CHANGE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

8020.11B CHG 1

SUBJ: AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION, INVESTIGATION, AND REPORTING

1. PURPOSE. This change transmits revised pages to the Table of Contents; Chapter 1, General; Chapter 2, FAA Elements involved in Notification, Investigation, and Reporting; Chapter 3, Air Traffic and Other Initial Notification and Reporting Responsibilities; and Appendix 2, Examples of Formal Accident Package and Other Forms Used by Air Traffic Service.

2. DISTRIBUTION. This order is distributed to all Assistant Administrators, Associate Administrators, and heads of offices and services; division level in the offices of Labor and Employee Relations, Personnel, and Environment and Energy; branch level in the offices of Chief Counsel, International Aviation, Public Affairs, Airport Safety and Standards, Civil Aviation Security, Accident Investigation, Aviation Medicine; Aircraft Certification and Flight Standards Services; Air Traffic Airspace Management Program, Planning and Procedures Program, and Resource Management Program; NAS Transition and Implementation; NAS Operations; and Aviation System Standards; regional division level in Operations Center, Regional Counsel, International Aviation Officer, and Public Affairs; regional branch level in Human Resource Management, Certification Directorates, Flight Standards, Aviation Medical, Airway Facilities, Air Traffic, Airports, and Civil Aviation Security; Aeronautical Center division level in Operations Center, Center Counsel, and Public Affairs; and branch level in Civil Aviation Security, Human Resource Management, and FAA Academy; Technical Center division level in Operations Center, Center Counsel, Public Affairs, Civil Aviation Security, and Human Resource Management; and a standard distribution to all field offices and facilities.

3. EFFECTIVE DATE. May 12, 2003.

4. EXPLANATION OF CHANGES. This change:

a. Incorporates editorial changes;

b. Updates Air Traffic procedures related to notification and reporting of accidents and incidents including: transmission of the preliminary accident message (FAA Form 8020-9); numbering of accident packages and file; data collection and certification; clarification of FAA Form 8020-6 procedures; airspace terminology; and spillouts (see Chapter 3); and

c. Reflects recent organizational and procedural changes.

Distribution: A-W-1; A-W(HL/HP/EE/ST) -2;
A-W(GC/IA/PA/AS/CS/AI/IR/FS/TA/TP/TX/NS/OP/VN) -3;
A-X(CC/GC/IA/PA) -2; A-X(HR/CD/FS/AM/AF/AT/AS/CS) -3;
A-Y(CC/GC/PA/CS/HR) -2; A-Y(CS/HR/AY) -3;
A-Z(CC/GC/PA/CS/HR) -2: AAR-400/AAR-422(2 ea); A-FOF-0(STD)

Initiated By: AAT-200

ORDER

8020.11B

AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION, INVESTIGATION, AND REPORTING

August 16, 2000

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Distribution: A-W-1; A-W(HL/HP/EE/ST) -2;
A-W(GC/IA/PA/AS/CS/AI/IR/FS/TA/TP/TX/NS/OP/VN) -3;
A-X(CC/GC/IA/PA) -2; A-X(HR/CD/FS/AM/AF/AT/AS/CS) -3;
A-Y(CC/GC/PA/CS/HR) -2; A-Y(CS/HR/AY) -3;
A-Z(CC/GC/PA/CS/HR) -2; AAR-400/AAR-422(2 ea); A-FOF-0(STD)

Initiated By: AAI-100

5. **DISPOSITION OF TRANSMITTAL.** Retain this transmittal until superseded by a new basic order.

PAGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
iii and iv	.08/16/00	iii and iv	.05/12/03
xi and xii	.08/16/00	xi and xii	.05/12/03
5 thru 6.	.08/16/00	5 thru 6.	.05/12/03
203 thru 206	.08/16/00	203 thru 206	.05/12/03
301 thru 346 (thru 400)	.08/16/00	301 thru 350 (thru 400)	.05/12/03
Appendix 2, 1 thru 66	.08/16/00	Appendix 2, 1 thru 102	.05/12/03

FOR
Steven B. Wallace
Director, Office of Accident Investigation

FOREWORD

This order prescribes Federal Aviation Administration (FAA) procedures and responsibilities for aircraft accident and incident notification, investigation, and reporting. It provides direction and guidance to aviation safety inspectors when they are called upon to perform accident investigations. It also delineates the responsibilities of the FAA and the National Transportation Safety Board when conducting investigations. The order is also used as a training guide for teaching accident investigation courses at the Transportation Safety Institute, Oklahoma City, Oklahoma. All concerned personnel shall familiarize themselves with the provisions of this order that pertain to their operational responsibilities and exercise their best judgment if they encounter situations not covered by the order.

Jane F. Garvey
Administrator

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CHAPTER 1. GENERAL

1. PURPOSE. This order prescribes Federal Aviation Administration (FAA) procedures and responsibilities for aircraft accident and incident notification, investigation, and reporting.

