

INTERNATIONAL CIVIL AVIATION ORGANIZATION



***EUR SEARCH AND RESCUE INSPECTOR'S
HANDBOOK***

First Edition – 2021

EUR Search and Rescue Inspector's Handbook	
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FOREWORD

The Search and Rescue Inspector's Handbook (hereinafter referred to as the handbook) reflects the procedures used to verify the compliance of a search and rescue service provider (hereinafter referred to as the service provider) with the requirements of the relevant legislative acts.

Also, the main essence of the handbook is to obtain information on the level of existing safety risks, to analyze it, and to carry out additional monitoring or take additional measures, if necessary.

DEFINITIONS

Accident investigation authority. The authority designated by a State as responsible for aircraft accident and incident investigations within the context of this annex.

Audit. A systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which requirements and audit criteria are fulfilled.

Competent Authority (CA). The government entity or entities, that have a function to perform Safety oversight of the SAR system in order to ensure that individuals and organizations performing SAR activity comply with safety-related national laws and regulations.

Inspection. An examination of specific activities, products or services of an aviation licence, certificate, approval or authorization holder (or applicant) performed by inspectors to confirm compliance with the requirements for the licence, certificate, approval or authorization already issued (or being issued) by the State.

Inspector. A qualified person authorized by the State to carry out oversight activities for civil aviation.

Rescue Coordination Center (RCC). A unit responsible for promoting efficient organization of search and rescue services and for coordinating the conduct of search and rescue operations within a search and rescue region.

Safety oversight. A function performed by a State to ensure that individuals and organizations performing an aviation activity comply with safety-related national laws and regulations.

ABBREVIATIONS

SAR – Search and Rescue;

RCC - Rescue Coordination Center.

1. Objective of the Handbook

The objective of this handbook is to:

- Establish the sequence of actions necessary for the inspection of the service provider to ensure safety and the implementation of national and international obligations;
- Determine functions and responsibilities of search and rescue inspectors (hereinafter referred to as the inspector) involved in the inspection;
- Ensure scheduling and implementation of the inspection;
- Monitor corrective actions and, in case of failure of the provider, to fulfill its obligations, to limit or revoke the rights provided by the certificate, or to suspend its validity, or to impose on the operator the liability envisaged by the Code of Administrative Offences of the state.

2. Scope

The present handbook is applicable to the Inspectors of the competent authority. Also, the present handbook is applicable to any employee of the competent authority who, due to his/her function, may be involved in the implementation of the actions envisaged by the present handbook.

3. Legal Framework

Applicable national and international standards and procedures:

- Annex 11 (Air Traffic Services);
- Annex 12 (Search and Rescue);
- ICAO Doc 9731 (International Aeronautical and Maritime Search and Rescue Manual- VOL 1,2, and 3);
- Doc 8335 (Manual of Procedures for Operations Inspection, Certification and Continued Surveillance);
- Doc. 9734 (Safety oversight Manual).

4. Functions and Responsibilities

The Director of the Competent Authority, the supervising Deputy Director, Head of the relevant department and inspectors are involved in the process of implementation of this procedure.

The Director of the Competent Authority:

- Approves the Annual Inspection Plan (Annex 1);
- Reviews and approves the Inspection Report;
- Decides on follow-up actions on the basis of the Inspection Report;
- Decides on the restriction, revocation of the rights provided for by the certificate or the imposition of liability envisaged by the Code of Administrative Offences of the state, and determines the amount of the fine;
- Makes a decision to conduct an unscheduled inspection.

Supervising Deputy Director:

- Reviews and accepts the Annual Inspection Plan;
- Accepts the composition of a particular Inspection Team;
- In conjunction with the head of department and Safety Inspector(s), reviews and accepts the outcomes of the inspection and corrective actions submitted by the service provider;
- Participates in the decision-making process to conduct an unscheduled inspection;
- Participates in the decision-making process on the restriction, revocation of the rights provided for by the air operator certificate or the imposition of liability envisaged by the Code of Administrative Offences of the state;
- Monitors the implementation of inspections carried out by the Department according to the Annual Plan;
- In the absence of the supervising Deputy Director, the above-mentioned functions shall be performed by the Director of the Agency.

Head of Department:

- Draws up an Annual Inspection Plan;
- Introduces changes to the Inspection Plan, if necessary;
- In conjunction with the supervising Deputy Director, submits the composition of a particular Inspection Team for approval;
- In conjunction with the supervising Deputy Director and Inspector(s), reviews and accepts the Inspection Reports and corrective actions submitted by the service provider;
- Constantly monitors the outcomes of inspections (findings identified during the inspection);
- In the case of non-fulfillment of the obligations by the service provider, the Head of Department (in conjunction with the supervising Deputy Director) makes a proposal regarding the restriction, revocation of the rights provided for by the certificate or the reasonability of initiating the process of decision-making on imposing the liability envisaged by the Code of Administrative Offences of the state;
- Constantly monitors the implementation of the Annual Plan by Inspectors.

Inspection Team:

- The Flight Safety Inspection Team consists of a Team Leader and Inspector(s).

The functions/obligations of a Team Leader:

- Managing a particular inspection process;
- Taking preliminary measures and resolving organizational issues;
- Preparing a particular Inspection Plan and notifying the service provider of the Inspection Plan (Annex 2);
- Preparation of the Inspection Checklist (Annex 3) on the basis of objectives of the inspection;

- Assigning tasks to team members;
- Conducting opening and closing meetings;
- Considering inspection outcomes with team members;
- Drawing up the Inspection Report (Annex 4);
- Participating in the review of corrective measures submitted by the service provider;
- Collecting and storing documents related to the inspection (entering into the database);
- In case of non-fulfillment of the obligation, the Team Leader submits to the Head of Department a proposal regarding the restriction, revocation of the rights provided for by the certificate or the initiation of the process of decision-making on imposing the liability envisaged by the Code of Administrative Offences of the state.

Inspector:

- Performs the tasks assigned by the Team Leader;
- Draws up and coordinates the Inspection Checklist with the Team Leader;
- Performs the inspection;
- Collects inspection-related evidence;
- Draws up and submits to the Team Leader the initial version of the Inspection Report, the completed Inspection Checklist and evidence;
- Participates in the preparation of the Inspection Report;
- Participates in the review of corrective measures submitted by the service provider.

5. Inspector Qualification Requirements

Inspectors who are involved in the inspection process provided for in this handbook, shall comply with the requirement set out in the inspector's qualification requirements approved by the competent authority - at the state level.

6. Conflict of Interest

For the purposes of this procedure, a conflict of interest means any circumstance that may affect the Inspector's ability to make an objective decision, as a result of which the enforcement of the safety requirements may be doubted.

In the event of a conflict of interest, all Inspectors are required to submit a detailed report to the Competent Authority for consideration. The Competent Authority makes the final decision on whether there really is a conflict of interest and whether the Inspector can perform his/her functions in a fair and impartial manner. In order to avoid a conflict of interest, Inspectors are required to strictly and thoroughly follow the policies and guidelines set out in this handbook.

7. Scheduled Inspection

The inspection process consists of five main steps: preparing inspection activities, conducting the inspection, submission/distribution of the report, coordination of corrective actions, and follow-up activity. Each step is divided into sub-steps, which include the actions necessary to implement the above mentioned steps, deadlines, and transition actions.



7.1 Inspection Objects and Scope:

Inspection Objects are as follows:

- Service Providers;
- RCCs and RSCs;
- SAR Units – primary (if applicable);
- Alerting posts (if applicable);

The scope of the Inspection is as follows:

- Enterprise Management System (including Safety, Quality Systems) and associated documentation (If applicable);
- Technical means/infrastructure and their condition;
- Competence/qualification of persons involved in service provider's activity;
- Operational documentation, processes and procedures;
- Records related to the qualification and ratings of personnel;
- Processes, procedures and records related to the operation;
- Personnel qualification.

7.2 Inspection Planning

The "Inspection Planning" step covers the stages of preparation for the annual inspection as well as for each particular inspection.

7.2.1 Annual Inspection Plan

An Annual Inspection Plan shall be drawn up at the end of each calendar year and shall include actions to be carried out in the subsequent year (Annex 1). The Plan defines the dates of the inspection, the facilities to be inspected and the composition of the Inspection Team.

The Annual Inspection Plan covers the full 24-month cycle of supervision activities taking into account the following aspects:

- The results of the inspections carried out during the previous year;
- The safety risks derived from the analysis of the occurrence reporting scheme (if applicable);
- Ongoing or planned changes (if applicable);

- Recommendations of the Accident investigation authority;
- Adoption of new normative acts.
- planned annual SAR exercises;

It is possible to change both the Annual Plan and the composition of the Inspection Team. The Annual Inspection Plan shall be approved by the Director of the competent authority and sent to the service provider in which the inspection is scheduled.

