

CHANGE

**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

4040.9D
CHG 20

National Policy

Effective Date:
4/20/09

SUBJ: FAA Aircraft Management Program

- 1. Purpose.** This change transmits updated pages to reflect changes that have affected the FAA Aircraft Management Program.
- 2. Distribution.** This change is distributed to division level in Washington headquarters, regions, and centers; the branch level in Flight Standards Service, and Aviation System Standards; Washington Flight Program Division; Regulatory Standards Division at the Mike Monroney Aeronautical Center; William J. Hughes Technical Center Research and Development Flight Program; all Flight Standards Field Offices; Flight Inspection Offices; International Flight Inspection Offices; Aircraft Certification Offices and Aircraft Certification Field Offices; and to the National Flight Program Oversight Office.
- 3. Explanation of Changes.** This change provides participants in the FAA Flight Program with current information regarding this program's policies and procedures. The affected chapter is Chapter 5, in its entirety.
- 4. Disposition of Transmittal.** This transmittal is to be retained and filed in the back of this order until it is superseded by a new basic order.

ORIGINAL SIGNED by

John M. Allen
Director, Flight Standards Service

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Chapter 5. Safety Program

Section 1. General

500. Purpose. This chapter outlines the objective, requirements, responsibilities, and elements of the safety program.

501. Objective. The objective of the safety program is to ensure that Federal Aviation Administration (FAA) crewmembers conduct safe flight operations and that FAA Flight Program organizations maintain the highest safety standards.

502. Applicability. The Director of Flight Standards Service, AFS-1 administers the safety program through the Senior Flight Safety Officer (SFSO). The program is applicable to all persons who participate in the FAA Flight Program as a crewmember in an aircraft or a simulator to perform a job function and all managers of organizations having FAA Flight Program participants.

503. Requirements. Every flight program organization will have a written safety program addressing the requirements, responsibilities, and elements outlined in this chapter. For the purposes of this chapter, a flight program organization is any office, staff, service, directorate, center, division, branch, or field office operating FAA aircraft and/or having FAA Flight Program participants. A flight program participant is any person authorized by an FAA Form 4040-7 to act as a crewmember in an FAA aircraft or use an aircraft or simulator to accomplish a job function.

a. Fewer than Five Participants. Organizations with fewer than five participants may develop and maintain a safety program or become affiliated with another flight program organization and operate under the provisions of that organization's program.

b. Simulators Only Programs. Organizations with participants only operating simulators, need to meet the requirements of paragraphs 505a(3) and 506f or g, as applicable.

504. Responsibilities.

a. Participants. All flight program participants must:

- (1) Comply with applicable regulations and the guidance in this order,
- (2) Attend safety meetings and applicable training,
- (3) Emphasize safety awareness,
- (4) Report safety significant events and safety issues, and
- (5) Report accidents and incidents in accordance with the requirements of Title 49 of the Code of Federal Regulations (49 CFR) part 830.

b. Managers. Managers of flight program organizations will:

(1) Assign a Flight Safety Officer (FSO) who reports directly to the organization's manager on matters relating to aviation safety. The assignee must hold an FAA airman certificate. The assignment must be conveyed through a memorandum from the organization's manager to the assignee, noting safety as the Flight Safety Officer's primary or collateral duty. The FSO cannot be a member of flight program management, e.g., Flight Program Coordinator, and flight program management duties cannot be delegated to any FSO.

(2) State the organization's safety program objectives and define what is expected of each participant in the organization's safety program.

(3) Foster a climate that promotes achievement of safety program objectives and enforce high standards of conduct in the organization's flight operations.

(4) Establish a safety committee if the organization has seven or more full-time pilots. A safety committee is recommended but optional for other organizations. A record must be kept of safety committee meetings, recommendations, and management responses to committee recommendations.

(5) Ensure the internal evaluation program is implemented in accordance with chapter 1 and Appendix 15.

c. Flight Program Flight Safety Officers (FPFSO). FPFSO must perform the following functions:

Note: The FPFSO is the person responsible for administering the flight safety program at the national level in each of the six flight programs, e.g., Aviation System Standards, Hangar 6, Aircraft Certification, FAA Academy, the Technical Center, and Flight Standards.

(1) Report to, and advise senior flight program management on flight safety related matters.

(2) Maintain the flight program safety program records.

(3) Coordinate flight program safety issues with the FAA SFSO.

(4) Administer the flight program's Internal Evaluation Program.

(5) Investigate accidents, incidents, and safety significant events (SSE).

(6) Provide proactive leadership regarding safety matters.

(7) Participate in FAA National Safety Council (NSC) meetings and relevant aviation industry flight safety events.

(8) Develop and maintain flight program accident/incident response plan.

d. Facility Flight Safety Officers (FFSO). FFSSO must perform the following functions:

Note: The FFSSO is the person responsible for administering the flight safety program at the facility level within each flight program (e.g., Flight Inspection Field Offices (FIFO), Aircraft Certification Office (ACO), Flight Standards District Office (FSDO), certificate management office (CMO), International Field Office (IFO), Aircraft Evaluation Group (AEG), etc.).

- (1) Report to and advise the facility manager on flight safety-related matters.
- (2) Maintain facility flight safety program records.

