

# USOAP CMA 2017 Protocol Questions

## Aircraft accident and incident investigation — AIG

### Explanatory Note on the 2017 Edition of the Protocol Questions (PQs):

Revised on the basis of the 2016 edition, this 2017 edition of the USOAP CMA Protocol Questions (PQs) excludes aspects related specifically to the State Safety Programme (SSP).

To reflect the roll-out of Amendment 1 to Annex 19 to the Chicago Convention — *Safety Management* (Second Edition, July 2016) and the publication of the fourth edition of the *Safety Management Manual (SMM)* (Doc 9859), a dedicated set of SSP-related PQs will be developed and used in the assessment of select States, on a voluntary but non-confidential basis, starting from the last quarter of 2018 (pending applicability of Amendment 1 to Annex 19 in November 2019). ICAO assessments using the SSP-related PQs will then formally commence in 2020, to be conducted in States which meet the criteria established by ICAO in line with the Global Aviation Safety Plan (GASP).

### Introduction to the ICAO USOAP CMA Protocol Questions

Protocol Questions (PQs) are the primary tool used in the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) for assessing the effective implementation of the eight critical elements (CEs) of a State safety oversight system. Developed based on ICAO Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS) and ICAO guidance material, the PQs are revised periodically by ICAO to reflect amendments to the ICAO provisions and reference documents.

The PQs are organized by audit areas and each PQ is associated with one of the eight CEs.

The eight audit areas are as follows:

- 1) Primary aviation legislation and specific operating regulations (LEG);
- 2) Civil aviation organization (ORG);
- 3) Personnel licensing and training (PEL);
- 4) Aircraft operations (OPS);
- 5) Airworthiness of aircraft (AIR);
- 6) Aircraft accident and incident investigation (AIG);
- 7) Air navigation services (ANS); and
- 8) Aerodromes and ground aids (AGA).

The eight CEs are as follows:

- CE-1. Primary aviation legislation
- CE-2. Specific operating regulations
- CE-3. State system and functions
- CE-4. Qualified technical personnel
- CE-5. Technical guidance, tools and provision of safety-critical information
- CE-6. Licensing, certification, authorization and approval obligations
- CE-7. Surveillance obligations
- CE-8. Resolution of safety issues

States are expected to use the PQs to conduct regular self-assessments and in this way, monitor the health of their aviation safety oversight system in a proactive manner.

A State is deemed to have *fully addressed* a PQ when it has implemented all the required elements of the PQ and has provided ICAO with the relevant evidence. This generates a “*satisfactory*” status of implementation for the PQ. If the State provides insufficient or no evidence of compliance with the elements outlined in the PQ, the PQ is assessed as “*not satisfactory*”. The State is required to develop and implement a corrective action plan (CAP) which addresses all elements of the “*not satisfactory*” PQ, including presentation of the necessary supporting documentation and evidence.

The status of each PQ for a State is reflected in the USOAP CMA Online Framework (<http://www.icao.int/usoap>) and summarized in the activity report.

For reference purposes, the PQs are hereby presented in a table format. Each PQ is assigned a PQ number (e.g. 1.001), associated with a CE (e.g. CE-1), and supplemented by the relevant “Guidance for Review of Evidence” and “ICAO References”. PQs shown in shaded rows can be assessed only in a USOAP CMA on-site activity.

For each PQ, the corresponding “Guidance for Review of Evidence” provides an *itemized list of elements* to be implemented by the State in order to address the PQ *satisfactorily*. When preparing for a USOAP CMA audit, States should use these listed elements, as applicable, to prepare the necessary supporting documentation and evidence for all PQs within the scope of the audit. When preparing for an ICAO Coordinated Validation Mission (ICVM), States should provide the necessary supporting documentation and evidence for all PQs, within the scope of the ICVM, that were previously assessed as “*not satisfactory*”.

Representatives of a State’s civil aviation authority/investigation authority who participate in USOAP CMA activities should be familiar with each PQ and the related “Guidance for Review of Evidence” that will be addressed during the activities. All the information and evidence for each PQ that are to be provided to the USOAP CMA activity team should be prepared in advance.

The “Summary of Amendments” table provides a list of new/amended/deleted PQs and a brief description of the amendments.

For the 2017 edition of the PQs, the total number of PQs is 943 and a breakdown for each area is shown below:

	<b>Area</b>	<b>Number of 2017 PQs</b>
1	LEG	23
2	ORG	14
3	PEL	99
4	OPS	146
5	AIR	210
6	AIG	104
7	ANS	179
8	AGA	168
<b><i>TOTAL NUMBER</i></b>		<b><i>943</i></b>

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## General Guidelines for All Areas

### *Legislation, Primary Aviation Legislation and Specific Operating Regulations*

The term “legislation” in the USOAP CMA Protocol Questions is used as a generic term to include primary aviation legislation and specific operating regulations.

The term “primary aviation legislation” in the USOAP CMA Protocol Questions includes any legislative provision and/or instrument promulgated and enforceable in the State (e.g. laws, acts, codes and international treaties).

The term “specific operating regulations” in the USOAP CMA Protocol Questions includes any binding regulatory provisions and/or instruments in the State (e.g. regulations, decrees, rules, and orders).

### *Processes and Procedures*

Processes and procedures should clarify *who does what, how, when* (or *within what timeframes*) and *in coordination with whom*, as applicable.

### *Delegation of Duties and Tasks*

When a State has delegated some of its safety oversight duties and tasks to another State or organization, the PQs on the delegation may have to be evaluated with the entity to which the duties and tasks have been delegated.

The State remains responsible for ensuring that the delegated tasks are performed, at all times, by qualified individuals who ensure the implementation of the applicable legislation as well as the established processes and procedures. There should also be a system in place for conducting surveillance of the delegated tasks and a process for the resolution of identified safety deficiencies.

### *Regulatory Function versus Service Provider Function*

For a State which has not established a clear separation between its regulatory function and its service provider function or where the State Civil Aviation Authority (CAA) is both the regulator *AND* the service provider, the related PQs remain applicable.

*Industry Visits*

Industry visits are conducted to review and verify that the implementation of the established requirements, procedures and safe practices in each area complies with ICAO provisions and the State’s applicable national legislation.

*On-Site Activity*

PQs that can only be assessed in a USOAP CMA on-site activity are shown in shaded rows in the PQ table.

*Annex*

The term “Annex” in the USOAP CMA Protocol Questions stands for Annex to the Chicago Convention.

*ICAO References*

The ICAO references are grouped under the following categories (shown here in alphabetical order): Assembly Resolution (AR), Chicago Convention (CC), ICAO Guidance Material (GM), Procedures for Air Navigation Services (PANS), Recommended Practice (RP), Standard (STD), State Letter (SL) and Regional Supplementary Procedures (SUPPS).

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**Specific Guidelines for AIG**

The AIG PQs are primarily related to the aircraft accident and incident investigation system established by the State and are applicable whether or not the State has established a permanent investigation authority.

The term “accident investigation authority” is used, in a generic sense, to refer to the authority, permanent or ad hoc, that is in charge of aircraft accident and incident investigations.

For PQs associated with CE-1, *Primary aviation legislation*, the requirements should preferably be promulgated at the level of legislation. In some States, such requirements may however be promulgated at the regulatory level, which is acceptable depending on the legal system in the State.