7.2.2 Preparation for Inspection

Preparations for a particular inspection shall begin at least one month prior to the date of the inspection. Preparation for the inspection is comprised of the following stages: identification of areas that are to be inspected (Scope of Inspection), collection of findings that are to be revised (if any), search and analysis of the documentation, preparation of the Inspection Checklist, drawing up the Agenda and notification, resolving organizational issue. The inspection team members should collect and review the information relevant to their inspection scope and prepare documents, as necessary, for reference and for recording inspection evidence.

DETERMINATION	PREPARATION	NOTIFICATION
Setting the date that are to be revised	Collection of findings	Sending the Agenda
Designation of team members	Search and analysis of documentation	
Identification of the Scope of the inspection	Checklist Preparation	

7.2.2.1 Inspection Date

Inspection month or date(if possible) shall be set out in the Annual Inspection Plan. The exceptions are unscheduled inspections, the timing of which depends on the circumstances.

7.2.2.2 Designation of Team Members

The head of the relevant department, by verbal agreement with supervising Deputy Director, makes the decision on the designation of Team Members (unless the composition of the Inspection Team is specified in the Annual Inspector Plan or it is necessary for various reasons to replace the team members specified in the Annual Plan).

While designating the Team Leader, the Head of the Department and the supervising Deputy Director shall take into account the fact that, during an inspection, the functions of team leader should be equally distributed to each Inspector. The Team Leader and team members can be specified in the Annual Inspection Plan.

7.2.2.3 Determination of Scope of Inspection

When identifying the scope of inspection, the Team Leader instructs Team Members to pick up from the database the findings that are to be revised/unclosed findings. In addition, the Team Members shall take into consideration any safety risks identified in the course of the analysis of the occurrence

reporting scheme (if applicable) and seek recommendations given by the accident investigation authority (if applicable). Also, in the course of determination of the scope, team members shall take into account the ongoing, planned or implemented changes, as well as the periods of entry into force of new regulations. Based on this information, the scope of the inspection shall be determined.

7.2.2.4 Opened Findings

When collecting the findings that are to be revised, the Team Leader and Team Members analyze the amount of findings with regards to the dates of their closing and the scope of inspection. The Inspection Team enters into the inspection list those findings that should have been addressed with regards to the dates provided in corrective action plan.

7.2.2.5 Search of Documentation

An important step of preparation for an inspection is search and analysis of documentation. After identification of scope of inspection, Team Members analyze various national/international standards and/or procedures containing the requirements applicable to a particular inspection area. The Team Leader may also require service provider to submit various internal documentation, if necessary.

7.2.2.6 Drawing up a Checklist

Based on the search and analysis of documentation, the Inspection Team draws up an Inspection Checklist. The main objective of the checklist is to ensure more flexibility in conducting on-site inspections. The Inspection Checklist contains the following:

- Document title and the clause – to be entered in the course of preparation for the inspection;
- Requirement - to be entered in the course of preparation for the inspection;
- Questionnaire - to be entered in the course of preparation for the inspection;
- Finding/evidence - to be entered in the course of the inspection;
- Remarks - to be entered in the course of the inspection.

7.2.2.7 Drawing up an Inspection Plan/Agenda

In the process of preparation for the inspection, based on the information contained in the completed checklists and the analysis of the number of deficiencies that are to be revised, the Team Leader determines the number of days and time/hours required for the inspection. Based on the above, the Team Leader draws up an Inspection Plan (Agenda).

7.2.2.8 Notification

At least 14 working days prior to commencing the inspection, the Inspection Team Leader sends the Inspection Plan (Agenda) to the service provider by the established means of communication (e-mail, fax, dedicated software and etc.) It is also allowed to send an inspection checklist to service provider along with the agenda.

Where an unscheduled inspection is required, the inspection agenda should be sent to the operator depending on how promptly the inspection should be carried out.

In case of an unscheduled inspection, the inspection agenda is allowed to be sent to the service provider at least one day prior to inspection or to conduct the inspection without sending the Inspection Agenda to the operator.

7.3. Inspection Progress

The inspection shall be carried out according to the Inspection agenda. Any scheduled or unscheduled inspection should include an opening meeting, an actual inspection, and a closing meeting.

Opening Meeting	Inspection	Closing Meeting
General overview	Allocation of Inspectors	Team discussions
Taking into account the request of the service provider, and if necessary, amending the agenda	Review existing findings	Sharing results(initial)
	completing the Checklist	

7.3.1. Opening Meeting

An Opening Meeting shall be held at the beginning of the inspection. At the meeting, a brief consideration of inspection objective shall be conducted by the Team Leader together with the management and representatives whose audit is scheduled.

At the opening Meeting, the inspection agenda may be amended by the inspection team, if so requested by the service provider or due to various unforeseen circumstances, in order to avoid delays in rendering services.

7.3.2. Inspection

After the opening meeting, members of the Inspection Team shall be allocated to carry out the inspection jointly or separately. An inspection can be performed using a range of inspection methods. The inspection methods chosen for an inspection depend on the defined audit objectives, scope and criteria, as well as duration and location. The Inspection shall be conducted under the Team Leader's guidance.

The inspection may begin with a review of implemented actions (if any) or by using a Checklist. The Inspector is obliged to enter in the Checklist all findings identified by him/her in relation to the specific requirement(s). Also, based on the current situation, the Inspector may put additional questions not included in the checklist.

The inspector is authorized to observe the process of rendering services directly on the spot and to interview the ordinary employees. The Inspector has the right to request any documentation that he/she may need during the inspection, as well as to inspect those structural units or additional items that are not included in the scope of inspection, if such need arise due to various circumstances.

During the Inspection, information relevant to the inspection objectives, scope and criteria, including information relating to interfaces between functions, activities and processes, should be collected by means of appropriate sampling and should be verified. Only information that is verifiable should be accepted as inspection evidence. The service provider must submit evidence required by the Inspector prior to completion of the inspection. The evidence leading to inspection findings should be recorded.

If, during the collection of evidence, the inspection team becomes aware of any new or changed circumstances or risks, these should be addressed by the team accordingly.

7.3.3. Closing Meeting

Prior to the closing meeting, team members submit the information and evidence to the team leader, after which they jointly sum up findings identified during the inspection.

During the closing meeting, the team leader informs the management of the service provider about the positives and findings identified during the inspection.

7.4. Inspection Outcomes

The outcomes of the inspection shall be reflected in the inspection report (annex 4). The Inspection Report shall be prepared within 30 calendar days, after the completion of the inspection, and sent to the service provider.

The inspection team includes in the report all findings identified. When formulating findings, the team does not take into account opinions of its own members but the situation existing with respect to the applicable requirements.

In addition, failure of the service provider to comply with at least one of the requirements stated herein is considered to be a finding.

In the course of drawing up the inspection report, findings shall be formulated in written form, the level of the finding shall be determined, the findings shall be numbered, and all this shall be reflected in the appropriate form.

7.4.1. Text of Finding

When composing the text of a finding, it is not allowed to express a subjective opinion or give any recommendations for its correction. The text should be as concise as possible and only be tailored to the applicable requirement.

7.4.2. Levels of Findings

All findings are classified by levels according to their severity in accordance with applicable national legislation. In particular:

level I finding is a non-compliance with the requirements of the national legislation, organization's procedures and manuals, terms of the certificate or requirements applicable to services rendered by the service provider that lowers the level of safety or seriously hazards safety.

The level I findings include:

- Failure to gain access to the provider's facilities during normal operating hours and after two written requests;
- Obtaining or maintaining the validity of the provider's certificate (if applicable) by falsification of submitted documentary evidence;
- Use of the certificate in violation of the requirements envisaged by the legislation;
- The lack of an accountable manager.

level II finding is a non-compliance with the requirements of national legislation, organization's procedures and manuals, terms of the certificate or requirements applicable to services provided by the service provider that could lower the level of safety and possibly hazard safety.

Where a non-compliance is identified during the inspection that is not classified as a Level I or Level II finding, this non-compliance (observation) may be included in the Inspection Report.

In the case of level 1 finding, the Director of the Competent Authority shall, based on the Inspector's report, take action to limit or suspend the certificate in whole or in part, depending upon the extent of the level 1 finding, until successful corrective action has been taken by the service provider, or to revoke it on the basis of the Team Leader's written report.

In the case of level 2 findings:

- The inspector shall establish or accept a period appropriate to the nature of the finding, during which the service provider shall take corrective actions;
- The Inspector shall assess the corrective action plan and, in case of any comments, submit them to the service provider together with relevant substantiations.

Where the service provider fails to submit a corrective action plan, or to perform the corrective actions within the time period accepted or extended by the Agency, the finding shall be raised to a Level I finding and the Competent Authority shall take action as set up for Level I finding.

