ICAO

Circular 358

Regional and National Aviation Safety Plan Checklists

INTERNATIONAL CIVIL AVIATION ORGANIZATION

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GLOSSARY

DEFINITIONS

Contributing factors. Actions, omissions, events, conditions, or a combination thereof, which, if eliminated, avoided or absent, would have reduced the probability of the accident or incident occurring, or mitigated the severity of the consequences of the accident or incident. The identification of contributing factors does not imply the assignment of fault or the determination of administrative, civil or criminal liability.

Hazard. A condition or an object with the potential to cause or contribute to an aircraft incident or accident.

Incident. An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation.

Note.— The types of incidents which are of main interest to the International Civil Aviation Organization for accident prevention studies are listed in Annex 13, Attachment C.

Maximum mass. Maximum certificated take-off mass.

Safety. The state in which risks associated with aviation activities, related to, or in direct support of the operation of aircraft, are reduced and controlled to an acceptable level.

Safety enhancement initiative (SEI). One or more actions to eliminate or mitigate risks associated with contributing factors to a safety occurrence or to address an identified safety deficiency.

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.

Safety performance. A State or a service provider's safety achievement as defined by its safety performance targets and safety performance indicators.

Safety performance indicator. A data-based parameter used for monitoring and assessing safety performance.

Safety performance target. The State or service provider's planned or intended target for a safety performance indicator over a given period that aligns with the safety objectives.

Safety risk. The predicted probability and severity of the consequences or outcomes of a hazard.

State safety programme (SSP). An integrated set of regulations and activities aimed at improving safety.

ABBREVIATIONS AND ACRONYMS

GASP	Global Aviation Safety Plan
HRC	High-risk category of occurrence
NASP	National aviation safety plan
RASG	Regional aviation safety group

RASP   Regional aviation safety plan
RSOO   Regional safety oversight organization
SARP   Standards and Recommended Practices
SEI   Safety enhancement initiative
SSC   Significant Safety Concern
SSP   State safety programme

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Chapter 1

INTRODUCTION

1.1   BACKGROUND

1.1.1   Safety is aviation's top priority and Assembly Resolution A40-1: *ICAO Global planning for safety and air navigation* recognizes the importance of a global framework in support of the Safety Strategic Objective of ICAO. The *Global Aviation Safety Plan* (GASP, Doc 10004), available at www.icao.int/gasp, sets forth ICAO's safety strategy, which supports the prioritization and continuous improvement of aviation safety. Its purpose is to continually reduce fatalities, and the risk of fatalities, by guiding the development of a harmonized safety strategy and the implementation of regional and national aviation safety plans.

1.1.2   Each region and State should develop a regional aviation safety plan (RASP) and national aviation safety plan (NASP), respectively, in which the strategic direction for the management of aviation safety for a set period is presented. Each plan should be developed in line with the GASP goals, targets and high-risk categories of occurrence (HRCs).

> *Note.⎯In the context of the GASP and the RASP, the term "region" refers to a group of States and/or entities working together to enhance aviation safety within a geographic area. The regional aviation safety group (RASG) is the regional entity responsible for the development and implementation of the RASP.*

1.2   PURPOSE

This circular complements the 2020-2022 edition of the GASP and Doc 10131, *Manual on the Development of Regional and National Aviation Safety Plans*. It provides a means for a region or State to verify that its aviation safety plan, when being developed or modified, is complete and consistent with the GASP. Both the GASP and Doc 10131 present the minimum content that should be included in a RASP or a NASP (Doc 10131 also presents templates for both plans). Regions and States do not need to replicate these templates. However, they should ensure their RASP and NASP contain the minimum content proposed in the GASP, regardless of how it is presented. The checklists included in this circular can be used to identify missing content regardless of whether the aviation safety plan is based on the Doc 10131 templates or not.

1.3   APPLICABILITY

The content of this circular is presented as guidance and should not be considered as the sole means to verify completeness of regional and national aviation safety plans. States should consult specific requirements within their region and align their efforts with the RASP, where applicable. States should address Significant Safety Concerns (SSCs), if any, as a priority and comply with ICAO Standards and Recommended Practices (SARPs) as a means to achieve the GASP Goals.

