



# Monitor the progress of received safety recommendations, and inform the proposing State within 90 days

- 6.425 Has the State, as the State receiving safety recommendations from other States, established and implemented procedures:
- a) to monitor the progress of any action taken in response to these safety recommendations, and
  - b) to ensure that it informs the proposing State within 90 days of the preventive action taken or under consideration or the reasons why no action will be taken?



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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: Monitor the progress of received safety recommendations, and inform the proposing State within 90 days
  - ✈ To do the exercises, we will use our fictional scenario:
    - ✈ State – Coronaland
    - ✈ Authority – Civil Aviation Authority of Coronaland (CAAC)
    - ✈ The accident investigation unit is not independent, being part of the CAAC



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# Let's build it together

✈ Stage 1 – Gathering relevant information

✈ Stage 2 - Defining the framework

✈ Stage 3 - Writing the procedure



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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



# Monitor the progress of received safety recommendations, and inform the proposing State within 90 days

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## Key elements:

1. Established and implemented
2. Monitor the progress of any action taken
3. Informs the proposing State within 90 days

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## Established and implemented

- Requires evidence of implementation



- 6.425 Has the State, as the State receiving safety recommendations from other States, established and implemented procedures:
- a) to monitor the progress of any action taken in response to these safety recommendations, and
  - b) to ensure that it informs the proposing State within 90 days of the preventive action taken or under consideration or the reasons why no action will be taken?

## Monitor the progress of any action taken

- Close coordination with the addressee of the recommendation
- Mechanism of control

- 6.425 Has the State, as the State receiving safety recommendations from other States, established and implemented procedures:
- a) to monitor the progress of any action taken in response to these safety recommendations, and
  - b) to ensure that it informs the proposing State within 90 days of the preventive action taken or under consideration or the reasons why no action will be taken?

## Informs the proposing State within 90 days

- Requires establishment of timelines to monitor



## ICAO references

STD

A13

6.10

RP

A13

6.12

GM

Doc 9756

Part IV, App. 6 to C1

Doc 9962

10.8.2.1

# Stage 1 – Gathering relevant information

## ANNEX 13

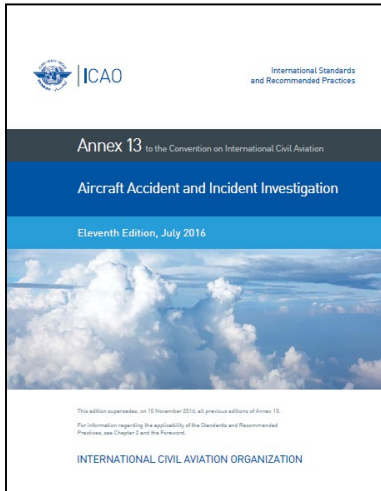
### CHAPTER 6. FINAL REPORT

#### RESPONSIBILITY OF A STATE RECEIVING OR ISSUING SAFETY RECOMMENDATIONS

##### *Action on safety recommendations*

6.10 A State that receives safety recommendations shall inform the proposing State, within ninety days of the date of the transmittal correspondence, of the preventive action taken or under consideration, or the reasons why no action will be taken.

*Note.— Nothing in this Standard is intended to preclude the State conducting the investigation from making proposals for preventive action other than safety recommendations.*





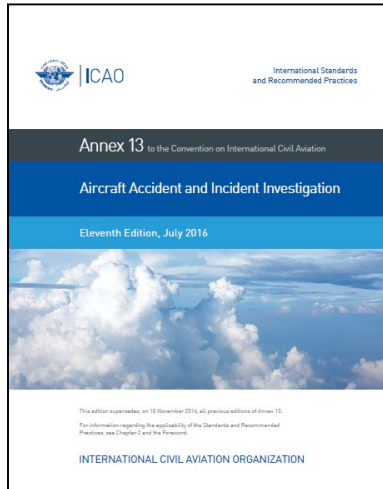
## ICAO references

STD  
A13  
6.10  
~~RP~~  
A13  
6.12  
GM  
Doc 9756  
Part IV, App. 6 to C1  
Doc 9962  
10.8.2.1

A red rectangular box highlights the text 'A13' and '6.12' in the list. A red arrow points from the right side of this box to the word 'STD' in red text.