The classification of findings by levels is based on the common decision of the Inspection Team members, and the following circumstances shall be taken into account when determining a level:

- Whether a particular non-compliance is directly related to safety;
- What current impact does a particular non-compliance have on safety;
- What are the consequences of failing to correct a particular non-compliance;
- Whether the corrective action of a specific non-compliance required the involvement of the other (other) party; (if so, what action was taken by the service provider; did the operator apply to the other party; if so, the other party's reply should be presented to the Inspection Team together with a Joint Plan indicating the rectification stages and deadlines);
- Whether the dates provided in the corrective action Plan were violated by the operator during the follow-up inspection.

If a particular non-compliance with the above listed criteria is such as to endanger safety, a decision shall be made in order to limit or revoke the rights provided under the certificate, or to suspend its validity, or to impose on the operator the liability envisaged by the Code of Administrative Offences of the state.

7.4.3. Numbering of Findings

Each finding shall be given a unique number. Number of finding could be generated by the database used by CA or by other methods established within CA.

7.5. Coordination of Corrective Actions

Once the Inspection Report is sent to the service provider, a corrective action plan shall be developed by the service provider taking into account the causes of non-compliance (Root Cause Analysis) and

submitted to the competent authority. The corrective action plan submitted by the service provider to the competent authority shall be reviewed by the inspection team according to the topics.

When findings are identified, the service provider shall submit to the Agency the corrective action plan that shall fully reflect the non-compliances. Inspectors shall carry out monitoring and follow up actions taking into account the corrective action timeframe indicated in the plan. (Monitoring process is described in subsection 7.2.2.4.).

7.6. Follow-Up Inspection

The follow up inspection includes a subsequent check of the work carried out to correct non-complacencies within the timeframe indicated in the corrective action plan. See Sections 7.1, 7.2 and 7.3.

If the service provider is unable to correct the non-compliances within the timeframe provided in the corrective action plan, during the follow up actions, the Head of the Department shall, after agreement with the supervising Deputy Director, Inspection Team Leader and Inspectors, appeal in writing for imposition of sanctions in accordance with chapter 11 of this handbook.

7.7. Revocation, Suspension and Renewal of Certificate. Restriction of Rights

Information on revocation, suspension of the certificate and/or restriction of rights provided under the certificate (if applicable) can be found in state legislative acts.

8. Unscheduled Inspection

Unscheduled inspections may occur by various circumstances, in particular by:

- Any changes to the inspection object that may affect safety and security;
- Notifications of the existence of safety-related and civil aviation security-related deficiencies at the service provider (analysis of SAR operations);
- Any other circumstances known to the Competent Authority that could affect safety and/or security (e.g. voluntary activation of 406 MHz distress beacons – false alerting)

Unscheduled inspections shall be carried out in accordance with the process described in Section 8 of this Procedure, except for informing the inspection object about the inspection, which must be carried out immediately prior to the inspection.

9. External Experts

When determining the scope of inspection, some aspects may be identified which are beyond the scope of competency of the relevant department. In such a case, Inspector(s) from another department may be involved in the inspection process, to assist the Inspection Team in conducting the inspection in a particular area.

In order to involve the Inspector(s) of another department (Another Domain) in the inspection process, the Head of the Department applies in the form of internal correspondence (Internal Note, e-mail) to

the Head of the relevant Department (or entity) with a request to involve the particular inspector in the inspection process.

The supporting Inspector shall follow this handbook and be directly subordinate to the Team Leader.

10. Imposition of Sanctions

Information on imposition of sanctions can be found in state legislative acts.

11. Inspection Database and its administering

The Inspection Database is an e-database developed by the departments (within the competent authority), where the complete information related to the inspection is stored, in particular:

- Inspection outcomes reflected in the Inspection Report;
- corrective action plans submitted by the service providers;
- Results of the follow up inspection.

The person in-charge of administering the inspection database is appointed by the Head of the Department.

The Team Leader is obliged to submit the inspection outcomes, non-compliances and corrective action plans, to the person in-charge of administering the inspection database, who must upload the information into the database.

The person in-charge of administering the inspection database shall monitor its operation and use.

The person in-charge of administering the inspection database is obliged to provide the Inspection Team with a list of findings in order to ensure the verification of status of these findings, during the follow-up inspection.

Only Heads of Departments and Specialists, supervising Deputy Director and the Director of the competent authority shall have access to the database.

12. Annual Report

The person in-charge of administering the inspection database shall draw up an Annual Inspection Report that shall reflect the amount of scheduled and unscheduled inspections, the status (open findings) and the amount of findings identified during the inspection. The person in-charge of administering the inspection database sends the Annual Report to the Head of the Department for reference.

Along with that, the outcomes reflected in the Annual Report should be taken into account when drawing up an inspection plan for the subsequent year.

The Annual Report shall be submitted to the supervising Deputy Director and the Director of the competent authority for reference.

13. Data Storage

During each inspection, the Team Leader creates an inspection folder, both in hard copy and electronic form, which must contain the following information:

- Agenda;
- Notification about the inspection;
- Checklist;
- Evidence presented by the service provider;
- Inspection Report;
- Protocol of Administrative Offence and the Order (if any);
- Corrective actions.

All information and records related to the inspection (hard copies and/or electronic database) shall be kept by the competent authority according to national regulations for 7 (seven) years.

15. Annexes

Annex 1: Annual Inspection Plan

Inspection Plan		
20 __		
Date	Place of Inspection	Scope of Inspection
Inspection № 01		
Inspection № 02		
Inspection № 03		
Inspection № 04		

Note: The Annual Plan can be changed, if necessary.

Approved by:

Director of the Competent Authority

Name, Surname

Date...../...../.....

Read and accepted by:

Name, Surname

Date...../...../.....

Annex 2: Inspection Plan (Agenda)

Agenda

Place of Inspection:

Date:

Inspection Team:

Scope of the Inspection:

Time	Task	Place	Service/Personnel
Date			
Hours			
Hours			
Hours	Break		
Hours			
Date			
Hours			
Hours			

Note: Inspection is not limited to the above mentioned tasks.

Annex 3: Inspection Checklist

INSPECTED (AUDITED) ORGANIZATION		Date of Inspection
REQUIREMENT	QUESTIONS	EVIDENCE
	•	
	•	

Annex 4: Audit Report

(Structure of the Report)

Audit Objective

(Indicate the list of the services to be inspected, the compliance of the inspection outcomes with national and international requirements/regulations)

Scope/Subject of Audit

(Indicate the scope/subject of the audit: the object/aviation enterprise that is to be inspected, and the list of items to be inspected);

Inspection Team

(Indicate the composition of the Inspection Team)

Audit Time and Place

(Indicate the place and time of the inspection)

Documents and Criteria

(Indicate documents and criteria used in the course of the inspection, including the list of the national and international regulations applicable to the inspection)

Obstruction of Inspection

(Indicate factors that may obstruct the inspection process, if any)

Inspection Progress

(Describe the progress of the inspection, including the list of persons attended and the Opening and Closing Meetings)

Findings

(Describe the findings identified during the inspection as shown in Forms No1 and No2 stated below)

Conclusion

(Describe briefly the positives and deficiencies identified during the inspection, as well as the timeframe for submitting corrective action plans)

Form No 1

(To be used for the Inspection)

FINDING № 1	DATE
REQUIREMENT	
FINDING	

Form No 2

(To be used for the Follow-up Inspection)

FINDING № 1	DATE	
Requirement		
Finding		
OPERATOR RESPONSE		
Deficiency Rectification Measures	Date	Responsible person
Follow-up Outcomes	Date	