Note: Facility flight safety program records are defined as the written flight safety program; safety issue reports; SSE reports; accident/incident reports and response plans; memo assigning FSO; organization's safety program objectives and manager's expectations; safety meeting dates, content, and attendance; and, if applicable, safety committee meeting notes, recommendations, and management responses.

- (3) Facilitate accomplishment of facility safety program objectives and activities.
- (4) Coordinate safety issues with members of the facility and the FPFSO.
- (5) Conduct internal evaluations when directed.
- (6) Conduct facility safety meetings as directed.
- (7) Develop and maintain facility accident/incident response plan addendum.

e. Regional FSOs. Responsibilities of the AFS Regional FSOs are detailed in the AFS Flight Program Flight Operations Manual. Responsibilities of the AIR Directorate/ACO FSOs are detailed in the current edition of FAA Order 4040.26, Aircraft Certification Service Flight Safety Program.

505. Safety Program Elements. Safety programs must contain the following elements:

a. Safety Meetings. Flight program organizations will conduct safety meetings at least quarterly. Safety meetings can be combined with safety seminars, training modules, or equivalent presentations addressing safety. The content and scope of the meetings should be appropriate to the organization's operations. A record of safety meeting dates, content, and attendance must be maintained.

- (1) Participants who operate aircraft must attend safety meetings at least quarterly.
- (2) Participants who are current and qualified as a crewmember in accordance with a 14 CFR part 135 FAA training program do not need to attend quarterly safety meetings.

(3) Participants who operate simulators only and attend safety meetings or briefings in conjunction with air carrier oversight responsibilities need not attend additional safety meetings. Participants operating simulators only and not attending safety meetings or briefings in conjunction with air carrier oversight responsibilities must attend a safety meeting or briefing at least annually.

b. Alternate Means of Compliance. The Senior Flight Safety Officer may approve an alternate means of compliance with the requirements of paragraph 505a.

c. Safety Information. All organizations must:

(1) Maintain aviation safety information, publications, and other safety-related materials, as appropriate, for crewmembers and the aircraft operated.

(2) Review and analyze accident/incident data and information applicable to the organization's participants and flight operations.

(3) Ensure safety information and the organization's safety program are disseminated or made available to program participants.

d. Safety Awareness. Organizations will integrate safety awareness in the organization's procedures, training program, operations, maintenance, and all functions pertinent to flight operations.

e. Safety Issue Reports. Members of the flight program organization must report all safety issues and hazards that could impact the safety of the organization's flight operations or other FAA Flight Program organizations to the organization's FSO. Upon receiving a safety issue report, the FSO will:

(1) Investigate the matter and recommend action to resolve the issue to the manager of the organization.

(2) Forward the report to the appropriate FPFSSO. The report may be forwarded by mail, facsimile, or electronic means in any format and must contain at least the items listed below.

(a) Description of the issue or hazard.

(b) Recommendation for corrective action.

(c) Action taken and/or support requested.

(d) Point of contact if response is requested from the FPFSSO.

(3) The FPFSSO must forward the report to the SFSO.

f. SSE Reports. For safety program reporting purposes, an SSE is any flight or ground event other than an aircraft accident or an incident, as defined in 49 CFR part 830, which affects

or could affect the safety of an FAA aircraft or crewmember. All SSEs, including those incurred in rental aircraft and job task aircraft, must be reported to the FPFSSO as expeditiously as possible. The FPFSSO must forward the report to the SFSO as expeditiously as possible. Data from SSE reports is analyzed to identify practices and trends that impact safety and assist the safety program in developing proactive response measures. The identification of the crewmember or aircraft involved is not required. SSE reports can be made by telephone, mail, facsimile, or electronic means in any format. Crewmembers wishing to ensure complete confidentiality may use the safety hotline, 1-866-230-3679, to make an SSE report. The report should contain at least the following information:

- (1) Description of the event.
- (2) Pertinent circumstances (day, night, local time, weather, type of airspace, communications, other).
- (3) General type of aircraft (single-engine, multiengine, reciprocating, turbine, airplane, rotorcraft, glider, other).
- (4) Causal factors (if known).
- (5) Corrective/preventative action taken or recommended.

Note: The safety hotline should not be used to report an aircraft accident or incident. For reporting procedures for accidents and incidents, see section 2.

506. Training. Flight program organizations are responsible for requesting enrollment for flight program crewmembers in the appropriate courses. Course schedules and quotas should be obtained from the SFSO.

a. Required Training. FSOs must complete the following training:

- (1) Flight Safety Officer Initial Training, course number 12060, or equivalent training approved by ASW-209 and the FPFSSO, as soon as possible after assignment as an FSO.
- (2) Flight Safety Officer Recurrent Technical Training, course number 12061, or equivalent training approved by ASW-209 and the FPFSSO, within two years from the date of initial training and every two years thereafter.

b. Prerequisites. Prior to participation in the flight program, all flight program crewmembers operating aircraft, and AFS crewmembers that conduct testing, checking and evaluating in simulators, must complete one of the following:

- (1) Crew Resource Management (CRM) (Initial), course number 12062, or
- (2) Equivalent training approved by ASW-209 and the FPFSSO, or
- (3) Obtain a CRM training waiver in accordance with paragraph 506h.