2. DISTRIBUTION. This order is distributed to all Assistant Administrators, Associate Administrators, and heads of offices and services; division level in the offices of Labor and Employee Relations, Personnel, and Environment and Energy; branch level in the offices of Chief Counsel, International Aviation, Public Affairs, Airport Safety and Standards, Civil Aviation Security, Accident Investigation, Aviation Medicine; Aircraft Certification and Flight Standards Services; Air Traffic Airspace Management Program, Planning and Procedures Program, and Resource Management Program; NAS Transition and Implementation; NAS Operations; and Aviation System Standards; regional division level in Operations Center, Regional Counsel, International Aviation Officer, and Public Affairs; regional branch level in Human Resource Management, Certification Directorates, Flight Standards, Aviation Medical, Airway Facilities, Air Traffic, Airports, and Civil Aviation Security; Aeronautical Center division level in Operations Center, Center Counsel, and Public Affairs; and branch level in Civil Aviation Security, Human Resource Management, and FAA Academy; Technical Center division level in Operations Center, Center Counsel, Public Affairs, Civil Aviation Security, and Human Resource Management; and a standard distribution to all field offices and facilities.

3. CANCELLATION. Order 8020.11A, Aircraft Accident and Incident Notification, Investigation, and Reporting, dated August 2, 1991, including Changes 1-4, is canceled.

4. EXPLANATION OF CHANGES. This revision:

a. Advises that the FAA is no longer delegated accident investigation authority by the National Transportation Safety Board (NTSB) and modifies the appropriate accident investigation procedures to reflect this change.

b. Removes any reference to the Federal Aviation Act of 1958 and replaces it with the appropriate reference in Title 49 United States Code.

c. Updates Chapter 4, Section 4, Airway Facilities Service accident/incident investigation procedures.

d. Revises vehicle and pedestrian deviation reporting and investigating procedures contained in Chapters 3 and 6 and includes revised FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report; and FAA Form 8020-25, Investigation of Vehicle or Pedestrian Deviation Report.

e. Revises aircraft accident or incident reporting procedures contained in Chapter 6 and includes FAA Form 8020-23, FAA Accident/ Incident Report.

f. Adds Chapter 12, Commercial Space Mishap Notification, Response, and Investigation, which provides procedures for investigating commercial space mishaps.

g. Transfers the responsibility for collecting and processing near midair collision (NMAC), operational error, and pilot deviation forms from the Office of System Safety to the Air Traffic Resource Management Program.

h. Updates Aircraft Certification Directorate responsibilities in Appendix 1, Part 4.

i. Revises information contained in Appendix 2, Examples of Formal Accident Package and Other Forms Used by Air Traffic.

j. Reflects recent organizational and procedural changes.

5. DEFINITIONS. Definitions associated with FAA licensed commercial space activity can be found in Chapter 12. The following terms, as used in this order, are defined below:

a. Administrator - the Federal Aviation Administrator or any person to whom the Administrator has delegated the authority of the Administrator.

b. Air Carrier - any person or organization who undertakes, whether directly or indirectly, or by lease or any other arrangement, to engage in air transportation and conducts operations in accordance with 14 Code of Federal Regulations (CFR) 121 and 135.

(1) Air Taxi - an aircraft operator who conducts operations for hire or compensation in accordance with 14 CFR 135 in an aircraft with 30 or fewer passenger seats and a payload capacity of 7,500 pounds or less. An air taxi operates on an on-demand basis and does not meet the "flight scheduled" qualifications of a commuter.

(2) Commuter - an air carrier operator operating under 14 CFR 135 that carries passengers on at least five round trips per week on at least one route between two or more points according to its published flight schedules that specify the times, day of the week, and places between which these flight are performed. The aircraft that a commuter operates has 9 or fewer passenger seats and a maximum payload capability of 7,500 pounds or less.

(3) Foreign Air Carrier - any person other than a citizen of the United States who undertakes, directly by lease or other arrangement, to engage in air transportation and conducts its operations within U.S. airspace in accordance with 14 CFR 129.

c. Aircraft - a device that is used or intended to be used for flight in the air. (For purposes of this order, ultralight vehicle accidents and incidents are not investigated as "aircraft.")

d. Aircraft Accident - an occurrence associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight and until such time as all such persons have disembarked, and in which any person suffers death or serious injury, or in which the aircraft receives substantial damage. All aspects of the exceptions to substantial damage (see "Substantial Damage") should be considered before making a final substantial damage determination that would classify the occurrence as an accident.

e. Airworthy - the aircraft must conform to its type certificate and be in condition for safe operation.

f. Armed Forces - the Army, Navy, Air Force, Marines, and Coast Guard of the United States, including their regular and reserve components and members serving without component status.

g. Civil Aircraft - any aircraft other than a public aircraft.

h. Civil Aircraft of the United States - any aircraft registered as provided in Title 49 United States Code.

i. Destroyed Aircraft - an aircraft damaged to the extent that it would be impracticable to return the aircraft to an airworthy condition.

j. FAA Accident Advisor - any FAA employee assigned to assist the U.S.-accredited representative during participation in an aircraft accident investigation being conducted by a foreign country.

