



Copy of the draft final report is sent for comments to the operator and to the organizations of type design/final assembly

- 6.409 Has the State, as the State conducting the investigation, established and implemented procedures to ensure that a copy of the draft final report is sent for comments:
- a) through the State of the Operator to the air operator; and
 - b) through the State of Design and State of Manufacture to the organizations responsible for the type design and the final assembly of the aircraft?



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Let's build it together

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



Let's build it together

- ✈ Exercise: Copy of the draft final report is sent for comments to the operator and to the organizations of type design/final assembly
 - ✈ To do the exercises, we will use our fictional scenario:
 - ✈ State – Coronaland
 - ✈ Authority – Civil Aviation Authority of Coronaland (CAAC)
 - ✈ The accident investigation unit is not independent, being part of the CAAC



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Let's build it together

- ✈ Stage 1 – Gathering relevant information
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Stage 1 – Gathering relevant information

✈ Gather all information relevant to the development of the procedure

✈ Since the procedure of our exercise comes out from a PQ, we need to know the content of:

✈ the question of the Protocol USOAP

✈ the ICAO references to that PQ

✈ the Guidance for Review of Evidence

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- a) through the State of the Operator to the air operator; and
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Key elements:

1. Established and implemented
2. Comments
3. Through the State ... to the operator/organizations

- 6.409 Has the State, as the State conducting the investigation, established and implemented procedures to ensure that a copy of the draft final report is sent for comments:
- a) through the State of the Operator to the air operator; and
 - b) through the State of Design and State of Manufacture to the organizations responsible for the type design and the final assembly of the aircraft?

Established and implemented

- This PQ requires evidence of implementation

6.409 Has the State, as the State conducting the investigation, established and implemented procedures to ensure that a copy of the draft final report is sent for comments:

- a) through the State of the Operator to the air operator; and
- b) through the State of Design and State of Manufacture to the organizations responsible for the type design and the final assembly of the aircraft?

Comments

- The Annex says “significant and substantiated comments”
- There has to be explanations for each comment
- Comments must be technical (not editorial)

- 6.409 Has the State, as the State conducting the investigation, established and implemented procedures to ensure that a copy of the draft final report is sent for comments:
- a) through the State of the Operator to the air operator; and
 - b) through the State of Design and State of Manufacture to the organizations responsible for the type design and the final assembly of the aircraft?

Through the State ... to the operator/organizations

- It is not appropriate to send it directly to the operator/organizations, even when an Accredited Representative hasn't been appointed
- Only send directly if the correspondent States don't acknowledge receipt of the transmittal letter



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Stage 1 – Gathering relevant information

ICAO references

RP

A13

6.3.1 & 6.3.2

GM

Doc 9962

10.5.2



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Stage 1 – Gathering relevant information

CHAPTER 6. FINAL REPORT

RESPONSIBILITY OF THE STATE CONDUCTING THE INVESTIGATION

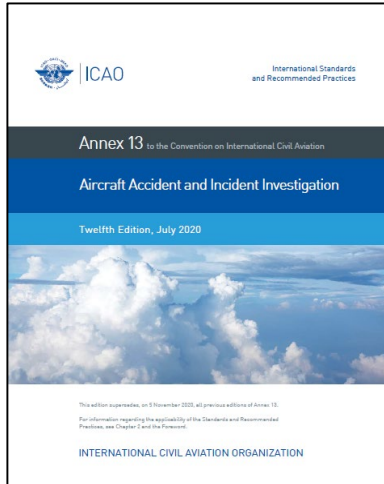
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ANNEX 13

Consultation

6.3.1 Recommendation.— *The State conducting the investigation should send, through the State of the Operator, a copy of the draft Final Report to the operator to enable the operator to submit comments on the draft Final Report.*

6.3.2 Recommendation.— *The State conducting the investigation should send, through the State of Design and the State of Manufacture, a copy of the draft Final Report to the organizations responsible for the type design and the final assembly of the aircraft to enable them to submit comments on the draft Final Report.*





DOC 9962



10.5 CONSULTATION

...

