



**INTERNATIONAL
CIVIL AVIATION
ORGANIZATION**



Overview of ICAO Annexes 11, 13 and 19

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Objective of this Module

Provide an overview of the scope of Annexes 11, 13, and 19 SARPs and how these requirements are normally integrated into the national regulatory framework



International Standards
and Recommended Practices

Annex 11 to the Convention on International Civil Aviation

Air Traffic Services

Air Traffic Control Service
Flight Information Service
Alerting Service

Fifteenth Edition, July 2018



This edition supersedes, on 8 November 2018, all previous editions of Annex 11.
For information regarding the applicability of the Standards and Recommended Practices, see Foreword.

INTERNATIONAL CIVIL AVIATION ORGANIZATION



International Standards
and Recommended Practices

Annex 13 to the Convention on International Civil Aviation

Aircraft Accident and Incident Investigation

Thirteenth Edition, July 2024



This edition supersedes, on 28 November 2024, all previous editions of Annex 13.
For information regarding the applicability of the Standards and Recommended Practices, see Chapter 2 and the Foreword.

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International Standards
and Recommended Practices

Annex 19 to the Convention on International Civil Aviation

Safety Management

Second Edition, July 2016



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For information regarding the applicability of the Standards and Recommended Practices, see Chapter 2 and the Foreword.

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Safety Requirements

Compliance

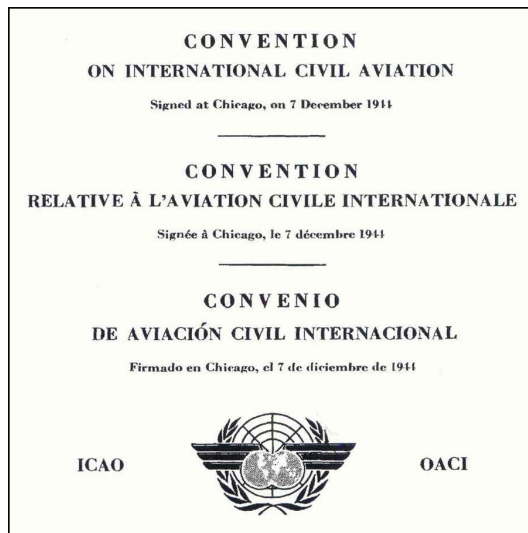


Prescriptive

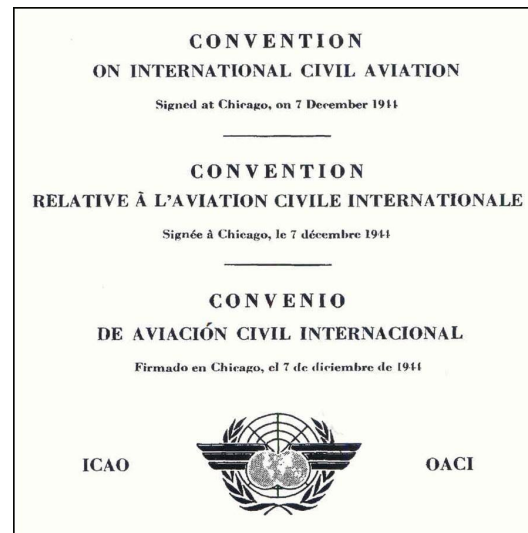


Performance

Principles of Safety Oversight



Principles of Safety Oversight



National Aviation
Regulations



Annex 11 – Air Traffic Services

ATC, FIS, Alerting Services

Annex 11 establishes the SARPs for the safe and orderly flow of air traffic (prevent collisions), the provision of useful information for the safe and efficient conduct of flights and the notification to appropriate organizations regarding aircraft in need of search and rescue aid, and assist such organizations as required.

- Mostly prescriptive and focused on preventive requirements.
- Adopted by a national regulation.
- States designate an appropriate ATS authority to provide services within the airspace for which they have accepted responsibility. They must also implement a functionally separate process to oversee ATS provision.
- Complemented by the Procedures for Air Navigation Services - Air Traffic Management (Doc 4444)



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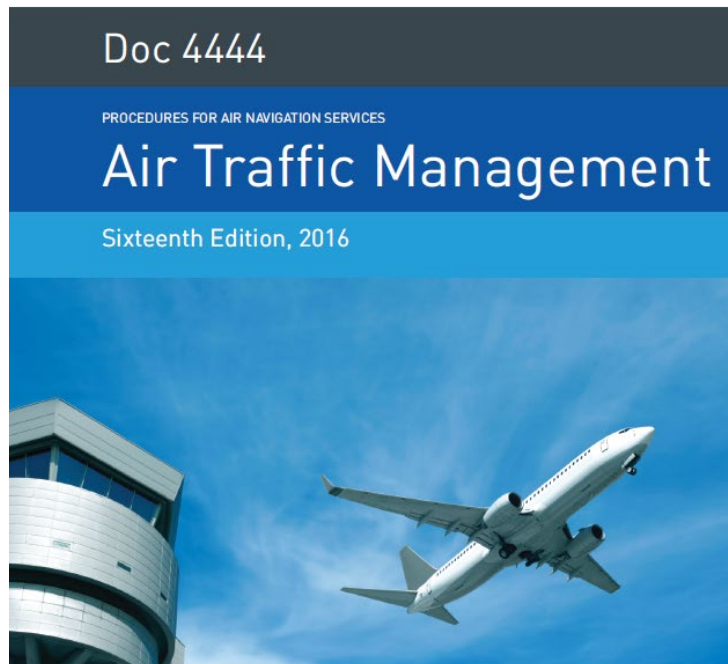
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IFATCA

INTERNATIONAL FEDERATION OF AIR TRAFFIC CONTROLLERS' ASSOCIATIONS



This edition supersedes, on 10 November 2016, all previous editions of Doc 4444.

