

PHONE: +94 -11-2259916 +94 -11-2264203 FAX :+94-11-2259916 AFS :VCBIYHYX VCCCYAYX E-mail : aishq@airport.lk ddgasr@caa.lk	<p style="text-align: center;">DEMOCRATIC SOCIALIST REPUBLIC OF SRI LANKA</p> <p style="text-align: center;">AERONAUTICAL INFORMATION SERVICES (AIS/HQ) AIRPORT & AVIATION SERVICES (S.L.) LTD, BANDARANAYAKE INTERNATIONAL AIRPORT COLOMBO, KATUNAYAKE, SRI LANKA</p>	<p style="text-align: center;">AIC</p> <p style="text-align: center;">A 01/20 20 JUL <i>SERIES "A"</i> INTERNATIONAL</p>
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AIRCRAFT ACCIDENT OR SERIOUS INCIDENT COMPLIANCE REQUIREMENTS OF AIRCRAFT OPERATORS, AERODROME OPERATORS & AIR NAVIGATION SERVICES PROVIDERS

(EFFECTIVE DATE :20TH JULY 2020)

1. Applicability of the AIC

This AIC is applicable to the following persons and Organizations.

- 1.1. Holder of an Air Operator Certificate issued by Director General of Civil Aviation.
- 1.2. Holder of a Foreign Air Operator Certificate issued by Director General of Civil Aviation.
- 1.3. Holder of a Licence to operate a flying training school issued by Director General of Civil Aviation.
- 1.4. Any other person operating an aircraft in Sri Lanka under any other arrangement as approved by the DGCA.
- 1.5. The Statutory Service Provider in respect of provision of Aeronautical Services in Sri Lanka
- 1.6. Holder of an Aerodrome Operator Certificate issued by Director General of Civil Aviation.

2. Description of an accident and a serious incident

- 2.1. The definition of an accident and a serious incident is given in **Attachment A**.
- 2.2. A list of examples of serious incidents is given in **Attachment B**. The list contains typical examples which is not exhaustive.

3. Power to investigate into an aircraft accident or a serious incident

- 3.1. Section 55 of the Civil Aviation Act, No. 14 of 2010 requires the Civil Aviation Authority of Sri Lanka to institute an investigation into any aircraft accident or serious incident occurring within the territory of Sri Lanka or in respect of an aircraft registered in Sri Lanka or an aircraft operated by an Operator of Sri Lanka.

4. Responsibility for notification of an aircraft accident or a serious incident

- 4.1. An Aircraft Operator certified by the Director General of Civil Aviation shall inform the Civil Aviation Authority of Sri Lanka of an aircraft accident or a serious incident occurred concerning an aircraft registered in Sri Lanka or operated by such Aircraft Operator irrespective of the place of such occurrence.
- 4.2. A Foreign Aircraft Operator shall inform the Civil Aviation Authority of Sri Lanka of an aircraft accident or a serious incident occurred within the territory of Sri Lanka in respect of an aircraft operated by such Foreign Aircraft Operator.
- 4.3. In the absence of the aircraft operator for immediate notification, the Pilot in Command, owner, hirer, lessor or the agent of the subject aircraft shall make the notification.
- 4.4. In the event of a flying display/festival or a demonstration flight, the organizer or the handler of the event shall make the notification.
- 4.5. The Air Traffic Service Provider or the Aerodrome Operator shall make the notification of an accident or a serious incident which has occurred on or adjacent to an aerodrome in Sri Lanka.
- 4.6. The Air Traffic Service Provider shall make the notification of an accident or a serious incident which has occurred in Sri Lankan airspace.

5. Submission of Notification

- 5.1. Notification shall be made immediately, preferably by telephone, email or fax with the minimum of delay and by quickest means which is essential for initiating prompt action for the ensuing investigation.
- 5.2. Information required to be furnished in the notification is provided in **Attachment C**.
- 5.3. In addition to the information required by International Standards as given in the above Attachment C, the aircraft operator, owner, hirer, lessor, agent or Pilot in Command as applicable shall furnish information on; Contact details, location and availability of the flight crew, Contact details of the operator's safety manager and accountable manager, a copy of the complete flight documents and in case of an accident and the passenger manifest.
- 5.4. In addition the contact details for each passenger shall be furnished at the earliest possible.

6. Submission of Aircraft Accident and Serious Incident Reporting Form

- 6.1. Subsequent to the submission of the notification under above paragraph5, the Aircraft Accident and Serious Incident Reporting Form (CAA/AU/003) which is provided at **Attachment D**, shall be forwarded to the Authority with the minimum of delay and by quickest means preferably by email or fax. No other form or format shall be used for this purpose.