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Chapter 2

REGIONAL AVIATION SAFETY PLAN

2.1   GENERAL

This chapter provides guidance to help regional entities, including RASGs and regional safety oversight organizations (RSOOs), to verify that all necessary content is included in a RASP, in alignment with the GASP. It does not supersede the current edition of the GASP. A checklist for the content of a RASP is presented in the appendix to this chapter and should be considered solely as an aid.

2.2   CONTENT OF THE RASP

As described in the GASP, a RASP should contain a minimum number of sections and specific content. Guidance on the detailed content of a RASP is presented in Doc 10131, Chapter 3. This circular should be used in combination with Doc 10131 to ensure the RASP is complete, and that it promotes global harmonization as well as harmonization with the NASP of each State in the region. The RASP should be developed based on the region's own risk assessment and address the region's specific operational safety risks and other safety issues.

2.3   RASP CHECKLIST

The appendix to this chapter presents a checklist of a RASP. Use of this checklist is not mandatory and is not intended to replace existing SARPs. The checklist is a tool that promotes a uniform development of a RASP and addresses the minimum content proposed in the GASP, in line with the RASP template presented in Doc 10131. The checklist provides a means to ensure completeness of a RASP, whether it is based on the RASP template or not, and helps identify any missing content. In line with the minimum content of a RASP (see Doc 10131, Chapter 3), the checklist includes:

a)   the reference to the section in Doc 10131 where the minimum content is described;

b)   the aspect to be analysed or question to be answered to assess the completeness of the RASP content related to that section;

c)   a column for the user to check whether or not the specified content is found in the RASP being analysed; and

d)   a column where the user may indicate where the specific content is found in the RASP being analysed, should it not be in the same section as the RASP template (e.g. a particular topic may be covered in the section describing the purpose of the RASP, rather than the introduction).

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Appendix to Chapter 2

REGIONAL AVIATION SAFETY PLAN CHECKLIST

Doc 10131, Chapter 3, 3.3, Detailed Sections of the RASP (reference)	*Regional aviation safety plan (RASP) content (aspect to be analysed or question to be answered)*	*Answer (Yes/No or N/A[1])*	*Reference in RASP (if different from template)*
**3.3.1   Introduction of the RASP**
3.3.1 a)	Does it provide an overview of the RASP, including its structure (chapters, sections and their content)?	☐ Yes ☐ No	
3.3.1 b)	Does it note the region's commitment to aviation safety and to the resourcing of activities (at the regional level) to enhance aviation safety?	☐ Yes ☐ No	
3.3.1 c)	Does it describe the entities responsible for the RASP's development, implementation and monitoring?	☐ Yes ☐ No	
3.3.1 d)	Does it describe the regional safety issues?	☐ Yes ☐ No	
3.3.1 e)	Does it describe the regional safety goals and targets?	☐ Yes ☐ No	
3.3.1 f)	Does it describe the region's operational context?	☐ Yes ☐ No	
**3.3.2   Purpose of the RASP**
3.3.2 a)	Does it include a description of the region's strategic direction for the management of aviation safety?	☐ Yes ☐ No	
3.3.2 b)	Does it establish the duration of the RASP?	☐ Yes ☐ No	

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1.   Not applicable (N/A)