# Stage 1 – Gathering relevant information

## ANNEX 13



## CHAPTER 6. FINAL REPORT

### RESPONSIBILITY OF A STATE RECEIVING OR ISSUING SAFETY RECOMMENDATIONS

#### *Action on safety recommendations*

...

6.12 A State that receives a safety recommendation shall implement procedures to monitor the progress of the action taken in response to that safety recommendation.

*Note.— Guidance on the identification, drafting and follow-up of safety recommendations is contained in the Manual of Aircraft Accident and Incident Investigation (Doc 9756), Part IV — Reporting.*

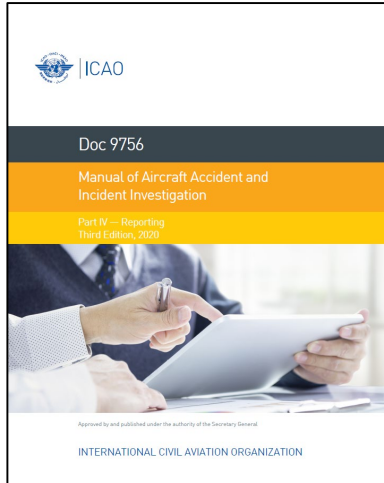


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# Stage 1 – Gathering relevant information

## DOC 9756 PART IV



## Appendix 6 to Chapter 1

# GUIDELINES ON THE IDENTIFICATION, DRAFTING AND FOLLOW-UP OF SAFETY RECOMMENDATIONS



## DOC 9756 PART IV



## 5.2 Mandating responses to safety recommendations

5.2.1 ICAO Annex 13 requires that a State that receives safety recommendations shall inform the proposing State, within 90 days of the date of the dated transmittal correspondence, of the preventive action taken or under consideration, or the reasons why no action will be taken. In most States, the State civil aviation authority is responsible for ensuring compliance with this Standard; in other States the State accident investigation authority is the entity responsible.





## DOC 9756 PART IV



### 5.3 Monitoring the progress of action taken

5.3.1 Annex 13 states that a State that receives a safety recommendation shall implement procedures to monitor the progress of the action taken in response to that safety recommendation. Annex 13 also states that a State conducting the investigation, or any other State issuing a safety recommendation, shall implement procedures to record the responses to the safety recommendation issued. In some States, the State accident investigation authority is responsible for ensuring compliance with these Standards; in other States, the State civil aviation authority is the entity responsible.



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# Stage 1 – Gathering relevant information

## DOC 9756 PART IV



5.3.2 Notwithstanding the Annex 13 provisions, it would be prudent for the accident investigation authority that issued the safety recommendation to establish a direct staff-level liaison with the accident investigation authority of the State responsible for responding to the recommendation in order to arrange for routine updates as to the status of the action taken and/or action planned.



## DOC 9756 PART IV



5.3.3 For situations where a response is not received within the prescribed 90 days, it would be prudent for the State that issued the recommendation to formally request a status report from the action addressee to which the safety recommendation was made. If there is a significant change in the action taken or under consideration, the addressee of the recommendation should inform the authority making the recommendation of the changes, including reasons why the proposed action has changed.

5.3.4 Some accident investigation authorities post the responses to recommendations on a website.



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# Stage 1 – Gathering relevant information

## 10.8.2 Follow-up of safety recommendations

### DOC 9962

10.8.2.1 The *[Accident Investigation Authority]* has a safety recommendation “tracking system” to ensure follow-up on safety recommendations issued to organizations in *[Name of State]* and to other States to determine if safety actions have been taken to satisfy the recommendations, if actions are planned, or the reasons why the recipients are not taking actions. For safety recommendations received from another State, the *[Accident Investigation Authority]* should inform the proposing State, within ninety days of the transmittal correspondence, of safety actions taken or under consideration, or the reasons why no actions should be taken.





