



Initial response following the receipt of a notification from another State

6.316 Has the State established procedures and guidance, including a checklist, for the initial response following the receipt of a notification?



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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: Initial response following the receipt of a notification from another State

✈ 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



Initial response following the receipt of a notification from another State

6.316 Has the State established procedures and guidance, including a checklist, for the initial response following the receipt of a notification?

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Key elements:

1. Procedures and guidance
2. Checklist
3. Initial response
4. Receipt of a notification

6.316 Has the State established procedures and guidance, including a checklist, for the initial response following the receipt of a notification?

Procedures and guidance

- The guidance will explain, in details, the procedure
- Guidance may be in the Manual, or in another document

6.316 Has the State established procedures and guidance, including a checklist, for the initial response following the receipt of a notification?

Checklist

- The procedure must be accompanied by a checklist
- The checklist must be used (and marked) by the user to produce evidence of implementation

6.316 Has the State established procedures and guidance, including a checklist, for the initial response following the receipt of a notification?

Initial response

- This procedure covers just the initial tasks after the receipt of a notification
- It may be linked to other procedures

6.316 Has the State established procedures and guidance, including a checklist, for the initial response following the receipt of a notification?

Receipt of a notification

- The receipt of a notification will be the point of start for this procedure
- The procedure refers only to notifications received from other States
- The processing of notifications received “nationally” is dealt with by other PQs



ICAO references

STD

A13

4.6, 4.7, 4.10, 4.11 & corresponding notes

RP

A13

4.5 & 4.9

GM

Doc 9756

Part I, 4.7

Doc 9962

5.4

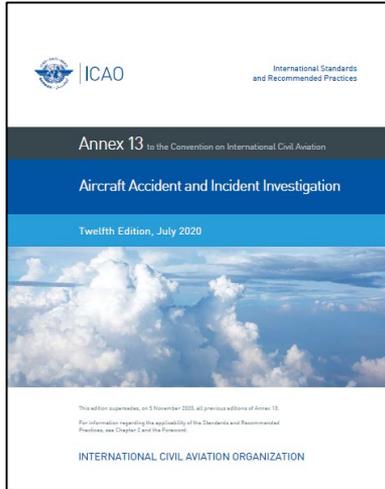


ANNEX 13

RESPONSIBILITY OF THE STATE OF REGISTRY, THE STATE OF THE OPERATOR, THE STATE OF DESIGN AND THE STATE OF MANUFACTURE

Information — Participation

4.5 Recommendation.— *The State of Registry, the State of the Operator, the State of Design and the State of Manufacture should acknowledge receipt of the notification of an accident or incident (4.1 refers).*





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Stage 1 – Gathering relevant information

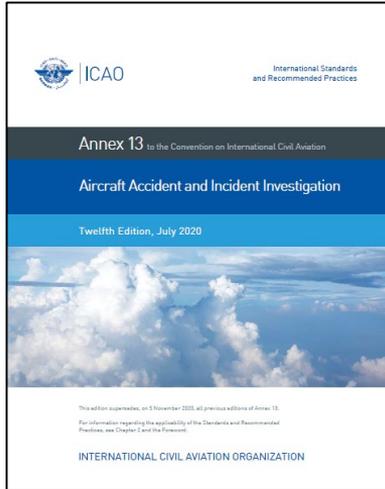
RESPONSIBILITY OF THE STATE OF REGISTRY,
THE STATE OF THE OPERATOR, THE STATE OF DESIGN
AND THE STATE OF MANUFACTURE

ANNEX 13

Information — Participation

...

4.6 Upon receipt of the notification, the State of Registry, the State of the Operator, the State of Design and the State of Manufacture shall, as soon as possible, provide the State of Occurrence with any relevant information available to them regarding the aircraft and flight crew involved in the accident or incident. Each State shall also inform the State of Occurrence whether it intends to appoint an accredited representative and if such an accredited representative is appointed, the name and contact details; as well as the expected date of arrival if the accredited representative will travel to the State of Occurrence.