(4) Despite the issuance of a waiver, CRM initial training or equivalent training must be completed within 12 months of the crewmembers flight program establish date, or as soon thereafter as course quotas permit.

(5) All flight crewmembers must complete at least eight hours of CRM training approved by SFSO and the FPFSSO, within three years from the date of initial training and every three years thereafter (except four years for flight test engineers).

c. Alternate Courses. Flight Inspection crewmembers may attend Flight Inspection Crew Resource Management (Initial), course number 12064, in lieu of course number 12062, and Flight Inspection Crew Resource Management (Recurrent), course number 12065, in lieu of course number 12036 or 12037.

d. Flight Test Crewmembers Recurrent Training. Flight test crewmembers may accomplish recurrent CRM training by completing course number 12036 or 12037 or equivalent training approved by SFSO and the AIR FPFSSO, including course number 12066, which is scheduled in conjunction with the AIR test pilot school initial and recurrent curriculum.

e. Other Recurrent Training. Flight Standards and FAA Academy crewmembers, and AIR flight test pilots must complete course number 12036 or 12037, or equivalent training approved by SFSO and the FPFSSO, within three years from the date of initial training and every three years thereafter.

f. Part 121 Responsibilities.

(1) Flight Standards crewmembers who are assigned part 121 air carrier certificate responsibilities and receive CRM initial and/or recurrent training under MOU from their assigned air carrier need not accomplish additional CRM training.

(2) Flight Standards crewmembers who are assigned part 121 air carrier certificate responsibilities and do not receive CRM training under MOU from their assigned air carrier must meet the initial and recurrent CRM training requirements by completing course numbers 12062 and 12037.

g. Waivers. A waiver of the CRM training requirements contained in paragraphs 506(b-f) may be granted provided:

(1) Crewmembers requesting a waiver must meet all of the following requirements.

(a) Training must be scheduled for the crewmember in the applicable CRM training course, except for retiring crewmembers (see paragraph 506g(6)), and new-hire crewmembers (see paragraph 506g(7)).

(b) A written request via e-mail or fax for a waiver must be submitted to the appropriate FPFSSO and must contain the following information:

- Name

- Flightcrew number
- Course/class number of scheduled CRM initial or recurrent training

(2) Upon approval of the waiver request by the FPFSSO, the FPFSSO will forward the request via e-mail or fax to the SFSO.

(3) Upon confirmation of the CRM training date, the SFSO will grant the waiver via written notification to the appropriate National Flight Program Manager (NFPM) and office manager. The notification will state the waiver expiration date based upon the projected CRM training completion date.

(4) The NFPM will enter the waiver expiration date as the CRM “Non-Current” date in FACTS, and in the remarks section of FACTS, will enter “CRM Waiver issued on (date) by ASW-209; CRM training is scheduled (date).”

(5) The crewmember’s office manager is responsible for the removal of the comment regarding the waiver from the remarks section after the crewmember completes the course.

(6) Crewmembers who are scheduled to retire within six months of their CRM due date are granted a waiver based on their retirement date. There is no need to schedule or request CRM training for these crewmembers.

(7) For new-hire crewmembers, CRM training waivers are approved upon request to the FPFSSO.

507. Safety Program Support. The SFSO administers the national safety program and supports flight program organizations’ safety programs. The national safety program is responsible for the functions and services listed below. Questions; suggestions; requests for information, materials, or course enrollments; and FPFSSO reports should be directed to the SFSO, whose contact information is listed on the safety program Web site, <https://employees.faa.gov/org/linebusiness/avs/offices/afs/programs/4040safety/>.

a. Distribution of Safety Information. Safety information from safety seminars, symposiums, publications, reports, and data analysis is distributed to FSOs through electronic mail and a quarterly safety telephone conference. Participants can request additional information, materials, or assistance at any time.

b. Data Collection and Analysis. Reports of accidents, incidents, and SSEs involving FAA aircraft and/or FAA crewmembers are entered in a safety program database. Data collected is reviewed and analyzed to identify trends and procedures or practices that could impact the safety of flight program operations.

c. Safety Hotline. The safety hotline, 1-866-230-3679, is for the exclusive use of FAA Flight Program participants. All calls received through the hotline are held confidential. The hotline is located at the office of the FAA SFSO and only safety program staff answer calls. Anonymity and freedom from reprisal are assured. If the caller desires feedback on the issue

reported, provisions for a method of response can be made at the time of the initial call. The SFSO is responsible for appropriate follow-up action on all calls received. Calls placed outside of normal business hours are returned promptly on the next business day.

(1) The purpose of the hotline is to provide flight program participants with a means of reporting concerns or discussing safety issues directly with national safety program staff. The identity of the caller need not be provided. It is for safety issues and SSEs only. The safety hotline should not be used to report incidents or accidents. Those events must be reported in accordance with the procedures outlined in section 2.