Question Bank for the Assessment on the National Search and Rescue System - (RCCs (IRCC, ARCC or MRCC), SRUs, ATS Units, Airport rescue services, Operators) This questionnaire may also be used for: Conducting a periodic review of an established SAR system; or Guiding the establishment of a SAR system						
No	SAR service providers	Reference	Question1	Action by assessor	Evaluation Satisfactory/Non satisfactory/NA	Remarks and improvement areas
USOAP - PQ - 2020						
1		PQ 7.481 USOAP (2020) STD A12 2.1.1&2.1.3	Has the State arranged for the establishment and provision of SAR services within its territory and the areas where the State has accepted responsibility to provide SAR on a 24-hour basis in accordance with Annex 12 provisions? (CE-6)			
2		PQ 7.487 USOAP (2020) GM Doc 9734 Part A, C3	Does the SAR inspectorate have sufficient human resources to carry out its functions? (CE-3)			
3		PQ 7.491 USOAP (2020) GM Doc 9734 Part A, C3	Has the State established for SAR inspectors: a) job descriptions; b) minimum qualifications; and c) experience requirements? (CE-3)			
4		PQ 7.495 USOAP (2020) GM Doc 9734 Part A, C3	Has the State developed a formal training programme detailing the type of training to be provided to its SAR inspectors? (CE-4)			
5		PQ 7.499 USOAP (2020) GM Doc 9734 Part A, C3	Is the training programme appropriately implemented for SAR inspectors? (CE-4)			
6		PQ 7.505 USOAP (2020) GM Doc 9734 Part A, C3	Has the State established and implemented a formal surveillance programme for the continuing supervision of the rescue coordination centre (RCC) and, as appropriate, rescue sub-centre (RSC)? (CE-7)			
7		PQ 7.507 USOAP (2020) GM Doc 9734 Part A, C3	Has the State established and implemented a mechanism/system with time frame for the elimination of deficiencies identified by SAR inspectors? (CE-8)			
8		PQ 7.513 USOAP (2020) STD A12 2.3.1 & RP A12 2.3.2	Has the State established an RCC or, as applicable, an RSC in each search and rescue region (SRR)? (CE-6)			
9		PQ 7.517 USOAP (2020) STD A12 3.1.1 & RP A12 3.1.5	Does the State ensure that its SAR organization coordinates with those of neighbouring States? (CE-6)			
10		PQ 7.519 USOAP (2020) STD A12 3.1.3	Does the State permit, subject to such conditions as may be prescribed by its own authorities, entry into its territory of SAR units of other States for the purpose of searching for the site of aircraft accidents and rescuing survivors of such accidents? (CE-2)			
11		PQ 7.521 USOAP (2020) RP A12 3.1.7	Does the State authorize its rescue coordination centres (RCCs) to provide, when requested, assistance to other RCCs, including assistance in the form of aircraft, vessels, persons or equipment? (CE-3)			
12		PQ 7.525 USOAP (2020) STD A12 3.2.5	Does the State ensure that an H24 (continuing day and night service) designation of a SAR point of contact for the receipt of COSPAS-SARSAT distress data? (CE-6)			
13		PQ 7.529 USOAP (2020) STD A12 2.1.1.2	Has the State ensured that each rescue coordination centre (RCC) and rescue sub-centre (RSC) employ sufficient workforce skilled in coordination and operational functions? (CE-7)			
14		PQ 7.537 USOAP (2020) STD A1 1.2.9, A10 Vol. II, 5.2.1.2, A12 2.3.3, RP A12 2.3.4 GM Doc 9731 (IAMSAR Manual) Vol. I, C3, 3.2	Does the State ensure that the rescue coordination centre (RCC) and, as appropriate, rescue sub-centre (RSC), is staffed 24 hours a day by trained personnel proficient in the use of the English language? (CE-7)			
15		PQ 7.543 USOAP (2020) STD A12 .5.1, 2.6.1, 3.2.1, 4.1.1 & 4.2.1	Does the State ensure that each rescue coordination centre (RCC) has prepared detailed plans of operation for the conduct of SAR operations? (CE-7)			
16		PQ 7.545 USOAP (2020) STD A12 4.4	Does the State ensure that SAR personnel are regularly trained and that appropriate SAR exercises are arranged? (CE-7)			
No	SAR service providers	Reference	Question1	Action by assessor	Evaluation Satisfactory/Non satisfactory/NA	Remarks and improvement areas
Annex 12 - Search and Rescue						
1		STD A12 2.1.1	Has the State arranged for the establishment and provision of SAR services within its territory and the areas where the State has accepted responsibility to provide SAR on a 24-hour basis in accordance with Annex 12 provisions?			
2		STD A12 2.1.1.1	Has the State arranged for the establishment and provision of SAR services for agreed undetermined territory and the areas under portion of the high seas by regional air navigation agreements, where the State has accepted responsibility to provide SAR on a 24-hour basis in accordance with Annex 12 provisions? Does State provide those services individually or in cooperation with other States? <i>Note. — The phrase “regional air navigation agreements” refers to the agreements approved by the Council of ICAO normally on the advice of Regional Air Navigation Meetings.</i>			
3		STD A12 2.1.1.2	Has the RCC and RSC employ sufficient workforce skilled in coordination and operational functions?			
4		STD A12 2.1.1.3	Has the State established the processes to improve service provision, including the aspects of planning, domestic and international cooperative arrangements and training?			
5		STD A12 2.1.2	Has the State secure that assistance to aircraft in distress and to survivors of aircraft accidents, will be provided regardless of the nationality or status of such persons or the circumstances in which such persons will be found?			
6		STD A12 2.1.3	Has the State made arrangements for the use of SAR units and other available facilities to assist any aircraft or its occupants who are or appear to be in a state of emergency?			
7		STD A12 2.1.4 RP 2.1.5 & 2.1.6	Has the State established a joint RCC to coordinate aeronautical and maritime SAR operations, or otherwise, when separate aeronautical and maritime RCCs serve the same area, does the State ensure that there is closest practicable coordination between the centres?			
8		STD A12 2.2.1 RP 2.2.1.1	Has the State delineate the SRR with neighbouring States, so those SRRs not overlap and to be contiguous? Does State SRR coincident with FIRs?			
9		STD A12 2.3.1 RP 2.3.2	Has the State established a RCC, and RSC if applicable, in each search and rescue region (SRR)? (NOTE: This Question is included into PQ 2020)			
10		STD A12 2.3.3 RP 2.3.4	Does the RCC and, as appropriate, RSC is staffed 24 hours a day by trained and qualified personnel proficient in the use of the English language used for radiotelephony communications?			

11		STD A12 2.4.1	Does RCC have means of rapid and reliable two-way communication with: a) associated air traffic services units; b) associated rescue subcentres; c) appropriate direction-finding and position-fixing stations; d) where appropriate, coastal radio stations capable of alerting and communicating with surface vessels in the region; e) the headquarters of search and rescue units in the region; f) all maritime rescue coordination centres in the region and aeronautical, maritime or joint rescue coordination centres in adjacent regions; g) a designated meteorological office or meteorological watch office; h) search and rescue units; i) alerting posts; and j) the Cospas-Sarsat Mission			
12		STD A12 2.4.2	If the RSC is established, does the RSC have means of rapid and reliable two-way communication with: a) adjacent rescue subcentres; b) a meteorological office or meteorological watch office; c) search and rescue units; and d) alerting posts.			
13		STD A12 2.5.1	Has the State designated as SRU elements of public or private services suitably located and equipped for SAR operations?			
14		STD A12 2.5.2	Has the State designated as SRU elements of public or private services that do not qualify as SRU but are nevertheless able to participate in SAR operations?			
15		STD A12 2.6.1 RP 2.6.2	Are SRUs properly equipped for location promptly, and to provide adequate assistance at the scene of an accident, and are able to establish two-way communication with other SAR facilities engaged in same SAR operation ?			
16		STD A12 2.6.3	Has SRU aircraft able to communication on the aeronautical and on-scene frequencies or other prescribed ones?			
17		STD A12 2.6.4	Is the SRU aircraft equipped with a device for homing on distress frequencies? <i>Note 1. — Emergency locator transmitter (ELT) carriage requirements are given in Annex 6, Parts I, II and III.</i> <i>Note 2. — Specifications for ELTs are given in Annex 10, Volume III.</i>			
18		STD A12 2.6.5	Has the SRU aircraft used for SAR operation over maritime areas able to communicate with vessels? <i>Note. — Many vessels can communicate with aircraft on 2182 kHz, 4125 kHz and 121.5 MHz. However, these frequencies, and in particular 121.5 MHz, may not be routinely monitored by vessels.</i>			
19		STD A12 2.6.6	Does SRU aircraft, used for SAR operation over maritime areas, carry a copy of the International Code of Signals? <i>Note. — The International Code of Signals is published in English, French and Spanish by the International Maritime Organization as documents I994E, I995F and I996S.</i>			
20		STD A12 3.1.1 RP 3.1.5	Does the State coordinate its SAR organization with those of neighbouring States and have signed arrangements to strengthen SAR cooperation with setting forth the condition for entry of each other's SRU into respective territories?			
21		STD A12 3.1.3	Does the State permit, subject to such conditions as may be prescribed by its own authorities, entry into its territory of SAR units of other States for the purpose of searching for the site of aircraft accidents and rescuing survivors of such accidents?			
22		STD A12 3.1.4 & 3.1.4.1	Does the State agreed with RCC and SRU procedures for SRU to entry the territory of neighbouring State, or the procedures of entry of neighbouring SRUs into State?			
23		STD A12 3.2.1	Has the State arranged for all aircraft, vessels and local services and facilities which do not form part of the SAR organization to cooperate fully with the latter in SAR and to extend any possible assistance to the survivors of aircraft accidents?			
24		STD A12 3.2.3 RP 3.2.4	Has the State ensured closed cooperation with responsible investigating accidents authorities during the conduction of aircraft accident+investigation and with those responsible for the care of those who suffered from the accident?			
25		STD A12 3.2.5	Is the RCC designated a SAR point of contact for the receipt of COSPAS-SARSAT distress data?			
26		STD A12 3.3.1	Does the State publishing and disseminate all information necessary for the entry or SRU of other State into its territory or has it included into SAR arrangements with neighbouring States?			
27		STD A12 4.1.1	Has RCC have readily available at all times up-to-date information concerning the following in respect of its search and rescue region: a) search and rescue units, rescue subcentres and alerting posts; b) air traffic services units; c) means of communication that may be used in search and rescue operations; d) addresses and telephone numbers of all operators, or their designated representatives, engaged in operations in the region; and e) any other public and private resources including medical and transportation facilities that are likely to be useful in search and rescue.			
28		STD A12 4.2.1	Has RCC prepared detailed plans of operation for the conduct of SAR operations within its SRR?			
29		STD A12 4.2.3	Does prepared RCC plans of operations specify arrangements for the servicing and refuelling, to the extent possible, of aircraft, vessels and vehicles employed in search and rescue operations, including those made available by other States.			
30		STD A12 4.2.4	Does prepared RCC plans contain details regarding actions to be taken by those persons engaged in search and rescue, including: a) the manner in which search and rescue operations are to be conducted in the search and rescue region; b) the use of available communication systems and facilities; c) the actions to be taken jointly with other rescue coordination centres; d) the methods of alerting en-route aircraft and ships at sea; e) the duties and prerogatives of persons assigned to search and rescue; f) the possible redeployment of equipment that may be necessitated by meteorological or other conditions; g) the methods for obtaining essential information relevant to search and rescue operations, such as weather reports and forecasts, appropriate NOTAM, etc.; h) the methods for obtaining, from other rescue coordination centres, such assistance, including aircraft, vessels, persons or equipment, as may be needed; i) the methods for assisting distressed aircraft being compelled to ditch to rendezvous with surface craft; j) the methods for assisting search and rescue or other aircraft to proceed to aircraft in distress; and k) cooperative actions to be taken in conjunction with air traffic services units and other authorities concerned to assist aircraft known or believed to be subject to unlawful interference.			
31		STD A12 4.3.1	Has the SRUs organized to be: a) be cognizant of all parts of the plans of operation that are necessary for the effective conduct of its duties; and b) keep the rescue coordination centre informed of its preparedness.			
32		STD A12 4.3.2	Has the State: a) maintain in readiness the required number of search and rescue facilities; and b) maintain adequate supplies of rations, medical stores, signalling devices and other survival and rescue equipment.			
33		STD A12 4.4	ANS 7.545 Does the State ensure that SAR personnel are regularly trained and that appropriate SAR exercises are arranged?			
34		STD A12 5.1 & 5.2	Has RCC established close cooperation with ATS units regarding alerting and SAR services?			