For PQs associated with CE-5, *Technical guidance, tools and provision of safety-critical information*, review of the policies/procedures and guidance material on the notification and investigation of aircraft accidents and incidents should address not only the availability/establishment of these policies/procedures and guidance material to the relevant staff, but also their implementation. These PQs will be marked “*not satisfactory*” if:

- a) there are no written documents (e.g. procedures, guidelines and checklists); or
- b) the existing documents are not satisfactory (e.g. they do not comply with the requirements of the relevant ICAO reference documents); or
- c) the existing documents, albeit satisfactory, are not systematically followed.

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**Acronyms and Abbreviations**

A = Annex to the Chicago Convention  
 ADREP = Accident/Incident Data Reporting  
 AIG = Aircraft Accident and Incident Investigation  
 AR = Assembly Resolution  
 ATS = Air Traffic Services  
 C = Chapter  
 CAA = Civil Aviation Authority  
 CC = Chicago Convention  
 CE = Critical Element  
 CIR = ICAO Circular  
 CMA = Continuous Monitoring Approach  
 CVR = Cockpit Voice Recorder  
 ECCAIRS = European Co-ordination Centre for Aviation Incident Reporting Systems  
 FDR = Flight Data Recorder  
 GM = ICAO Guidance Material  
 IIC = Investigator-in-Charge  
 MoU = Memorandum of Understanding  
 OJT = On-the-job Training  
 PQ = Protocol Question  
 RAIO = Regional Accident and Incident Investigation Organization  
 RP = Recommended Practice contained in an Annex to the Chicago Convention  
 SAAQ = State Aviation Activity Questionnaire  
 STD = International Standard contained in an Annex to the Chicago Convention  
 USOAP = Universal Safety Oversight Audit Programme

**List of ICAO Reference Documents**

Doc 7300 — *Convention on International Civil Aviation*  
 (also known as the Chicago Convention)  
 Assembly Resolutions A38-3 and A39-27 (See Doc 10075 —  
 Assembly Resolution in Force (as of 6 October 2016))  
 Annex 9 — *Facilitation*  
 Annex 13 — *Aircraft Accident and Incident Investigation*  
 Doc 9683 — *Human Factors Training Manual*  
 Doc 9734 — *Safety Oversight Manual*  
 Part A — *The Establishment and Management of a State's Safety Oversight System*  
 Doc 9735 — *Universal Safety Oversight Audit Programme Continuous Monitoring Manual*  
 Doc 9756 — *Manual of Aircraft Accident and Incident Investigation*  
 Part I — *Organization and Planning*  
 Part II — *Procedures and Checklists*  
 Part III — *Investigation*  
 Part IV — *Reporting*  
 Doc 9946 — *Manual on Regional Accident and Incident Investigation Organization*  
 Doc 9962 — *Manual on Accident and Incident Investigation Policies and Procedures*  
 Doc 9973 — *Manual on Assistance to Aircraft Accident Victims and their Families*  
 Doc 9998 — *ICAO Policy on Assistance to Aircraft Accident Victims and their Families*  
 Cir 285-AN/166 — *Guidance on Assistance to Aircraft Accident Victims and their Families*  
 Cir 298-AN/172 — *Training Guidelines for Aircraft Accident Investigators*  
 Cir 315-AN/179 — *Hazards at Aircraft Accident Sites*

SUMMARY OF AMENDMENTS – AIG PQs

Note 1.— The PQs are listed here sequentially for convenience. This may differ from their order on the USOAP CMA Online Framework or in the following document.

Note 2.— The PQs in the shaded rows require a USOAP CMA on-site activity. For the remaining PQs, no on-site activity is required in most cases.

PQ No. (CMA 2016)	PQ No. (CMA 2017)	Type of Amendment					Description of Amendments
		New	Revised	No change	Merged	Deleted	
6.124	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	PQ has been deleted.
6.503	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	PQ has been deleted.
6.505	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	PQ has been deleted.
6.506	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	PQ has been deleted.
6.513	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	PQ has been deleted.
6.001	6.001	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.003	6.003	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.004	6.004	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.005	6.005	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised.
6.007	6.007	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.010	6.010	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.011	6.011	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised.
6.015	6.015	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
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6.035	6.035	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.101	6.101	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.103	6.103	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.

PQ No. (CMA 2016)	PQ No. (CMA 2017)	Type of Amendment					Description of Amendments
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6.107	6.107	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.111	6.111	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.113	6.113	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
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6.117	6.117	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.119	6.119	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
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6.315	6.315	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.

PQ No. (CMA 2016)	PQ No. (CMA 2017)	Type of Amendment					Description of Amendments
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6.380	6.380	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.381	6.381	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.383	6.383	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.

PQ No. (CMA 2016)	PQ No. (CMA 2017)	Type of Amendment					Description of Amendments
		New	Revised	No change	Merged	Deleted	
6.391	6.391	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.395	6.395	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.397	6.397	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.401	6.401	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.403	6.403	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.405	6.405	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
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6.413	6.413	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.415	6.415	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.417	6.417	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.421	6.421	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.423	6.423	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.425	6.425	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.427	6.427	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.429	6.429	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.431	6.431	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised.
6.433	6.433	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised.
6.435	6.435	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised.
6.437	6.437	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised.
6.501	6.501	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised.
6.507	6.507	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No change.
6.509	6.509	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised.
6.511	6.511	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and reference revised.

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<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.001	Has the State promulgated legislation or regulations instituting an investigation into the circumstances of aircraft accidents and serious incidents in compliance with the provisions of Annex 13?	1) Title and content. 2) Date of promulgation and last amendment.	STD A13 5.1 & 5.1.2 GM Doc 9756 Part I, C2, 2.1.1	CE-2
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.003	Has the State promulgated primary legislation to enable it to formally designate a specific agency/commission/board or other specific body to conduct aircraft accident and serious incident investigations?	1) Title and content. 2) Date of promulgation and last amendment. 3) If the State has not designated a specific entity, verify if the State has concluded formal arrangements with another/other State(s) to delegate the conduct of investigations.	GM Doc 9756 Part I, 2.1 Doc 9946 3.4	CE-1
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.004	Does the State’s primary legislation clearly delegate authority to the Director/Chief Investigator/Chairman of the specific agency, commission or board designated to conduct aircraft accident and serious incident investigations?	1) Review relevant legislation. 2) Description of delegated authority.	GM Doc 9734 Part A, C3	CE-1
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.005	Does the primary legislation provide for the independence of the investigation process and of the authority in charge of conducting aircraft accident and serious incident investigations?	1) Verify legislation.  2) Verify that the national legislative framework includes provisions for the establishment of an independent accident and incident investigation process which is administered by an independent authority.  3) Verify that the accident and incident investigation authority is independent from all other State aviation organizations (e.g. that it	STD A13 5.4 GM Doc 9756 Part I, 2.1	CE-1

		<p>does not receive nor seek instructions regarding the conduct of its investigations).</p> <p>Note: In a State where it may not be practical to establish a permanent accident investigation authority, a competent accident investigation commission (ad hoc commission) or board may be appointed for each accident or serious incident to be investigated. Alternatively, such a State may consider the delegation of the investigations to another State or to a Regional Accident Investigation Organization (RAIO) when such organization is in place.</p>		
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.007	Has the State promulgated regulations requiring immediate notification of aircraft accidents and serious incidents within the State to the accident investigation authority?	<p>1) Verify that the regulations provide sufficient details on the type of incidents that are or may be serious incidents and that need to be immediately notified to the investigation authority.</p> <p>2) Ensure that the regulations require the notification to be made as soon as possible and by the quickest means available.</p> <p>3) Confirm that notifications are submitted in a timely manner either to the investigation authority, when there is a permanent one, or to the designated authority in the other cases.</p>	GM Doc 9756 Part I, 4.2.1	CE-2
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.010	Has the State established the means to make aircraft accident and incident investigation enabling regulations and directives, orders, circulars, publications, etc., readily available to the public?	<p>Review the means available to access the regulations and supplementary regulatory instruments (i.e. Official Gazette; internet, government printing office).</p> <p>Note to the auditor: The publication of the legislation is addressed in LEG PQ 1.011.</p>	GM Doc 9734 Part A, C3	CE-2