(2) Flight program participants are encouraged to use the hotline to share any information that will enhance the safety and efficiency of flight program operations and help preclude mishaps.

d. Program Review and Development. The safety program staff assesses site evaluations, conducts onsite reviews of safety programs, and provides support as required. Assistance with safety program development is provided when indicated and requested by flight program organizations.

e. Training Development. The national safety program is responsible for ensuring the development, delivery, and continuity of CRM and FSO management training. A number of providers and sources are used to present the training, and courseware evolves continuously. The safety program staff actively solicits comments, requests, and recommendations from participants regarding course content and delivery.

f. Safety Awards. The safety program presents awards to individuals who make significant contributions to aviation safety and/or the safety program whenever merited. Nomination of persons deserving national recognition should be forwarded to the SFSO. Additionally, each organization is strongly encouraged to appropriately recognize worthy individuals within the organization's awards program.

508. - 515. Reserved.

Section 2. Accident and Incident Reporting

516. Procedures. All accidents involving an FAA aircraft and FAA crewmembers must be reported in accordance with 49 CFR part 830. This section outlines basic steps that must be completed in the event of an accident or incident involving an FAA aircraft. Each organization may amplify the guidance and include additional procedures, as required, to meet the organization's needs and operating parameters. Each operating organization must provide the disclosure statement in 41 CFR part 102-33, §102-33.165(e) to all crewmembers and qualified non-crewmembers aboard FAA aircraft.

517. Definitions. For the purposes of this chapter, definitions are listed below.

a. FAA Aircraft. All aircraft operated by or for FAA and/or used exclusively in the service of FAA, including airplanes and rotorcraft that are owned, rented, leased, chartered, loaned, under bailment, or otherwise in the possession of FAA for the purpose of flight, ground test, or formal training.

b. Aircraft Accident. An occurrence associated with the operation of an aircraft that takes place between the times any person boards the aircraft with the intention of flight and all such persons have disembarked, and in which any person suffers death or serious injury, or in which the aircraft receives substantial damage.

c. Incident. An occurrence other than an accident associated with the operation of an aircraft, which affects or could affect the safety of operations and requires immediate notification to the NTSB under the provisions of 49 CFR part 830, subpart B.

d. Serious Injury. Any injury which:

(1) Requires hospitalization for more than 48 hours, starting within 7 days from the date the injury was received;

(2) Results in a fracture of any bone (except simple fractures of fingers, toes, or nose);

(3) Causes severe hemorrhages, nerve, muscle, or tendon damage;

(4) Involves any internal organ; or

(5) Involves second or third-degree burns, or burns affecting more than 5 percent of the body surface.

e. Substantial Damage. Damage or failure which adversely affects the structural strength, performance, or flight characteristics of the aircraft, and which would normally require major repair or replacement of the affected component. Items not considered for accident reporting.

(1) Engine failure or damage limited to an engine if only one engine fails or is damaged;

- (2) Bent fairings or cowlings, dented skin, small puncture holes in the skin or fabric;
- (3) Ground damage to rotor or propeller blades; and
- (4) Damage to landing gear, wheels, tires, flaps, engine accessories, brakes, or wingtips.

f. Crisis Response. It is the level of accident response involving Human Resource Management services and family assistance.

g. Originating Office. The office with responsibility for conduct of the flight either through operational control of the aircraft and/or assignment/approval of the PIC or aircraft commander for the flight.

h. Employing Office. The office with direct supervisory responsibility for the affected employee.

i. Originating Regional Operations Center (ROC). Serves the region in which the originating office is located. For the purposes of accident/incident notification, the Mike Monroney Aeronautical Center Operations Center is included in this definition.

j. Nearest ROC. The ROC that serves the FAA region in which the accident/incident occurs.

k. Appropriate NTSB Regional Office. The NTSB regional office that is responsible for the geographical area in which the accident/incident occurs.

l. Operating Organization. An FAA organization that is allocated resources that provide for the authorization of flight hours to conduct any of the official FAA flight programs. These organizations are identified as centers (Mike Monroney Aeronautical Center/FAA Academy; William J. Hughes Technical Center; and Hangar 6); services (Flight Standards Service and Aircraft Certification Service); all levels in Washington headquarters; and the Office of Aviation System Standards.

518. Initial Notification. The person first receiving information regarding an accident/incident involving an FAA aircraft must immediately notify the nearest ROC. (See Figure 5-7, Regions and Aeronautical Center Operations.) The operations center should obtain as much of the information as possible indicated on Figure 5-1, NTSB Notification Checklist, from the person making the report.

a. ROC/Washington Operations Centers (WOC). The ROC receiving initial notification must immediately inform the appropriate NTSB regional office, notify the WOC, and activate the regional accident/incident call list. The WOC will activate the national accident/incident call list and notify the Director, Flight Standards Service, AFS-1. Figure 5-2, FAA Aircraft Accident/Incident Notification Responsibilities, indicates the notification sequence. (See Figure 5-7 for ROC boundaries and phone numbers.)

b. WOC Responsibility. The WOC will immediately notify at least:

- (1) The Administrator and the Deputy Administrator;
- (2) The Associate Administrator for Aviation Safety (AVS-1);
- (3) The Chief Operating Officer of the ATO (ATO-1), and/or the Assistant Administrator for Regions and Center Operations (ARC-1), when applicable;
- (4) NTSB headquarters;
- (5) The Office of Accident Investigation; and
- (6) The Office of Public Affairs.

c. ROC Responsibility. The ROC will immediately notify at least:

- (1) The Regional Administrator;
- (2) The jurisdictional FSDO;
- (3) The applicable regional Flight Standards division;
- (4) The regional public affairs staff; and
- (5) Additional entities required by regional call list.

d. Coordination of Response. AFS-1 is the overall focal point in coordinating FAA response to the accident/incident and activating crisis response/family assistance, if appropriate. AFS-1 will:

- (1) Identify the aircraft's operating organization.
- (2) Notify the originating office and region. (The accident/incident may be reported to a ROC other than the one in the region from which the aircraft originated.)
- (3) Notify the applicable operations center in cases where the aircraft involved originated from the Mike Monroney Aeronautical Center.
- (4) Activate crisis response if serious injuries/fatalities are incurred.

e. Originating Office Manager's Responsibility. When notified of an FAA aircraft accident/incident, the manager of the originating office will immediately initiate the following steps:

- (1) Verify the identity of the FAA aircraft and crew involved.
- (2) Ascertain the status and location of crew and passengers and determine what immediate assistance is needed. (All crewmembers should be provided with a method of recording information similar to the list depicted in Figure 5-3, Crew Checklist.)

(3) Obtain as much of the information indicated on Figure 5-4, Initial Notification Checklist, and the NTSB Notification Checklist as possible.

(4) Evaluate the level of response needed and accomplish the applicable actions in Figure 5-5, Accident/Incident Checklist. Some incidents and events involving an FAA aircraft will not require that all listed items be completed.

(5) Contact the employing offices and/or points of contact listed for passengers and crewmembers not employed by the originating office, if appropriate. (A record of the name and telephone number of an emergency contact for all passengers is required under the provisions of Chapter 2, Section 5, paragraph 253.)

(6) Accomplish the following actions, as applicable:

(a) Monitor recovery operations conducted by the local jurisdiction and offer assistance, if needed.

(b) Assist the local medical examiner in the identification of fatalities.

(c) Ensure, to the fullest extent possible, all possible support services are provided to all victims and their families, including employees of other organizations and nonemployees.

(d) Provide frequent briefings to families on the progress of recovery efforts, identification of victims, and other areas of concern. People contacting family members should realize that today's families might not have traditional boundaries. Every effort should be made to provide support to individuals who consider themselves the family of a victim, even though the law does not formally recognize the relationship, such as in the case of a fiancé or long-time companion.

(e) Provide for the return of victims' personal effects to their families.

(f) Maintain ongoing contact with the victims and their families to provide updates on the progress of the investigation and related matters. While it may be necessary for families to have more than one contact point with the agency, families should do their best to limit the number of contacts per family. After the first few days following an accident, families should designate a point of contact for the purpose of receiving updates and sharing that information with family members.

f. SFSO. The SFSO must notify the Workers Compensation and National Safety Performance Team, AHP-500, by telephone at (202) 267-8425 within 8 hours of being informed of any of the following events (reference the current editions of FAA Order 3900.19, Occupational Safety and Health Program, and DOT Order 3903.1, Occupational Safety and Health: Incident Investigation, Reporting and Recordkeeping).

(1) Any FAA Flight Program incident that is fatal to one or more FAA employees.

(2) Any FAA Flight Program incident that results in the hospitalization of three or more employees involved in the same incident, or which involved property damage of \$100,000 or more.

519. Release of Information. Other than notifications indicated on the Accident/Incident Checklist, no information regarding the accident/incident should be released. In an NTSB investigation, only the NTSB releases information.

520. – 525. Reserved.

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Section 3. Family Assistance Responsibilities

526. Notification of Next of Kin. Following an accident involving injuries and/or fatalities, notification of the victims' families is an immediate priority. To the fullest extent possible, all organizations operating FAA aircraft must have family emergency notification information available for each FAA crewmember (see Figure 5-6, FAA Crewmember Emergency Information Checklist).

a. Initial Notification. Initial notification to family members will be made in person by at least two people from the crewmember/passenger's employing office. The originating office will coordinate with other employing offices, as necessary, in making notifications. If non-FAA employees are involved, the originating office must arrange for notification through the contact identified in the information provided by the person before the flight. The notification must be undertaken as soon as possible.

(1) Family members must be notified before victims' names are released to the public. Families should be given appropriate time to notify other family members and friends before public release of the victims' names.

(2) If facilities are designated for family members' use, family members should be informed of the availability and be provided with all available logistics support.

(3) It may be necessary to request that family members contact their dentist to obtain the victim's dental records and x-rays to assist the medical examiner with the identification process.

(4) When requesting dental information from the family, ensure it is requested at an appropriate time.

(5) The local medical examiner is legally responsible and retains jurisdiction for victim identification and cause of death determinations.

b. Ongoing Support. After the initial notification, persons from the employing office will help the victims families' transition to the support services provided by qualified professional providers. The employing office must provide this service to the victims' families until no longer needed.

