form 78 in accordance with the IT Section Procedure

working days after the publication of the Interim Investigation Control Spreadsheet, inserting the date of pending to the occurrence, notifying the IIC.

Any investigator responsible for any specific activities during the investigation will prepare a report of the activity conducted and send it to the IIC

timelines established by the Investigator-in-

charge responsibility;

Investigator-in-charge responsibility.

Investigator-in-charge responsibility. The Investigator-in-charge shall, until 8 working days before the anniversary of the occurrence, send an email (with a copy to the Chief Investigator) and, if not yet sent the closing report, reminding the

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final report within 10 calendar days after the anniversary of the occurrence by amending its content to incorporate all

Investigator-in-charge responsibility. The Investigator-in-charge shall, until 8 working days before the anniversary of the occurrence, send an email (with a copy to the Chief Investigator) and, if not yet sent the closing report, reminding the

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**PROCEDURE No 19/CAAC-AIG - COMPLETION AND PUBLICATION OF THE FINAL REPORT  
AND INTERIM STATEMENTS**

**Introduction**

This procedure encompasses several connected requirements, being a complex process that has, as a supporting control tool, the Form 25/AIG (Checklist for the preparation of the final report), whose application shall be supervised by the Investigator-in-charge.

## **Create record in the Investigation Control Spreadsheet**

- 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.*

## Establishing the Team reporting schedule

- 2- The Investigator-in-charge will send, within 10 working days after the receipt of the notification, the timelines for group 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- 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.*

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4- 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.*

## Interim Statement

- 5- 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.*

- 6- 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.*

- 7- 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.
- 8- The Administrative Assistant will update, until 4 working days after the publication of the Interim Statement, 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.

## Preparation of draft final report

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.*

ONLY

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 1: This step is applicable to Team investigations only*

*Note 2: 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 3: In this reminder, the Investigator-in-charge will emphasize the importance of the safety recommendation as a prevention tool, encouraging everyone to present recommendation proposals.*

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: The Investigation Manual of the CAAC contains guidance on the preparation of the final report.*

*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 considered proposal of safety recommendations shall be already included in this draft.*

*Note 4: The process related with the consultation of other States and organizations regarding the draft final report is addressed by Procedure 20/CAAC-AIG (Consultation for the draft final report).*

*Nota 5: Both safety recommendations issued during the investigation and the intended recommendation must be included in the draft of the final report.*

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

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

*Note 2: When sending the draft, Investigator-in-charge will remind all members that this would be the last opportunity to propose safety recommendations not yet proposed.*



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.*

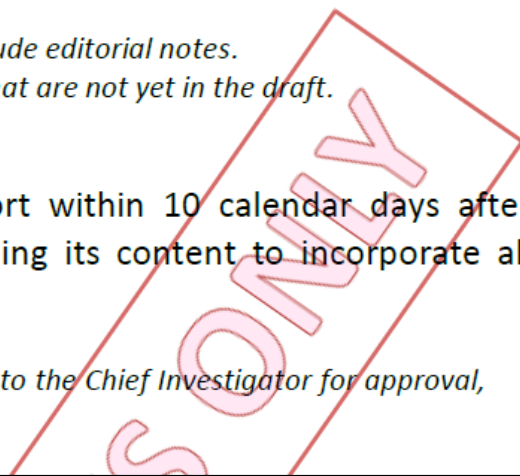
*Note 2: The comments shall not be limited to technical issues, but may include editorial notes.*

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

14- The Investigator-in-charge will consolidate the draft final report within 10 calendar days after receiving the automatic message of the secure FTP, 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 submitted to the Chief Investigator for approval, before sending for consultation of States and organizations.*



At this point, we will move the procedures for consulting with States/organizations (PQ 6.407 and 6.409) and processing comments received (PQ 6.411)



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## Consultation on the draft final report

- 6.407 Has the State established and implemented procedures to ensure the consultation on the draft final report with all States which participated in the investigation, inviting their substantiated comments on the report within sixty days from the date of the transmittal letter?