35		STD A12 5.2.1 & 5.2.2 & 5.2.3	Has RCC established procedures for Uncertainty, Alert and Distress phase?			
36		STD A12 5.2.4	Has RCC established procedure for SAR action in respect of an aircraft whose position is unknown?			
37		STD A12 5.3	Has the RCC established procedure where responsibility for operations extends to two or more States?			
38		STD A12 5.4	Has the RCC established procedure for coordination and authorities in the field?			
39		STD A12 5.5	Has the RCC established procedure for termination and suspension of SAR operations?			
40		STD A12 5.6	Has the State established the procedures at the scene of an accident?			
41		STD A12 5.7	Has the State established the procedures a pilot-in-command intercepting a distress transmission?			
42		STD A12 5.8	Does the SRU using the SAR signals according to the appendix of Annex 12?			
43		RP A12 2.6.7	Does the SRU aircraft carry droppable survival equipment?			
44		RP A12 2.6.8	Does the State located at appropriate airport or other suitable warehouse, survival equipment suitably packed for dropping by aircraft?			
45		RP A12 3.1.2	Does the State coordinate its SAR operations with those of neighbouring States, especially when these operations are proximate to adjacent SRR?			
46		RP A12 3.1.2.1	Does the State develop common SAR plans and procedures to facilitate coordination or SAR operations with those of neighbouring States?			
47		RP A12 3.1.6 & 3.1.7	Does the State authorize its RCCs to: - request from other RCC assistance, grant any necessary permission for the entry of such aircraft, vessels, persons or equipment into State and to make necessary arrangements with appropriate customs, immigration or other authorities with a view to expediting entry; or - provide, when requested, assistance to other RCCs, including -assistance in the form of aircraft, vessels, persons or equipment?			
48		RP A12 3.1.8	Has the State made any arrangement for joint training, exercises with SRU of other States, in order to promote SAR efficiency?			
49		RP A12 3.1.9	Has the State made arrangements for period liaison visits by SAR personnel of RCC/RSC of neighbouring States?			
50		RP A12 3.2.2	Has the State ensured the closest practicable coordination between the relevant aeronautical and maritime authorities to provide for the most effective and efficient SAR services?			
51		RP A12 3.3.2 & 3.3.3	Does the State publishing its SAR Plans of operations and actions to be taken when there is reason to believe that an aircraft emergency situation may become cause for public concerns and could require a general emergency response?			
52		RP A12 4.1.2	Has RCC readily available information of interest to SAR operation including: a) the locations, call signs, hours of watch, and frequencies of all radio stations likely to be employed in support of search and rescue operations; b) the locations and hours of watch of services keeping radio watch, and the frequencies guarded; c) locations where supplies of droppable emergency and survival equipment are stored; and d) objects which it is known might be mistaken for unlocated or unreported wreckage, particularly if viewed from the air.			
53		RP A12 4.1.3	Has RCC whose SRR includes maritime areas have ready access to information regarding the position, course and speed of ships within such areas that may be able to provide assistance to aircraft in distress and information on how to contact them.			
54		RP A12 4.1.4	Has the State individually or in cooperation with other State established ship reporting system in cooperation with maritime authorities or arrange comm. Links with Amver or regional ship reporting systems to facilitate SAR operations at sea?			
55		RP A12 4.2.2	Has the State included representatives of SRU to prepare Plans of operations for MROs?			
56		RP A12 4.2.5	Has the RCC plans of operation integrated with airport emergency plans?			
57		RP A12 4.5	Has the State ensured that wreckage from aircraft accident within its territory or in case of accident on the high seas within its SRR is removed, obliterated or charted following completion of accident investigation, if its presence might constitute a hazard or confuse subsequent search and rescue operations?			
58		RP A12 5.9.1	Has RCC keep a record of the operational efficiency of the SAR organization in its SRR?			
59		RP A12 5.9.2	Has RCC prepared appraisals of actual SAR operations in its region?			
60		GM Doc 9734 Part A 3.4 & 3.7	Does the State ensure that each RCC and, if appropriate, RSC develop written job descriptions for each of their technical staff?			
61		GM Doc 9734 Part A 3.4 & 3.7	Does the State ensure that each RCC and, if appropriate, RSC establish a training programme for their staff?			
62		GM Doc 9734 Part A 3.4 & 3.7	Does the State ensure that each RCC and, if appropriate, RSC maintain training records for their technical staff?			
No	SAR service providers	Reference	Question1	Action by assessor	Evaluation Satisfactory/Non satisfactory/NA	Remarks and improvement areas

