



ICAO

# Requirements of Annex 13 and SMS

**Fernando Camargo**

*Regional Officer, Technical Assistance*



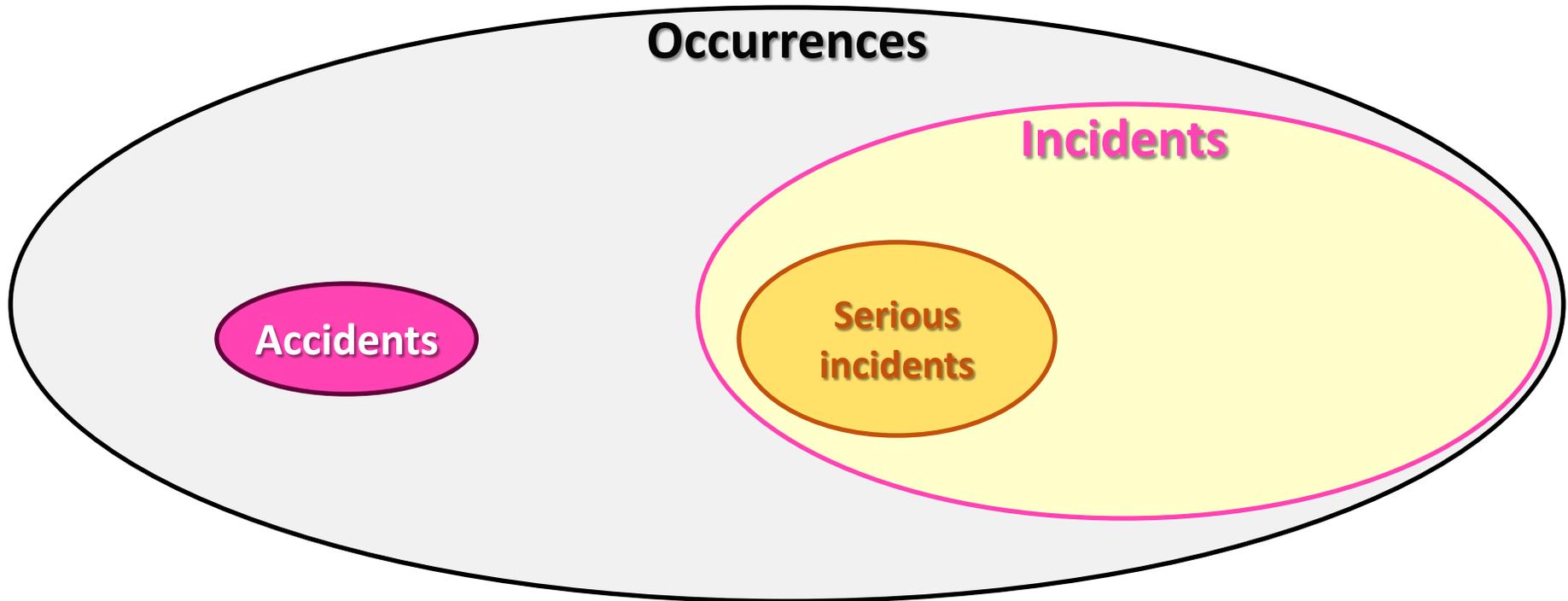


## Outline

- ✈ Definitions of Annex 13
- ✈ The characteristics of the Annex 13 investigation
- ✈ The management of safety
- ✈ The importance of information



# Definitions of Annex 13





# Accident

An occurrence associated with the operation of an aircraft ..., in which:

Any  
of  
this

- a) a person is fatally or seriously injured ...
- b) the aircraft sustains damage or structural failure
- c) the aircraft is missing or is completely inaccessible



# Incident

An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation



No need for  
damages or  
injuries



## Serious Incident

An incident involving circumstances indicating that there was a high probability of an accident ...

*Note 1.— The difference between an accident and a serious incident lies only in the result.*



## Attachment C - List of examples of serious incidents

✈ The incidents listed are typical examples of incidents that are likely to be serious incidents. The list is not exhaustive and only serves as guidance to the definition of serious incident.