527. Crisis Response. If there are serious injuries and/or fatalities in an FAA aircraft accident, AFS-1 initiates crisis response. The initial point of contact for crisis response and family assistance is the Office of Human Resource Management. Regional Human Resource Management Divisions provide more localized assistance. As needed, Human Resource Management will activate an Employee Assistance Program (EAP) team including Critical Incident Stress Debriefings, coordinating appropriate local, regional, and national resources.

a. EAP Services. The EAP is a national contract and can pool team members on a national basis to provide wide geographic coverage and to supply assistance to victims from other agencies in the event of an FAA aircraft mishap involving victims from more than one

agency. The EAP can send a team or person to the accident site. EAP counselors are licensed to provide therapy and can provide professional counseling for the victim, family members, and coworkers.

(1) The EAP provides short-term assistance and referrals to the appropriate community and health care resources for long-term assistance.

(2) The EAP generally provides eight visits; however, its services are tailored to meet the need.

b. Assistance in Obtaining Benefits. Human Resource Management will provide a benefits specialist to work with the employee's supervisor to assist employees and/or families with the completion of forms for medical, disability, retirement, and life insurance claims. The benefits staff ensures that all death claims receive special handling. Claims are usually processed within 45 days for worker's compensation and within 30 days for life insurance.

c. Transportation of Deceased Employees. The FAA will assist families in contacting a mortuary to arrange for transportation of the deceased to the burial site on an appropriate commercial carrier. This service will be coordinated between the employing office and the EAP response team. FAA aircraft cannot be used for this purpose. The mortuary will arrange for the transportation and send the claim to the Office of Worker's Compensation.

d. Transportation of Injured Employees. The provisions for transportation of an injured employee are reviewed in each case. The FAA will assist the victim and/or family to arrange for transportation through coordination between the employing office and the EAP response team.

(1) Transportation back to the point of origin for an injured employee who is able to travel is covered by travel regulations.

(2) Return transportation for an injured employee who is medically unable to travel and requires special transportation such as air ambulance is covered through the Office of Worker's Compensation.

e. Transportation of Nonemployees. To the extent possible, as authorized by the Administrator, nonemployee family members wishing to travel to the accident site or other locations related to the accident aftermath may be provided transportation aboard FAA aircraft.

f. Memorial Services/Memorials. If agency-sponsored memorial services and/or memorials are planned, an FAA representative will consult with victims' family members regarding their wishes. To the fullest extent possible, the agency should honor the wishes of family members regarding memorial services and memorials, including the text of any inscription to be placed on a memorial. In no case should an agency-sponsored memorial service conflict with a service provided by family members.

528. Disposition of Personal Effects. The manager of the employing office or his/her representative will advise families that personal items at the site, identified as belonging to a

specific deceased person, are returned to the family with the body by the medical examiner, if possible. Before return, an inventory list is completed in order to track receipt and transfer of the items.

a. Items from the Aircraft. After an accident, the NTSB assumes responsibility for the accident site. Personal effects that are recovered from the aircraft cabin and cargo areas are stored in a secured area and generally processed later. The NTSB and FAA coordinate the return of personal effects to the victim or victim's family. The manager of the employing office or his/her representative will contact the victim or victim's family and ask how they would prefer the recovered items be returned. The items may be cleaned, left in the condition found, repaired, or, at the family's request, destroyed. The manager of the employing office or his/her representative carries out the desires of the victim or family. The FAA must obtain a signed release from the family if they request the FAA dispose of the items.

b. Unallocated Items. The NTSB and FAA coordinate the return of unallocated items. An inventory is made of items that cannot be traced to a specific victim. The employing office facilitates distribution of the list to the victims' families to aid identification and return of those items.

c. Personal Effects at the Office. Personal effects at the victim's office will be inventoried by at least two people from the office. The office provides the inventory of personal effects to the victim's family. The inventory should include a brief description of each item and note the condition of the items. The FAA must obtain a signed release from the family if they request the FAA dispose of the items.

529. Legal Representation of Crewmembers. If crewmembers and/or their families request legal representation, they should be advised that the FAA provides legal representation for crewmembers involved in an FAA aircraft accident only if the crewmembers' interests are synonymous with those of the agency. The Department of Justice provides legal defense. Crewmembers should make their own arrangements for legal representation if there is any question whether their interests coincide with those of the agency.

530. – 535. Reserved.

Figure 5-1. NTSB Notification Checklist

Information Required by the NTSB	
The following information is to be provided to the NTSB, if available:	
Aircraft Type _____	Aircraft Nationality _____
Aircraft Registration (N#) _____	
Name of Aircraft Owner _____	
Name of Aircraft Operator _____	
Name of the Pilot in Command _____	
Accident/Incident Date _____	Accident/Incident Time _____
Last Point of Departure _____	
Point of Intended Landing _____	
Position of Aircraft (ref. easily defined geographical point) _____	

Number of People On Board _____	
Number of Fatalities _____	Number Seriously Injured _____
Nature of Accident/Incident _____	

Weather _____	
Damage to Aircraft (if known) _____	

Description of any explosives, radioactive materials, or any other dangerous materials on board (if applicable) _____	

