



ICAO

SAFETY

Provision of all information and elements required throughout the investigation process

6.391 Has the State, as a State participating in an aircraft accident or serious incident investigation, established and implemented procedures to ensure that it provides the State conducting an investigation with all the information and elements required throughout the investigation process?



ICAO

SAFETY

Let's build it together

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



ICAO

SAFETY

Let's build it together

- ✈ Exercise: Provision of all information and elements required throughout the investigation process
 - ✈ 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



ICAO

SAFETY

Let's build it together

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



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



Provision of all information and elements required throughout the investigation process

6.391 Has the State, as a State **participating** in an aircraft accident or serious incident investigation, **established and implemented** procedures to ensure that it provides the State conducting an investigation with all the **information and elements** required **throughout the investigation** process?

6.391 Has the State, as a State **participating** in an aircraft accident or serious incident investigation, **established and implemented** procedures to ensure that it provides the State conducting an investigation with all the **information and elements** required **throughout the investigation** process?

Key elements:

1. Participating
2. Established and implemented
3. Information and elements
4. Throughout the investigation

6.391 Has the State, as a State **participating** in an aircraft accident or serious incident investigation, **established and implemented** procedures to ensure that it provides the State conducting an investigation with all the **information and elements** required **throughout the investigation** process?

Participating

- Although the PQ mentions "State participating in the investigation" (which normally means that an accredited representative has been appointed), the Annex 13 requirements do not mention this condition

6.391 Has the State, as a State **participating** in an aircraft accident or serious incident investigation, **established and implemented** procedures to ensure that it provides the State conducting an investigation with all the **information and elements** required **throughout the investigation** process?

Participating

- The STDs are in the part:
 “ORGANIZATION AND CONDUCT OF THE INVESTIGATION”
 (just before the part **“PARTICIPATION IN THE INVESTIGATION”**)
 - In other words, regardless of having an accredited representative, the State has the obligation to provide the information and elements

6.391 Has the State, as a State participating in an aircraft accident or serious incident investigation, established and implemented procedures to ensure that it provides the State conducting an investigation with all the information and elements required throughout the investigation process?

Established and implemented

- This PQ requires evidence of implementation

6.391 Has the State, as a State **participating** in an aircraft accident or serious incident investigation, **established and implemented** procedures to ensure that it provides the State conducting an investigation with all the **information and elements** required **throughout the investigation** process?

Information and elements

WHO	WHAT	HOW	STD
As State of Registry or State of the Operator	Flight recorders or their records	On request	5.16
	Pertinent organizational information		5.17
Any State	All the relevant information available		5.14
	Pertinent information on facilities or services	5.15	

6.391 Has the State, as a State participating in an aircraft accident or serious incident investigation, established and implemented procedures to ensure that it provides the State conducting an investigation with all the information and elements required throughout the investigation process?

Throughout the investigation

- That means any moment until the publication of the final report



ICAO references

STD

A13

5.14 to 5.17

GM

Doc 9962

5.4



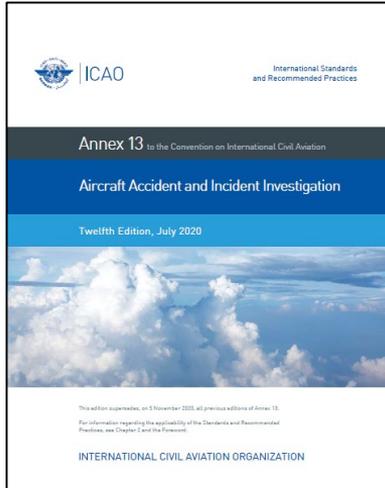
RESPONSIBILITY OF ANY OTHER STATE

ANNEX 13

Information — Accidents and incidents

5.14 Any State shall, on request from the State conducting the investigation of an accident or an incident, provide that State with all the relevant information available to it.

Note. — See also 5.16.





ICAO

SAFETY

Stage 1 – Gathering relevant information

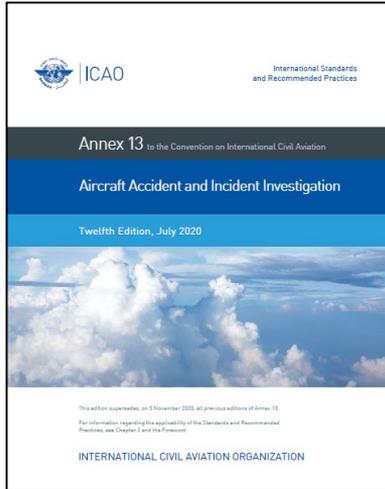
RESPONSIBILITY OF ANY OTHER STATE

ANNEX 13

Information — Accidents and incidents

5.14.1 Recommendation.— *States should cooperate to determine the limitations on disclosure or use that will apply to information before it is exchanged between them for the purposes of an accident or incident investigation.*

5.15 Any State, the facilities or services of which have been, or would normally have been, used by an aircraft prior to an accident or an incident, and which has information pertinent to the investigation, shall provide such information to the State conducting the investigation.





