



Intended safety recommendations to be included in the draft final report

6.427 Has the State, as the State conducting the investigation, established and implemented procedures to ensure that intended safety recommendations are included in the draft final report forwarded to the States and organizations concerned?



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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: Intended safety recommendations to be included in the draft final report
 - ✈ 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



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Key elements:

1. Established and implemented
2. Intended safety recommendations
3. Included in the draft final report

6.427 Has the State, as the State conducting the investigation, established and implemented procedures to ensure that intended safety recommendations are included in the draft final report forwarded to the States and organizations concerned?

Established and implemented

- This PQ requires evidence of implementation

6.427 Has the State, as the State conducting the investigation, established and implemented procedures to ensure that intended safety recommendations are included in the draft final report forwarded to the States and organizations concerned?

Intended safety recommendations

- The draft shall contain not only the recommendations already issued, but also those intended
- At this stage, these are proposals of safety recommendation

6.427 Has the State, as the State conducting the investigation, established and implemented procedures to ensure that intended safety recommendations are included in the draft final report forwarded to the States and organizations concerned?

Included in the draft final report

- The purpose is to provide other States and organizations with an opportunity to present their comments on such proposals



ICAO references

A13

6.3, Note 4

GM

Doc 9756

Part IV, C1

Doc 9962

10.4.4



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Stage 1 – Gathering relevant information

CHAPTER 6. FINAL REPORT

RESPONSIBILITY OF THE STATE CONDUCTING THE INVESTIGATION

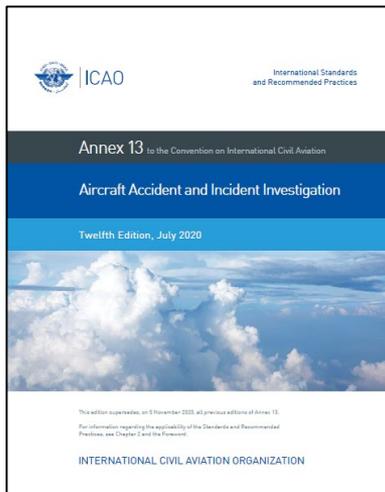
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ANNEX 13

Recipient States

6.4 ...

Note 4.— Intended safety recommendations are to be included in the draft Final Report.



Chapter 1 THE FINAL REPORT 1.1 GENERAL

...

DOC 9756 PART IV

1.1.1 ... The findings, causes and/or contributing factors of the Final Report should lead to safety recommendations so that appropriate preventive measures can be taken.





DOC 9756 PART IV



Chapter 1 THE FINAL REPORT 1.1 GENERAL

...

1.1.2 The Final Report should provide:

- a) a record of all the relevant facts (including any conflicting evidence);
- b) an analysis of the relevant facts;
- c) conclusions in the form of findings, causes and/or contributing factors; and
- d) safety recommendations.



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Stage 1 – Gathering relevant information

Chapter 1

THE FINAL REPORT

1.2 GROUP REPORTS

DOC 9756 PART IV

... the group chairperson should draft an analysis of the facts that the group has established, draft the findings of the group's investigation, and make proposals for safety recommendations...





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Stage 1 – Gathering relevant information

Chapter 1

THE FINAL REPORT

1.2 GROUP REPORTS

DOC 9756 PART IV

1.2.5 Safety recommendations

The group report should include information on any safety issues established, safety actions already taken, proposals for safety recommendations and other forms of safety action, as appropriate.



Chapter 1 THE FINAL REPORT

DOC 9756 PART IV

1.3 FORMAT AND CONTENT OF THE FINAL REPORT

1.3.1 An investigation into an aircraft accident is not complete until all the relevant facts revealed by the investigation, the analysis of the facts, the conclusions and the safety recommendations have been recorded in the Final Report...





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Stage 1 – Gathering relevant information

Chapter 1

THE FINAL REPORT

DOC 9756 PART IV

1.3 FORMAT AND CONTENT OF THE FINAL REPORT

1.3.2 ... The standardized format for the Final Report, which is contained in the Appendix to Annex 13, provides a well-structured record of the investigation. The Final Report contains five parts: Introduction (Title and Synopsis), Factual Information, Analysis, Conclusions (Findings, Causes and/or Contributing Factors) and Safety Recommendations.





Chapter 10

WRITING THE FINAL REPORT AND MAKING SAFETY
RECOMMENDATIONS

DOC 9962

10.4.4 Chapter 4 of the Final Report — Safety Recommendations

[[Note.— The format for Chapter 4 varies somewhat for different States, depending on their internal policies and procedures. Some States divide Chapter 4 into two parts: “Safety Actions Taken” and “Safety Recommendations”. Safety actions taken may result from formal safety recommendations issued during the course of the investigation or as the result of corrective actions taken by the airline, manufacturer, [CAA], etc., without the issuance of formal safety recommendations. Both actions should be recorded in Chapter 4 as suggested in the following text.]]