# Guidance for Review of Evidence

- 1) Review procedures and mechanism established.
- 2) Review correspondence sent/received.

Note to auditor:

Safety recommendations may result from diverse sources, including safety studies.



## Stage 2 – Defining the framework

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

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

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

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



**NUMBER: 25****TITLE: Control of safety recommendations received****Process:** Safety measures**Reference:**

PQ 6.425 – Has the State, as the State receiving safety recommendations from other States, established and implemented procedures:

- a) to monitor the progress of any action taken in response to these safety recommendations, and
- b) to ensure that it informs the proposing State within 90 days of the preventive action taken or under consideration or the reasons why no action will be taken?



# Stage 2 – Defining the framework

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





# Stage 2 – Defining the framework

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



<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
1	Create a record in the Investigation Control Spreadsheet	Administrative Assistant	The Administrative Assistant will record the information regarding the recommendation(s) and its occurrence in the tab of the spreadsheet corresponding to the control of recommendations received, informing the Chief Investigator by email.		



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
1	Create a record in the Investigation Control Spreadsheet	Administrative Assistant	The Administrative Assistant will record the information regarding the recommendation(s) and its occurrence in the tab of the spreadsheet corresponding to the control of recommendations received, informing the Chief Investigator by email.	Within one working day after receiving the recommendation	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
1	Create a record in the Investigation Control Spreadsheet	Administrative Assistant	The Administrative Assistant will record the information regarding the recommendation(s) and its occurrence in the tab of the spreadsheet corresponding to the control of recommendations received, informing the Chief Investigator by email.	Within one working day after receiving the recommendation	Chief Investigator



# Stage 2 – Defining the framework

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





# Stage 2 – Defining the framework

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



# 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)
2	Request for preparation of forwarding letter	Accredited Representative	<p>The Accredited Representative will ask the Administrative Assistant to prepare a forwarding letter of the recommendation(s) to the appropriate recipient.</p> <p>Note 1: Unless specified in the document received from the State conducting the investigation, the Accredited Representative will determine the appropriate addresses of the letter in accordance with the content of the recommendation(s).</p> <p>Note 2: When no Accredited Representative has been appointed, all tasks of this procedure associated with an Accredited Representative will be under the responsibility of the Chief Investigator, who may delegate to another investigator.</p>		



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
2	Request for preparation of forwarding letter	Accredited Representative	<p>The Accredited Representative will ask the Administrative Assistant to prepare a forwarding letter of the recommendation(s) to the appropriate recipient.</p> <p>Note 1: Unless specified in the document received from the State conducting the investigation, the Accredited Representative will determine the appropriate addresses of the letter in accordance with the content of the recommendation(s).</p> <p>Note 2: When no Accredited Representative has been appointed, all tasks of this procedure associated with an Accredited Representative will be under the responsibility of the Chief Investigator, who may delegate to another investigator.</p>	Within one working day after receiving the recommendation	



# Stage 2 – Defining the framework

Step	WHAT <small>(Detailed description of the task)</small>	WHO <small>(Designated person responsible for the execution)</small>	HOW <small>(Determination of the way the task will be performed and means to be used)</small>	WHEN <small>(Establish the timeline for the procedure, determining the deadlines for relevant tasks)</small>	<b>In COORDINATION with whom</b> <small>(Identify the persons to coordinate the execution of the task with when applicable)</small>
2	Request for preparation of forwarding letter	Accredited Representative	<p>The Accredited Representative will ask the Administrative Assistant to prepare a forwarding letter of the recommendation(s) to the appropriate recipient.</p> <p>Note 1: Unless specified in the document received from the State conducting the investigation, the Accredited Representative will determine the appropriate addresses of the letter in accordance with the content of the recommendation(s).</p> <p>Note 2: When no Accredited Representative has been appointed, all tasks of this procedure associated with an Accredited Representative will be under the responsibility of the Chief Investigator, who may delegate to another investigator.</p>	Within one working day after receiving the recommendation	<b>Administrative Assistant</b>



# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
3	Preparation of the draft forwarding letter	Administrative Assistant	The Administrative Assistant will prepare the draft letter and send it, by email, to the Accredited Representative. Note: The letter shall contain the replication of the STD 6.10 of Annex 13, as well as the expected deadline for the addressee to provide the information requested.		



# Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
3	Preparation of the draft forwarding letter	Administrative Assistant	The Administrative Assistant will prepare the draft letter and send it, by email, to the Accredited Representative. Note: The letter shall contain the replication of the STD 6.10 of Annex 13, as well as the expected deadline for the addressee to provide the information requested.	Within one working day after receiving the request for the preparation of the letter	





# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
3	Preparation of the draft forwarding letter	Administrative Assistant	The Administrative Assistant will prepare the draft letter and send it, by email, to the Accredited Representative. Note: The letter shall contain the replication of the STD 6.10 of Annex 13, as well as the expected deadline for the addressee to provide the information requested.	Within one working day after receiving the request for the preparation of the letter	Accredited Representative (or Chief Investigator / Delegated investigator)



# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

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



<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
4	Forwarding of the letter	Accredited Representative	<p>The Accredited Representative will forward the letter with the recommendation(s), by email, with a copy to the Administrative Assistant.</p> <p>Note: When no Accredited Representative has been appointed, the Chief Investigator will be responsible for this task, and may delegate to another investigator.</p>		



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
4	Forwarding of the letter	Accredited Representative	The Accredited Representative will forward the letter with the recommendation(s), by email, with a copy to the Administrative Assistant.  Note: When no Accredited Representative has been appointed, the Chief Investigator will be responsible for this task, and may delegate to another investigator.	Within one working day after the preparation of the draft letter	



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
4	Forwarding of the letter	Accredited Representative	The Accredited Representative will forward the letter with the recommendation(s), by email, with a copy to the Administrative Assistant.  Note: When no Accredited Representative has been appointed, the Chief Investigator will be responsible for this task, and may delegate to another investigator.	Within one working day after the preparation of the draft letter	Chief Investigator Administrative Assistant



# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

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





# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
5	Updating the Investigation Control Spreadsheet	Administrative Assistant	The Administrative Assistant will update the Investigation Control Spreadsheet with the information regarding the letter issued, informing by email the Accredited Representative (or Chief Investigator / Delegated investigator).		



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
5	Updating the Investigation Control Spreadsheet	Administrative Assistant	The Administrative Assistant will update the Investigation Control Spreadsheet with the information regarding the letter issued, informing by email the Accredited Representative (or Chief Investigator / Delegated investigator).	Within one working day after the issuance of the letter	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
5	Updating the Investigation Control Spreadsheet	Administrative Assistant	The Administrative Assistant will update the Investigation Control Spreadsheet with the information regarding the letter issued, informing by email the Accredited Representative (or Chief Investigator / Delegated investigator).	Within one working day after the issuance of the letter	Accredited Representative (or Chief Investigator / Delegated investigator)



# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
6	Feedback control check	Accredited Representative	The Accredited Representative will contact the addressee of the recommendation(s), either by phone or in person, and will verify whether a feedback will be timely provided or not.		