Doc 10131, Chapter 3, 3.3, Detailed Sections of the RASP (reference)	Regional aviation safety plan (RASP) content (aspect to be analysed or question to be answered)	Answer (Yes/No or N/A[2])	Reference in RASP (if different from template)
3.3.2 c)	Does it note the relationship between the RASP, the NASP of each State in the region and the most current edition of the GASP?	☐ Yes ☐ No	
3.3.2 d)	Does it include initiatives at the regional level that will support the improvement of aviation safety at the individual State level and the wider international level?	☐ Yes ☐ No	
3.3.2 e)	Does it identify other documents and plans that have been considered in the development of the RASP?	☐ Yes ☐ No	
3.3.3 The region's strategic approach to managing aviation safety			
3.3.3 a)	Does it describe how the RASP is developed and endorsed, including any collaboration with stakeholders?	☐ Yes ☐ No	
3.3.3 a) 1)	Does it describe the governance of the RASP, this includes how frequently it is reviewed and updated?	☐ Yes ☐ No	
3.3.3 a) 2)	Does it explain that a collaborative approach is needed to identify issues and implement safety enhancement initiatives (SEIs) to mitigate risks?	☐ Yes ☐ No	
3.3.3 a) 3)	Does it describe the process used to determine regional operational safety risks and other safety issues (e.g. organizational challenges), if applicable?	☐ Yes ☐ No ☐ N/A	
3.3.3 b)	Does it list the regional safety goals, targets and indicators?	☐ Yes ☐ No	
3.3.3 b) 1)	Does it explain how the regional safety goals, targets and indicators are linked to the GASP?	☐ Yes ☐ No	
3.3.3 b) 2)	Does it list any specific regional safety goals, targets and indicators over and above those of the GASP, if applicable?	☐ Yes ☐ No ☐ N/A	
3.3.3 c)	Does it describe how the SEIs help to achieve the regional safety goals?	☐ Yes ☐ No	

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2.   Not applicable (N/A)

Doc 10131, Chapter 3, 3.3, Detailed Sections of the RASP (reference)	*Regional aviation safety plan (RASP) content (aspect to be analysed or question to be answered)*	*Answer (Yes/No or N/A[3])*	*Reference in RASP (if different from template)*
3.3.3 c) 1)	Does it explain the link between the regional safety goals, and targets with the SEIs that the region will undertake to improve safety?	☐ Yes ☐ No	
3.3.3 c) 2)	Does it explain how the regional safety goals and targets are linked to States' individual SEIs (within the region) or overarching initiatives at the international level?	☐ Yes ☐ No	
3.3.3 d)	Does it list the emerging issues that may require further analysis?	☐ Yes ☐ No	
3.3.4 Regional operational safety risks			
3.3.4 a)	Does it provide a summary of accidents and serious incidents that have occurred in the region during a set time period and those which involved aircraft registered in States in the region, particularly for aircraft of a maximum mass of over 5 700 kg during scheduled commercial operations?	☐ Yes ☐ No	
3.3.4 b)	Does it list and describe the regional HRCs, including the reason they were given priority?	☐ Yes ☐ No	
3.3.4 c)	Does it explain how other regional operational safety risks are identified, including how and why they were given priority?	☐ Yes ☐ No	
3.3.4 d)	Does it list the main contributing factors leading to the HRCs identified in the region?	☐ Yes ☐ No	
3.3.4 e)	Does it include a description of a set of SEIs to mitigate the risks associated with the HRCs and the additional categories of operational safety risks?	☐ Yes ☐ No	
3.3.4 e) 1)	Does it list SEIs that the region plans to implement, or is in the process of implementing, to address all the identified regional HRCs?	☐ Yes ☐ No	
3.3.4 e) 2)	Does it identify those SEIs derived from the GASP roadmap, where applicable?	☐ Yes ☐ No	

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3.   Not applicable (N/A)

Doc 10131, Chapter 3, 3.3, Detailed Sections of the RASP (reference)	Regional aviation safety plan (RASP) content (aspect to be analysed or question to be answered)	Answer (Yes/No or N/A[4])	Reference in RASP (if different from template)
3.3.4 f)	Does it describe the taxonomy used in the process of determining regional operational safety risks?	☐ Yes ☐ No	
3.3.5 Other regional safety issues			
3.3.5 a)	Does it provide a summary of the States' effective safety oversight capabilities for States in the region?	☐ Yes ☐ No	
3.3.5 b)	Does it include a list and description of other safety issues (e.g. organizational challenges) selected for the RASP, including why they were given priority?	☐ Yes ☐ No	
3.3.5 c)	Does it explain how they were identified, including, but not limited to, a data driven approach?	☐ Yes ☐ No	
3.3.5 d)	Does it include a description of a set of SEIs to address the other safety issues identified?	☐ Yes ☐ No	
3.3.5 d) 1)	Does it list SEIs the region plans to implement, or is in the process of implementing, to address all other safety issues identified?	☐ Yes ☐ No	
3.3.5 d) 2)	Does it identify those SEIs that were derived from the GASP roadmap?	☐ Yes ☐ No	
3.3.6 Monitoring implementation			
3.3.6 a)	Does it describe how the region will monitor the implementation of the SEIs listed in the RASP and how it will measure safety performance of the civil aviation system to ensure the intended results are achieved?	☐ Yes ☐ No	
3.3.6 b)	Does it explain how corrections and adjustments to the RASP and its SEIs will be made and reported?	☐ Yes ☐ No	
3.3.6 c)	Does it explain how each regional safety target will be monitored to track performance?	☐ Yes ☐ No	