- 6.2. All Air Traffic Services Units shall keep the Aircraft Accident/ Serious Incident Report Form (CAA/AU/003) available. It can also be downloaded from the CAASL website (www.caa.lk).

7. Reporting timelines in summary

	Notification	Submission of Aircraft Accident /Serious Incident Reporting Form
Accident	Immediate	Minimum of delay
Serious incident	Immediate	Minimum of delay
Note - Telephone, e-mail or fax will in most cases constitute the most suitable and quickest means to send a notification		

8. Preservation of records

- 8.1. A holder of an Air Operator Certificate issued by the Director General of Civil Aviation or an Operator of a Flying Training School or a person operating an aircraft in Sri Lanka shall preserve all records, including all recorded data in any form maintained for the operation and maintenance of the aircraft which is involved in an accident or a serious incident for at least 30 days after the accident or serious incident has taken place, unless otherwise required by the Civil Aviation Authority. Recorded data in any form includes, but not limited to, communication between persons involved in the accident or serious incident; medical or personal information regarding persons involved in the accident or serious incident, cockpit voice recordings, flight data recordings and cockpit airborne image recordings, transcripts from such recordings, log entries, electronic recordings, technical and other relevant data relating to the accident or serious incident.
- 8.2. The Statutory Service Provider for the provision of Aeronautical Services of Sri Lanka shall preserve all records including data recordings in all forms of the air traffic services units and transcripts of such recordings, all logs and other documentary evidences pertinent to an accident or a serious incident for at least 30 days after the accident or serious incident has taken place unless otherwise notified by the Civil Aviation Authority of Sri Lanka.
- 8.3. Aerodrome Operators in Sri Lanka certified by the Director General of Civil Aviation shall preserve all records including all logs and other documentary evidences pertinent to an accident or a serious incident for at least 30 days after the accident or serious incident has taken place unless otherwise notified by the Civil Aviation Authority of Sri Lanka. In respect of easily perishable evidences such as ground impact marks and runway marks and photographic evidences shall be preserved until collected by the Civil Aviation Authority of Sri Lanka. No repair or restoration of damaged property shall be undertaken without the approval of the Civil Aviation Authority of Sri Lanka.

9. Contact details

- 9.1. Contact details for notification and reporting of an accident or a serious incident are as follows;

Mandatory

During working days from 8.30 a.m to 4.15 p.m local time

CAASL - Accident Investigation Unit (AIU) - +94-11-2358817
+94-11-2358819
(24hrs) +94-76-6317403

Fax - +94-11-2257154

24 hours

DGCA	+94 773 175 421
Deputy Director General (FSR)	+94 771 055 119
Deputy Director General (ASR)	+94 771 038 064
Deputy Director General (Av.SR)	+94 773 520 586

Alternative

Director -Operations	+94 777 382 252
Director – Air Navigation Services	+94 772 566 676
Director - Aerodromes& Facilitation	+94 777 761 161

Email: sldgca@caa.lk, with a copy to mgrasm@caa.lk and amasm@caa.lk

10. Reporting of Aviation Occurrences (Mandatory Occurrence Reporting)

- 10.1. Occurrences other than an aircraft accident or serious incident is required to be notified within 72hrs to the Civil Aviation Authority of Sri Lanka in terms of the requirements stipulated in Implementing Standard-006 on Aviation Occurrence Reporting System issued by the Director General of Civil Aviation.

This AIC supersedes the Circular already published with regard to the Notification of an aircraft accident / a serious incident, AIC no. A01/18 -25 MAY 2018.

Capt. THEMIYA ABEYWICKRAMA
DIRECTOR GENERAL OF CIVIL AVIATION & CEO
CIVIL AVIATION AUTHORITY OF SRI LANKA

DEFINITIONS

Accident - An occurrence associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down, in which:

- a) a person is fatally or seriously injured as a result of:
 - being in the aircraft, or
 - direct contact with any part of the aircraft, including parts which have become detached from the aircraft, or
 - direct exposure to jet blast,

except when the injuries are from natural causes, self-inflicted or inflicted by other persons, or when the injuries are to stowaways hiding outside the areas normally available to the passengers and crew; or

- b) the aircraft sustains damage or structural failure which:
 - adversely affects the structural strength, performance or flight characteristics of the aircraft, and
 - would normally require major repair or replacement of the affected component,

except for engine failure or damage, when the damage is limited to a single engine, (including its cowlings or accessories), to propellers, wing tips, antennas, probes, vanes, tires, brakes, wheels, fairings, panels, landing gear doors, windscreens, the aircraft skin (such as small dents or puncture holes), or for minor damages to main rotor blades, tail rotor blades, landing gear, and those resulting from hail or bird strike (including holes in the radome); or

- c) the aircraft is missing or is completely inaccessible.