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
6	Feedback control check	Accredited Representative	The Accredited Representative will contact the addressee of the recommendation(s), either by phone or in person, and will verify whether a feedback will be timely provided or not.	No later than seven working days before the deadline set for the response	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
6	Feedback control check	Accredited Representative	The Accredited Representative will contact the addressee of the recommendation(s), either by phone or in person, and will verify whether a feedback will be timely provided or not.	No later than seven working days before the deadline set for the response	Addressee





# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

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



# 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)
7	Assessment on the feedback control check	Accredited Representative	<p>The Accredited Representative, in coordination with the Chief Investigator, will assess the forecast of the expected feedback from the addressee to determine the content of the transmittal letter to be sent in response to the issuant State.</p> <p>Note 1: Any request for additional time from the part of the addressee will only be considered if substantiated, and when the complexity of the recommendation is unquestionable</p> <p>Note 2: In no way a request for additional time can jeopardize the 90-day deadline for Coronaland to provide the feedback to the issuant State.</p>		



# Stage 2 – Defining the framework

Step	WHAT (Detailed description of the task)	WHO (Designated person responsible for the execution)	HOW (Determination of the way the task will be performed and means to be used)	WHEN (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	In COORDINATION with whom (Identify the persons to coordinate the execution of the task with when applicable)
7	Assessment on the feedback control check	Accredited Representative	<p>The Accredited Representative, in coordination with the Chief Investigator, will assess the forecast of the expected feedback from the addressee to determine the content of the transmittal letter to be sent in response to the issuant State.</p> <p>Note 1: Any request for additional time from the part of the addressee will only be considered if substantiated, and when the complexity of the recommendation is unquestionable</p> <p>Note 2: In no way a request for additional time can jeopardize the 90-day deadline for Coronaland to provide the feedback to the issuant State.</p>	Within two days after the control check	



# 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)
7	Assessment on the feedback control check	Accredited Representative	<p>The Accredited Representative, in coordination with the Chief Investigator, will assess the forecast of the expected feedback from the addressee to determine the content of the transmittal letter to be sent in response to the issuant State.</p> <p>Note 1: Any request for additional time from the part of the addressee will only be considered if substantiated, and when the complexity of the recommendation is unquestionable</p> <p>Note 2: In no way a request for additional time can jeopardize the 90-day deadline for Coronaland to provide the feedback to the issuant State.</p>	Within two days after the control check	Chief Investigator



# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
8	Request for the preparation of a draft transmittal letter	Accredited Representative	<p>The Accredited Representative will request the Administrative Assistant to prepare a draft transmittal letter to the issuant State.</p> <p>Note: If the addressee doesn't provide the information in a timely manner, the content of the letter will be determined by the Accredited Representative (as per step 7), otherwise the letter will contain the information provided by the addressee.</p>		





# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
8	Request for the preparation of a draft transmittal letter	Accredited Representative	<p>The Accredited Representative will request the Administrative Assistant to prepare a draft transmittal letter to the issuant State.</p> <p>Note: If the addressee doesn't provide the information in a timely manner, the content of the letter will be determined by the Accredited Representative (as per step 7), otherwise the letter will contain the information provided by the addressee.</p>	Within one working day after receiving the response from the addressee	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
8	Request for the preparation of a draft transmittal letter	Accredited Representative	<p>The Accredited Representative will request the Administrative Assistant to prepare a draft transmittal letter to the issuant State.</p> <p>Note: If the addressee doesn't provide the information in a timely manner, the content of the letter will be determined by the Accredited Representative (as per step 7), otherwise the letter will contain the information provided by the addressee.</p>	Within one working day after receiving the response from the addressee	Administrative Assistant



# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
9	Preparation of the draft transmittal letter	Administrative Assistant	The Administrative Assistant will prepare the draft transmittal letter and send it, by email, to the Accredited Representative.		