Doc 9731 - IAMSAR Manual vol 1. - Appendix H						
1 – General system concept						
1		GM Doc 9731 vol 1	Is the Government party to the following Conventions:	Review documented evidence of the establishment of the service which includes a legal framework		
			1. Convention on International Civil Aviation, 1944?			
			2. International Convention on Maritime Search and Rescue, 1979?			
			3. International Convention for the Safety of Life at Sea (SOLAS), 1974?			
			4. Convention on the High Seas, 1958?			
			5. United Nations Convention on the Law of the Sea (UNCLOS), 1982?			
2		GM Doc 9731 vol 1	Has the State established an entity, which provides, on a 24-hour basis, search and rescue (SAR) services to ensure that assistance is rendered to persons in distress:	Review documented evidence of the establishment of the service which includes a legal framework		
			1. Within its territory?			
			2. Within its search and rescue region(s) (SRR(s)), including both aeronautical and maritime SRRs where applicable?			
			3. If no, has the State arranged with another State or group of States to provide SAR services?			
3		GM Doc 9731 vol 1	Which government agencies have authority and responsibility for coordination of aeronautical SAR?	Review documented evidence of the establishment of the service which includes a legal framework Review aeronautical information publication (AIP) documenting SAR service		
			1. Where is this authority and responsibility described (law, regulation, agreement, etc.)?			
			2. Is the same agency responsible for coordinating aeronautical SAR over both land and sea?			
			3. If no, is there another agency with this authority and responsibility?			
4		GM Doc 9731 vol 1	Which government agencies have authority and responsibility for coordination of maritime SAR?	Review documented evidence of the establishment of the service which includes a legal framework		
			1. Where is this authority and responsibility described (law, regulation, agreement, etc.)?			
5		GM Doc 9731 vol 1	Has the State established an Aeronautical and/or Maritime Rescue Coordination Centre (RCC) or RCCs to coordinate aeronautical and maritime SAR operations in each of its SRRs?	Review the legislation which establishes the RCCs/RSCs Review actual SAR cases When applicable, review the coordination process between ARCCs and MRCCs, and between RCCs and RSCs Review the SAR organization		
			1. Where separate aeronautical and maritime RCCs (ARCCs and MRCCs) serve the same area, does the State ensure that there is the closest practicable coordination between the centres?			
			2. Where separate Rescue Sub Centres (RSCs) are established, do the RSCs effectively support the parent RCCs?			
6		GM Doc 9731 vol 1	Where the State has responsibility for providing both aeronautical and maritime SAR services, has the State established a Joint RCC (JRCC) to coordinate both aeronautical and maritime SAR operations?	Review the legislation which establishes the JRCC Review the SAR organization Review JRCC assessment report		
			1. If no, has the State conducted an assessment of the merits of establishing a JRCC?			
7		GM Doc 9731 vol 1	Does the State ensure close cooperation between civil and military organizations for SAR operations?	Review documented evidence of the establishment of the service which includes a legal framework Review actual SAR cases		
8		GM Doc 9731 vol 1	Does the State have a national SAR plan, which describes the roles of all government and non-government organizations which have resources that can support SAR?	Review documented evidence of the establishment of the plan(s)		
			1. Is there a formal national SAR coordinating committee to coordinate the actions of the organizations within the national SAR plan?			
			2. Does the State have plans and procedures for Mass Rescue Operations (MROs), On-scene coordinator (OSC) and Aircraft coordinator (ACO)?			
			3. Does the State have plans and procedures for SAR in areas remote from SAR facilities?			
9		GM Doc 9731 vol 1	Have there been any problems encountered when working with RCCs outside the States SRR(s)?	Review documented evidence		
10		GM Doc 9731 vol 1	1. If so, have steps been taken to solve these problems?	Review documented evidence including ICAO Electronic Regional Air Navigation Plan (eANP) and IMO Global Integrated Shipping Information System (GISIS).		
			Have ICAO and IMO been provided with up-to-date information on your RCCs, RSCs, SAR resources and areas of responsibility, including:			
			1. national authority responsible for the search and rescue services;			
			2. location of the established rescue coordination centres or other centres providing search and rescue coordination, for the search and rescue region or regions and communications therein;			
			3. limits of search and rescue region or regions and the coverage provided by shore-based distress and safety communication facilities;			
11		GM Doc 9731 vol 1	4. principal types of available search and rescue units.			
			Do the basic elements of SAR services include:	Review existence of the basic elements, resources and facilities		
			1. a legal framework			
			2. assignment of a responsible authority			
			3. organized available resources			
12		GM Doc 9731 vol 1	4. communication facilities			
			5. coordination and operational functions			
			6. processes to improve the services, including planning, domestic and international cooperative relationship and training?			
13		GM Doc 9731 vol 1	1. Does the State have both aeronautical and maritime SAR regions (SRRs) or SAR subregions (SRSs) established?	Review documented evidence of the establishment of the service which includes a legal framework Review organizational structure		
			2. Do the geographical limits of the States aeronautical and maritime SRRs or SRSs coincide?			
			3. If the State has an aeronautical flight information region (FIR), does the aeronautical SRR have the same limits?			
14		GM Doc 9731 vol 1	1. Have the aeronautical SRR or SRS limits been formally agreed to by neighbouring countries or jurisdictions?	Verify how the responsibility or authority has been delegated to another Contracting State or group of States		
			2. Have the maritime SRR or SRS limits been formally agreed to by neighbouring countries or jurisdictions?			
			3. Are there any gaps, overlaps, or size or shape problems with national SRRs or SRSs?			
15		GM Doc 9731 vol 1	Where aeronautical and maritime SRRs or SRSs overlap, are arrangements in place to ensure SAR operations can be coordinated effectively in the area of overlap between the RCCs responsible?	Verify how the responsibility or authority has been delegated to another entity or authority		
16		GM Doc 9731 vol 1	Do the State RCCs regularly work with each other and with other RCCs outside their regions?	Review documented evidence Review actual SAR cases		
17		GM Doc 9731 vol 1	Where separate aeronautical and maritime RCCs are established, do provisions exist for:	Review documented evidence		
			1. Aeronautical RCCs (ARCCs) to notify maritime RCCs (MRCCs) of aeronautical distress situations over the sea?			
			2. Which RCC will coordinate the incident if the aircraft ditches?			
			3. MRCCs to notify ARCCs of maritime distress situations including distress beacon activations?			
			4. ARCC(s) to assist MRCC(s) with aeronautical SAR support and MRCC(s) to assist ARCC(s) with maritime SAR support?			
18		GM Doc 9731 vol 1	Is each RCC and RSC suitably equipped to enable its staff to perform the required functions including:	Review documented evidence		
			1. communications equipment for processing of SAR alerts and coordinating SAR operations?			
			2. charts, means of recording, plotting and other applicable general office equipment?			
			3. library of SAR manuals, plans and reference material?			
19		GM Doc 9731 vol 1	4. computer resources including databases, SAR management and planning software and internet access?			
			Are RCC(s) or RSC(s) assigned to perform tasks in addition to SAR? If so, are arrangements in place to ensure that these tasks do not impact their ability to handle SAR responsibilities?	Review documented evidence		
20		GM Doc 9731 vol 1	Are emergency plans and recovery resources in place at all airports located near water for rescue of survivors in the water?	Review documented evidence		
			1. If yes, do these plans include both the airport authorities and RCCs?			