<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.011	Has the State promulgated primary legislation or regulations stipulating that accident prevention is the sole objective of aircraft accident and serious incident investigations and that it is not the purpose of the investigation to apportion blame or liability?	Verify legislation/regulations.	STD A13 3.1 GM Doc 9756 Part I, 2.2.1	CE-2
6.015	Has the State implemented procedures for the amendment of its accident and serious incident investigation enabling regulations and national standards?	1) Verify documented evidence of procedures implemented for the amendment of regulations. 2) Verify that amendments are effected in a timely manner as needed when an amendment to Annex 13 is received. 3) Verify evidence of the review made and action taken by the State after receipt of the last amendments to Annex 13. 4) The development of amendment procedures is addressed in LEG PQ 1.009.	CC Art. 37 GM Doc 9734 Part A, C3	CE-2
6.017	Has the State implemented a procedure for identifying and notifying differences, if any, to ICAO?	1) Verify documented evidence of the procedure and effective implementation. 2) Verify the review made and action taken by the State after receipt of the last amendments to Annex 13. 3) The development of such procedure is addressed in LEG PQ 1.025.	CC Art. 37 & 38 GM Doc 9734 Part A, C3	CE-2
6.021	Does the primary legislation grant the accident investigation authority/investigator in charge (IIC) unhampered access to and control over the scene of the accident and the wreckage?	1) Review applicable legislation. 2) Verify the particular situation in the State regarding judicial investigations, and the impact on the capacity of the State to comply with the Annex 13.	STD A13 5.4 & 5.6 GM Doc 9756 Part I, 2.2.1	CE-1

<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.023	Does the primary legislation grant the accident investigation authority/IIC unhampered access to and control over all relevant material/evidence, including flight recorders and air traffic service (ATS) records?	1) Review legislation. 2) Verify the particular situation in the State regarding judicial investigations and the impact on the ability of the State to comply with Annex 13.	STD A13 5.4 & 5.6	CE-1
6.025	Does the primary legislation enable the accident investigation authority/IIC to carry out detailed examination of relevant material/evidence without delay?	1) Review legislation. 2) Verify the particular situation in the State regarding judicial investigations, and the impact on the ability of the State to comply with Annex 13.	STD A13 5.4 & 5.6	CE-1
6.027	Does the primary legislation enable the accident investigation authority/IIC to take statements from witnesses?	Review primary legislation.	STD A13 5.4	CE-1
6.029	Does the primary legislation contain provisions to ensure the non-disclosure of CVR recordings and airborne image recordings to the public or for purposes other than accident or incident investigation?	1) Verify legislation. 2) Verify the particular situation in the State regarding judicial investigations, and its impact on the ability of the State to comply with Annex 13.	AR A38-3 STD A13 5.12 & 5.12.1 RP A13 5.12.5	CE-1
6.031	Does the primary legislation contain provisions to ensure the non-disclosure of investigation records (other than CVR and CVR recordings and airborne image recorders and airborne image recordings) for purposes other than aircraft accident or incident investigation?	1) Verify legislation. 2) Verify the particular situation in the State regarding judicial investigations, and its impact on the ability of the State to comply with Annex 13. 3) Records in the custody or control of the accident investigation authority not to be	AR A38-3 STD A13 5.12 & 5.12.1	CE-1

		<p>disclosed include:</p> <ul style="list-style-type: none"> <li>a) Statements taken from persons by the investigation authorities in the course of the investigation,</li> <li>b) Communications between persons having been involved in the operation of the aircraft,</li> <li>c) Medical or private information regarding persons involved in the accident or incident,</li> <li>d) Recordings and transcripts of recordings from air traffic control units,</li> <li>f) Analysis of and opinions about information, including flight recorder information, made by the accident investigation authority and accredited representatives in relation to the accident or incident, and</li> <li>f) The draft Final Report of an accident or incident investigation.</li> </ul>		
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.033	Has the State promulgated regulations permitting, as the State conducting the investigation, the participation of accredited representatives from other States involved?	<ul style="list-style-type: none"> <li>1) Verify regulations.</li> <li>2) Verify the particular situation in the State regarding judicial investigations, and its impact on the capacity of the State to comply with Annex 13.</li> <li>3) Confirm that the participation of accredited representatives from the following States is permitted: <ul style="list-style-type: none"> <li>a) State of Registry,</li> <li>b) State of Operator,</li> <li>c) State of Design,</li> <li>d) State of Manufacture, and</li> <li>e) Any other State which, on request, provides information, facilities or experts.</li> </ul> </li> <li>4) The entitlement must include the following: <ul style="list-style-type: none"> <li>a) Visit the scene of the accident.</li> <li>b) Examine the wreckage.</li> </ul> </li> </ul>	<p>STD A13 5.18, 5.23 &amp; 5.25 GM Doc 9756 Part II, 3.5 &amp; C5</p>	CE-2

		<ul style="list-style-type: none"> <li>c) Obtain witness information and suggest areas of questioning.</li> <li>d) Have full access to all relevant evidence as soon as possible.</li> <li>e) Receive copies of all pertinent documents.</li> <li>f) Participate in read-outs of recorded media.</li> <li>g) Participate in off-scene investigative activities, such as component examinations, technical briefings, tests and simulations.</li> <li>h) Participate in investigation progress meetings, including deliberations related to analyses, findings, causes, contributing factors and safety recommendations.</li> <li>i) Make submissions of the various elements of the investigation.</li> </ul>		
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.035	Has the State promulgated regulations to require the re-opening of an investigation if new and significant evidence becomes available?	Verify regulations.	STD A13 5.13	CE-2
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.101	Has the State established an investigation authority with a clear and documented structure and in a manner that ensures independence from State aviation authorities and other entities that could interfere with the conduct or objectivity of an investigation?	<ul style="list-style-type: none"> <li>1) Review the details of the organizational structure established (which may be permanent or ad hoc) and the related functions and responsibilities..</li> <li>2) Verify that the authority is clearly independent from State aviation authorities and other entities that could interfere with the conduct or objectivity of an investigation.</li> <li>3) Verify that it clearly indicates the line of responsibility.</li> <li>4) Take note of names and acronyms of the established authorities and each section dealing with accident and serious incident investigation activities.</li> <li>5) Cross-check State Aviation Activity</li> </ul>	STD A13 3.2 GM Doc 9756 Part I, C2 Doc 9962	CE-3