ICAO

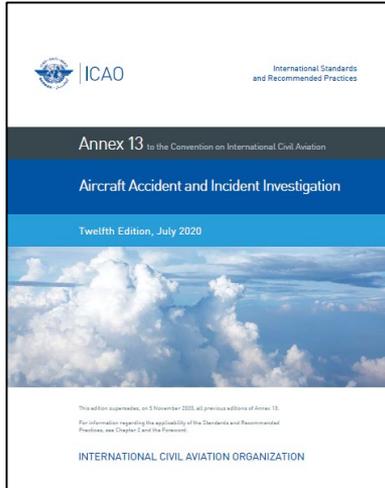
SAFETY

Stage 1 – Gathering relevant information

RESPONSIBILITY OF THE STATE OF REGISTRY AND THE STATE OF THE OPERATOR

ANNEX 13

Flight recorders — Accidents and incidents



5.16 When an aircraft involved in an accident or a serious incident lands in a State other than the State of Occurrence, the State of Registry or the State of the Operator shall, on request from the State conducting the investigation, furnish the latter State with the flight recorder records and, if necessary, the associated flight recorders.

Note.— In implementing 5.16, the State of Registry or the State of the Operator may request the cooperation of any other State in the retrieval of the flight recorder records.



ICAO

SAFETY

Stage 1 – Gathering relevant information

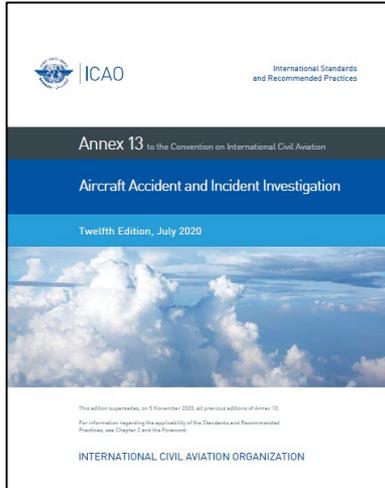
RESPONSIBILITY OF THE STATE OF REGISTRY AND THE STATE OF THE OPERATOR

ANNEX 13

...

Organizational information

5.17 The State of Registry and the State of the Operator, on request from the State conducting the investigation, shall provide pertinent information on any organization whose activities may have directly or indirectly influenced the operation of the aircraft.





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

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 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



Guidance for Review of Evidence

- 1) Review procedures issued.
- 2) Review evidence to confirm effective implementation, when applicable.
- 3) The information and elements required are:
 - a) In all cases, all relevant information requested by that State.
 - b) In all cases, information on an aircraft which prior to the occurrence of an accident or incident has used or normally would use the State's facilities or services.
 - c) As State of Registry or State of the Operator, flight recorder records or the associated flight recorders when an aircraft involved in an accident or serious incident lands in a State other than the State of Occurrence.
 - d) As State of Registry or State of the Operator, information on organizations whose activities may have directly or indirectly influenced the operation of the aircraft.



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



ICAO

SAFETY

Stage 2 – Defining the framework

NUMBER: 16

TITLE: Provision of information and elements to the State conducting the investigation

Process: Reporting

Reference: PQ 6.391 – Has the State, as a State participating in an aircraft accident or serious incident investigation, established and implemented procedures to ensure that it provides the State conducting an investigation with all the information and elements required throughout the investigation process?



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	Seek for the information or element requested	Accredited Representative	The accredited representative will contact, mainly by phone (alternatively by email), the relevant organization to request the necessary information and/or element needed by the State conducting the investigation. Note: If an Accredited Representative has not been appointed to the investigation, the Administrative Assistant will become responsible for the task, unless another person is designated by the Chief Investigator.	Within one business day after receiving the request from the State conducting the investigation	Chief Investigator Administrative Assistant



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)
2A	Sending the information provided	Accredited Representative	<p>The accredited representative will send, by email, to the State conducting the investigation, all the information provided.</p> <p>Note 1: If the information is not large and/or of a complex nature, the Accredited Representative may advance the information by phone, to expedite the process.</p> <p>Note 2: For sending sensitive information (e.g. flight recorders records), the Accredited Representative will observe the Procedure 04/CAAC-ITD (Safety protocols for the official exchange of information through internet).</p> <p>Note 3: If an Accredited Representative has not been appointed to the investigation, the Administrative Assistant will become responsible for the task, unless another person is designated by the Chief Investigator.</p>	Within one working day after receiving the information	Chief Investigator Administrative Assistant