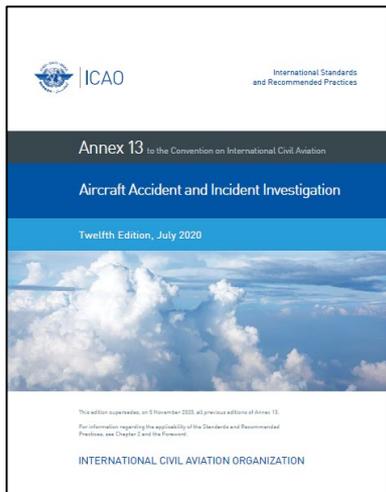


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SAFETY

Stage 1 – Gathering relevant information

ANNEX 13



RESPONSIBILITY OF THE STATE OF REGISTRY, THE STATE OF THE OPERATOR, THE STATE OF DESIGN AND THE STATE OF MANUFACTURE

Information — Participation

...

Note 1.— In accordance with 5.18, the State of the Operator, the State of Design and the State of Manufacture have the right to appoint an accredited representative to participate in the investigation.



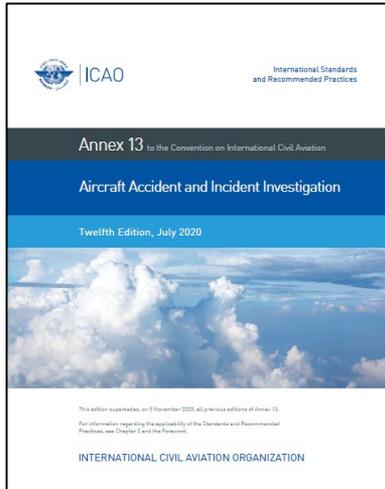
RESPONSIBILITY OF THE STATE OF REGISTRY, THE STATE OF THE OPERATOR, THE STATE OF DESIGN AND THE STATE OF MANUFACTURE

ANNEX 13

Information — Participation

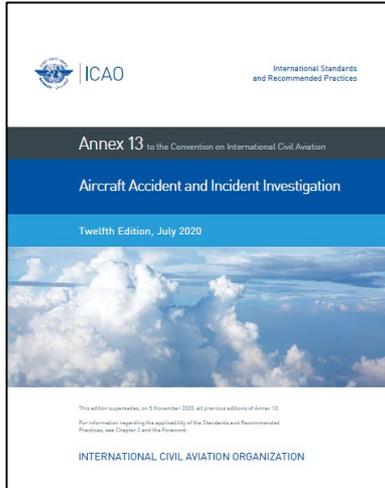
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Note 2.— In accordance with 5.22, the attention of the State of the Operator, the State of Design and the State of Manufacture is drawn to their obligation to appoint an accredited representative when specifically requested to do so by the State conducting the investigation of an accident to an aircraft over 2 250 kg. Their attention is also drawn to the usefulness of their presence and participation in the investigation.





ANNEX 13



RESPONSIBILITY OF THE STATE OF REGISTRY, THE STATE OF THE OPERATOR, THE STATE OF DESIGN AND THE STATE OF MANUFACTURE

Information — Participation

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4.7 Upon receipt of the notification, the State of the Operator shall, with a minimum of delay and by the most suitable and quickest means available, provide the State of Occurrence with details of dangerous goods on board the aircraft.

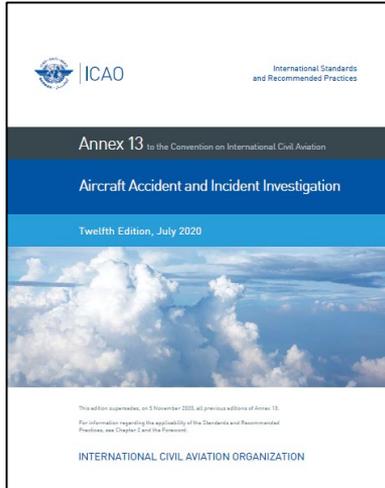


ANNEX 13

RESPONSIBILITY OF THE STATE OF THE OPERATOR, THE STATE OF DESIGN AND THE STATE OF MANUFACTURE

Information — Participation

4.9 Recommendation.— *The State of the Operator, the State of Design and the State of Manufacture should acknowledge receipt of the notification of an accident or incident (4.1 refers).*





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Stage 1 – Gathering relevant information