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
9	Preparation of the draft transmittal letter	Administrative Assistant	The Administrative Assistant will prepare the draft transmittal letter and send it, by email, to the Accredited Representative.	Within one working day after receiving the request for the preparation of the letter	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
9	Preparation of the draft transmittal letter	Administrative Assistant	The Administrative Assistant will prepare the draft transmittal letter and send it, by email, to the Accredited Representative.	Within one working day after receiving the request for the preparation of the letter	Accredited Representative (or Chief Investigator / Delegated investigator)



# Stage 2 – Defining the framework

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





# Stage 2 – Defining the framework

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



# Stage 2 – Defining the framework

Step	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
10	Forwarding of the transmittal letter	Accredited Representative	The Accredited Representative will forward the transmittal letter by email, with copies to the Chief Investigator and Administrative Assistant.		



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
10	Forwarding of the transmittal letter	Accredited Representative	The Accredited Representative will forward the transmittal letter by email, with copies to the Chief Investigator and Administrative Assistant.	Within one working day after the preparation of the draft letter and up to 89 days after the receipt of the recommendation	



# Stage 2 – Defining the framework

<b>Step</b>	<b>WHAT</b> (Detailed description of the task)	<b>WHO</b> (Designated person responsible for the execution)	<b>HOW</b> (Determination of the way the task will be performed and means to be used)	<b>WHEN</b> (Establish the timeline for the procedure, determining the deadlines for relevant tasks)	<b>In COORDINATION with whom</b> (Identify the persons to coordinate the execution of the task with when applicable)
10	Forwarding of the transmittal letter	Accredited Representative	The Accredited Representative will forward the transmittal letter by email, with copies to the Chief Investigator and Administrative Assistant.	Within one working day after the preparation of the draft letter and up to 89 days after the receipt of the recommendation	Chief Investigator Administrative Assistant



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# Let's build it together

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



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# Writing the procedure

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

## **DISCLAIMER**



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**PROCEDURE No 25/CAAC-AIG – CONTROL OF SAFETY RECOMMENDATIONS RECEIVED**

**PROCEDURE**

- 1 The Administrative Assistant will record the information regarding the recommendation(s) received from other States and its related occurrence, within one working day after receipt, in the tab of the Investigation Control Spreadsheet corresponding to the control of foreign recommendations, informing the Chief Investigator by email.
- 2 The Accredited Representative will ask the Administrative Assistant, within one working day after receipt, to prepare a forwarding letter of the recommendation(s) to the appropriate recipient.  
*Note 1: Unless specified in the document received from the State conducting the investigation, the Accredited Representative will determine the appropriate addresses of the letter in accordance with the content of the recommendation(s).*  
*Note 2: When no Accredited Representative has been appointed, at task of this procedure associated with an Accredited Representative will be under the responsibility of the Chief Investigator, who may delegate to another investigator.*
- 3 The Administrative Assistant will prepare the draft letter and send it, by email, to the Accredited Representative, within one working day after receiving the request for the preparation of the letter.  
*Note: The letter shall contain the replication of the STD 6.10 of Annex 13, as well as the expected deadline for the addressee to provide the information requested.*
- 4 The Accredited Representative will forward the letter with the recommendation(s), by email, with a copy to the Administrative Assistant, within one working day after the preparation of the draft letter.  
*Note: When no Accredited Representative has been appointed, the Chief Investigator will be responsible for this task, and may delegate to another investigator.*
- 5 The Administrative Assistant will update the Investigation Control Spreadsheet, within one working day after the issuance of the letter, with the information regarding the letter issued, informing by email the Accredited Representative (or Chief Investigator / Delegated investigator).
- 6 The Accredited Representative will contact, no later than seven working days before the deadline set for the response, the addressee of the recommendation(s), either by phone or in person, and will verify whether a feedback will be timely provided or not.
- 7 The Accredited Representative, in coordination with the Chief Investigator, will assess the forecast of the expected feedback from the addressee, within two days after the control check, to determine the content of the transmittal letter to be sent in response to the issuant State.  
*Note 1: Any request for additional time from the part of the addressee will only be considered if it is substantiated and the complexity of the recommendation is unquestionable.*  
*Note 2: In no way a request for additional time can jeopardize the 90-day deadline for Coronaland to provide the feedback to the issuant State.*