k. FAA Coordinator - a job title assigned by the NTSB and military services to the FAA investigator-in-charge (IIC).

l. FAA Accident Participants or FAA Participants - those FAA personnel assigned to assist the FAA and NTSB IIC in an accident or incident investigation.

m. FAA Aircraft - aircraft which is owned, leased, under military bailment, rented by the FAA, or piloted by FAA personnel when in an official FAA capacity.

n. FAA Investigator-In-Charge (IIC) - the FAA inspector/investigator assigned to supervise and coordinate all FAA participants in an accident or incident investigation. In each aviation investigation, the FAA IIC is responsible for the management of all FAA resources at the scene and for determining if the facts of the accident indicate that FAA responsibilities were involved in the occurrence.

o. Fatal Injury - any injury which results in death within 30 days of the accident.

p. Hazardous Materials Incident - an incident that occurs during transportation of the material (including loading, unloading, or temporary storage) in which, as a direct result of any hazardous material:

(1) A person is killed.

(2) A person received injuries requiring hospitalization.

(3) Estimated carrier or other property damage, or both, exceeds $50,000.

(4) Fire, breakage, spillage, or suspected radioactive contamination occurs during shipment of radioactive materials.

(5) Fire, breakage, spillage, or suspected contamination occurs during shipment of etiologic agents.

(6) A situation exists that, in the judgment of the carrier, should be reported to the Department of Transportation (DOT) although the situation does not meet the criteria of paragraphs 5p(1) to 5p(5); e.g., a continuing danger to life exists at the incident scene.

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

r. Industrial Accident - an occurrence that meets the criteria for an aircraft accident, except that there was no intention of flight.

s. Industry Coordinator - the person approved by NTSB or FAA to represent the operator, association, or manufacturer who possesses technical knowledge or expertise necessary to contribute to the accident investigation.

t. Movement Area - the runways, taxiways, and other areas of an airport/heliport which are utilized for taxiing/hover taxiing, air taxiing, takeoff, and landing of aircraft exclusive of loading ramps and parking areas. At those airports/heliports with a tower, specific approval for entry on the movement area must be obtained from air traffic control.

u. Navigation Aid - any facility used in, available for use in, or designated for use in aid of air navigation, including landing areas, lights, any apparatus or equipment for disseminating weather information, for signaling, for radio direction finding, or for radio or other electronic communication, and any other structure or mechanism having a similar purpose for guiding or controlling flight in the air or the landing or takeoff of aircraft.

v. Near Midair Collision (NMAC) - an incident associated with the operation of an aircraft in which the possibility of collision occurs as a result of proximity of less than 500 feet to another aircraft, or a report is received from a pilot or flight crewmember stating that a collision hazard existed between two or more aircraft.

w. Operation of Aircraft - the use of aircraft for the purpose of air navigation and includes the navigation of aircraft. Any person who causes or authorizes the operation of aircraft, whether with or without the right of legal control (in the capacity of owner, lessee, or otherwise) of the aircraft, shall be deemed to be engaged in the operation of aircraft within the meaning of Title 49 United States Code.

x. Operator - any person who causes or authorizes the operation of an aircraft, such as the owner, lessee, or bailee of an aircraft.

y. Pilot Deviation - the actions of a pilot that result in the violation of a Federal Aviation Regulation or a North American Aerospace Defense (Command Air Defense Identification Zone) tolerance.

z. Public Aircraft - an aircraft used only for the United States Government, or owned and operated (except for commercial purposes), or exclusively leased for at least 90 continuous days, by a government (except the United States Government), including a State, the District of Columbia, or a territory or possession of the United States, or political subdivision of that government; but does not include a government-owned aircraft transporting property for commercial purposes, or transporting passengers other than transporting (for other than commercial purposes) crewmembers or other persons aboard the aircraft whose presence is required to perform, or is associated with the performance of, a governmental function such as firefighting, aeronautical research, or biological or geological resource management; or transporting (for other than commercial purposes) persons aboard the aircraft if the aircraft is operated by the Armed Forces or an intelligence agency of the United States. An aircraft described in the preceding sentence shall, notwithstanding any limitation relating to use of the aircraft for commercial purposes, be considered to be a public aircraft for the purpose of this part without regard to whether the aircraft is operated by a unit of government on behalf of another unit of government, pursuant to a cost reimbursement agreement between such units of government, if the unit of government on whose behalf the operation is conducted certifies to the Administrator of the Federal Aviation Administration that the operation was necessary to respond to a significant and imminent threat to life or property (including natural resources) and that no service by a private operator was reasonably available to meet the threat.

aa. Runway Incursion - any occurrence at an airport involving an aircraft, vehicle, person, or object on the ground that creates a collision hazard or results in loss of separation with an aircraft taking off, intending to take off, landing, or intending to land. **NOTE**: There are three categories of runway incursions: operational error, pilot deviation, or vehicle/pedestrian deviation.

bb. Serious Injury - any injury which: (1) requires hospitalization for more than 48 hours, commencing within 7 days from the date an injury was received; (2) results in a fracture of any bone (except simple fractures of fingers, toes, or nose); (3) causes severe hemorrhages, or nerve, muscle, or tendon damage; (4) involves any internal organ; or (5) involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.