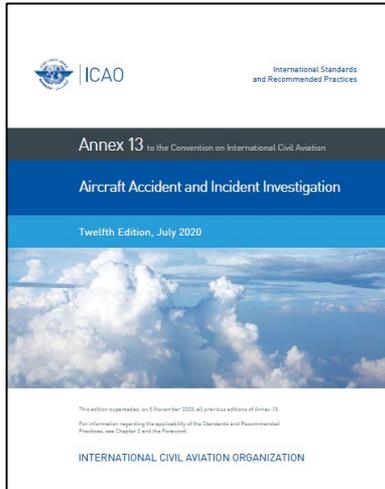
RESPONSIBILITY OF THE STATE OF THE OPERATOR,
THE STATE OF DESIGN AND THE STATE OF MANUFACTURE

Information — Participation

ANNEX 13

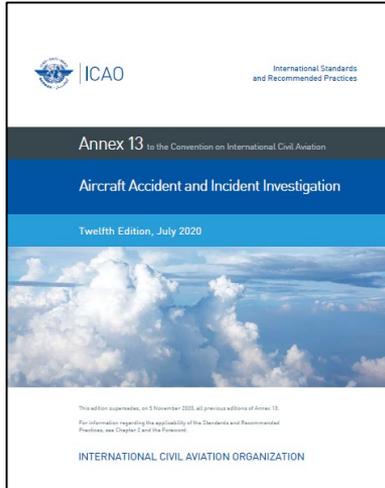
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4.10 Upon receipt of the notification, the State of the Operator, the State of Design and the State of Manufacture shall, upon request, provide the State of Registry with any relevant information available to them regarding the flight crew and the aircraft involved in the accident or incident. Each State shall also inform the State of Registry whether it intends to appoint an accredited representative, and if such an accredited representative is appointed, the name and contact details; as well as the expected date of arrival if the accredited representative will be present at the investigation.





ANNEX 13



RESPONSIBILITY OF THE STATE OF THE OPERATOR, THE STATE OF DESIGN AND THE STATE OF MANUFACTURE

Information — Participation

...

Note 1.— In accordance with 5.18, the State of the Operator, the State of Design and the State of Manufacture have the right to appoint an accredited representative to participate in the investigation.



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Stage 1 – Gathering relevant information

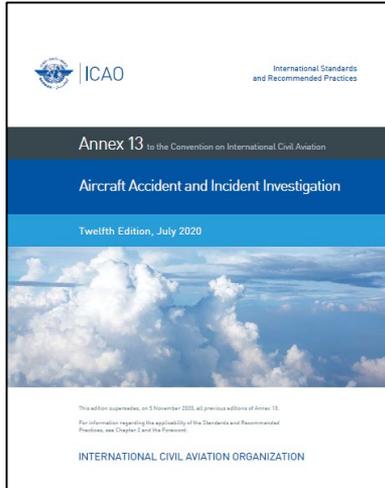
RESPONSIBILITY OF THE STATE OF THE OPERATOR,
THE STATE OF DESIGN AND THE STATE OF MANUFACTURE

Information — Participation

ANNEX 13

...

Note 2.— In accordance with 5.22, the attention of the State of the Operator, the State of Design and the State of Manufacture is drawn to their obligation to appoint an accredited representative when specifically requested to do so by the State conducting the investigation of an accident to an aircraft over 2 250 kg. Their attention is also drawn to the usefulness of their presence and participation in the investigation.



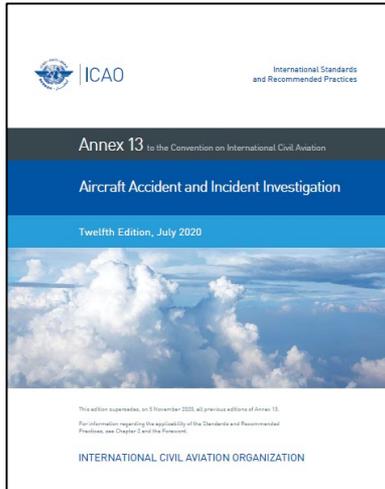


ANNEX 13

RESPONSIBILITY OF THE STATE OF THE OPERATOR, THE STATE OF DESIGN AND THE STATE OF MANUFACTURE *Information — Participation*

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4.11 Upon receipt of the notification, the State of the Operator shall, with a minimum of delay and by the most suitable and quickest means available, provide the State of Registry with details of dangerous goods on board the aircraft.