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.103	If the investigation authority has regional offices, is there a system in place for coordination and standardization?	1) Review coordination process/procedures and sample activities (e.g. regular meetings, training). 2) Method of communication in both directions.	GM Doc 9756 Part I, C2	CE-3
6.105	Has the State established and implemented a process to ensure that the accident investigation authority have sufficient financial resources to investigate accidents and serious incidents?	1) Review process. 2) Review whether the funding is commensurate with the policy in place on how (to what depth and scope) accidents and serious incidents will be investigated.  Note to the auditor: State may decide to delegate some or all investigations to other States or to regional organizations.	GM Doc 9756 Part I, 2.3	CE-3
6.107	Has the State established and implemented a process for supplementary funding of accident investigations when required (major accidents)?	1) Verify the existence of a documented process, including timelines and coordination mechanisms with the various authorities involved, to be triggered in case of major investigations. 2) Review examples , if available, of implementation of these mechanisms and the time necessary for the allocation of the funds.  Note to the auditor: States may have opted to ensure such funding by related insurance policies.	GM Doc 9756 Part I, 2.3	CE-3
6.111	Does the State have its own appropriately qualified	1) Review list and qualifications of the	GM	CE-3

	personnel identified and charged with aircraft accident and serious incident investigation duties?	designated personnel (including full-time and part-time/seconded investigators). 2) Ensure that the qualifications of the personnel are appropriate for the assigned duties and responsibilities. 3) Ensure that the qualifications include sufficient practical experience, and not only theoretical knowledge acquired in courses or seminars.	Doc 9756 Part I, C2	
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.113	Has the State implemented a mechanism to ensure that the accident investigation authority has sufficient personnel to meet its national and international obligations related to aircraft accident investigations?	1) Review methodology to identify staffing needs for the various investigation related activities, including those related to notifications, first actions after an accident or serious incident, organization and conduct of the investigation, and report development. 2) Verify the actual number of aircraft accident investigators employed or available and number of investigations conducted under the State’s responsibility. 3) Review process to establish and fill the required posts initially and on an on-going basis. 4) Review State’s ability to accomplish all required activities including: a) Development of regulations, procedures and other guidance material, b) Training, and c) Reporting and analyses of safety deficiencies.	GM Doc 9756 Part I, C2 Doc 9734 Part A, C3	CE-3
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.115	If the State does not have its own appropriately qualified personnel, or not in sufficient number, does the State have arrangements (i.e. Memoranda of Understanding (MoUs)) with other States or with	1) Review arrangements. 2) Verify legal basis for delegation.	GM Doc 9756 Part I, App. 2 to C2 Doc 9962	CE-3

	regional organizations to obtain the necessary personnel in an expeditious manner in the event of an accident or serious incident?		C4	
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.117	Have job descriptions been developed for the personnel in charge of investigation-related duties?	1) Review job descriptions for all personnel in charge of investigation-related duties. 2) In the case of ad hoc investigation commissions, review description of functions established for the chairperson and other members of the commission.	GM Doc 9734 Part A, C3	CE-3
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.119	Has the State/investigation authority established appropriate minimum qualifications and experience requirements for aircraft accident investigators?	1) Review required qualifications for the recruitment of investigators (in the case of full-time investigators) or for the designation of investigators (in the case of “occasional investigators”). 2) Requirements should include: a) knowledge and practical experience in civil aviation (as pilot, engineer, air traffic controller or other areas of expertise); and b) in the case of occasional investigators, investigation courses and practical experience in investigations.	GM Doc 9756 Part I, C2 Doc 9734 Part A, C3 Doc 9962 C4 CIR 298	CE-4
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.120	Does the State ensure that the established minimum qualification and experience requirements are met by all aircraft accident investigators?	1) Sample recruitment or equivalent files. 2) Cross-check with established requirements.	GM Doc 9756 Part I, C2 Doc 9734 Part A, C3 Doc 9962 C4 CIR 298	CE-4
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.121	Has the State/investigation authority issued	1) Verify legislation/regulations/policy on the	GM	CE-3

	credentials to its investigators?	issuance of investigators credentials. 2) Review credentials issued to investigators, including full time and part time investigators to ensure inclusion of: a) Reference to empowering legislation/regulation, b) Method to control currency of credentials, and c) Photo of investigator.	Doc 9734 Part A, C3 Doc 9962 4.2.2 & 4.2.5	
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.122	Has the State/investigation authority established formal means (such as letters of agreement), to be used for investigations that it is conducting, to clarify the entitlements and obligations of each individual participating in the investigation?	1) Review the existence of standardized templates to be used to issue credentials, written agreements or other documents to the various participants (i.e. seconded experts, accredited representatives, advisers, observers and experts). 2) Review practical examples, if available.	STD A13 5.25 GM Doc 9734 Part A, C3 Doc 9962 4.2.2 & 4.2.5	CE-3
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.123	Has the State/investigation authority developed a formal training programme detailing the type of training to be provided to its investigators?	1) Review contents of training programme. 2) Include initial, OJT, recurrent and specialized training, including timetables, as applicable. 3) ICAO Circular 298 provides the basis for States to develop investigator training programmes adapted to their specific situations.	GM Doc 9756 Part I, C2 Doc 9734 Part A, C3 Doc 9962 4.3 CIR 298	CE-4
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.125	Does the investigation authority develop a periodic training plan detailing and prioritizing the type of training to be provided during the established period?	Review most recent training plan.	GM Doc 9734 Part A, C3 Doc 9962 4.3.2 & App. E CIR 298	CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.127	Is the training programme appropriately implemented?	Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient for the technical personnel to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with their assigned duties and responsibilities.	GM Doc 9734 Part A, C3 CIR 298	CE-4
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.129	Has investigation authority established and implemented a system for the maintenance of training records for its technical personnel, including records on the OJT received?	<ol style="list-style-type: none"> <li>1) Review written instruction, procedure and/or requirement for the establishment and maintenance of training records.</li> <li>2) Verify that training records are systematically retained and comprise not only certificates of attendance but also information on the course content.</li> <li>3) Verify that the training records on the OJT provided include details on the training activities performed (e.g. participation as an observer or performance of tasks under supervision) and their outcome.</li> <li>4) If there are no records or insufficient records on OJT, this question should be "not satisfactory" (N/S).</li> </ol>	Doc 9962 4.3.4 CIR 298	CE-4
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.131	Does the investigation authority provide investigators with initial and recurrent training related to safety at the accident site?	<ol style="list-style-type: none"> <li>1) Review training programme content (a short briefing would be insufficient).</li> <li>2) Verify that the training includes the necessary customization to reflect the local conditions and the safety equipment available.</li> <li>3) Verify that this training has been given to all personnel designated to carry out investigation tasks.</li> <li>4) Verify that the recurrent training is provided at least every two years.</li> </ol>	GM Doc 9756 Part I, 5.4 Doc 9962 4.5 CIR 298 CIR 315	CE-4
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE

6.133	If the State has arrangements to use experts seconded by the State’s CAA or other organizations in the State as investigators, has it established and implemented measures to relieve these experts from their regular duties during the investigation?	1) Review that the applicable arrangements ensure the release of the experts for the whole duration necessary, which, for some experts, may include specific periods beyond the initial phase of the investigation (e.g. for the analysis of the information collected or for the investigation report development). 2) Review that the arrangements ensure that the experts are relieved from their normal duties as necessary during their secondment to the investigation.	GM Doc 9756 Part I, 2.4.1	CE-3
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.135	If the State uses experts seconded by the State’s CAA or other organizations in the State as investigators, has it established and implemented measures to avoid possible conflicts of interest?	1) Review applicable arrangements or procedures. 2) Ensure that the procedures include an assessment of potential conflict of interest of proposed experts before their actual secondment to an investigation.	GM Doc 9756 Part I Doc 9962 4.2.5	CE-3
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.201	Does the State provide its investigators with all necessary investigation equipment to enable the conduct of investigations?	1) Review investigators’ equipment available (e.g. tools, survey equipment, marking equipment, etc.) and guidance material/procedures issued. 2) Verify that the State/the investigation authority keeps a list of the collective and individual equipment available and keeps this list up-to-date. 3) Verify that the relevant personnel is aware of and has ready access to the equipment.	GM Doc 9756 Part I, C2, 2.5 & App. 1 Doc 9962 4.4	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.202	Are appropriate facilities and office equipment available to the entity in charge of aircraft accident and incident investigations?	1) Assess adequacy of facilities for the investigators and other personnel involved in investigation tasks. 2) Verify the availability of: a) Telephones/cellphones	GM Doc 9734 Part A, C3	CE-5