20		GM Doc 9731 vol 1	Do facilities that serve as alerting posts for receiving and responding to aeronautical and maritime distress information operate on a 24-hour basis?	Review documented evidence		
21		GM Doc 9731 vol 1	Has the State established procedures to be followed by RCCs and RSCs during emergency phases (uncertainty phase, alert phase and distress phase)?	Review mechanism established to ensure effective implementation Review RCC plans of operation		
22		GM Doc 9731 vol 1	Does the State have a reliable 24-hour SAR Point of Contact (SPOC) for receiving, acknowledging and responding to GMDSS Alerts including Cospas-Sarsat distress beacon alerts?	Review documented evidence		
23		GM Doc 9731 vol 1	Does each RCC or RSC have an operations manual which provides procedures and guidance material for handling all foreseeable SAR situations?	Review documented evidence		
24		GM Doc 9731 vol 1	Do RCC(s) and RSC(s) use international systems that assist SAR, e.g. Amver, Cospas-Sarsat, computer-assisted search planning?	Review documented evidence		
25		GM Doc 9731 vol 1	Can RCC(s) and RSC(s) monitor progress of a SAR response and adjust search planning if necessary?	Review documented evidence		
26		GM Doc 9731 vol 1	Are there established procedures to be followed by RCCs and RSCs in case of termination and suspension of the search and rescue operations?	Review mechanism established to ensure effective implementation Review RCC plans of operation		
27		GM Doc 9731 vol 1	Are there arrangements for the rapid use of SAR units and other available facilities to assist any aircraft or vessels or their occupants that are, or appear to be, in a state of emergency? .1 Are SAR units available that are capable of responding to all locations within the States SRR(s)? Do SAR units carry IAMSAR Volume III?	Review documented evidence		
28a		GM Doc 9731 vol 1	Are there SAR aircraft available which are equipped to: 1. communicate with other SAR units on scene, including marine units for overwater operations? 2. home on distress frequencies? 3. deliver SAR supplies whilst airborne, such as, for example, life rafts and SAR datum buoys? 4. retrieve survivors including medical evacuations?	Review documented evidence		
28b		GM Doc 9731 vol 1	Are there marine SAR craft available which are equipped to: 1. communicate with other SAR units on scene, including aircraft? 2. home on distress frequencies? 3. deliver SAR supplies example SAR datum buoys? 4. retrieve survivors including medical evacuations?	Review documented evidence		
29		GM Doc 9731 vol 1	Does each RCC and RSC have full information about the capabilities (range, number of persons they could rescue, alert status, launch authority point of contact, etc.) for all the primary rescue units in their area of responsibility?	Review documented evidence		
30		GM Doc 9731 vol 1	Can RCC(s) or RSC(s) request the deployment of all primary SAR units? 1. If not, does the coordination for use of SAR resources take place in a timely manner?	Review documented evidence		
31		GM Doc 9731 vol 1	Have voluntary SAR resources, including privately owned aircraft and boats, fishing vessels, industry-owned helicopters and boats and professional organizations been organized?	Review documented evidence		
32		GM Doc 9731 vol 1	Do RCCs and RSCs operation manuals include guidance on use of voluntary SAR resources?	Review documented evidence		
33		GM Doc 9731 vol 1	Do SAR units have special equipment for medical evacuations with trained personnel?	Review documented evidence		
34		GM Doc 9731 vol 1	Do SAR services cooperate with those responsible for investigating accidents and with those responsible for the care of those who suffered from the accident?	Review documented evidence		
3 – Training, qualification, certification and exercises						
35		GM Doc 9731 vol 1	Does each RCC and RSC employ a sufficient workforce skilled in coordination and operational functions?	Review mechanism established to ensure effective implementation Review documented evidence		
36		GM Doc 9731 vol 1	Does the State ensure that each RCC and, if appropriate, RSC, have written job descriptions for each of their staff?	Review mechanism established to ensure effective implementation Review job descriptions and confirm rational application		
37		GM Doc 9731 vol 1	Does each RCC and, if appropriate, RSC, have an established training programme for their staff which includes regular appropriate SAR exercises? 1. Are training records or files maintained for all RCC staff?	Review mechanism established to ensure effective implementation Review documented training programme and verify if it includes, when applicable, initial, recurrent or specialized training Review training schedule, SAR training syllabus, lesson plans		
38		GM Doc 9731 vol 1	Do RCCs or RSCs have trained staff member to do the following: 1. Carry out RCC communications and coordination functions? 2. Recognize the stages and phases of a SAR mission? 3. Determine search datum, search areas, and probability of success? 4. Account for aerospace and ocean drift? 5. Develop search action plans and rescue action plans? 6. Allocate and debrief resources? 7. Arrange air escorts, ships and other assistance for aircraft situations involving potential ditching? 8. Carry out international SAR obligations?	Review mechanism established to ensure effective implementation Review documented evidence		
39		GM Doc 9731 vol 1	Does the State provide for regular training of its SAR system personnel and arrange appropriate SAR exercises? 1. Do crews of primary SAR units participate in regular SAR-related training or exercises? 2. Is there a formal planning and evaluation process for these exercises? 3. Do RCCs or RSCs carry out exercises involving other RCCs and RSCs and SAR units on a regular basis? 4. Does each element in the SAR organization regularly evaluate its staff training status and take steps to correct all identified training needs?	Review mechanism established to ensure effective implementation Review documented evidence		
4 – Communications						
40		GM Doc 9731 vol 1	Do the RCC(s) and RSC(s) have rapid and reliable 24-hour means for communications with: .1 Other RCCs and RSCs? .2 Other civil/military agencies or facilities which support the SAR system such as Air Traffic Services units, Coast Radio Stations, SRUs, meteorology office, Cospas-Sarsat Mission Control Centre, alerting posts and other national emergency agencies and facilities?	Review mechanism established to ensure effective implementation Review documented evidence		
41		GM Doc 9731 vol 1	Does the national communications system provide full coverage of the State and rapid, reliable 24-hour service?	Review documented evidence		
42		GM Doc 9731 vol 1	Do RCC(s) and RSC(s) have reliable radio communications capabilities covering their entire area(s) of responsibility for working with ships, aircraft and SAR units?	Review documented evidence		
43		GM Doc 9731 vol 1	Do RCC(s) or RSC(s) use satellite communications?	Review documented evidence		
44		GM Doc 9731 vol 1	Do RCC(s) and RSC(s) have reliable internet access?	Review documented evidence		
45		GM Doc 9731 vol 1	Are RCC personnel involved in the conduct of external communications, including voice, reading and writing, proficient in the use of the English language?	Review documented evidence		
46		GM Doc 9731 vol 1	Which categories of aircraft and ships registered in the State are required to carry 406 MHz distress beacons?	Review documented evidence		
47		GM Doc 9731 vol 1	Are 406 MHz beacon registrations maintained in a database? 1. Is the database maintained for ELT, EPIRB and PLB 406 MHz distress beacons? 2. Is that database available on a 24-hour basis to SAR authorities?	Review documented evidence		
48		GM Doc 9731 vol 1	Has the State made arrangements for immediate distribution from the State's Cospas-Sarsat SPOC to the proper authorities for ELT, EPIRB and PLB distress beacon alerts?	Review documented evidence		
49		GM Doc 9731 vol 1	Is the Aeronautical Fixed Telecommunication Network (AFTN) or Aeronautical Fixed Network (AFN) co-located or readily accessible to the RCC(s) and RSC(s) 24 hours a day?	Review documented evidence		
50		GM Doc 9731 vol 1	Is the State implementing the provisions of the IMO Global Maritime Distress and Safety System (GMDSS)?	Review documented evidence		
51		GM Doc 9731 vol 1	Do the RCC and RSC operations manuals include procedures for establishing communications with civil ships and aircraft?	Review documented evidence		
52		GM Doc 9731 vol 1	Do RCC(s) and RSC(s) have rapid access to aircraft and vessel tracking data to: 1. identify potential aircraft and vessels to divert to assist with a SAR response? 2. monitor the progress of SRUs during SAR missions? 3. provide historical tracking data on aircraft and vessels in distress?	Review documented evidence		
53		GM Doc 9731 vol 1	Do ships and aircraft that are used for SAR have communications and electronic direction-finding capabilities covering all frequencies likely to be used?	Review documented evidence		
54		GM Doc 9731 vol 1	Do ships and aircraft that are used for SAR have accurate navigation systems?	Review documented evidence		
55		GM Doc 9731 vol 1	What means are used to notify RCC(s) or RSC(s) of a distress?	Review documented evidence		
56		GM Doc 9731 vol 1	What means are used to alert and inform SAR units of a distress, and to brief them to respond?	Review documented evidence		
57		GM Doc 9731 vol 1	Do all SAR units have mutually compatible communications?	Review documented evidence		