cc. 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. Engine failure or damage limited to an engine if only one engine fails or is damaged, bent fairings or cowling, dented skin, small punctured holes in the skin or fabric, ground damage to rotor or propeller blades, and damage to landing gear, wheels, tires, flaps, engine accessories, brakes, or wing tips are not considered substantial damage for the purpose of this order.

dd. Surface Incident - any event during which unauthorized or unapproved movement occurs within the movement area or an occurrence in the movement area associated with the operation of an aircraft that affects or could affect the safety of flight.

ee. Survivable Accident - an accident in which the cockpit and/or structure remains relatively intact and the forces experienced by the occupants did not exceed or should not have exceeded the survivable limits of human G-tolerance. Such an accident is classified as survivable even if some or all occupants were fatally injured. (**NOTE**: the investigator makes his or her greatest contribution to air safety by documenting the reasons why aircraft occupants were fatally or seriously injured in survivable accidents.)

ff. U.S.-Accredited Representative - an individual accredited to represent the United States in foreign accident or incident investigations.

gg. Ultralight Vehicle - a vehicle that:

(1) Is used or intended to be used for manned operation in the air by a single occupant;

(2) Is used or intended to be used for recreation or sport purposes only;

(3) Does not have a U.S. or foreign airworthiness certificate;

(4) If unpowered, weighs less than 155 pounds; or

(5) If powered:

(a) Weighs less than 254 pounds empty weight, excluding floats and safety devices which are intended for deployment in a potentially catastrophic situation;

(b) Has a fuel capacity of not exceeding 5 U.S. gallons;

(c) Is not capable of more than 55 knots calibrated airspeed at full power in level flight; and

(d) Has a power-off stall speed which does not exceed 24 knots calibrated airspeed.

hh. Vehicle or Pedestrian Deviation - any entry or movement on the airport movement area by a vehicle operator or pedestrian that has not been authorized by air traffic control (includes surface incidents involving aircraft operated by nonpilots, such as mechanics).

6. FORMS AND REPORTS. FAA, NTSB, and other forms used for aircraft accident and incident notification, investigation, and reporting are listed in Appendix 1, Part 1, List of Current Forms. Selected, completed examples of these forms can be found in Appendix 2, Examples of Formal Accident Package and Other Forms Used by Air Traffic; and Appendix 3, Examples of Forms and Procedures Used by Flight Standards Service.

7. AUTHORITY TO CHANGE THIS ORDER. Only the Administrator or Deputy Administrator may approve substantive changes to this directive. The Director of Accident Investigation may approve changes except those involving policy, assignment of responsibility, and delegation of authority. Those organizations with aircraft accident and incident notification, investigation, and reporting responsibilities should submit proposed changes or additions to the Office of Accident Investigation.

8. FAA RESPONSIBILITIES IN AIRCRAFT ACCIDENT INVESTIGATIONS. The responsibilities of FAA pertinent to aircraft accident investigations in accordance with Sections 40113 and 44702 of Title 49 United States Code are to:

a. Ensure that all facts, conditions, and circumstances leading to the accident are recorded and evaluated, and action is taken to prevent similar accidents.

b. Promulgate and enforce Federal Aviation Regulations for certificating civil aircraft airworthiness, for certificating airmen and air carriers for competency, and for certifying airports used by air carriers utilizing aircraft with more than 30 passenger seats for compliance with certain safety standards. This responsibility includes the continued surveillance of the airworthiness of aircraft and competence of airmen, air agencies, commercial operators, and air carriers, and the safety of airports. FAA's nine responsibilities in accident investigations are to determine whether:

(1) Performance of FAA facilities or functions was a factor.

(2) Performance of non-FAA owned and operated air traffic control (ATC) facilities or navigational aids was a factor.

(3) Airworthiness of FAA-certificated aircraft was a factor.

(4) Competency of FAA-certificated airmen, air agencies, commercial operators, or air carriers was involved.

(5) Federal Aviation Regulations were adequate.

(6) Airport certification safety standards or operations were involved.

(7) Airport security standards or operations were involved.

(8) Airman medical qualifications were involved.

(9) There was a violation of Federal Aviation Regulations.

c. Support the NTSB by verbally informing the office with jurisdictional accident investigation responsibility of all facts, conditions, and circumstances surrounding an accident in which the NTSB does not participate on scene. The FAA IIC will provide the NTSB with photographs, statements, and other pertinent information necessary for determining probable

cause. The exception is that a written statement about a particular segment of the investigation, i.e., an engine teardown, can be provided to the NTSB.

d. Participate in any civil aircraft accident investigation or any accident investigation conducted by the NTSB that involves both civil and military aircraft so that the Administrator may properly discharge his or her duties and responsibilities in accordance with Title 49 United States Code.

(1) In the case of accidents that involve only military aircraft and when functions of the FAA are or may be involved, the military authorities will provide for investigation participation by the Administrator.