		<ul style="list-style-type: none"> <li>b) Fax</li> <li>c) Printer</li> <li>d) Photocopier</li> <li>e) Computer/laptops/notebooks</li> <li>f) Internet/Intranet.</li> </ul>		
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.203	Does the State provide its investigators with all necessary means of communication and transportation to enable the conduct of investigations?	<ul style="list-style-type: none"> <li>1) Review means of communication and availability.</li> <li>2) Review means of transportation and availability.</li> </ul>	GM Doc 9756 Part I, 2.5.1 & 5.4.8 Doc 9734 Part A, C3	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.205	Has the investigation authority developed and implemented guidelines to ensure that its investigators have their investigation field kits and essential personal items packed and ready to proceed without delay to the accident site?	<ul style="list-style-type: none"> <li>1) Review guidance material.</li> <li>2) Review evidence to confirm effective implementation.</li> </ul>	GM Doc 9756 Part I, 2.5.1	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.207	Does the State provide its investigators with all necessary protective equipment to address biological hazards and other hazards at accident sites?	<ul style="list-style-type: none"> <li>1) Review protective equipment available.</li> <li>2) Ensure that the protective equipment is available in sufficient quantity for all personnel who may need to access the accident site.</li> <li>3) Ensure that the protective equipment is adapted to the local conditions in the State.</li> </ul>	GM Doc 9756 Part I, 2.5.1 & 5.4 Doc 9962 4.4 & 4.5 CIR 315	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.209	Has the investigation authority established and implemented means to ensure that its investigators are provided with the necessary, up-to-date documentation to effectively accomplish their functions and responsibilities?	Sample and review the available documentation, including ICAO documentation, applicable legislation in the State, and the applicable procedures and checklists .	GM Doc 9756 Part I, 2.6.1.1, 2.6.2 & App. 8	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.210	Has the investigation authority established and	1) Review established means.	GM	CE-5

	implemented means to ensure the proper maintenance of aircraft accident and serious incident investigation files?	2) Sample and review investigation files for investigations which the State has conducted and participated in.	Doc 9756 Part I, 5.7.3.4 Part II, App. 6, Appendix 2 to Section 1, Item 7, “Documentation”; Part II, App. 6, Section 5, “AT THE CONCLUSION OF THE FIELD PHASE” & “POST-FIELD PHASE” & Appendix 1 to Section 5 Part IV, 1.1.3. Doc 9962 10.2.1	
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.211	Has the State established and implemented arrangements and procedures to ensure the availability of hangars/storage facilities when needed in order to protect the evidence and maintain safe custody of the aircraft for such a period as may be necessary for the purposes of the investigation?	1) Verify existing arrangements and procedures and evidence of effectiveness. 2) Verify arrangements and procedures to ensure protection against fire and unauthorized access. 3) Verify the availability of hangars/storage facilities.	STD A13 3.2	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.301	Has the State established a policy to ensure that aircraft accident and incident investigations falling under its responsibility to conduct, including major accident investigations, are carried out effectively?	1) Review policy to determine if the different types of occurrences (e.g. serious incidents or accidents, fatal or non-fatal accidents, public transport or general aviation) and serious incidents, have been addressed. 2) Verify if the State has established documented plans, or a policy, on how they will deal with the various types of occurrences (whether the investigation would be delegated to another State, or the type and scope of investigation to be launched).	GM Doc 9756 Part I, 3.2 Doc 9962 C6	CE-5

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.303	Has the investigation authority developed and issued an investigation procedures manual or equivalent guidance material, containing the policies and procedures to be followed for investigation related tasks?	1) Review procedures manual or equivalent guidance material issued (e.g. manual, handbook or any other set of controlled documents). 2) Ensure that the manual is customized as needed to reflect the system in place. 3) Verify that the investigation manual addresses all relevant aspects of the conduct of aircraft accident and serious incident investigations by the State and the participation of the State in aircraft accident and serious incident investigations conducted by other States. 4) Verify if there is a process to manage amendments and that investigators are actually using the latest amendments.	RP A13 5.4.2 GM Doc 9756 Part I, C3 Part II, 4.7, 4.8, C5 & Apps. Doc 9962	CE-5
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.311	Does the State have means in place to ensure that correct and up-to-date contact information of aircraft accident investigation authorities of other States is made available to, and used by the personnel in charge of forwarding accident or incident initial notifications to other States?	1) Verify the accuracy of the contact information made available to the relevant personnel. 2) Verify that amendments are made based on the contact list published on the ICAO public website.	STD A13 4.1 GM Doc 9962 C5	CE-5
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.313	Has the State provided ICAO with accurate, comprehensive and up-to-date contact information of its investigation authority?	Check the State's contact information published on the ICAO public website.	STD A13 4.1 GM Doc 9756 Part I, C4 ICAO Public Website	CE-3
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.315	Has the State established and implemented a system to ensure that notifications of accidents and incidents (forwarded within the State or forwarded by other	1) Verify the process to report occurrences on a 24-hour basis. 2) Verify that the duty officer system is	STD A13 4.1	CE-5

	States) are received and processed without delay during office hours as well as out-of-office hours and that the contact details for the notification are made public within the State?	operational on a 24-hour basis. 3) Review how the duty officer’s contact number is made available in the State.	GM Doc 9756 Part I, 4.2 Doc 9962 C5	
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.316	Has the State established procedures and guidance, including a checklist, for the initial response following the receipt of a notification?	Verify that a checklist has been established and implemented for the initial actions to be taken by the duty officer after receipt of a notification.	STD A13 4.6, 4.7, 4.10, 4.11 & corresponding notes RP A13 4.5 & 4.9 GM Doc 9756 Part I, 4.7 Doc 9962 5.4	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.317	Has the State, as State of Occurrence, established and implemented procedures to ensure the forwarding of accident/serious incident notifications to other States involved and, when applicable, ICAO?	Review procedures and recent notifications (in particular notifications transmitted to ICAO).	STD A13 4.1 & 4.4 GM Doc 9756 Part I, 4.3 Doc 9962 C5	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.319	Has the State established and implemented procedures to ensure the forwarding of accident/serious 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	1) Review procedures. 2) Review evidence to confirm effective implementation.	STD A13 4.1 & 4.8 GM Doc 9756 Part I, 4.3.3 Doc 9962 C5	CE-5

	any State? • As State of Registry or State of the Operator, when the State of Occurrence is not aware of a serious incident?			
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.321	Are initial notifications of aircraft accidents and serious incidents forwarded with a minimum of delay and by the most suitable and quickest means available to the States concerned and ICAO, when applicable?	1) Review copies of recent notifications and date of dispatch. 2) Verify that the State has not unnecessarily delayed the forwarding of initial notifications while waiting to compile additional information.	STD A13 4.1 & 4.2	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.323	Is the format and content of the notification clear and concise, prepared in one of the ICAO working languages, taking into account the language of the recipient(s), and does it contain all available information?	1) Review the means established (e.g. template) to ensure that the notifications sent systematically adhere to the required format. 2) Review copies of recent notifications.	STD A13 4.2 & 4.3	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.325	Has the State established and implemented procedures to ensure that it informs the State conducting the investigation if it intends to appoint an accredited representative and, if so, provides the associated details?	1) Review procedures. 2) Verify that the procedures require the State to appoint an accredited representative when specifically requested to do so by the State conducting an investigation (for an accident to an aircraft of a maximum mass of over 2 250 kg). 3) Review evidence to confirm effective implementation, if available, such as copies of relevant correspondence.	STD A13 4.6 & 4.10 GM Doc 9756 Part II, 3.5	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.327	Has the State established and implemented procedures to ensure that it provides the State conducting the investigation with, as applicable, any relevant information regarding the aircraft and flight crew involved in an aircraft accident or serious incident as soon as possible?	1) Review procedures. 2) Review evidence to confirm effective implementation, if available.	STD A13 4.6 & 4.10 GM Doc 9962 5.4.3	CE-5