ICAO

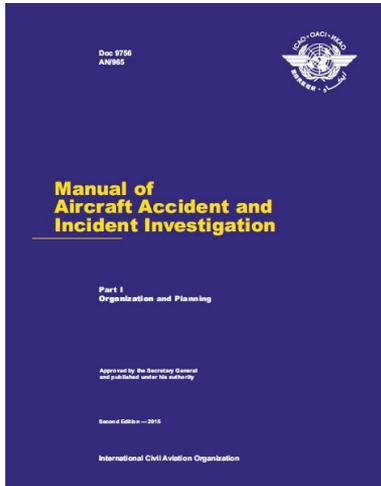
SAFETY

Stage 1 – Gathering relevant information

Chapter 4

NOTIFICATION OF ACCIDENTS AND INCIDENTS

DOC 9756 PART I



...

4.7 RESPONSIBILITY OF THE STATE RECEIVING THE NOTIFICATION

4.7.1 The accident investigation authority in each State receiving the notification shall, as soon as possible and usually by the same means of communication:

- acknowledge receipt of the notification;
- provide the State of Occurrence with the available relevant information requested;
- inform the State of Occurrence whether or not it intends to be present at the investigation; and d) provide the names and titles of the accredited representative and technical advisers and the expected date of their arrival at the accident site or at the headquarters of the accident investigation authority in the State of Occurrence.



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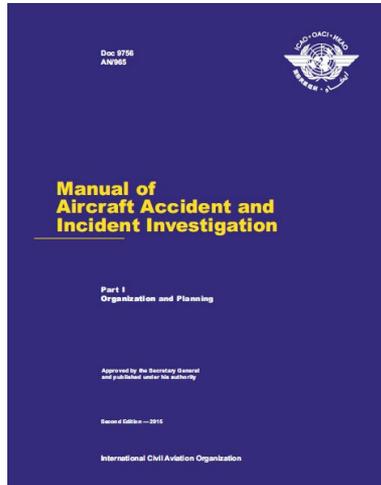
SAFETY

Stage 1 – Gathering relevant information

Chapter 4

NOTIFICATION OF ACCIDENTS AND INCIDENTS

DOC 9756 PART I



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4.7 RESPONSIBILITY OF THE STATE RECEIVING THE NOTIFICATION

4.7.2 Since the State of Registry, the State of the Operator, the State of Design and the State of Manufacture maintain the right to be represented at the investigation, they may, in the case of a delay in the receipt of the notification, supply the above information on their own initiative. If these States consider it unnecessary to be present at the investigation, each State should so advise the State of Occurrence with a minimum of delay. The attention of the State of Registry, the State of the Operator, the State of Design and the State of Manufacture is drawn to their obligation to appoint accredited representatives, when specifically requested to do so, for accidents involving aircraft over 2 250 kg.



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SAFETY

Stage 1 – Gathering relevant information

Chapter 4

NOTIFICATION OF ACCIDENTS AND INCIDENTS

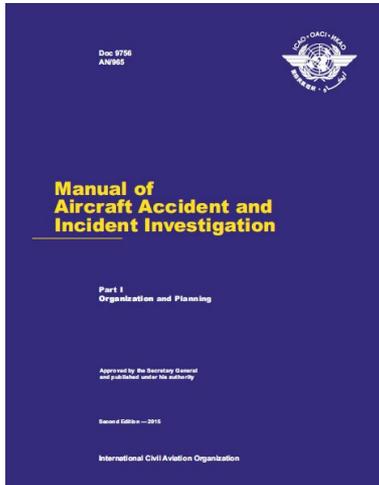
DOC 9756 PART I

...

4.7 RESPONSIBILITY OF THE STATE RECEIVING THE NOTIFICATION

...

Their attention is also drawn to the usefulness of their participation in the investigation and the fact that it is highly desirable that they participate when requested to do so by the State conducting the investigation. In any case, the State of Design and the State of Manufacture shall supply the State conducting the investigation with any information it may request.





5.4 RESPONSE TO NOTIFICATIONS

DOC 9962

5.4.1 Upon receipt of an initial notification from another State about an accident or incident that occurred outside of [Name of State] involving [Name of State] interests ([Name of State]-Registered, -Operated, -Designed, or -Manufactured), the [Accident Investigation Authority] should respond indicating its intentions to participate in the investigation and the expected travel arrangements of its accredited representative and advisers. If travel to the accident site in the other State is not expected, the other State should be so advised.