Chapter 10

WRITING THE FINAL REPORT AND MAKING SAFETY
RECOMMENDATIONS

DOC 9962

10.4.4 Chapter 4 of the Final Report — Safety Recommendations

The *[Accident Investigation Authority]* should include in Chapter 4 of the Final Report both safety recommendations made for the purpose of accident prevention, as well as any safety (corrective) actions taken during the course of the investigation. The *[Accident Investigation Authority]* should use the guidance provided in the ICAO *Manual of Aircraft Accident and Incident Investigation* (Doc 9756), Part IV – *Reporting*, Chapter 1, when issuing safety recommendations during the course of the investigation and in its Final Reports. *(See 10.8 for further details on safety recommendations.)*





Guidance for Review of Evidence

- 1) Review procedures
- 2) Review evidence to confirm effective implementation.



Stage 2 – Defining the framework

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



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Stage 2 – Defining the framework

NUMBER: ...

TITLE: Recommendations to be included in the draft final report

Process: Reporting

Reference: PQ 6.427 – Has the State, as the State conducting the investigation, established and implemented procedures to ensure that intended safety recommendations are included in the draft final report forwarded to the States and organizations concerned?



Relation with other processes

- ✈ The best approach to this requirement is to insert, in the larger procedure (Completion and publication of the final report and interim statements), some elements covering what is asked here

3- Any investigator and/or expert responsible for any specific activities during the investigation will prepare a report of the activity conducted and send it to the IIC through the CAAC secure FTP, in compliance with the timelines established by the Investigator-in-charge through the Form 78 (step 2 above).

Note 1: This step is applicable to Team investigations only.

Note 2: the content of any activity report must include:

- *Location and date of the activity;*
- *Participating staff;*
- *Activity performed and its purpose;*
- *Description of the work carried out;*
- *Conclusions and / or results (actual or potential);*
- *Safety recommendations (if any);*
- *Derived actions (if applicable);*
- *Total cost of the activity.*

SES ONLY

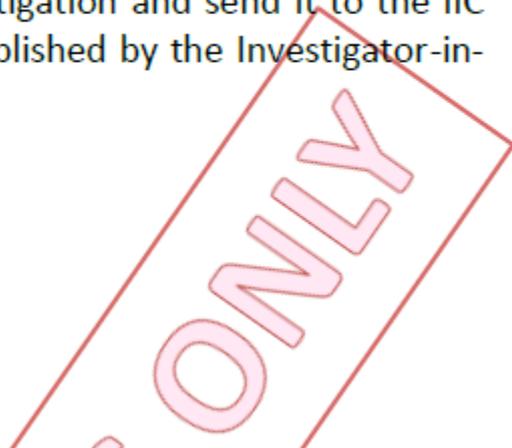
Preparation of draft final report

- 9- Any investigator and/or expert responsible for any specific activities during the investigation will prepare a closing report related to his/her participation in the investigation and send it to the IIC through the CAAC secure FTP, in compliance with the timelines established by the Investigator-in-charge through the Form 78 (step 2 above).

Note 1: This step is applicable to Team investigations only.

Note 2: the content of the closing report must include:

- *A list of all activities conducted under his/her responsibility;*
- *Analysis of the evidence;*
- *Conclusions and / or results (actual or potential);*
- *Safety recommendations (if any);*
- *Total cost of the investigation portion under your responsibility.*



ONLY

12- The Investigator-in-charge will forward, immediately after step 11, or the next working day if step 11 is completed on a non-working day, the draft final report to the Team members for review and comments, using CAAC secure FTP.

Note 1: This step is applicable to Team investigations only.

Note 2: When sending the draft, Investigator-in-charge will remind all members that this would be the last opportunity to propose safety recommendations not yet proposed.

13- Each Team member will conduct a revision of the whole content of the preliminary version of the draft final report (including editorial notes) and send it back to the IIC using CAAC secure FTP, within 10 calendar days after receiving the automatic message of the secure FTP.

Note 1: This step is applicable to Team investigations only.

Note 2: The comments shall not be limited to technical issues, but may include editorial notes.

Note 3: Comments shall include any safety recommendations considered that are not yet in the draft.





Civil Aviation Authority of Coronaland

Accident Investigation Section (AIG)

Form 25/AIG – Checklist for the preparation of the final report

#	Task	Performed by (name)	When (date/hour)	Signature
1	Record of the occurrence created in the Investigation Control Spreadsheet			
2	Establishment of the Team reporting schedule (<i>team investigations only</i>)			
3	Report of investigation activities conducted (<i>team investigations only</i>)			
4	Reminder of deadline for sending activities report (<i>team investigations only</i>)			
5	Forwarding of closing report from each group (<i>team investigations only</i>)			
6	Consolidation of closing reports into draft final report (<i>team investigations only</i>)			
7	Intended safety recommendations included in the draft final report			
8	Draft final report sent for consultation of States and organizations			
9	Assessment of comments received			
10	Comments incorporated or appended to the draft final report			
11	Draft final report sent for approval			
12	Final report approved			
13	Final report sent to States and ICAO (as applicable)			
14	Final report published in the CAAC website			

File this checklist in the folder corresponding to the occurrence record

Capt. John Doe
Chief Investigator



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Sending the final report to ICAO and to all States involved

6.413 Has the State, as the State conducting the investigation, established and implemented procedures to ensure that it sends the final report to ICAO, as applicable, and to all States involved, including any State having suffered fatalities or serious injuries to its citizens and any State which provided relevant information, significant facilities or experts?