(2) The Armed Forces have developed a joint regulation by mutual agreement to implement Title 49 United States Code (see Air Force Regulation AFJI91-206, Army Regulation 95-30, Operations Navy Instruction 3750.16B, Coast Guard Regulation 307, and Chapter 7).

e. Participate with the NTSB in foreign accident investigations upon request by the State of accident occurrence. International Civil Aviation Organization (ICAO) Annex 13, Aircraft Accident Investigation, provides that such investigations shall be conducted by authorities of the State in which an accident occurs. 49 CFR 831.2(a) excludes the investigation and reporting of aircraft accidents in foreign countries (see Appendix 4).

f. Notify the NTSB, through the FAA IIC, when the NTSB does not participate in the on-scene investigation prior to authorizing NTSB funds.

g. Conduct autopsies and tests of the remains of persons aboard the aircraft at the time of the accident under authority delegated by the Administrator to any medically qualified official or medically qualified FAA employee. Designated aviation medical examiners are not deemed to be FAA officials or employees for this purpose.

9. RESPONSIBILITIES OF REGIONAL DIVISIONS AND AIRCRAFT CERTIFICATION DIRECTORATES IN AIRCRAFT ACCIDENT INVESTIGATIONS. Regional personnel in Air Traffic, Flight Standards, Airway Facilities, Airports, Aviation Medicine, and Civil Aviation Security divisions, the Aircraft Certification Directorates, Regional Counsel, and Public Affairs staff may be required to participate in an accident investigation. During such participation, a representative is designated to coordinate the division, directorate, or staff responsibilities and provide assistance and required reports to the FAA IIC.

10. FAA AND NTSB ACCIDENT AND INCIDENT INVESTIGATION AGREEMENTS.

a. FAA and NTSB have agreed that the following apply when NTSB conducts an investigation:

(1) The investigation is under the control and direction of the NTSB IIC.

(2) FAA shall at all times have a coordinator (FAA IIC) designated as its principal representative until the investigation is complete. The designation of a person as FAA IIC conveys the authority to procure and utilize the services of all needed FAA personnel, facilities, and records. Through this principal representative, NTSB will make available to FAA documents, reports, and other evidence from the investigation and any tentative recommendations so that FAA may immediately take the necessary corrective actions.

(3) Participation of other FAA personnel shall be determined by the FAA IIC. The FAA IIC shall work with the NTSB IIC in coordinating FAA's activities.

(4) FAA personnel assigned to a group shall work under the direction of the group chairperson and remain with the group until that phase of the investigation has been completed or they are released by the NTSB IIC and the FAA IIC.

(5) The NTSB IIC shall inform the FAA IIC of all aspects of the investigation.

(6) Pertinent investigation records and reports shall be made available to FAA in an orderly and timely manner.

b. Additional facts needed by FAA, but not required by NTSB, shall be obtained by the FAA IIC in coordination with the NTSB IIC in a manner that does not interfere with the NTSB investigation. In obtaining such facts, FAA personnel shall clarify that they are not acting under NTSB direction.

c. The NTSB shall investigate all accidents and incidents involving FAA aircraft or airmen. An FAA aircraft is defined as any aircraft which is owned, leased, under military bailment, rented by the FAA, or piloted by FAA personnel when in an official FAA capacity. The FAA shall participate in the NTSB investigation of FAA aircraft accidents and incidents in the same manner as in the NTSB investigation of civil aircraft accidents and incidents.

d. The FAA shall investigate all accidents and incidents involving aircraft piloted by NTSB personnel.

e. FAA procedures for participation in NTSB incident investigations will be the same as for accident investigations.

11. POST-ACCIDENT OR INCIDENT DRUG TESTING. Post-accident drug testing shall be conducted in accordance with current DOT and FAA directives.

12. FAA INVESTIGATOR-IN-CHARGE (IIC). The FAA IIC directs and controls all FAA participation in the investigation until the investigation is completed. FAA activity at hearings and depositions, however, is under the direction and control of the FAA spokesperson that normally represents the Office of Accident Investigation, with assistance from the Office of the Chief Counsel or the Regional Counsel. The FAA IIC reports to AAI-1 through the Manager, Accident Investigation Division, AAI-100. (NTSB and the military service use the term "FAA coordinator" during NTSB or military service-conducted investigations.)

13. FAA PARTICIPANTS.

a. Participants are responsible to the FAA IIC in all matters related to the function(s) assigned by and/or agreed to by the FAA IIC. FAA participants shall not withdraw from the investigation (if assigned to a group) until that phase of the investigation has been completed or they are released by the NTSB IIC and the FAA IIC. Participants shall submit reports if requested by the FAA IIC.

b. Participants may provide information or reports only to members of the investigative team and appropriate FAA management. The FAA IIC shall be made aware of the nature and content of this information.

c. Personnel that represent an FAA element that has been authorized access to the accident scene but have not been assigned as participants are subject to the requirements of paragraphs 13a and b. These personnel shall provide the FAA IIC with reproducible copies of all investigation reports which they prepare or receive.