5.4 RESPONSE TO NOTIFICATIONS

DOC 9962



5.4.1 Upon receipt of an initial notification from another State about an accident or incident that occurred outside of [Name of State] involving [Name of State]-Registered, -Operated, -Owned, -Leased, -Chartered, -Manufactured), the [Accident Investigator] should respond indicating its intentions to provide assistance in the investigation and the expected travel arrangements. The State should advise its accredited representative and advisers. If travel to the accident site in the other State is not expected, the other State should be so advised.

POLICY



5.4 RESPONSE TO NOTIFICATIONS

DOC 9962

5.4.2 Regardless of whether the [Accident Investigation Authority] intends to travel to an investigation in another State, the [Accident Investigation Authority] should appoint an accredited representative who will gather relevant materials and records related to the flight, crew, or aircraft, or any other material that may be of use to the accident investigation authority in the other State. Such materials should be forwarded to the IIC of the other State in a secure and expeditious manner.





5.4 RESPONSE TO NOTIFICATIONS

DOC 9962

5.4.2 Regardless of whether the [Accident Investigation Authority] intends to travel to an investigation in another State, the [Accident Investigation Authority] should appoint an accredited representative to collect relevant materials and records related to the aircraft, or any other material that is relevant to the accident investigation authority in the State. Such materials should be forwarded to the PIC of the other State in a secure and expeditious manner.

POLICY





5.4 RESPONSE TO NOTIFICATIONS

DOC 9962



Note.— The accredited representative for [Name of State] appointed to assist other States with their investigations should preferably be a qualified senior investigator from the accident investigation authority, who understands international accident and incident investigation practices, particularly ICAO Annex 13, and who should represent the interests of [Name of State] during investigations led by other States. All advisors from [Name of State], from the [Accident Investigation Authority], [CAA], airlines, universities, military, etc., should be responsive to the leadership of the accredited representative.



5.4 RESPONSE TO NOTIFICATIONS

DOC 9962



Note.— The accredited representative for [Name of State] appointed to assist other States with the investigations should preferably be a qualified senior advisor from the accident investigation authority of [Name of State] or from the international accident and incident investigation authority of [Name of State] under ICAO Annex 13, and who should be able to represent the interests of [Name of State] during investigations by other States. All advisors from [Name of State], from the [Accident Investigation Authority], [CAA], airlines, universities, military, etc., should be responsive to the leadership of the accredited representative.

POLICY



5.4 RESPONSE TO NOTIFICATIONS

DOC 9962

5.4.3 The following specific requirements of ICAO Annex 13, Chapter 4, are policy provisions of the [Accident Investigation Authority]:

– As soon as possible after an accident or incident in [Name of State], the [Accident Investigation Authority] should forward an accident/incident notification to the other States involved and, when applicable, to ICAO. The [Accident Investigation Authority] should also subsequently dispatch details omitted from the initial notification as well as other known relevant information.





5.4 RESPONSE TO NOTIFICATIONS

DOC 9962



5.4.3 The following specific requirements of ICAO Annex 13, Chapter 4, are policy provisions of the [Accident Investigation Authority]:

– As soon as possible after the occurrence of an accident in [Name of State], the [Accident Investigation Authority] should forward an accident/incident report to the [State of Origin] and to other States involved and, when applicable, to ICAO. The [Accident Investigation Authority] should also subsequently dispatch details omitted from the initial notification as well as other known relevant information.

POLICY



5.4 RESPONSE TO NOTIFICATIONS

DOC 9962

5.4.3 The following specific requirements of ICAO Annex 13, Chapter 4, are policy provisions of the [Accident Investigation Authority]:

- The [Accident Investigation Authority] should forward notifications in a timely manner with all available information in clear concise language prepared in one of the official ICAO working languages — most often English.
- The [Accident Investigation Authority] should acknowledge receipt of notifications of accidents and incidents from other States.



5.4 RESPONSE TO NOTIFICATIONS

DOC 9962



5.4.3 The following specific requirements of ICAO Annex 13, Chapter 4, are policy provisions of the [Accident Investigation Authority]:

- The [Accident Investigation Authority] should forward notifications in clear concise and available information in one of the official ICAO working languages or in written English.
- The [Accident Investigation Authority] should acknowledge receipt of notifications of accidents and incidents from other States.