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4.   Not applicable (N/A)

Doc 10131, Chapter 3, 3.3, Detailed Sections of the RASP (reference)	Regional aviation safety plan (RASP) content (aspect to be analysed or question to be answered)	Answer (Yes/No or N/A[5])	Reference in RASP (if different from template)
3.3.6 d)	Does it describe how stakeholders will be provided with relevant up-to-date information on the progress made in achieving the regional safety goals and targets, as well as the implementation status of SEIs?	☐ Yes ☐ No	
3.3.6 e) 1)	Does it include an explanatory text addressing the following situation: "If the regional safety goals and targets are not met, the root causes should be presented"?	☐ Yes ☐ No	
3.3.6 e) 2)	Does it include an explanatory text addressing the following situation: "If the region identifies critical operational safety risks, reasonable measures will be taken to mitigate them as soon as practicable, possibly leading to an unscheduled revision of the RASP"?	☐ Yes ☐ No	
3.3.6 f)	Does it explain that States have adopted a standardized approach, as outlined by the RASG or other relevant regional entity, to provide information at the regional level?	☐ Yes ☐ No	
3.3.6 g)	Does it include contact information for inquiries or further information?	☐ Yes ☐ No	

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5.   Not applicable (N/A)

Chapter 3

NATIONAL AVIATION SAFETY PLAN

3.1   GENERAL

This chapter provides guidance to help a State verify that all necessary content is included in its NASP, in alignment with the GASP. It does not supersede the current edition of the GASP. A checklist for the content of a NASP is presented in the appendix to this chapter and should be considered solely as an aid.

3.2   CONTENT OF THE NASP

As described in the GASP, a NASP should contain a minimum number of sections and specific content. Guidance on the detailed content of a NASP is presented in Doc 10131, Chapter 4. This circular should be used in combination with Doc 10131 to ensure the NASP is complete and that it promotes global harmonization as well as harmonization with the RASP in the State's region. The NASP should be developed based on the State's own risk assessment and address the State's specific operational safety risks and other safety issues.

3.3   NASP CHECKLIST

The appendix to this chapter presents a checklist of a NASP. Use of this checklist is not mandatory and is not intended to replace existing SARPs. The checklist is a tool that promotes a uniform development of a NASP and addresses the minimum content proposed in the GASP, in line with the NASP template presented in Doc 10131. The checklist provides a means to ensure completeness of a NASP, whether it is based on the NASP template or not, and helps identify any missing content. In line with the minimum content of a NASP (see Doc 10131, Chapter 4), the checklist includes:

a)   the reference to the section in Doc 10131 where the minimum content is described;

b)   the aspect to be analysed or question to be answered to assess the completeness of the NASP content related to that section;

c)   a column for the user to check whether or not the specified content is found in the NASP being analysed; and

d)   a column where the user may indicate where the specific content is found in the NASP being analysed should it not be in the same section as the NASP template (e.g. a particular topic may be covered in the section describing the purpose of the NASP, rather than the introduction).

