Annex 13
Ninth Edition
Corrigendum No. 3
(English only)
15/11/06

**INTERNATIONAL STANDARDS
AND RECOMMENDED PRACTICES**

AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

ANNEX 13

TO THE CONVENTION ON INTERNATIONAL CIVIL AVIATION

NINTH EDITION — JULY 2001

CORRIGENDUM NO. 3

1. Please replace existing page 8-1 dated 23/11/06 by the attached new page bearing the notation "Corr. 3".

2. Record the entry of this corrigendum on page (ii).

CHAPTER 8. ACCIDENT PREVENTION MEASURES

Note.— The objective of these specifications is to promote accident prevention by analysis of accident and incident data and by a prompt exchange of information.

Incident reporting systems

8.1 A State shall establish a mandatory incident reporting system to facilitate collection of information on actual or potential safety deficiencies.

8.2 **Recommendation.—** *A State should establish a voluntary incident reporting system to facilitate the collection of information that may not be captured by a mandatory incident reporting system.*

8.3 A voluntary incident reporting system shall be non-punitive and afford protection to the sources of the information.

Note 1.— A non-punitive environment is fundamental to voluntary reporting.

Note 2.— States are encouraged to facilitate and promote the voluntary reporting of events that could affect aviation safety by adjusting their applicable laws, regulations and policies, as necessary.

Note 3.— Guidance related to both mandatory and voluntary incident reporting systems is contained in the Safety Management Manual (SMM) *(Doc 9859).*

Note 4.— Attachment E contains legal guidance for the protection of information from safety data collection and processing systems.

Database systems

8.4 **Recommendation.—** *A State should establish an accident and incident database to facilitate the effective analysis of information obtained, including that from its incident reporting systems.*

8.5 **Recommendation.—** *The database systems should use standardized formats to facilitate data exchange.*

Note 1.— Guidance material related to the specification for such databases will be provided by ICAO upon request from States.

Note 2.— States are encouraged to foster regional arrangements, as appropriate, when implementing 8.4.

Analysis of data — Preventive actions

8.6 A State having established an accident and incident database and an incident reporting system shall analyse the information contained in its accident/incident reports and the database to determine any preventive actions required.

Note.— Additional information on which to base preventive actions may be contained in the Final Reports on investigated accidents and incidents.

8.7 **Recommendation.—** *If a State, in the analysis of the information contained in its database, identifies safety matters considered to be of interest to other States, that State should forward such safety information to them as soon as possible.*

8.8 **Recommendation.—** *In addition to safety recommendations arising from accident and incident investigations, safety recommendations may result from diverse sources, including safety studies. If safety recommendations are addressed to an organization in another State, they should also be transmitted to that State's investigation authority.*

Exchange of safety information

8.9 **Recommendation.—** *States should promote the establishment of safety information sharing networks among all users of the aviation system and should facilitate the free exchange of information on actual and potential safety deficiencies.*

Note.— Standardized definitions, classifications and formats are needed to facilitate data exchange. Guidance material on the specifications for such information-sharing networks will be provided by ICAO upon request.