POLICY



5.4 RESPONSE TO NOTIFICATIONS

DOC 9962

5.4.3 The following specific requirements of ICAO Annex 13, Chapter 4, are policy provisions of the [Accident Investigation Authority]:

- The [Accident Investigation Authority] should provide the State conducting the investigation with, as applicable, any relevant information regarding the flight, crew and aircraft involved in an accident or incident as soon as possible.
- The [Accident Investigation Authority] should notify the State conducting the investigation whether it intends to appoint an accredited representative and, if so, provide details about travel and other arrangements.





5.4 RESPONSE TO NOTIFICATIONS

DOC 9962



5.4.3 The following specific requirements of ICAO Annex 13, Chapter 4, are policy provisions of the [Accident Investigation Authority]:

- The [Accident Investigation Authority] should provide the State conducting the investigation, as applicable, any relevant information on the flight, crew and aircraft involved in an accident or incident as soon as possible.
- The [Accident Investigation Authority] should notify the State conducting the investigation whether it intends to appoint an accredited representative and, if so, provide details about travel and other arrangements.

POLICY



5.4 RESPONSE TO NOTIFICATIONS

DOC 9962

5.4.3 The following specific requirements of ICAO Annex 13, Chapter 4, are policy provisions of the [Accident Investigation Authority]:

– If the [Accident Investigation Authority] is aware of dangerous goods on board an aircraft that has an accident or incident, the [Accident Investigation Authority] should ensure that it notifies the State conducting the investigation with the details about the dangerous goods on board the aircraft by the most suitable and quickest means available.





5.4 RESPONSE TO NOTIFICATIONS

DOC 9962



5.4.3 The following specific requirements of ICAO Annex 13, Chapter 4, are policy provisions of the [Accident Investigation Authority]:

– If the [Accident Investigation Authority] is aware of dangerous goods on board an aircraft involved in an accident or incident, the [Accident Investigation Authority] should ensure that it notifies the State conducting the investigation with the details about the dangerous goods on board the aircraft by the most suitable and quickest means available.

POLICY



5.4 RESPONSE TO NOTIFICATIONS

DOC 9962

5.4.4 The [Accident Investigation Authority] should maintain a record of all transmissions of notifications sent, responses received, and any follow-up correspondence in a tracking file system linked to each accident/incident file for future reference and follow-up actions.





5.4 RESPONSE TO NOTIFICATIONS

DOC 9962

5.4.4 The [Accident Investigation] should maintain a record of all [notifications] sent, responses received, and [evidence] in a tracking file system linked to [the] incident file for future reference and follow-up actions.

POLICY





5.4 RESPONSE TO NOTIFICATIONS

DOC 9962

Note.— The [Name of State] should take into account the provisions of the ICAO Manual on Assistance to Aircraft Accident Victims and their Families (Doc 9973) regarding notifications and other matters pertaining to assisting aircraft accident victims and their families.





5.4 RESPONSE TO NOTIFICATIONS

DOC 9962

Note.— The [Name of State] should take into account the provisions of the Manual on Accident Investigation Policies and Procedures (Doc 9962) regarding notifications and assistance to Aircraft Accident Victims (Doc 9973) regarding notifications and assistance pertaining to assisting aircraft accident victims and their families.



Approved by and published under the authority of the Secretary General.

INTERNATIONAL CIVIL AVIATION ORGANIZATION



Guidance for Review of Evidence

Verify that a checklist has been established and implemented for the initial actions to be taken by the duty officer after receipt of a notification.

The checklist will be an evidence of implementation





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Let's build it together

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

NOTIFICATION SCHEME

TERRITORY OF A CONTRACTING STATE TO AN AIRCRAFT OF ANOTHER CONTRACTING STATE

State of Occurrence

Forward a notification:

- a) the State of Registry;
- b) the State of the Operator;
- c) the State of Design;
- d) the State of Manufacture; and
- e) the International Civil Aviation Organization, when the aircraft involved is of a maximum mass of over 2 250 kg or is a turbojet-powered aeroplane.