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.329	Has the State, as the State of the Operator, established and implemented procedures to ensure that it provides the State conducting the investigation with the details of dangerous goods on board the aircraft with a minimum of delay and by the most suitable and quickest means available?	1) Review procedures. 2) Ensure that the process and guidance material established are sufficiently detailed and are customized to the system in place, in particular, that it includes the means to contact concerned operators to obtain the information. 3) Review copy of a recent notification to the State of Occurrence.	STD A13 4.7 & 4.11 GM Doc 9962 5.4.3	CE-5
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.341	Has the State adopted the definitions listed in Chapter 1 of Annex 13?	1) Review legislation, regulations or guidance material. 2) Ensure that the legislation and/or regulations include definitions of the terms used therein when these terms are defined in Annex 13. 3) Verify, in particular, that the State has adopted the definitions for “accident”, “incident”, “serious incident”, “investigator-in-charge” and “accredited representative” contained in Annex 13.	STD A13 C1	CE-5
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.343	Has the State established and implemented: a) a process for investigating the various types of accidents, as well as b) guidance material to help determine the extent of an accident investigation depending on the circumstances of the accident and the safety lessons it expects to draw from the investigation?	1) Review process and guidance material issued to help determine how the investigation will be conducted (including scope and depth of the investigation, and whether or not investigators will be deployed on site. 2) Ensure that the process and guidance material established are sufficiently detailed and are customized to the system in place. 3) Review evidence to confirm effective implementation.	STD A13 5.1 & 5.4 RP A13 5.4.2 GM Doc 9756 Part I, 2.6, 3.1 & 3.2 Part II, 1.1.3, 2.2.3 & C4 Doc 9962	CE-5

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.345	Has the State established and implemented: a) a process for investigating serious incidents, as well as b) guidance material to help determine which types of incidents will be investigated by the investigation authority, in conformance with Annex 13?	1) Review process and guidance material issued to help determine which types of incidents (in particular, air traffic service-related incidents) will be investigated by the investigation authority, in conformance with Annex 13. 2) Ensure that the process and guidance material established are sufficiently detailed and are customized to the system in place. 3) Review evidence to confirm effective implementation.	STD A13 5.1.2 RP A13 5.1.1 & 5.4.2 GM A13 Att. C Doc 9756 Part I, 2.6, 3.1 & 3.2 Part II, 2.2.2, 2.3 & C5 Doc 9962	CE-5
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.347	Has the investigation authority established and implemented procedures to ensure that it informs the aviation security authorities immediately if an act of unlawful interference was involved or is suspected?	1) Review procedures. 2) Review evidence to confirm effective implementation, if there were such occurrences.	STD A13 5.11 GM Doc 9962 6.1.7	CE-5
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.349	Has the State established and implemented procedures to ensure the immediate initiation of an investigation through the designation of an investigator-in-charge (IIC) and the appointment of an investigation team, as necessary?	1) Review procedures issued. 2) Review evidence to confirm effective implementation.	STD A13 5.5 GM Doc 9756 Part I, C2 Part II, 3.2 Doc 9962 6.1.5	CE-5
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.351	Has the State established and implemented guidance material to ensure that at least one experienced investigator is assigned to each investigation to	1) Review guidance material. 2) Sample list of assigned investigators and review qualifications and experience.	GM Doc 9962 6.1.5	CE-5

	provide the required level of experience during an investigation?	3) In the case of ad hoc investigation commissions, review not only the qualifications and experience of the chairperson and other members of the commission, but also those of the investigators sent to the accident site and/or in charge of investigation groups.		
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.353	Has the State established and implemented guidance material to ensure the preservation of all evidence of a transitory nature of the wreckage through photography or other appropriate means?	1) Review guidance material issued. 2) Review evidence to confirm effective implementation.	STD A13 3.2 GM Doc 9756 Part I, 5.1 & 5.3 Part II, App. 6, Section 21 Doc 9962 7.1.2	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.355	Does the primary legislation contain provisions to protect the aircraft or wreckage as well as the accident site against access by unauthorized persons, pilfering or deterioration?	Verify legislation.	STD A13 3.2 GM Doc 9756 Part I, 5.1 & 5.3	CE-1
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.357	Has the State established and implemented procedures to ensure that in the event of an accident or serious incident, all air traffic services (ATS) communication recordings and documents associated with the flight are secured and placed in safe keeping as soon as possible?	1) Review procedures. 2) Review evidence to confirm effective implementation.	RP A13 5.8 Note GM Doc 9756 Part I, 3.5 Part II, 5.3.2 Doc 9962 C6	CE-5

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.359	Has the State established and implemented means to ensure: a) the cooperation between the accident investigation authority and the judicial authorities, so that an investigation is not impeded by administrative or judicial investigations or proceedings; and b) separation between the investigation conducted under Annex 13 and the one by the judicial authority?	Review effective implementation of legislation/regulations and/or formal arrangements, if any. Examples: Memorandums of Understanding (MOUs) related to coordination of activities related to: access to the site of the accident; preservation of and access to the evidence; identification of victims; flight recorder read-outs, examinations of relevant material/evidence; initial and ongoing debriefings of the status of each process; exchange of information; appropriate use of safety information; and resolution of conflicts.	STD A13 5.4.1 & 5.10 RP A13 5.4.3 & 5.4.4 GM Doc 9756 Part I, 2.6.1, 3.3.5 & App. 5 to C2	CE-2
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.361	Has the State established and implemented procedures to ensure the timely recovery and read-out of the flight recorders?	1) Verify procedures for recovery and handling of recorders, including damaged recorders and recorders recovered from water.  2) Verify that the recovery and/or read-out are not impeded or delayed for: a) administrative reasons (e.g. senior management or IIC may feel that it is necessary for the IIC to be present at all investigative activities and therefore delay recorder read-out until on-site documentation is complete); b) judicial reasons (apprehensions about chain of custody or the need to delay readout until judicial authorities determine their role and plan); or c) financial reasons (inability of staff to initiate readout without high level travel or funding approval).  3) For underwater recovery, verify that the State has established and implemented a clear	STD A13 5.7 GM A13 Att. D Doc 9962 6.1.8 Doc 9756 Part I, 5.6 & App. 2 to C5 Part II, App. 6, Section 10	CE-5