14. OTHER FAA PERSONNEL. FAA personnel not specifically assigned as participants or support personnel shall not be present at the scene of an accident or incident without knowledge and consent of the FAA IIC.

15. FAA SAFETY RECOMMENDATION PROGRAM. The main purpose of accident and incident investigation is prevention. The FAA Safety Recommendation Program is the process utilized to identify and correct safety deficiencies in the National Airspace System (NAS).

a. Responsibilities of FAA Personnel. FAA inspectors, by virtue of their qualifications and aviation experience, are expected to examine objectively the facts, conditions, and circumstances of an accident or incident and to identify and submit safety recommendations using procedures outlined below. Inspectors, FAA managers, and all other FAA personnel should be alert for issues that warrant corrective actions, whether they arise during an investigation or other duties. Offices that receive safety recommendations shall address them with the thoroughness necessary to respond to the deficiency or to propose alternate actions. In no case will a recommendation be ignored.

b. Recommendation Procedures. Accident or incident prevention recommendations related to deficiencies of design, operation, or maintenance practices or of established standards, procedures, or policies shall be submitted and reviewed as described below.

(1) The inspector, FAA manager, or any other FAA employee shall prepare a memorandum which briefly describes the accident or incident and the deficient areas. Sufficient detail and/or substantiating information should be included so that the reader understands the development of the recommendations. This description will be followed by safety recommendations. A separate recommendation should be written for each issue. If possible, the recommendation should specify how this will resolve the identified safety problem. Recommendations received by an FAA employee from a non-FAA employee may be submitted. However, the FAA

employee submitting the recommendation must agree with the intent of the recommendation and either rewrite the recommendation or attach a cover letter when submitting the recommendation.

(2) The memorandum can be reviewed by the memorandum author's supervisor or other individuals, and additional pro/con statements may be added as attachments or following the memorandum. However, the original memorandum cannot be altered in any way without the specific consent of the author. The memorandum shall clearly indicate the author of the recommendation, his/her business address, and telephone number. No recommendation shall be prevented from going forward to the Office of Accident Investigation.

(3) The memorandum shall be sent to the Federal Aviation Administration, Office of Accident Investigation, Recommendation and Analysis Division, AAI-200, 800 Independence Avenue S.W., Washington, D.C. 20591. This office will acknowledge receipt of the recommendation with a copy to the regional office if requested.

(4) If the inspector or other person submitting the recommendation believes that an emergency situation exists that jeopardizes life or property, then personal or telephone contact should be initiated immediately with AAI-200 and followed up by a written recommendation.

(5) AAI-200 shall review each recommendation, enter it in the office's evaluation program, and forward the recommendation to the FAA action office which must respond to the recommendation.

(6) The FAA action office has 90 calendar days to evaluate the recommendation and forward its response to AAI-200. Safety recommendations deemed as emergency or significant in nature may have suspense dates of less than 90 days. The exact due date will be stated in the transmittal letter to the office assigned responsibility for action. The action office will take one of the following two actions:

(a) Reject the recommendation and explain why.

(b) Accept the recommendation and either describe a plan with proposed milestones on how the recommendation will be implemented, e.g., when an Airworthiness Directive will be issued, or describe what has already been done to address the recommendation, or both.

(7) A Safety Recommendation Review Board (SRRB) chaired by a representative of AAI-200 and composed of a minimum of two other technically qualified persons shall review all responses from the FAA action offices. If the SRRB believes a recommendation has merit and the action office was not responsive to the identified safety issue, additional measures shall be taken by the Office of Accident Investigation to resolve the issue. At a minimum, the responsible FAA action office will be asked to reevaluate the safety recommendation and the reasons for the initial rejection of the recommendation.

(8) A memorandum accepting or rejecting the recommendation will be forwarded to the originator of the recommendation following the final decision of the SRRB.

(9) An annual safety recommendation awards program has been established by the Office of Accident Investigation to recognize outstanding contributions to the promotion of aviation safety.

(10) A safety recommendation entered into the Program Tracking and Reporting System will not be received or acted upon by AAI.

c. Corrective Actions. The authority of the Administrator to conduct investigations to reinspect aircraft and reexamine airmen is given in Sections 40113 and 44701 of Title 49 United States Code. When an investigation reveals actual or suspected deficiencies related to the competency of an FAA-certificated airman, air carrier, commercial operator, airport, or air agency, FAA will undertake corrective actions in accordance with the latest edition of Order 2150.3, Compliance and Enforcement Program. All correspondence on corrective actions that were taken due to accident investigation findings should contain the NTSB accident report number.

16. TRAINING. The following courses offered at the Transportation Safety Institute (TSI), Mike Monroney Aeronautical Center, Oklahoma City, Oklahoma, are the recommended training requirements for FAA personnel who are designated to participate in accident or incident investigations:

a. Aircraft Accident Investigation, Course 00035.

b. Aircraft Accident Investigation, Recurrent and New Technology, Course 00003.

c. Rotorcraft Safety and Accident Investigation, Course 00007. This course is sponsored by TSI and hosted at the Bell Helicopter Company in Hurst, Texas.

d. Human Factors in Accident Investigation, Course 00008.

e. Aircraft Cabin Safety Investigation, Course 00379.