State of Registry, the State of the Operator, the State of Design and the State of Manufacture

- Acknowledge receipt of the notification
- Provide the State of **Occurrence** with any relevant information available to them regarding the aircraft and flight crew involved
- Inform the intention to appoint an accredited representative (provide travel details)
- Appoint an accredited representative **when requested** by the State conducting the investigation (**accident – A/C over 2 250 kg**)
- Provide the State of Occurrence with details of dangerous goods on board the aircraft

NOTIFICATION SCHEME

TERRITORY OF THE STATE OF REGISTRY, IN A NON-CONTRACTING STATE OR OUTSIDE THE TERRITORY OF ANY STATE

State of Registry

Forward a notification:

- a) the State of the Operator;
- b) the State of Design;
- c) the State of Manufacture; and
- d) the International Civil Aviation Organization, when the aircraft involved is of a maximum mass of over 2 250 kg or is a turbojet-powered aeroplane.

State of the Operator, the State of Design and the State of Manufacture

- Acknowledge receipt of the notification
- **Upon request**, provide the State of **Registry** with any relevant information available to them regarding the aircraft and flight crew involved
- Inform the intention to appoint an accredited representative (provide travel details)
- Appoint an accredited representative **when requested** by the State conducting the investigation (**accident – A/C over 2 250 kg**)
- Provide the State of Occurrence with details of dangerous goods on board the aircraft

TERRITORY OF A CONTRACTING STATE TO AN AIRCRAFT OF ANOTHER CONTRACTING STATE

State of Registry, the State of the Operator, the State of Design and the State of Manufacture

- Acknowledge receipt of the notification
- Provide the State of **Occurrence** with any relevant information available to them regarding the aircraft and flight crew involved
- Inform the intention to appoint an accredited representative (provide travel details)
- Appoint an accredited representative **when requested** by the State conducting the investigation (**accident – A/C over 2 250 kg**)
- Provide the State of Occurrence with details of dangerous goods on board the aircraft

TERRITORY OF THE STATE OF REGISTRY, IN A NON-CONTRACTING STATE OR OUTSIDE THE TERRITORY OF ANY STATE

State of the Operator, the State of Design and the State of Manufacture

- Acknowledge receipt of the notification
- **Upon request**, provide the State of **Registry** with any relevant information available to them regarding the aircraft and flight crew involved
- Inform the intention to appoint an accredited representative (provide travel details)
- Appoint an accredited representative **when requested** by the State conducting the investigation (**accident – A/C over 2 250 kg**)
- Provide the State of Occurrence with details of dangerous goods on board the aircraft

TERRITORY OF A CONTRACTING STATE TO AN AIRCRAFT OF ANOTHER CONTRACTING STATE

State of Registry, the State of the Operator, the State of Design and the State of Manufacture

- Acknowledge receipt of the notification
- Provide the State of Occurrence with relevant information
- Provide the State of Occurrence with details of dangerous goods on board the aircraft

TERRITORY OF THE STATE OF REGISTRY, IN A NON-CONTRACTING STATE OR OUTSIDE THE TERRITORY OF ANY STATE

State of the Operator and the State of Design

- Provide the State of Occurrence with relevant information
- Provide the State of Occurrence with details of dangerous goods on board the aircraft

For this PQ, we will just cover the checklist



Stage 2 – Defining the framework

✈ The checklist required for this PQ will use all the requirements related to PQs:

✈ 6.325 (appointment of AccRep)

✈ 6.327 (information of aircraft and flight crew)

✈ 6.329 (details of dangerous goods)



Civil Aviation Authority of Coronaland

Accident Investigation Section (AIG)

Form 05/AIG – Checklist for initial response after notification received from another State

#	Task	Performed by (Name)	When (date/hour)	Signature
1	Receipt of a notification from another State			
2	Determine whether an accredited representative will be appointed or not			
3	Prepare the response to notification receipt from another State (Form 04-AIG)			
4	Acknowledge receipt of the notification (send Form 04-AIG to the State)			
5	Collect details on dangerous goods of board the aircraft			
6	Send details on dangerous goods of board the aircraft to the State			
7	Collect relevant information regarding the aircraft (fill Form 06/AIG)			
8	Collect relevant information regarding the flight crew (fill Form 07/AIG)			
9	Send information of aircraft and flight crew (send Forms 06/AIG and 07/AIG)			

File this checklist in the folder corresponding to the occurrence record

Capt. John Doe
Chief Investigator



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Determining the extent of an accident investigation

- 6.343 Has the State established and implemented policies, procedures and guidelines to help determine the extent of an accident investigation (including the scope of the investigation and whether or not investigators will be deployed on site), depending on the circumstances of the accident and the safety lessons that it expects to draw from the investigation?