Note 1.— For statistical uniformity only, an injury resulting in death within thirty days of the date of the accident is classified, by ICAO, as a fatal injury.

Note 2.— An aircraft is considered to be missing when the official search has been terminated and the wreckage has not been located.

Serious incident - An incident involving circumstances indicating that there was a high probability of an accident and associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down.

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

Note 2.- Examples of serious incidents can be found in Attachment D.

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

SERIOUS INCIDENTS

(The below incidents listed are typical examples of incidents that are likely to be serious incidents which are required to be notified to CAASL immediately by the quickest means as specified in this AIC. The list is not exhaustive and only serves as guidance to the definition of serious incident.)

Serious incident. *An incident involving circumstances indicating that there was a high probability of an accident and associated with the operation of an aircraft which, in the case of a manned aircraft, takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, or in the case of an unmanned aircraft, takes place between the time the aircraft is ready to move with the purpose of flight until such time as it comes to rest at the end of the flight and the primary propulsion system is shut down.*

1. Near collisions requiring an avoidance manoeuvre to avoid a collision or an unsafe situation or when an avoidance action would have been appropriate.
2. Collisions not classified as accidents.
3. Controlled flight into terrain only marginally avoided.
4. Aborted take-offs on a closed or engaged runway, on a taxiway (excluding authorized operations by helicopters) or unassigned runway.
5. Take-offs from a closed or engaged runway, from a taxiway(excluding authorized operations by helicopters) or unassigned runway.
6. Landings or attempted landings on a closed or engaged runway, on a taxiway, unassigned runway or or unintended landing locations such as roadways.
7. Retraction of a landing gear leg or wheels-up landing not classified as an accident.
8. Dragging during landing of a wing tip, an engine pod or any other part of the aircraft, when not classified as an accident
9. Gross failures to achieve predicted performance during take-off or initial climb.
10. Fires and/or smoke in the cockpit, in the passenger compartment, in cargo compartments or engine fires, even though such fires were extinguished by the use of extinguishing agents.
11. Events requiring the emergency use of oxygen by the flight crew.
12. Aircraft structural failures or engine disintegrations, including uncontained turbine engine failures, not classified as an accident.
13. Multiple malfunctions of one or more aircraft systems seriously affecting the operation of the aircraft.

14. Flight crew incapacitation in flight.
 - 14.1. for single pilot operations (including remote pilot);
 - 14.2. for multi-pilot operations for which flight safety was compromised because of a significant increase in workload for the remaining crew
15. Fuel quantity level or distribution situations requiring the declaration of an emergency by the pilot, such as insufficient fuel, fuel exhaustion, fuel starvation, or inability to use all usable fuel on board.
16. Runway incursions classified with severity A. The Manual on the Prevention of Runway Incursions (Doc 9870) contains information on the severity classifications.
17. Take-off or landing incidents. Incidents such as under-shooting, overrunning or running off the side of runways.
18. System failures (including loss of power or thrust), weather phenomena, operations outside the approved flight envelope or other occurrences which caused or could have caused difficulties controlling the aircraft.
19. Failures of more than one system in a redundancy system mandatory for flight guidance and navigation.
20. The unintentional or, as an emergency measure, the intentional release of a slung load or any other load carried external to the aircraft.
21. Decompression
22. Bomb on board aircraft on ground or inflight
23. Biological / Chemical threats on ground or inflight
24. Highjacking inflight or on ground
25. Any other incident on ground or in air or in and around an operational airport where safety is impaired, which requires further investigations by CAASL as per the evaluation of the Accountable Manager of the Responsible Organization.

Information need to be provided in the Initial Notification

(Note : Non- availability of any of the above information shall not in anyway be a cause for a delay in forwarding the initial notification to the Civil Aviation Authority.

However, what information is missing should be mentioned in the initial notification. Any such missing information found later should be furnished to the Authority as soon as such information becomes available.)