		plan for initiating, funding, and overseeing underwater recovery and how these aspects will be conducted.		
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.363	Has the State established and implemented procedures to ensure that it complies with Attachment D to Annex 13 regarding the choice of the read-out facility and the participation of the State of Design/Manufacture and the State of the Operator in the flight recorder read-out and analysis activities?	1) Review procedures. 2) Verify that the procedures cover not only the choice of the read-out facility, but also the mode of participation of the State of Design/Manufacture and the State of the Operator in the flight recorder read-out and analysis activities.	RP A13 5.8 GM A13 Att. D Doc 9962 6.1.8 & 6.1.9	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.367	Has the State, as the State conducting the investigation, promulgated regulations or established and implemented guidance material to ensure that it allows advisers assisting accredited representatives to participate in an investigation to the extent necessary to make the representatives' participation effective?	1) Review regulations/guidance material. 2) Review evidence to confirm effective implementation.	RP A13 5.19, 5.20, 5.24 & 5.24.1	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.369	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it invites to participate in the investigation: a) the air operator, when neither the State of Registry nor the State of the Operator appoints an accredited representative; b) the organizations responsible for the type design and the final assembly of the aircraft, when neither the State of Design nor the State of Manufacture appoints accredited representatives?	1) Review procedures issued. 2) Review evidence to confirm effective implementation, when applicable.	RP A13 5.19.1 & 5.21	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.371	Has the State promulgated regulations to entitle the participation of experts of States which have special interest in an accident by virtue of fatalities or	1) Verify regulations. 2) Review evidence to confirm effective implementation.	STD A13 5.27	CE-2

	serious injuries to its citizens in accordance with Annex 13?	3) States which have special interest in an accident by virtue of fatalities or serious injuries to its citizens should be entitled to: <ul style="list-style-type: none"> <li>a) Visit the scene of the accident,</li> <li>b) Have access to the relevant factual information which is approved for public release,</li> <li>c) Participate in the identification of the victims,</li> <li>d) Assist in questioning surviving passengers who are citizens of the State, and</li> <li>e) Receive a copy of the final report.</li> </ul>		
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.373	Has the investigation authority established and implemented procedures and guidance material for the protection of investigators against biological hazards and other hazards at the accident site?	1) Review procedures and guidance material. 2) Ensure that the guidance material has been customized as needed to reflect the local conditions and the safety equipment available. 3) Review evidence to confirm effective implementation.	GM Doc 9756 Part I, 5.4, 5.5 & App. 1, C5 Part II, App. 6, Section 4 Doc 9962 4.5 CIR 315	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.375	Has the State established and implemented guidance material to ensure that, when needed, autopsy examinations are carried out?	1) Review guidance material issued. 2) Review evidence to confirm effective implementation, if available. 3) Review arrangements, if any.	STD A13 5.9 GM Doc 8984 Part IV, 1.5 to 1.7 Doc 9756 Part I, 2.6.1 & Apps. 6 & 8 to C2 Part II, App. 6, Section 8	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.377	Has the State established and implemented guidance material to ensure that, when needed, expeditious	1) Review guidance material issued. 2) Review evidence to confirm effective	RP A13	CE-5

	medical examination of the flight crew, passengers and involved aviation personnel is conducted by a physician, preferably experienced in accident investigation?	implementation, if available.	5.9.1 GM Doc 8984 Part IV, 1.10 Doc 9756 Part I, 2.6.1 & App. 8 to C2	
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.379	Has the State established and implemented guidance material to ensure that, when needed, examination or testing of aircraft parts or components will be carried out in a thorough manner?	1) Review guidance material for carrying out or supervising examinations and tests. 2) Verify that the guidance material has been customized as needed to reflect the system in place and in particular the available facilities. 3) Verify that the guidance material includes guidance on the duties of the investigation authority for the preparation, conduct and follow up of the examinations and tests.	GM Doc 9756 Part I, 5.7 Doc 9962 C9	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.380	Has the State established and implemented guidance material to ensure that operational, human factor and organizational aspects are investigated in a thorough manner, as needed?	Review guidance material and its implementation.	GM Doc 9756 Part I, 3.2 Doc 9683 C4 Doc 9962 C8	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.381	Has the investigation authority established and implemented procedures to ensure that relevant and timely information on the progress of the investigation will be provided to the families and accident survivors?	1) Review procedures issued. 2) Review evidence to confirm effective implementation.	AR A39-27 RP A13 5.27 & 5.28 GM Doc 9962 8.5 Doc 9973	CE-5

			CIR 285	
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.383	Has the State established a comprehensive system for providing assistance to aircraft accident victims and their families?	Verify that: 1) the primary aviation legislation, specific operating regulations and/or policies establish family assistance plans that address the scope, responsibilities, roles and coordination necessary to provide assistance to aircraft accident victims and their families.  2) the State has ensured that air operators and aerodrome operators have established family assistance plans.  3) the family assistance plans are periodically reviewed by the State and service providers.  4) the State has ensured that air operators have arrangements with aerodromes in which they operate to implement the family assistance plans.  5) an agency is designated to coordinate the timely and appropriate delivery of assistance.  This PQ is linked to PQs 6.371 and 6.381.	STD A9 8.41 to 8.42 & 8.44 to 8.45 RP A9 8.43 & 8.46 GM Doc 9973 Doc 9998	CE-3
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.391	Has the State, as a State participating in an aircraft accident or serious incident investigation, established and implemented procedures to ensure that it provides the State conducting an investigation with all the information and elements required throughout the investigation process?	1) Review procedures issued. 2) Review evidence to confirm effective implementation, when applicable. 3) The information and elements required are: a) In all cases, all relevant information requested by that State. b) In all cases, information on an aircraft which prior to the occurrence of an accident or incident has used or normally would use	STD A13 5.14 to 5.17 GM Doc 9962 5.4	CE-5

		<p>the State’s facilities or services.</p> <p>c) As State of Registry or State of the Operator, flight recorder records or the associated flight recorders when an aircraft involved in an accident or serious incident lands in a State other than the State of Occurrence.</p> <p>d) As State of Registry or State of the Operator, information on organizations whose activities may have directly or indirectly influenced the operation of the aircraft.</p>		
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.395	Has the State established and implemented procedures to ensure that it appoints advisers proposed, as applicable, by the operator or by the organizations responsible for the type design and the final assembly of the aircraft?	<ol style="list-style-type: none"> <li>1) Review procedures issued.</li> <li>2) Review evidence to confirm effective implementation.</li> </ol>	STD A13 5.19 & 5.20 GM Doc 9962 5.4	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.397	Has the State, as a State having suffered fatalities or serious injuries to its citizens, established and implemented procedures to send an expert to the State of Occurrence?	<ol style="list-style-type: none"> <li>1) Review procedures issued (to address where the expert will come from, by whom he/she will be accompanied, with what mandate and guidance, etc.).</li> <li>2) Review evidence to confirm effective implementation, if available.</li> </ol>	STD A13 5.27	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.401	Has the State promulgated regulations requiring that all final reports from aircraft accidents and serious incidents investigations be completed and made publicly available?	<ol style="list-style-type: none"> <li>1) Review regulations.</li> <li>2) Review means for making final reports publicly available, such as a public website.</li> </ol>	STD A13 5.4 & 6.5	CE-2
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.403	Has the State established and implemented guidelines regarding the development, content and format of the final report?	<ol style="list-style-type: none"> <li>1) Review guidelines.</li> <li>2) Review final report(s).</li> <li>3) Review if there are different formats for final reports depending on the types of</li> </ol>	RP A13 6.1 & App to A13 GM	CE-5