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>	In COORDINATION with whom <small>(Identify the persons to coordinate the execution of the task with when applicable)</small>
2B	Sending the element provided	Administrative Assistant	<p>The Administrative Assistant will make, in coordination with the Accredited Representative (when appointed), the arrangements for the shipment of the element requested, considering the nature of such an element.</p> <p>Note 1: Among the arrangements, the appropriate coordination with customs authorities of Coronaland will be necessary.</p> <p>Note 2: Any coordination with any authority in the State conducting the investigation will remain under the responsibility of such State.</p> <p>Note 3: This step is not applicable to flight recorders. The sending of flight recorders is addressed in step 2C.</p>	Within one working day after receiving the element or its availability for shipment	Chief Investigator Administrative Assistant



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)
2C	Sending requested flight recorders	Administrative Assistant	<p>The Administrative Assistant will make, in coordination with the Accredited Representative (when appointed), the arrangements for the transport of the flight recorders.</p> <p>Note 1: These arrangements may include the travel of an AIG Section officer designated by the Chief Investigator to take the recorders to the State conducting the investigation, depending on the circumstances of the accident.</p> <p>Note 2: Among the arrangements, the appropriate coordination with customs authorities of Coronaland will be necessary.</p> <p>Note 3: Any coordination with any authority in the State conducting the investigation will remain under the responsibility of such State.</p>	Within one working day after receiving the recorders	Chief Investigator Administrative Assistant



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>	In COORDINATION with whom <small>(Identify the persons to coordinate the execution of the task with when applicable)</small>
3	Sending the information provided	Accredited Representative	<p>When Coronaland is aware that facilities or services on national territory have been, or would normally have been, used by an aircraft prior to an accident or an incident, and there is information pertinent to the investigation available, the accredited representative will send such information, by email, to the State conducting the investigation.</p> <p>Note 1: If the information is not large and/or of a complex nature, the Accredited Representative may advance the information by phone, to expedite the process.</p> <p>Note 2: For sending sensitive information, the Accredited Representative will observe the Procedure 04/CAAC-ITD (Safety protocols for the official exchange of information through internet).</p> <p>Note 3: If an Accredited Representative has not been appointed to the investigation, the Administrative Assistant will become responsible for the task, unless another person is designated by the Chief Investigator.</p>	Within one working day after becoming aware	Chief Investigator Administrative Assistant



| ICAO

SAFETY

Let's build it together

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



ICAO

SAFETY

Writing the procedure

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

DISCLAIMER



DISCLAIMER

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

DISCLAIMER

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.

PROCEDURE No 16/CAAC-AIG – PROVISION OF INFORMATION AND ELEMENTS TO THE STATE CONDUCTING THE INVESTIGATION

INTRODUCTION

As per Standards 5.14 to 5.17 of Annex 13, States are required to support the investigation conducted by another contracting State by providing pertinent information and elements available (including flight recorders or its records, organizational or any other relevant information requested by that State, as well as available information pertinent to the investigation when facilities or services have been, or would normally have been, used by an aircraft prior to an accident or an incident).

The purpose of this procedure is to support the State conducting the investigation in compliance with the aforementioned requirements.

PROCEDURE

- 1 The accredited representative will contact, mainly by phone (alternatively by email), the relevant organization to request the necessary information and/or element within one business day after receiving the request from the State conducting the investigation.

Note 1: If an Accredited Representative has not been appointed to the investigation, the Administrative Assistant will become responsible for the task, unless another person is designated by the Chief Investigator.

- 2A-The accredited representative will send, by email, to the State conducting the investigation, all the information provided, within one working day after receiving the information.

Note 1: If the information is not large and/or of a complex nature, the Accredited Representative may advance the information by phone, to expedite the process.

Note 2: For sending sensitive information (e.g. flight recorders records), the Accredited Representative will observe the Procedure 04/CAAC-ITD (Safety protocols for the official exchange of information through internet).

Note 3: If an Accredited Representative has not been appointed to the investigation, the Administrative Assistant will become responsible for the task, unless another person is designated by the Chief Investigator.

- 2B-The Administrative Assistant will make, in coordination with the Accredited Representative (when appointed), the arrangements for the shipment of the element requested, considering the nature of such an element, and within one working day after receiving the element or its availability for shipment.

Note 1: Among the arrangements, the appropriate coordination with customs authorities of Coronaland will be necessary.

Note 2: Any coordination with any authority in the State conducting the investigation will remain under the responsibility of such State.

Note 3: This step is not applicable to flight recorders. The sending of flight recorders is addressed in step 2C.