Appendix to Chapter 3

NATIONAL AVIATION SAFETY PLAN CHECKLIST

Doc 10131, Chapter 4, 4.3, Detailed Sections of the NASP (reference)	*National aviation safety plan (NASP) content (aspect to be analysed or question to be answered)*	*Answer (Yes/No or N/A[1])*	*Reference in State's NASP (if different from template)*
4.3.1 Introduction of the NASP			
4.3.1 a)	Does it provide an overview of the NASP, including its structure (chapters, sections and their content)?	☐ Yes ☐ No	
4.3.1 b)	Does it note the State's commitment to aviation safety and to the resourcing of activities at the national level to enhance aviation safety, by issuing a statement signed by a senior aviation ministerial or government agency representative?	☐ Yes ☐ No	
4.3.1 c)	Does it describe how the NASP is linked to the SSP or how the NASP is linked to achieving effective safety oversight in the absence of a fully implemented SSP?	☐ Yes ☐ No	
4.3.1 d)	Does it list the entities responsible for the NASP's development, implementation and monitoring?	☐ Yes ☐ No	
4.3.1 e)	Does it describe the national safety issues?	☐ Yes ☐ No	
4.3.1 f)	Does it describe the national safety goals and targets?	☐ Yes ☐ No	
4.3.1 g)	Does it describe the State's operational context?	☐ Yes ☐ No	
4.3.2 Purpose of the NASP			
4.3.2 a)	Does it include a description of the State's strategic direction for the management of aviation safety?	☐ Yes ☐ No	

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1.   Not applicable (N/A)

Doc 10131, Chapter 4, 4.3, Detailed Sections of the NASP (reference)	National aviation safety plan (NASP) content (aspect to be analysed or question to be answered)	Answer (Yes/No or N/A[2])	Reference in State's NASP (if different from template)
4.3.2 b)	Does it establish the duration of the NASP?	☐ Yes ☐ No	
4.3.2 c)	Does it note the relationship between the NASP, the RASP and the most current edition of the GASP?	☐ Yes ☐ No	
4.3.2 d)	Does it identify other documents and plans that have been considered in the development of the NASP?	☐ Yes ☐ No	
4.3.3 The State's strategic approach to managing aviation safety			
4.3.3 a)	Does it describe how the NASP is developed and endorsed, including any collaboration with internal and external stakeholders?	☐ Yes ☐ No	
4.3.3 a) 1)	Does it describe the governance of the NASP, this includes how frequently it is reviewed and updated?	☐ Yes ☐ No	
4.3.3 a) 2)	Does it explain that a collaborative approach is needed to identify issues and implement SEIs to mitigate risks?	☐ Yes ☐ No	
4.3.3 a) 3)	Does it describe the process used to determine national operational safety risks and other safety issues (e.g. organization challenges)?	☐ Yes ☐ No ☐ N/A	
4.3.3 b)	Does it list the national safety goals, targets and indicators?	☐ Yes ☐ No	
4.3.3 b) 1)	Does it explain how the national safety goals, targets and indicators are linked to the GASP and RASP?	☐ Yes ☐ No	
4.3.3 b) 2)	Does it list any specific national safety goals, targets and indicators over and above those of the GASP, if applicable?	☐ Yes ☐ No ☐ N/A	
4.3.3 c)	Does it describe how the SEIs help to achieve the national safety goals?	☐ Yes ☐ No	
4.3.3 c) 1)	Does it explain the link between the national safety goals, and targets with the SEIs that the State will undertake to improve safety?	☐ Yes ☐ No	

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2.   Not applicable (N/A)