58		GM Doc 9731 vol 1	Is the State planning to improve communications or direction-finding/locating capabilities in any of the following areas?	Review mechanism established to ensure effective implementation Review documented evidence			
			1. Medium frequency (MF).				
			2. High frequency (HF).				
			3. VHF-FM				
			4. VHF-AM				
			5. UHF				
			6. Telephone, including mobile telephone				
			7. Satellite systems including tracking systems				
59		GM Doc 9731 vol 1	Do RCC(s) and RSC(s) have procedures for providing timely and competent medical assistance and advice to ships and other vessels at sea?	Review mechanism established to ensure effective implementation Review documented evidence			
5 – System management							
60		GM Doc 9731 vol 1	Which national agencies or organizations are responsible for:	Review mechanism established to ensure effective implementation Review documented evidence			
			1. Aircraft registration and safety?				
			2. Air traffic services and safety?				
			3. Investigation of aviation accidents and incidents?				
			4. Maritime vessel registration and safety?				
			5. Investigation of maritime accidents and incidents?				
			6. Regulation and enforcement of radio frequency usage?				
			7. Serving as the national SAR Point Of Contact (SPOC) for receipt of Cospas-Sarsat alert data?				
			8. Personal Locator Beacon usage and alerts?				
			9. Satellite Emergency Notification Devices (SENDs) usage and alerts?				
			10. Land based SAR?				
			11. Managing national civil emergencies?				
			12. National defence?				
			13. Providing paid SAR resources?				
			14. Providing volunteer SAR resources?				
			15. State law enforcement?				
			16. Emergency medical advice and care?				
			17. Medical evacuations?				
			18. Supporting participation by ships in ship reporting systems, such as the Automated Mutual-assistance Vessel Rescue (Amver) system?				
19. Liaison with SAR related international organizations including ICAO, IMO and Cospas-Sarsat?							
61		GM Doc 9731 vol 1	Has the State designated as SAR units elements of public or private services suitably located and equipped for SAR operations?	Review mechanism established to ensure effective implementation Review documented evidence			
62		GM Doc 9731 vol 1	Does the State coordinate its SAR organization with those of neighbouring States?	Review documented evidence of the establishment of the agreements concerning search and rescue among neighbouring States			
63		GM Doc 9731 vol 1	Has each RCC in the State prepared detailed plans of operation for the conduct of SAR operations within its SRR?	Review documented evidence			
64		GM Doc 9731 vol 1	Does the State have formal SAR agreements for inter-agency coordination and for cooperation with neighbouring countries?	Review documented evidence			
65		GM Doc 9731 vol 1	Do RCC(s) and RSC(s) have procedures for coordinating with hospitals to receive all personnel evacuated due to medical emergencies?	Review documented evidence			
66		GM Doc 9731 vol 1	Have formal procedures been developed for providing medical assistance and advice and for making medical evacuation decisions?	Review documented evidence			
67		GM Doc 9731 vol 1	Are there contingency plans in place for the continuation of SAR services in the event of the temporary unavailability of your RCC(s) and RSC(s), for example during RCC/RSC emergency evacuations, system outages or natural disasters?	Review documented evidence			
68		GM Doc 9731 vol 1	Does the State permit, subject to such conditions as may be prescribed by its own authorities, entry into its territory of SAR units of other States for the purpose of searching for, and the rescue of, survivors of aviation and maritime incidents and accidents?	Review documented evidence			
69		GM Doc 9731 vol 1	Does the State authorize its RCCs to provide, when requested, assistance to other States' RCCs, including assistance in the form of aircraft, vessels, or equipment?	Review documented evidence			
70		GM Doc 9731 vol 1	Has the State arranged for aircraft, vessels, local services and facilities which do not form part of the SAR organization to cooperate fully with the latter in SAR and to extend any possible assistance to the survivors of aviation and maritime accidents?	Review documented evidence			
71		GM Doc 9731 vol 1	Does each RCC have an established management plan for dealing with the media during SAR events?	Review documented evidence			
72		GM Doc 9731 vol 1	Does the State send delegates to participate directly in meetings of ICAO and IMO that deal with SAR issues?	Review documented evidence			
73		GM Doc 9731 vol 1	How do SAR managers stay informed on decisions, and outcomes of meetings conducted by ICAO and IMO?	Review documented evidence			
6 – Improving services							
74		GM Doc 9731 vol 1	Is there a system in place for safety management and the continuous improvement of the State SAR system? ...	Review documented evidence Confirm inspection procedures and inspection reports Confirm mechanism/ system with time frame for elimination of deficiencies identified Review list of deficiencies which have been identified by inspection and remedial action planned/taken			
			1. Is there a quality management system in place for the States SAR services which includes a system with time frame for elimination of deficiencies identified?				
			2. Is there a safety management system in place for RCC/SAR operations?				
			3. Do the States RCCs use a risk assessment process for SAR operations?				
75		GM Doc 9731 vol 1	Does the State maintain a statistical database on SAR events which assist with analysis of operational performance of RCCs/RSCs and the SAR system?	Review documented evidence			
76		GM Doc 9731 vol 1	Are debriefings of SAR operations conducted and are any lessons learned shared with others in the SAR system?	Review documented evidence			
77		GM Doc 9731 vol 1	Are complete records (sufficient to reconstruct the incident) maintained for all SAR events?	Review documented evidence			
78		GM Doc 9731 vol 1	Are SAR case records used to analyse and improve the SAR system?	Review documented evidence			
79		GM Doc 9731 vol 1	Do SAR case records satisfy legal requirements?	Review documented evidence			
No	SAR service providers	Reference	Question1	Action by assessor	Evaluation Satisfactory/Non satisfactory/NA or 0-1	Remarks and improvement areas	
ICAO State Letter EUR/NAT 19-0546.TEC (FIC/SAN) - EASPG conclusion 1/29- Regional SAR Plan Monitoring and Reporting Form - SL Attachment A - Att A - 41 SAR Performance Indicators							
1		EASPG conclusion 1/29	Enacted legislation that incorporates or is aligned to applicable international Conventions	Following is a bank of indicators based on the EUR SAR Plan's performance improvement section (which should be read in conjunction with these questions), that can be used to assess whether an administration is either compliant or not and to internally evaluate their implementation status of the EUR SAR Plan. Using the cells (Status) for each of the 41 elements, please indicate implementation status with either 0 (not implemented), or 0.5 (50% implemented - note - other partial implementation may be indicated such as 0.1 = 10%) or 1 (fully implemented)			
2		EASPG conclusion 1/29	Unless delegated, established an entity that provides H24, SAR services within its area of responsibility/SRR				
3		EASPG conclusion 1/29	Established a national SAR committee				
4		EASPG conclusion 1/29	Empowered SAR Mission Coordinators with the authority to adequately carry out their responsibilities				
5		EASPG conclusion 1/29	Established an Administrative Single Point of Contact for SAR (ASPOCS) for non-urgent, administrative matters				
6		EASPG conclusion 1/29	Conducted studies to integrate aviation and maritime SAR, and as far as practicable, civil and military activities				
7		EASPG conclusion 1/29	Conducted studies to align, as far as practicable, aeronautical and maritime SRRs, and SRRs and FIRs				
8		EASPG conclusion 1/29	Established a single State SAR Plan				
9		EASPG conclusion 1/29	Established aerodrome emergency plans that provide for co-operation and co-ordination with RCCs				
10		EASPG conclusion 1/29	Established SAR agreements with States having adjoining SRRs or FIRs				
11		EASPG conclusion 1/29	Provided up to date cross-border information on SAR capability to adjoining States				
12		EASPG conclusion 1/29	Pre-arranged procedures for cross-border SAR responses		Following is a bank of indicators based on the EUR SAR Plan's performance improvement section (which should be read in conjunction with these questions), that can be used to assess whether an administration is either compliant or not and to internally evaluate their implementation status of the EUR SAR Plan. Using the cells (Status) for		
13		EASPG conclusion 1/29	Established RCC plans for response to Mass Rescue Operations (MROs) integrated with national disaster plans				

14		EASPG conclusion 1/29	Established operational plans and procedures for SRUs, provision of support, communication and reporting	<p>Implementation status of the EUR SAR Plan, using the cells (Status) for each of the 41 elements, please indicate implementation status with either 0 (not implemented), or 0.5 (50% implemented - note - other partial implementation may be indicated such as 0.1 = 10%) or 1 (fully implemented)</p> <p>Following is a bank of indicators based on the EUR SAR Plan's performance improvement section (which should be read in conjunction with these questions), that can be used to assess whether an administration is either compliant or not and to internally evaluate their implementation status of the EUR SAR Plan. Using the cells (Status) for each of the 41 elements, please indicate implementation status with either 0 (not implemented), or 0.5 (50% implemented - note - other partial implementation may be indicated such as 0.1 = 10%) or 1 (fully implemented)</p> <p>Following is a bank of indicators based on the EUR SAR Plan's performance improvement section (which should be read in conjunction with these questions), that can be used to assess whether an administration is either compliant or not and to internally evaluate their implementation status of the EUR SAR Plan. Using the cells (Status) for each of the 41 elements, please indicate implementation status with either 0 (not implemented), or 0.5 (50% implemented - note - other partial implementation may be indicated such as 0.1 = 10%) or 1 (fully implemented)</p> <p>Following is a bank of indicators based on the EUR SAR Plan's performance improvement section (which should be read in conjunction with these questions), that can be used to assess whether an administration is either compliant or not and to internally evaluate their implementation status of the EUR SAR Plan. Using the cells (Status) for each of the 41 elements, please indicate implementation status with either 0 (not implemented), or 0.5 (50% implemented - note - other partial implementation may be indicated such as 0.1 = 10%) or 1 (fully implemented)</p>		
15		EASPG conclusion 1/29	Established SAR Alerting procedures which are tested, integrated and include civil/military protocols			
16		EASPG conclusion 1/29	Provided a fully equipped RCC of sufficient size with adequate provision for operational positions and human factors			
17		EASPG conclusion 1/29	Provided adequate supervisory ATC resources to allow timely SAR alerts and information to RCCs			
18		EASPG conclusion 1/29	Provided sufficient RCC staffing			
19		EASPG conclusion 1/29	Provided a sufficient number of trained specialist RCC officers including SMCs and A/SMCs			
20		EASPG conclusion 1/29	Availability of a pool of RCC support staff who are familiar with RCC operations, but not trained as coordinators			
21		EASPG conclusion 1/29	Developed SAR personnel position descriptions detailing responsibilities and eligibility criteria			
22		EASPG conclusion 1/29	Developed a comprehensive training programme that includes SAR training for SAR Coordinators and SRU staff			
23		EASPG conclusion 1/29	Facilitated RCC staff to be proficient in the English language			
24		EASPG conclusion 1/29	Facilitated a programme of regular liaison visits between relevant RCCs, ATC units and airline operating centres			
25		EASPG conclusion 1/29	Established additional oceanic SAR capability as far as practicable to ensure a timely and adequate SAR response			
26		EASPG conclusion 1/29	Established sufficient SRU capabilities (crews, availability, military assets, communications, authority, etc.)			
27		EASPG conclusion 1/29	Established procedures and necessary infrastructure to coordinate distress beacon alert responses			
28		EASPG conclusion 1/29	Established a reliable distress beacon registration system			
29		EASPG conclusion 1/29	Planned and prepared for the implementation of next generation beacons			
30		EASPG conclusion 1/29	Established an appropriate nationwide means of disposal for old distress beacons			
31		EASPG conclusion 1/29	Established contingency facilities, or procedures for the temporary delegation of SAR to another body or State			
32		EASPG conclusion 1/29	Established a centralised information source publishing all AIP information required on SAR			
33		EASPG conclusion 1/29	Established an Internet-based SAR information sharing system			
34		EASPG conclusion 1/29	Established systems for the maximum practicable cooperation between State entities for information when required			
35		EASPG conclusion 1/29	Developed and maintained a current, comprehensive electronic list of State SAR Facilities, SAR Equipment, and SRUs			
36		EASPG conclusion 1/29	Established an Internet-based SAR Library, or cooperate by contributing to an Internet-based EUR resource			
37		EASPG conclusion 1/29	Provided each RCC and SAR Authority with ready access to a current copy of SAR reference documents			
38		EASPG conclusion 1/29	Conducted regular SAREX to test and evaluate coordination procedures, data and information sharing and SAR responses			
39		EASPG conclusion 1/29	Implemented SAR System Improvement and Assessment measures, including Safety Management and QA systems			
40		EASPG conclusion 1/29	Conducted an annual or more frequent analysis of their current State SAR system to identify specific gaps in capability			
41		EASPG conclusion 1/29	Conducted SAR promotional programs			