- 2C-The Administrative Assistant will make, in coordination with the Accredited Representative (when appointed), the arrangements for the transport of the flight recorders, within one working day after receiving the recorders.

Note 1: These arrangements may include the travel of an AIG Section officer designated by the Chief Investigator to take the recorders to the State conducting the investigation, depending on the circumstances of the accident.

Note 2: Among the arrangements, the appropriate coordination with customs authorities of Coronaland will be necessary.

Note 3: Any coordination with any authority in the State conducting the investigation will remain under the responsibility of such State.

- 3 When Coronaland is aware that facilities or services on national territory have been, or would normally have been, used by an aircraft prior to an accident or an incident, and there is information pertinent to the investigation available, the accredited representative will send such information, by email, to the State conducting the investigation, within one working day after becoming aware.

Note 1: If the information is not large and/or of a complex nature, the Accredited Representative may advance the information by phone, to expedite the process.

Note 2: For sending sensitive information, the Accredited Representative will observe the Procedure 04/CAAC-ITD (Safety protocols for the official exchange of information through internet).

Note 3: If an Accredited Representative has not been appointed to the investigation, the Administrative Assistant will become responsible for the task, unless another person is designated by the Chief Investigator.

DISCLAIMER

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.

PROCEDURE No 16/CAAC-AIG – PROVISION OF INFORMATION AND ELEMENTS TO THE STATE CONDUCTING THE INVESTIGATION

INTRODUCTION

As per Standards 5.14 to 5.17 of Annex 13, States are required to support the investigation conducted by another contracting State by providing pertinent information and elements available (including flight recorders or its records, organizational or any other relevant information requested by that State, as well as available information pertinent to the investigation when facilities or services have been, or would normally have been, used by an aircraft prior to an accident or an incident).

The purpose of this procedure is to support the State conducting the investigation in compliance with the aforementioned requirements.

PROCEDURE

- 1 The accredited representative will contact, mainly by phone (alternatively by email), the relevant organization to request the necessary information and/or element within one business day after receiving the request from the State conducting the investigation.

Note : If an Accredited Representative has not been appointed to the investigation, the Administrative Assistant will become responsible for the task, unless another person is designated by the Chief Investigator.

- 2A-The accredited representative will send, by email, to the State conducting the investigation, all the information provided, within one working day after receiving the information.

Note 1: If the information is not large and/or of a complex nature, the Accredited Representative may advance the information by phone, to expedite the process.

Note 2: For sending sensitive information (e.g. flight recorders records), the Accredited Representative will observe the Procedure 04/CAAC-ITD (Safety protocols for the official exchange of information through internet).

Note 3: If an Accredited Representative has not been appointed to the investigation, the Administrative Assistant will become responsible for the task, unless another person is designated by the Chief Investigator.

2B-The Administrative Assistant will make, in coordination with the Accredited Representative (when appointed), the arrangements for the shipment of the element requested, considering the nature of such an element, and within one working day after receiving the element or its availability for shipment.

Note 1: Among the arrangements, the appropriate coordination with customs authorities of Coronaland will be necessary.

Note 2: Any coordination with any authority in the State conducting the investigation will remain under the responsibility of such State.

Note 3: This step is not applicable to flight recorders. The sending of flight recorders is addressed in step 2C.

2C-The Administrative Assistant will make, in coordination with the Accredited Representative (when appointed), the arrangements for the transport of the flight recorders, within one working day after receiving the recorders.

Note 1: These arrangements may include the travel of an AIG Section officer designated by the Chief Investigator to take the recorders to the State conducting the investigation, depending on the circumstances of the accident.

Note 2: Among the arrangements, the appropriate coordination with customs authorities of Coronaland will be necessary.

Note 3: Any coordination with any authority in the State conducting the investigation will remain under the responsibility of such State.

3 When Coronaland is aware that facilities or services on national territory have been, or would normally have been, used by an aircraft prior to an accident or an incident, and there is information pertinent to the investigation available, the accredited representative will send such information, by email, to the State conducting the investigation, within one working day after becoming aware.

Note 1: If the information is not large and/or of a complex nature, the Accredited Representative may advance the information by phone, to expedite the process.

Note 2: For sending sensitive information, the Accredited Representative will observe the Procedure 04/CAAC-ITD (Safety protocols for the official exchange of information through internet).

Note 3: If an Accredited Representative has not been appointed to the investigation, the Administrative Assistant will become responsible for the task, unless another person is designated by the Chief Investigator.



ICAO

SAFETY





Appointment of advisers proposed by the operator and organizations responsible for the type design and the final assembly

6.395 Has the State, as a State participating in an aircraft accident or serious incident investigation, established and implemented procedures to ensure that it appoints advisers proposed, as applicable, by the operator or by the organizations responsible for the type design and the final assembly of the aircraft?