Doc 10131, Chapter 4, 4.3, Detailed Sections of the NASP (reference)	National aviation safety plan (NASP) content (aspect to be analysed or question to be answered)	Answer (Yes/No or N/A[3])	Reference in State's NASP (if different from template)
4.3.3 c) 2)	Does it explain how national safety goals and targets are linked to overarching SEIs at the regional or international levels?	☐ Yes ☐ No	
4.3.3 d)	Does it list the emerging issues that may require further analysis?	☐ Yes ☐ No	
4.3.4 National operational safety risks			
4.3.4 a)	Does it provide a summary of accidents and serious incidents that have occurred in the State during a set time period and those which involved aircraft registered in the State, particularly for aircraft of a maximum mass of over 5 700 kg during scheduled commercial operations?	☐ Yes ☐ No	
4.3.4 b)	Does it list and describe the national HRCs including the reason they were given priority?	☐ Yes ☐ No	
4.3.4 c)	Does it explain how other national operational safety risks are identified, including how and why they were given priority?	☐ Yes ☐ No	
4.3.4 d)	Does it list the main contributing factors leading to the HRCs identified by the State?	☐ Yes ☐ No	
4.3.4 e)	Does it include a description of a set of SEIs to mitigate the risks associated with the HRCs and the additional categories of operational safety risks?	☐ Yes ☐ No	
4.3.4 e) 1)	Does it list SEIs that the State plans to implement, or is in the process of implementing, to address all the identified national HRCs?	☐ Yes ☐ No	
4.3.4 e) 2)	Does it identify those SEIs which were derived from the GASP roadmap, where applicable?	☐ Yes ☐ No	
4.3.4 e) 3)	Does it provide references to corresponding SEIs in the RASP, where applicable?	☐ Yes ☐ No	
4.3.4 f)	Does it describe the taxonomy used in the process of determining national operational safety risks?	☐ Yes ☐ No	

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3.   Not applicable (N/A)

Doc 10131, Chapter 4, 4.3, Detailed Sections of the NASP (reference)	National aviation safety plan (NASP) content (aspect to be analysed or question to be answered)	Answer (Yes/No or N/A[4])	Reference in State's NASP (if different from template)
4.3.5 Other safety issues			
4.3.5 a)	Does it provide a summary of the State's effective safety oversight capabilities?	☐ Yes ☐ No	
4.3.5 b)	Does it include a list and description of other safety issues (e.g. organizational challenges) selected for the NASP, including why they were given priority?	☐ Yes ☐ No	
4.3.5 c)	Does it explain how they were identified, including, but not limited to, a data-driven approach?	☐ Yes ☐ No	
4.3.5 d)	Does it include a description of a set of SEIs to address the other safety issues identified?	☐ Yes ☐ No	
4.3.5 d) 1)	Does it list SEIs the State plans to implement, or is in the process of implementing, to address all other safety issues identified?	☐ Yes ☐ No	
4.3.5 d) 2)	Does it identify those SEIs which were derived from the GASP roadmap?	☐ Yes ☐ No	
4.3.5 d) 3)	Does it provide references to corresponding SEIs in the RASP, where applicable?	☐ Yes ☐ No	
4.3.6 Monitoring implementation			
4.3.6 a)	Does it describe how the State will monitor the implementation of the SEIs listed in the NASP and how it will measure safety performance of the civil aviation system to ensure the intended results are achieved?	☐ Yes ☐ No	
4.3.6 b)	Does it explain how corrections and adjustments to the NASP and its SEIs will be made and reported?	☐ Yes ☐ No	
4.3.6 c)	Does it explain how each national safety target will be monitored to track performance?	☐ Yes ☐ No	

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4.   Not applicable (N/A)

Doc 10131, Chapter 4, 4.3, Detailed Sections of the NASP (reference)	National aviation safety plan (NASP) content (aspect to be analysed or question to be answered)	Answer (Yes/No or N/A[5])	Reference in State's NASP (if different from template)
4.3.6 d)	Does it describe how stakeholders will be provided with relevant up-to-date information on the progress made in achieving the national safety goals and targets, as well as the implementation status of SEIs?	☐ Yes ☐ No	
4.3.6 e) 1)	Does it include an explanatory text addressing the following situation: "If the national safety goals and targets are not met, the root causes should be presented"?	☐ Yes ☐ No	
4.3.6 e) 2)	Does it include an explanatory text addressing the following situation: "If the State identifies critical operational safety risks, reasonable measures will be taken to mitigate them as soon as practicable, possibly leading to an unscheduled revision of the NASP"?	☐ Yes ☐ No	
4.3.6 f)	Does it explain that the State has adopted a standardized approach, as outlined by the RASG or other relevant regional entity, to provide information at the regional level?	☐ Yes ☐ No	
4.3.6 g)	Does it include contact information for inquiries or further information?	☐ Yes ☐ No	

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5.   Not applicable (N/A)