- *Near collisions requiring an avoidance manoeuvre to avoid a collision or an unsafe situation or when an avoidance action would have been appropriate.*
- *Collisions not classified as accidents.*
- *Controlled flight into terrain only marginally avoided.*
- *Aborted take-offs on a closed or engaged runway, on a taxiway or unassigned runway.*
- *Take-offs from a closed or engaged runway, from a taxiway or unassigned runway.*
- *Landings or attempted landings on a closed or engaged runway, on a taxiway or unassigned runway.*
- *Runway incursions classified with severity A.*



# The characteristics of the Annex 13 investigation

## ✈ Objective:

- ✈ The sole objective of the investigation of an accident or incident shall be the prevention of accidents and incidents. It is not the purpose of this activity to apportion blame or liability



# The characteristics of the Annex 13 investigation

## ✈ Independence:

- ✈ A State shall establish an accident investigation authority that is independent from State aviation authorities and other entities that could interfere with the conduct or objectivity of an investigation



## The characteristics of the Annex 13 investigation

### ✈ Protection of evidence:

- ✈ The State of Occurrence shall take all reasonable measures to protect the evidence and to maintain safe custody of the aircraft and its contents for such a period as may be necessary for the purposes of an investigation ...
- ✈ Safe custody shall include protection against further damage, access by unauthorized persons, pilfering and deterioration



# Management of Safety

## Reactive

Responds to events that have already happened

## Proactive

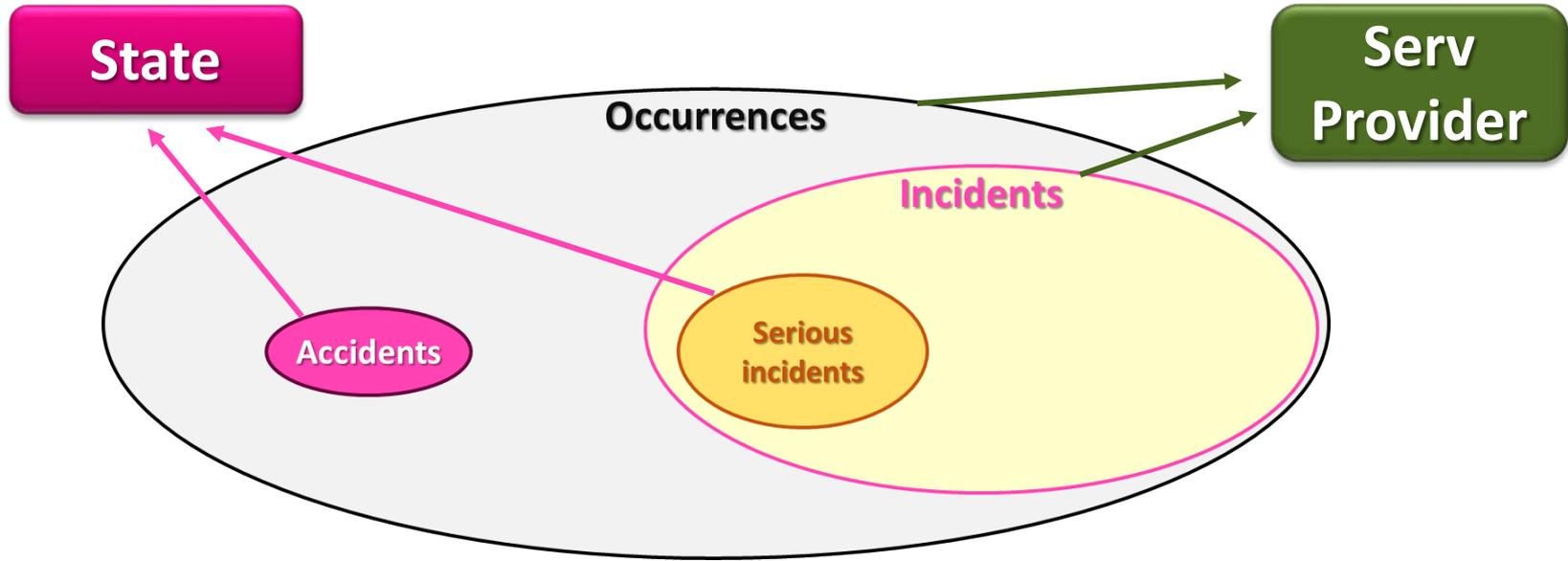
Actively seeks the identification of hazardous conditions through the analysis of the organization's processes