- 8 The Accredited Representative will request the Administrative Assistant, within one working day after receiving the response from the addressee, to prepare a draft transmittal letter to the issuant State.  
*Note: If the addressee does not provide the information in a timely manner, the content of the letter will be determined by the Accredited Representative (as per step 7), otherwise the letter will contain the information provided by the addressee.*
- 9 The Administrative Assistant will prepare the draft transmittal letter and send it, by email, to the Accredited Representative, within one working day after receiving the request for the preparation of the letter.
- 10 The Accredited Representative will forward the transmittal letter by email, with copies to the Chief Investigator and Administrative Assistant, within one working day after the preparation of the draft letter and up to 89 days after the receipt of the recommendation.



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**PROCEDURE No 25/CAAC-AIG – CONTROL OF SAFETY RECOMMENDATIONS RECEIVED**

**PROCEDURE**

- 1 The Administrative Assistant will record the information regarding the recommendation(s) received from other States and its related occurrence, within one working day after receipt, in the tab of the Investigation Control Spreadsheet corresponding to the control of foreign recommendations, informing the Chief Investigator by email.

- 2 The Accredited Representative will ask the Administrative Assistant, within one working day after receipt, to prepare a forwarding letter of the recommendation(s) to the appropriate recipient.

*Note 1: Unless specified in the document received from the State conducting the investigation, the Accredited Representative will determine the appropriate addresses of the letter in accordance with the content of the recommendation(s).*

*Note 2: When no Accredited Representative has been appointed, all tasks of this procedure associated with an Accredited Representative will be under the responsibility of the Chief Investigator, who may delegate to another investigator.*

- 3 The Administrative Assistant will prepare the draft letter and send it, by email, to the Accredited Representative, within one working day after receiving the request for the preparation of the letter.

*Note: The letter shall contain the replication of the STD 6.10 of Annex 13, as well as the expected deadline for the addressee to provide the information requested.*

- 4 The Accredited Representative will forward the letter with the recommendation(s), by email, with a copy to the Administrative Assistant, within one working day after the preparation of the draft letter.

*Note: When no Accredited Representative has been appointed, the Chief Investigator will be responsible for this task, and may delegate to another investigator.*

- 5 The Administrative Assistant will update the Investigation Control Spreadsheet, within one working day after the issuance of the letter, with the information regarding the letter issued, informing by email the Accredited Representative (or Chief Investigator / Delegated investigator).
- 6 The Accredited Representative will contact, no later than seven working days before the deadline set for the response, the addressee of the recommendation(s), either by phone or in person, and will verify whether a feedback will be timely provided or not.

- 7 The Accredited Representative, in coordination with the Chief Investigator, will assess the forecast of the expected feedback from the addressee, within two days after the control check, to determine the content of the transmittal letter to be sent in response to the issuant State.

*Note 1: Any request for additional time from the part of the addressee will only be considered if it is substantiated and the complexity of the recommendation is unquestionable.*

*Note 2: In no way a request for additional time can jeopardize the 90-day deadline for Coronaland to provide the feedback to the issuant State.*

- 8 The Accredited Representative will request the Administrative Assistant, within one working day after receiving the response from the addressee, to prepare a draft transmittal letter to the issuant State.

*Note: If the addressee does not provide the information in a timely manner, the content of the letter will be determined by the Accredited Representative (as per step 7), otherwise the letter will contain the information provided by the addressee.*

- 9 The Administrative Assistant will prepare the draft transmittal letter and send it, by email, to the Accredited Representative, within one working day after receiving the request for the preparation of the letter.
- 10 The Accredited Representative will forward the transmittal letter by email, with copies to the Chief Investigator and Administrative Assistant, within one working day after the preparation of the draft letter and up to 89 days after the receipt of the recommendation.



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## Record responses to the safety recommendations it has issued

6.429 Has the State developed and implemented procedures to record responses to the safety recommendations it has issued?