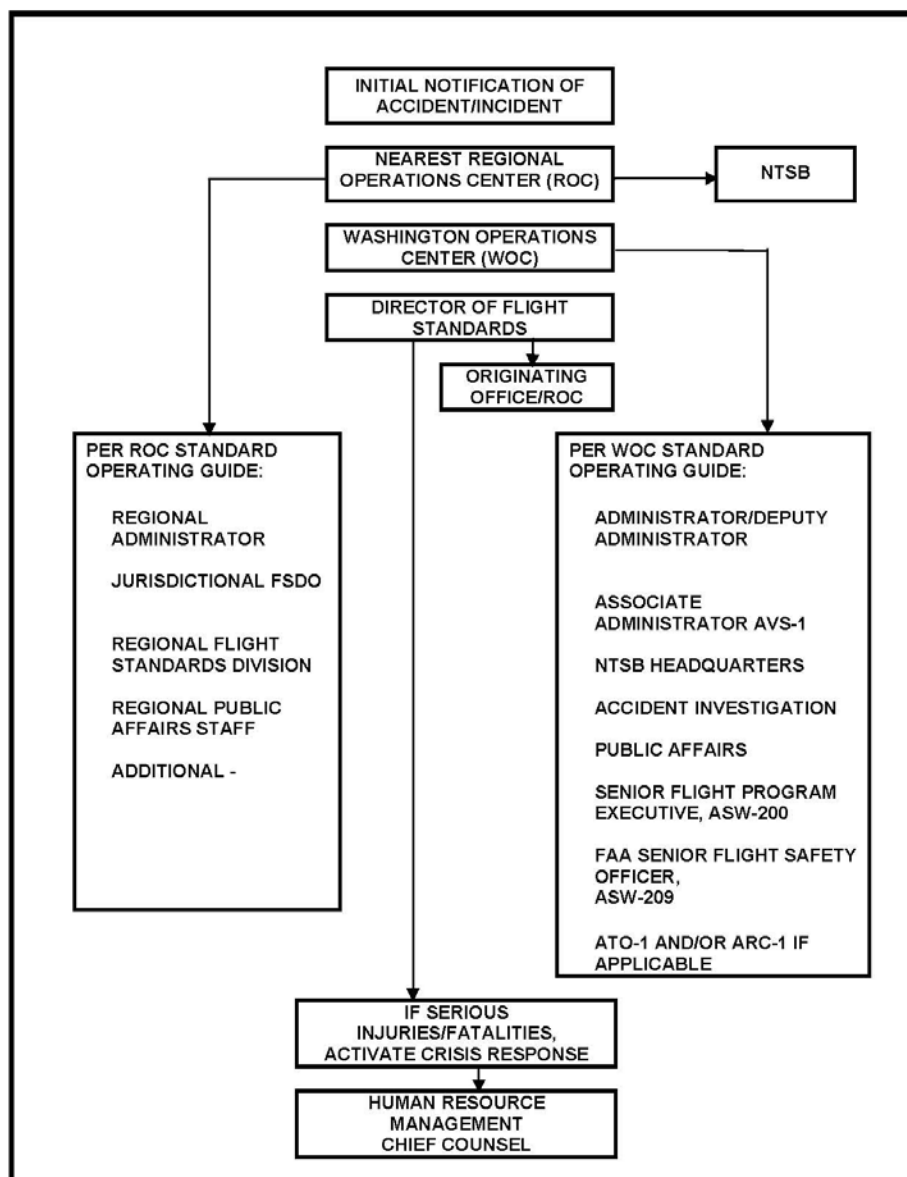
Figure 5-2. FAA Aircraft Accident/Incident Notification Responsibilities

Figure 5-3. Crew Checklist

This basic checklist should be completed by a crewmember at the scene of the accident/incident if possible. Obtaining information regarding the status, condition, and location of crewmembers and passengers will assist in expediting emergency notifications. This is a sample format only. Any appropriate format may be used.

1. Determine the status and condition of all members of the crew and passengers.
2. Assist in any rescue or first-aid efforts in progress.
3. List the condition and location of all personnel being removed from the scene.
4. Contact the office as soon as possible and give all available information listed on the Initial Notification Checklist (Figure 5-4).
5. Refrain from offering opinions or giving nonessential information to unauthorized sources. Contact the employing office for guidance.

SITE SAFETY PRECAUTIONS

Aircraft wreckage sites can be hazardous for many reasons. Personnel involved in the recovery, examination, and documentation of wreckage may be exposed to physical hazards posed by such things as hazardous cargo, flammable and toxic fluids, sharp or heavy objects, and disease. It is important to exercise good judgment, utilize available protective devices and clothing, and use extreme caution when working in the wreckage.

SITE SECURITY PRECAUTIONS

Secure the accident site and arrange for on-going security at the site.

Figure 5-4. Initial Notification Checklist

COLLECT THE FOLLOWING INFORMATION:				
All sections of checklist should be completed if the information is available. Information collected in this checklist may later be used to complete the NTSB Notification Checklist.				
1.	Time of Day:			Date:
2.	Name of Caller:			
3.	Caller's Address:			
4.	Caller's Telephone No:			
5.	Is the caller an eyewitness? (Circle one)	YES	NO	
6.	Location of Accident (city/town, state):			
7.	Aircraft (Color):	N-Number:	Type:	
8.	Local Police Notified? (Circle one)	YES	NO	
	Officer Name/Telephone No:			
9.	Can caller direct emergency equipment to the scene?			
	(Circle one)	YES	NO	N/A
10.	Are there other eyewitnesses? (Circle one)	YES	NO	UNKNOWN
	Name/Telephone No:			
	Name/Telephone No:			
11.	Brief Description of Accident/Incident:			
12.	Number of people on board:			
13.	Number of fatalities:	Number Seriously Injured:		