- (a) in the case of an accident, the identifying abbreviation “ACCID” or in the case of an serious incident, the identifying abbreviation, “INCID”;
- (b) the manufacturer, model, nationality, registration marks and the serial number of the aircraft;
- (c) name of owner, operator and hirer, if any, of the aircraft;
- (d) name and qualification of the pilot-in-command and the nationality of crew members and of passengers;
- (e) date and time (local time or UTC)at which the accident or serious incident;
- (f) last point of departure and the point of intended landing of the aircraft;
- (g) position of the aircraft with reference to some easily identified geographical location and the latitude and longitude of such location;
- (h) number of crew members and passengers on aboard, who were either killed or seriously injured and any other, killed and seriously injured as a result of the accident or serious incident;
- (i) description of the accident or serious incident and the extent of the damage caused to the aircraft, as far as known;
- (j) physical characteristics of the location in which the accident or serious incident occurred, as well an indication of access difficulties or any special requirements needed to reach the site of the accident or incident;
- (k) identification of the person sending the notice and where the accident or serious incident occurred outside Sri Lanka, the means by which the investigator-in-charge and the accident investigation authority of the State of Occurrence, may be contacted at any time; and
- (l) presence and description of dangerous goods, if any, that were being carried on board the aircraft.



Civil Aviation Authority of Sri Lanka
Aircraft Accident/ Serious Incident Report

IMPORTANT GUIDANCE: Provide as much details as possible immediately. The purpose of this form is to collect immediately the mandatory information pertaining to the accident/serious incident for CAA to act immediately for the investigation and review the causes. Details not available immediately should be sent later but at the earliest possible. Completed Form should be submitted at the earliest possible to: Director General of Civil Aviation, Civil Aviation Authority, No 152/1, Minuwangoda Road, Katunayake.

Fax: +94 11-2257154, Email: sldgca@caa.lk with a copy to mgrasm@caa.lk and amasm@caa.lk.

Role of reporter in relation to the aircraft:

☐ Crew ☐ Operator ☐ Rescue/Fire Service ☐ Owner ☐ Aerodrome Operator ☐ Air Traffic Controller ☐ Other (Pl. specify)

Personal particulars of reporter

Your name Designation

Contact Address

Telephone Fax E mail

Crew & Operators Details

Name of PIC Nationality Type of Licence Licence No. & Date

Name of First Officer Nationality Type of Licence Licence No. & Date

Name of additional crew Nationality Crew position

Aircraft registration Flight Number Aircraft make & model

Aircraft Owner Aircraft Operator If hired, name of renter/hirer

Operator's Telephone Fax & E mail

Accident / Serious Incident details

Date of Accident / Serious Incident Time – UTC & Local Location

Last departure pt. Intended destination Actual point of landing (if different)

ATS route Heading IAS(Kt) Mach number Flight Level/ Altitude

Number of persons on board

Total Crew on board No injuries Minor injuries Serious injuries Fatalities

Total Pax on board No injuries Minor injuries Serious injuries Fatalities

No. of persons injured on ground Minor injuries Serious injuries Fatalities

Other Company employees onboard (specify duties)

Aircraft damage

Destroyed ☐ Substantial ☐ Minor ☐ Nil ☐ Damage description

Effect on flight

None ☐ Rejected T/O ☐ Precautionary landing ☐ Engine/s shut down ☐ Other ☐

Weather Conditions

Wind speed Visibility Precipitation Cloud (type, amount & base) Temperature (C°)

Cloud Top Cloud Base QNH QFE Rain Icing
 Drizzle/Light/Moderate/Heavy Nil/Light/Moderate/Sever

Other information relevant to the event

Flight rules ☐ VFR ☐ IFR ☐ Flight condition ☐ VMC ☐ IMC ☐ Light condition ☐ Day ☐ Night ☐ Twilight ☐

ELT information: (as Applicable)

ELT manufacturer and model Fixed ☐ Portable ☐

Manual activation ☐ Automatic ☐ Did not activate (why?)

ELT location ☐ Cockpit ☐ Cabin ☐ Rear/tail ☐ Other

Phase of Flight

☐ Parked ☐ Pushback ☐ Taxing out ☐ Lined up ☐ Take off roll ☐ Holding (specify.....) ☐
☐ Lift off ☐ Climb ☐ Cruise ☐ Descent ☐ Approach ☐ Circuit ☐ Touch down ☐
☐ Taxi in ☐ L/ Roll

Airspace designation Runway state Category
 Dry / Wet / Ice / Snow/ Slush I/II/III

Type of Operation

ETOPS ☐ Passenger ☐ Freight ☐ Ferry ☐ Test ☐ Training ☐ Business ☐ Other (specify) ☐

Description of dangerous goods on board**Wildlife strike**

Was a bird or animal involved: No. of birds Species
 Yes/No Small /Medium/ Large

Description of Accident/Serious Incident (All relevant documentation should be forwarded to CAASL. Attach additional paper if necessary)
Any other remarks (Attach additional paper if necessary)

Signature

Date