		occurrences. 4) Verify that the format of the final report complies with the provisions contained in the Appendix to Annex 13.	Doc 9756 Part II, 4.6.5 & 4.6.6 Part IV, 1.3 & Apps. 1 to 5 to C1 Doc 9962 10.4	
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
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?	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.	STD A13 6.5 & 6.6 GM Doc 9756 Part IV, 1.5.1 Doc 9962 10.7.1 & 10.7.4	CE-5
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
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?	1) Review procedures issued. 2) Review evidence to confirm effective implementation. 3) Verify that the State forwards the draft final report to all accredited representatives. 4) Verify that the response time allowed by the State is at least 60 days.	STD A13 6.3 GM Doc 9756 Part IV, 1.4 Doc 9962 10.5	CE-5
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	CE
6.409	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that a copy of the draft final report is sent for comments: a.) through the State of the Operator to the air operator; and	1) Review procedures. 2) If no, verify that there is a procedure to ensure that: a) a copy of the draft final report is sent to the air operator/the organizations responsible for the type design and the final assembly of	RP A13 6.3.1 & 6.3.2 GM Doc 9962 10.5.2	CE-5

	b.) through the State of Design and State of Manufacture to the organizations responsible for the type design and the final assembly of the aircraft?	the aircraft; and b) the associated States are informed of the transmission of the draft final report to the operator/the organization responsible for the type design and the final assembly of the aircraft 3) Review evidence to confirm effective implementation.		
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.411	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it will either amend the draft final report to include the substance of the comments received or, if desired by the State which provided the comments, append the comments to the final report?	1) Review procedures issued. 2) Ensure that the procedures address In sufficient detail the analysis of comments recorded and the subsequent decision-making process. 3) Review evidence to confirm effective implementation.	STD A13 6.3 GM Doc 9756 Part IV, 1.4.3 Doc 9962 10.5.3	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.413	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it sends the final report to all States involved, including any State having suffered fatalities or serious injuries to its citizens and any State which provided relevant information, significant facilities or experts?	1) Review procedures. 2) Review evidence to confirm effective implementation and practices.	STD A13 6.4 GM Doc 9756 Part IV, 1.5.2 Doc 9962 10.6	CE-5
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.415	Has the State, when it has investigated an accident or incident to an aircraft of a maximum mass of over 5 700 kg, established and implemented procedures to ensure that it sends the final report to ICAO?	1) Review procedures. 2) Review evidence to confirm effective implementation and practices, when implemented.	STD A13 6.7 GM Doc 9756 Part IV,1.6.2 Doc 9962 10.7	CE-5

<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.417	Has the State, when issuing or receiving a draft Final Report, established and implemented measures to ensure that it is not disclosed to the public?	1) Review the measures established. 2) Review evidence to ensure that draft final reports are not disclosed and any documents obtained during an investigation of another State are prevented from circulation, publication, or giving unauthorized access without the express consent of the State which conducted the investigation, unless such reports or documents have already been published or released by that latter State.	STD A13 6.2 RP A13 5.12.6 GM Doc 9756 Part IV, 1.4.3	CE-5
6.421	Has the State, as the State conducting the investigation, established and implemented guidelines regarding the development and issuance of safety recommendations to the appropriate authorities, including those in other States, at any stage of an accident or incident investigation?	1) Review procedures. 2) Review evidence to confirm effective implementation and, in particular, that safety recommendations issued (if any) were correctly and clearly worded and were addressed to appropriate authority(ies).	STD A13 6.8 & 8.3 GM Doc 9756 Part II, 4.6.2 to 4.6.4 Part IV, App. 1 to C1, 4 & App. 6 to C1 Doc 9962 10.8.1	CE-8
6.423	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it addresses, when appropriate, any safety recommendations arising from its investigations to accident investigation authorities in other State(s) concerned and, when ICAO documents are involved, to ICAO?	1) Review procedures issued. 2) Review evidence to confirm effective implementation, when applicable.	STD A13 6.9 GM Doc 9962 10.8.1.1	CE-8
6.425	Has the State, as the State receiving safety recommendations from other States, established and implemented procedures:	1) Review procedures and mechanism established. 2) Review correspondence sent/received.	STD A13 6.10	CE-8

	a) to monitor the progress of any action taken in response to these safety recommendations, and b) to ensure that it informs the proposing State within 90 days of the preventive action taken or under consideration or the reasons why no action will be taken?	Note to auditor: Safety recommendations may result from diverse sources, including safety studies.	RP A13 6.12 GM Doc 9756 Part IV, App. 6 to C1 Doc 9962 10.8.2.1	
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.427	Has the State, as the State conducting the investigation, established and implemented procedures to ensure that intended safety recommendations are included in the draft final report forwarded to the States and organizations concerned?	1) Review procedures. 2) Review evidence to confirm effective implementation.	STD A13 6.3, Note 4 GM Doc 9756 Part IV, C1 Doc 9962 10.4.4	CE-8
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.429	Has the State developed and implemented procedures to record responses to the safety recommendations it has issued?	1) Review procedures and mechanism established. 2) Review correspondence sent/received.	RP A13 6.11 GM Doc 9962 10.8.2.2	CE-8
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.431	Has the State, as the State conducting the investigation, developed and implemented procedures to ensure that it sends preliminary ADREP reports, when the aircraft involved in an accident is of a maximum mass of over 2 250 kg, to all involved States and ICAO?	1) Review procedures. 2) Review copies of submitted reports and distribution list.	STD A13 7.1 GM Doc 9756 Part IV, 2.4.3 Doc 9962 11.1.1	CE-8
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>

6.433	Are preliminary reports submitted in one of the working languages of ICAO?	Review copies of submitted preliminary reports.	STD A13 7.3	CE-8
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.435	Has the State, as the State conducting the investigation, developed and implemented procedures to ensure that it sends ADREP accident data reports involving aircraft of a maximum mass of over 2 250 kg to ICAO, as soon as practicable after the investigation?	1) Review procedures. 2) Review copies of dispatched accident data reports and dispatch dates.	STD A13 7.5 GM Doc 9756 Part IV, 2.5.3 Doc 9962 11.2.1	CE-8
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.437	Has the State, when it has investigated an incident to an aircraft of a maximum mass of over 5 700 kg, established and implemented procedures to ensure that it sends ADREP incident data reports to ICAO?	1) Review procedures. 2) Review record of dispatched reports, as applicable.	STD A13 7.7 GM Doc 9756 Part IV, 2.5.3 Doc 9962 11.2.2	CE-8
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.501	Has the State established and implemented (through the necessary legislation, procedures and guidance to the industry) a mandatory incident reporting system to facilitate the collection of information on actual or potential safety deficiencies?	1) Review applicable legislation, regulations, procedures and mechanism established. 2) Review evidence to confirm effective implementation and, in particular, that the number of reports received is commensurate with the level of aviation activity in the State. 3) Coordinate the assessment with team members in all other areas of the activity.	GM Doc 9962 C12	CE-8
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.507	Has the State established an accident and incident database to facilitate the effective analysis of	1) Review database established. 2) Review the stored data.	STD A13	CE-8

	information on actual or potential safety deficiencies and to determine any preventive actions required?		8.1 GM Doc 9962 12.1.2 & 12.1.3	
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.509	Is the database created in a standardized format to facilitate data exchange?	1) Review the database format. 2) Verify if the taxonomy is compatible with ADREP/European Co-ordination Centre for Aviation Incident Reporting Systems (ECCAIRS).  Note: If there is no database in place, this question should be marked “not satisfactory”.	GM Doc 9962 C12	CE-8
<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>CE</b>
6.511	Does the State analyze the information contained in its accident/incident reports and database to determine any required preventive action?	1) Review access of applicable State authorities. 2) Review relevant data/information. 3) Verify if the data are being analyzed.	STD A13 8.1	CE-8

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