17. REGIONAL SUPPLEMENTS. One copy of each regional supplement to this order shall be sent to AAI-200.

18. - 29. RESERVED.

CHAPTER 2. FAA ELEMENTS INVOLVED IN NOTIFICATION, INVESTIGATION, AND REPORTING

30. OFFICE OF ACCIDENT INVESTIGATION.

a. Director of Accident Investigation. The overall mission of the Office of Accident Investigation is accomplished under the Director who:

(1) Serves as focal point for the Administrator in coordinating with public, private, military, domestic, and international counterparts, and with representatives of accident and incident investigation interests, on those matters under the direct purview of the office.

(2) Reviews and assesses safety programs, operational policies, and activities as they relate to accident and incident investigations and makes recommendations.

(3) Apprises the associate administrators, regions, centers, and other FAA elements on safety issues and programs related to accident and incident investigation findings and analyses.

(4) Coordinates with the Office of the Chief Counsel (AGC) on participation in NTSB hearings.

b. Accident Investigation Division, AAI-100. The Division:

(1) Provides the FAA IIC for NTSB accident and incident investigations and provides specialized technical support to NTSB working groups, as necessary, by arranging for the assignment of headquarters or field specialists.

(2) Conducts independent FAA investigations, as required, in major air carrier accidents or incidents; accidents associated with FAA licensed commercial space activities; significant commuter, air taxi, or general aviation accidents or incidents which reflect a lack of safety consciousness; and accidents and incidents that are catastrophic or involve recurring safety problems.

(3) Conducts investigations of selected NMAC's, operational errors, pilot deviations, runway incursions, and vehicle and pedestrian deviations.

(4) Conducts, at the request of the Director, special aviation safety investigations.

(5) Serves, on behalf of the Director, as the primary FAA element for NTSB interaction.

(6) Provides the FAA spokesperson at all NTSB public hearings.

(7) Serves as the accident and incident investigation liaison with other FAA elements, U.S. departments and agencies, the U.S. military establishment, foreign governments, and the aviation industry.

(8) Reports to the Director and appropriate FAA officials the facts, conditions, and circumstances of accidents and incidents investigated, the apparent causes, and the relationships of those findings to FAA safety programs, regulations, and responsibilities.

(9) Identifies safety issues and corrective action issues that arise from accident and incident investigations which will reduce the likelihood of recurrence and will enhance air safety.

(10) Develops and monitors a system for disseminating within FAA factual information identified as a result of accident and incident investigations.

(11) Assesses techniques and methods of accident and incident investigation and prescribes accident and incident investigation policies, practices, and procedures.

(12) Maintains a duty roster of the 24-hour Office of Accident Investigation duty officer for purposes of coordination and notification.

(13) Operates the FAA Office of Accident Investigation Duty Room, including management of the automated information-dissemination program and the accident and incident briefing program.

c. Recommendation and Analysis Division, AAI-200. The Division:

(1) Manages, on behalf of the Director, a system for FAA responses to NTSB safety recommendations.

(2) Coordinates with DOT on NTSB safety recommendation status and the automation of the NTSB Safety Recommendation Program.

(3) Manages, on behalf of the Director, a system for FAA responses to FAA safety recommendations.

(4) Manages the Accident Investigation Quality Assurance Program and provides reports, information, and recommendations resulting from the program.

(5) Develops and manages accident and incident reporting programs and furnishes accident and incident information to other FAA elements.

(6) Integrates the Accident/Incident Data System, Service Difficulty Reports, and other operational data bases into accident and incident analysis functions in support of specific investigations or trends analysis.

(7) Conducts analyses of air carrier and general aviation accident and incident data to identify trends and safety deficiencies.

(8) Serves as the program manager to provide support and curriculum guidance to TSI's Aircraft Accident Investigation courses.

(9) Provides analytical and research support for litigation for the Office of the Chief Counsel.

(10) Serves as the focal point for NTSB requests other than on-scene requests.

31. OPERATIONS CENTERS. Operations centers alert appropriate offices and assist in the notification process for aircraft accidents and incidents and FAA licensed commercial space activities. When requested, a center establishes communication conferences to obtain, analyze, and disseminate information on accidents and incidents so that all FAA levels are kept informed and decision-making can proceed in a timely manner.

32. AIR TRAFFIC SERVICE. Air Traffic Service participates in the investigation of aircraft accidents and incidents when FAA air traffic control (ATC) or aeronautical communications facilities are involved. Regional Air Traffic (AT) division managers are responsible for ensuring that incidents in their assigned area that involve only AT functions are investigated and reported in a manner that ensures the proper discharge of FAA responsibilities. These same requirements pertain to private, non-Federal facilities. If a facility is operating within the NAS, it must comply with the same rules and regulations as the Federal facility.

33. FLIGHT STANDARDS SERVICE. Flight Standards Service participates in the investigation of aircraft accidents and incidents through the regional Flight Standards (FS) divisions and the Flight Standards District Offices (FSDO).

a. Regional Flight Standards Division.