Figure 5-4. Initial Notification Checklist (Continued)

14.	Name, Location, and Condition of Passenger/Crew/Others Involved:
	Name/Location/Condition: _____
	Name/Location/Condition: _____
	Name/Location/Condition: _____
	Name/Location/Condition: _____
	Name/Location/Condition: _____
	Name/Location/Condition: _____
	Name/Location/Condition: _____
	Name/Location/Condition: _____
	Name/Location/Condition: _____
15.	Purpose of Flight: _____
16.	Name of Pilot In Command: _____
17.	Name of Second In Command: _____
18.	Last Point of Departure: _____
19.	Point of Intended Landing: _____
20.	Weather: _____
21.	Damage to Aircraft: _____
22.	Description of any explosives, radioactive materials, or any other dangerous materials on board (if applicable).

	Comments or Additional Information:

Figure 5-5. Accident/Incident Checklist Accident/Incident Response Actions

This checklist will assist the originating office to complete all required actions.

1. Obtain information on Initial Notification Checklist (Figure 5-4).
2. Notify the regional operations center, if not already reported.
3. Provide operations center with information from NTSB Notification Checklist (Figure 5-1).
4. Secure passenger manifest.
5. Arrange for aircraft wreckage preservation in accordance with 49 CFR, Section 830.10 (below).

49 CFR, SECTION 830.10, PRESERVATION OF AIRCRAFT WRECKAGE

- a. The operator of an aircraft Involved In an accident or incident for which notification must be given is responsible for preserving to the extent practicable any aircraft wreckage, cargo, and mail aboard the aircraft, and all records, including all recording mediums (sic) of the flight, maintenance, and voice recorders, pertaining to the operation and maintenance of the aircraft, and to the airmen until the Board takes custody thereof or a release is granted pursuant to 831.12(b).
- b. Prior to the time the Board or its authorized representative takes custody of aircraft wreckage, mail, or cargo, such wreckage, mail, or cargo may not be disturbed or moved except to extent necessary:
 1. To remove persons injured or trapped,
 2. To protect the wreckage from further damage, or
 3. To protect the public from injury.
- c. Where it is necessary to move aircraft wreckage, mail, or cargo, sketches, descriptive notes, and photographs shall be made, if possible of the original position and condition of the wreckage and any significant impact marks.
- d. The operator of an aircraft involved in an accident or incident shall retain all records, reports, internal documents, and memoranda dealing with the accident or incident, until authorized by the Board to the contrary.

6. Provide timely notification to family members of victims (see notification of next of kin in family assistance responsibilities).
7. If applicable, notify the office of governmental affairs with the necessary information on congressional passengers to facilitate interaction with appropriate congressional officials.

Figure 5-5. Accident/Incident Checklist (Continued)

8. If applicable, notify the Military Liaison Office, AJR-01, at 202-267-9428 or 202-267-3197 to provide for next-of-kin notification if a death or injury involves DOD Personnel.
9. If applicable, notify the Office of International Affairs with the necessary information on foreign passengers to facilitate interaction with appropriate foreign government officials.
10. If applicable, notify the Office of International Affairs with the necessary information on an FAA aircraft accident or incident occurring in a foreign country.
11. Ensure that all flight program crewmembers and employees in the affected organization are notified of the accident/incident.
12. When requested, provide the NTSB the most current reconciled copy of the passenger manifest. Each copy should be annotated so it can be distinguished from previous copies.

Follow-On Items

Coordinate the disposition of personal effects with the victim's family.

Submit NTSB form 6120.1/2 to the NTSB within 10 days after an accident, or within 7 days if an overdue aircraft is still missing.

Submit a report on an incident to the NTSB only if requested by an authorized representative of the board.

Figure 5-6. FAA Crewmember Emergency Information Checklist

FAA CREWMEMBER EMERGENCY INFORMATION CHECKLIST	
To the extent possible, the following information shall be obtained from each crewmember. This information is confidential and should be maintained in a secure location. This is a sample format only. Any appropriate format may be used.	
Name:	_____
Address:	_____ _____
Home Telephone:	_____
Next of Kin:	_____
Address:	_____ _____
Home Telephone:	_____
Work Address:	_____ _____
Work Telephone:	_____
Location of Dental Records:	_____ _____
Remarks:	_____
Secondary Next-of-Kin:	_____
Address:	_____
Home Telephone:	_____
Work Address:	_____
Work Telephone:	_____
Date of Last Review:	_____
Special Instructions:	_____ _____

Figure 5-7. Regions and Aeronautical Center Operations

Region	Telephone Number
HQ	202-267-3333
AAL	907-271-5936
ACE	816-329-3000
BNA FSDO, LOU FSDO, MEM FSDO	
AEA	718-553-3100
CLT FSDO, GSO FSDO	
AGL	847-294-8400
ANE	781-238-7001
ANM	425-227-1999
ASO	404-305-5180
ASW	817-222-5006
JAN FSDO	
AWP	310-725-3300
MMAC	405-954-3583