10.5.2 In order to obtain substantive technical consultation on the draft Final Report, the *[Accident Investigation Authority]* should send, through the State of the Operator, a copy of the draft Final Report to the operator to enable the operator to submit comments. Similarly, the *[Accident Investigation Authority]* should send, through the State of Design and the State of Manufacture, a copy of the draft Final Report to the organizations responsible for the type design and the final assembly of the aircraft to enable them to submit comments.



Guidance for Review of Evidence

- 1) Review procedures.
- 2) If no, verify that there is a procedure to ensure that:
 - a) a copy of the draft final report is sent to the air operator/the organizations responsible for the type design and the final assembly of the aircraft; and
 - b) the associated States are informed of the transmission of the draft final report to the operator/the organization responsible for the type design and the final assembly of the aircraft
- 3) Review evidence to confirm effective implementation.



Stage 2 – Defining the framework

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

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

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

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

**NUMBER:** --**TITLE:** Consultation on the draft final report (organizations)**Process:** Reporting**Reference:**

PQ 6.409 – Has the State, as the State conducting the investigation, established and implemented procedures to ensure that a copy of the draft final report is sent for comments:

- a) through the State of the Operator to the air operator; and
- b) through the State of Design and State of Manufacture to the organizations responsible for the type design and the final assembly of the aircraft?



Relation with other processes

✈ The procedure is related to:

- ✈ Completion and publication of the final report and interim statements (PQ 6.405)
- ✈ Consultation with States on draft final reports (PQ 6.407)
- ✈ Amendment of draft final reports to include comments received (PQ 6.411)
- ✈ Ensuring the inclusion of intended safety recommendations are included in the draft final report (PQ 6.427)



Relation with other processes

In the case of Coronaland:

NOTES

N1	Consultation with States on draft final reports (PQ 6.407)
N2	Amendment of draft final reports to include comments received (PQ 6.411)
N3	Ensuring the inclusion of intended safety recommendations are included in the draft final report (PQ 6.427)
N4	



NOTES

- ✈ The requirement of this PQ is a complement to the procedure developed for PQ 6.407
 - ✈ For the purpose of this session, we will develop the procedure as “stand alone”
- ✈ At the end, we will incorporate both parts (PQ 6.407 and 6.409) in the procedure *Completion and publication of the final report and interim statements (PQ 6.405)*



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
1	Control of confirmation of receipt from States				



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
1	Control of confirmation of receipt from States	Administrative Assistant			



Stage 2 – Defining the framework

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1	Control of confirmation of receipt from States	Administrative Assistant	The Administrative Assistant will inform Investigator-in-charge, by email, which States have confirmed receipt of the Transmittal Letter.		



Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
1	Control of confirmation of receipt from States	Administrative Assistant	The Administrative Assistant will inform Investigator-in-charge, by email, which States have confirmed receipt of the Transmittal Letter.	Within one business day after the deadline established in the Transmittal Letter for confirmation of receipt	



Stage 2 – Defining the framework

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Stage 2 – Defining the framework

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2	Request of Transmittal Letter to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft				



Stage 2 – Defining the framework

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2	Request of Transmittal Letter to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft	Investigator-in-charge			



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2	Request of Transmittal Letter to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft	Investigator-in-charge	<p>The Investigator-in-charge will request, based on the confirmation of receipt, the Administrative Assistant to prepare transmittal letters to directly to operator and/or the organizations responsible for the type design and the final assembly of the aircraft, as applicable.</p> <p>Note 1: The Form 32/AIG (Transmittal Letter - Consultation on the Draft Final Report) shall be used for this task.</p> <p>Note 2: The letter shall contain an express request for each recipient State to acknowledge receipt.</p>		