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PANS – ATM (Doc 4444)

Procedures for Air Navigation Services – Air Traffic Management

- The PANS-ATM are complementary to the SARPs contained in Annexes 2 and 11.
- Mainly directed to ATS personnel.
- In principle, do not have the same status as the SARPs. No requirement for the Notification of Differences to ICAO but expected to be covered by the procedure for identification of significant differences (publication of significant differences in the AIP).

Two main options for adoption:

1. Introduced as regulation.
2. Requirement for the development of ATM operations manual using the Doc 4444 as reference.

Annex 13 – Aircraft and Incident Investigation



ICAO

International Standards
and Recommended Practices

ICAO Annex 13 sets out the requirements for actions State authorities must take after an accident or serious incident.

The sole objective of the investigation of an accident or incident shall be the prevention of accidents and incidents.

- Mostly prescriptive and reactive processes.
- Focused on the establishment of an independent accident investigation authority and its processes and associated procedures.
- Maintains a non-punitive focus, strictly limited to safety findings and excluded from the determination of fault or liability.
- Supported by primary aviation legislation and adopted by a national regulation.
- Enables the participation of Accredited Representatives from other involved States throughout the investigation process.
- Several other aviation accident and incident investigation processes are required but not within the scope of this Annex.



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Annex 19 – Safety Management

ICAO Annex 19 outlines the responsibilities of States for safety management. Establishes SARPs at two levels:

- State level: the safety oversight system (SSO) and State safety programme (SSP).
- Service provider level: implementation of a safety management system.
- Prescriptive requirements to support the implementation of proactive processes for strategic decision-making. Expected to evolve toward predictive processes.
- Adopted by a national regulation.
- Support the compliance-based safety oversight activities (SSO) and the performance-based safety management processes (SSP).



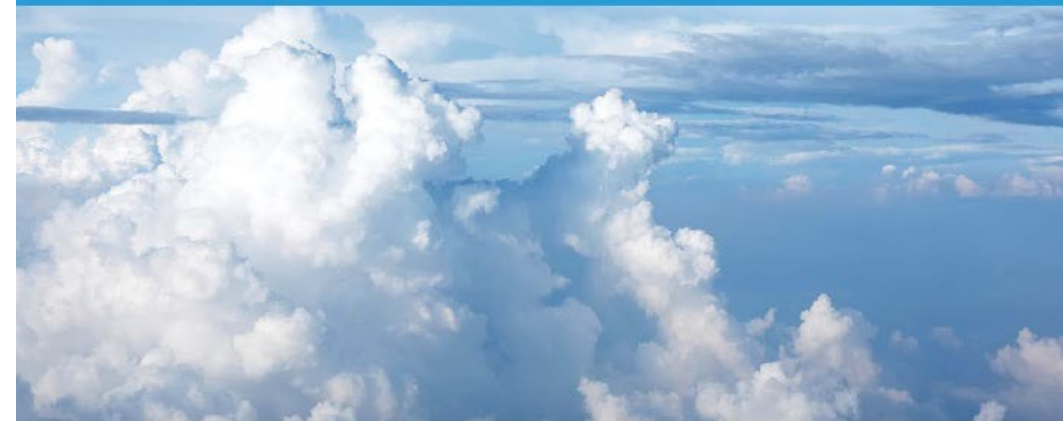
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Conclusions

Annex 11 – Air Traffic Services

Provides the foundation for the provision of air traffic services.

Annex 11 SARPs, complemented by the Doc 4444, help ensure that the objectives of air traffic services are met.

Annex 13 – Aircraft and Incident Investigation

Set the requirements for the establishment of an independent accident investigation authority.

Maintains a non-punitive investigation process, strictly limited to safety findings and excluded from the determination of fault or liability.

The sole objective of the investigation of an accident or incident shall be the prevention of accidents and incidents.

Annex 19 – Safety Management

Details the States responsibilities regarding safety management.

Establish prescriptive requirements to support the implementation of proactive processes for strategic decision-making. Expected to evolve toward predictive processes.

Support the compliance-based safety oversight activities (SSO) and the performance-based safety management processes (SSP).

Questions?

- How do the requirements specified in each of these Annexes connect to the tasks you perform on a day-to-day basis?
- Can you identify the interaction between these requirements to support the safe provision of air traffic control services?
- Among your routine operational activities, which ones stem directly from the requirements established in each of these Annexes?

Thank You