## Predictive

Analyzes system processes and environment to identify potential and/or future problems



# Roles





# Roles

## SSP

Reactive

Accidents and serious incidents

Inv Auth

Proactive

Incidents (other than serious)

CAA

## SMS

Reactive

Incidents (minor damages/injuries)

Proactive

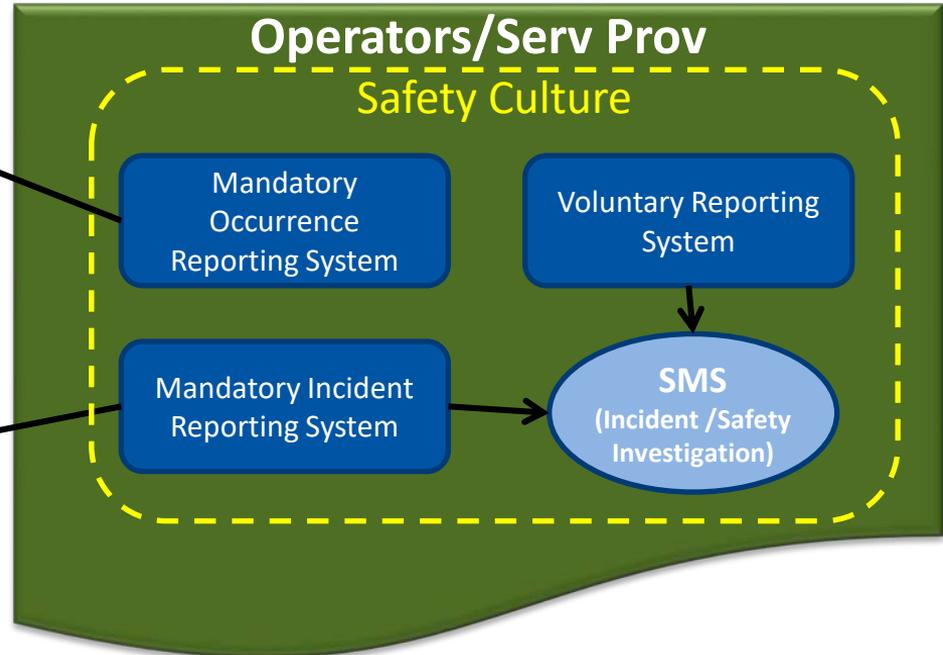
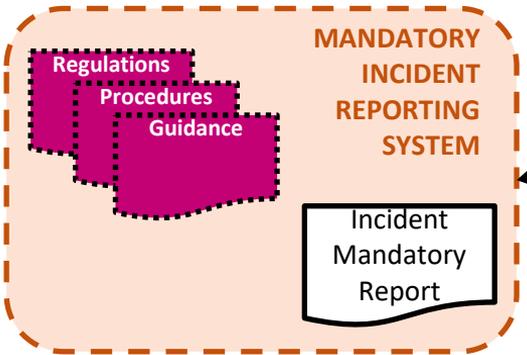
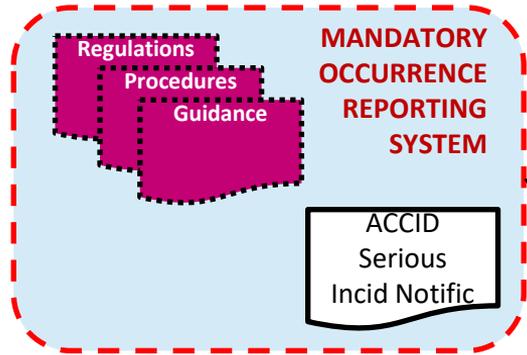
Incidents (potential)