Stage 2 – Defining the framework

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2	Request of Transmittal Letter to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft	Investigator-in-charge	<p>The Investigator-in-charge will request, based on the confirmation of receipt, the Administrative Assistant to prepare transmittal letters to directly to operator and/or the organizations responsible for the type design and the final assembly of the aircraft, as applicable.</p> <p>Note 1: The Form 32/AIG (Transmittal Letter - Consultation on the Draft Final Report) shall be used for this task.</p> <p>Note 2: The letter shall contain an express request for each recipient State to acknowledge receipt.</p>	Within one business day after the deadline established in the Transmittal Letter for confirmation of receipt	



Stage 2 – Defining the framework

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2	Request of Transmittal Letter to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft	Investigator-in-charge	<p>The Investigator-in-charge will request, based on the confirmation of receipt, the Administrative Assistant to prepare transmittal letters to directly to operator and/or the organizations responsible for the type design and the final assembly of the aircraft, as applicable.</p> <p>Note 1: The Form 32/AIG (Transmittal Letter - Consultation on the Draft Final Report) shall be used for this task.</p> <p>Note 2: The letter shall contain an express request for each recipient State to acknowledge receipt.</p>	Within one business day after the deadline established in the Transmittal Letter for confirmation of receipt	Administrative Assistant



Stage 2 – Defining the framework

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3	Preparation of Transmittal Letters to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft				



Stage 2 – Defining the framework

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3	Preparation of Transmittal Letters to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft	Administrative Assistant	The Administrative Assistant will prepare and send the draft Transmittal Letter(s) to the Investigator-in-charge by email.		



Stage 2 – Defining the framework

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3	Preparation of Transmittal Letters to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft	Administrative Assistant	The Administrative Assistant will prepare and send the draft Transmittal Letter(s) to the Investigator-in-charge by email.	Within two business days after the deadline established in the Transmittal Letter for confirmation of receipt	



Stage 2 – Defining the framework

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Stage 2 – Defining the framework

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4	Sending the draft to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft				



Stage 2 – Defining the framework

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Stage 2 – Defining the framework

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4	Sending the draft to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft	Investigator-in-charge	The Investigator-in-charge will send the transmittal letter, with the draft as an encrypted file attached, to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft, by email, with a copy to each correspondent State. Note: The password to open the file will be delivered by phone directly to the representative from the recipient organization.		



Stage 2 – Defining the framework

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- ✈ Stage 2 – Defining the framework
- ✈ Stage 3 – Writing the procedure**



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Writing the procedure

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

DISCLAIMER



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The following procedure is purely fictitious, intended exclusively for educational purposes, and ICAO is not responsible for the adoption of its text without due care for adapting to the characteristics of the civil aviation system in place

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CONSULTATION ON THE DRAFT FINAL REPORT - Organizations

- 1- The Administrative Assistant will inform Investigator-in-charge, by email and within one business day after the deadline established in the Transmittal Letter for confirmation of receipt, which States have confirmed receipt of the Transmittal Letter.
- 2- The Investigator-in-charge will request the Administrative Assistant, based on the confirmation of receipt and within one business day after the deadline established in the Transmittal Letter for confirmation of receipt, to prepare transmittal letters to address directly the operator and/or the organizations responsible for the type design and the final assembly of the aircraft, as applicable.
Note 1: The Form 32/AIG (Transmittal Letter - Consultation on the Draft Final Report) shall be used for this task.
Note 2: The letter shall contain an express request for each recipient State to acknowledge receipt.
- 3- The Administrative Assistant will prepare and send, within two business days after the deadline established in the Transmittal Letter for confirmation of receipt, the draft Transmittal Letter(s) to the Investigator-in-charge by email.
- 4- The Investigator-in-charge will send the transmittal letter, with the draft as an encrypted file attached, to the operator and/or the organizations responsible for the type design and the final assembly of the aircraft, by email, with a copy to each correspondent State within three business days after the deadline established in the Transmittal Letter for confirmation of receipt.
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Note 2: The letter shall contain an express request for each recipient State to acknowledge receipt.

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Note: The password to open the file will be delivered by phone directly to the representative from the recipient organization.



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Processing comments on the draft final report

6.411 Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it will either amend the draft final report to include the substance of the comments received or, if desired by the State which provided the comments, append the comments to the final report?