Predictive

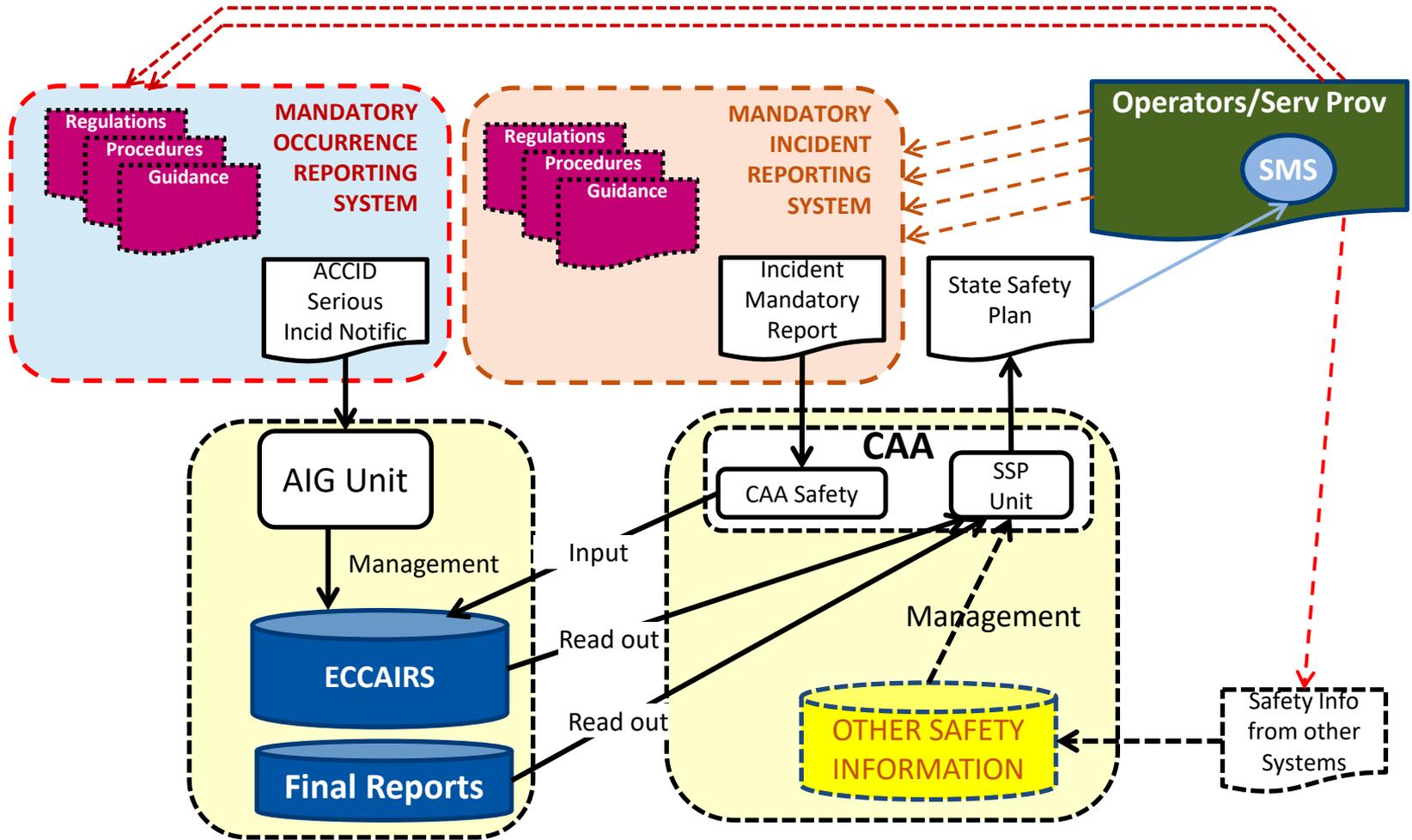
Normal operations



# Within the SMS



# State Level





ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



## The importance of information

- ✈ INFORMATION is essential to manage safety
- ✈ OPERATORS/SERVICE PROVIDERS have an important role
  - ✈ Support investigations
  - ✈ Feed SMS/SSP



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND



# The importance of information

✈ Safety culture is key

✈ Need to report

✈ Information flow

✈ Feedback

✈ Just culture



ICAO

UNITING AVIATION

NO COUNTRY LEFT BEHIND





# ICAO



**THANK YOU!**