(1) The manager of the regional FS division is responsible for ensuring that aircraft accidents and incidents that occur in the division's geographical area are investigated and reported to ensure the proper discharge of FAA responsibilities. If an incident involves only AT functions, i.e., AT operational errors or deviations, the regional AT division manager shall assume responsibility for the required investigative and reporting responsibilities in accordance with the latest edition of Order 7210.56, Air Traffic Quality Assurance.

(2) When an aircraft accident or incident occurs in one region's geographical area, but the aircraft continues flight to/through the airspace of another FAA region prior to flight termination, the FS division in the region when the aircraft first lands following the occurrence is responsible for ensuring the accomplishment of FAA responsibilities, except for pilot deviations (see paragraph 84).

(3) The FS division manager also shall:

(a) Determine which accident or incident report files are required and where they should be located to fulfill the division's responsibility.

(b) Include estimates for investigation costs in the annual budgetary "call for estimates."

(c) Submit quarterly reports to the Planning, Information, and Analysis Program, ATX-400, on the NMAC and pilot deviation reports received in the preceding quarters, the status of those reports, and the status of reports open at the beginning of the preceding quarter (see paragraph 260).

b. Flight Standards District Office (FSDO).

(1) The FSDO responsible for the geographical location of an accident or incident is responsible for investigating and reporting such accidents or incidents as assigned by the manager of the regional FS division (see paragraph 33a(2) on multiple region investigation responsibility).

(2) The type of response for accident and incident investigations will vary by type of occurrence and other factors, from delaying departure to the following day to initiating a major investigation immediately.

c. Aviation Data Systems Branch. The Aviation Data Systems Branch, AFS-620, serves as the FAA focal point for the receipt and encoding of general aviation and air carrier accident and incident reports, except for operational errors, near midair collisions, pilot deviations, and vehicle and pedestrian deviations, all of which are maintained by ATX-400. AFS-620 also serves as the office of primary interest for the accident/incident data system. Reports/incidents which meet runway incursion criteria are analyzed and tracked by the Office of Runway Safety, ARI-1, and maintained in its database.

34. AVIATION SYSTEM STANDARDS.

a. Program Director of Aviation System Standards shall ensure that the appropriate Aviation System Standards elements assign personnel to participate in the investigation of accidents and incidents that involve FAA aircraft. The purpose for this participation is to identify noncompliance with and/or inadequacies in FAA standards, policies, and supervision related to the operation and maintenance of FAA aircraft. Additional investigative guidelines are in the latest edition of Order 4040.9, FAA Aircraft Management Program. Aviation System Standards personnel shall report the findings and recommendations to their assigning element. A copy of their report will also be given to the FAA IIC. A verbal report summary and any recommendations will be made to the FAA IIC as soon as possible.

b. Flight Inspection Central Operations Office, AVN-250, shall:

(1) Determine, with the FAA IIC, if flight inspection of facilities shall be made after an accident or incident.

(2) Respond to the FAA IIC or AFAAR requests for flight inspection of facilities.

(3) Ensure that arrangements are made with the appropriate Flight Inspection Office or the International Flight Inspection Office for flight inspection of facilities.

35. AIR TRAFFIC RESOURCE MANAGEMENT PROGRAM. The Air Traffic Resource Management Planning, Information, and Analysis Program, ATX-400, is responsible for collecting, automating, and analyzing operational error, near midair collision, pilot deviation, and vehicle and pedestrian deviation reports.

36. OFFICE OF RUNWAY SAFETY. The Office of Runway Safety, ARI-1, is responsible for evaluating all surface incident reports and making a determination as to whether or not the incident meets runway incursion criteria. Additionally, ARI-1 tracks and maintains all runway incursion data in the Office of Runway Safety database.

37. OFFICE OF AVIATION MEDICINE. The Office of Aviation Medicine provides the expertise to support FAA in the investigation of medical aspects of aircraft accidents. The purpose of this participation is to provide support in the area of accident causation related to pilot incapacitation and also in the area of "crash injury" analysis. The Office of Aviation Medicine will continue to provide pathological and toxicologic services to NTSB without reimbursement in accordance with the existing Memorandum of Agreement between FAA and NTSB.

38. AIRWAY FACILITIES SERVICE. Airway Facilities Service participates in the investigation of aircraft accidents and incidents with respect to the functions of all air navigation facilities, i.e., all ATC facilities and systems as defined in Title 49 United States Code.

39. OFFICE OF AIRPORT SAFETY AND STANDARDS. The Office of Airport Safety and Standards participates in aircraft accident and incident investigations when airport functions are involved. The regional Airports division is responsible for the investigation and completion of reports (FAA Form 8020-25, Investigation of Vehicle or Pedestrian Deviation Report) on all vehicle and pedestrian deviations at airports certificated under 14 CFR Part 139 (see paragraphs 161d and 263). The regional Airports division manager shall submit quarterly reports to ATX-400 on the vehicle and pedestrian deviation reports received in the preceding quarter, the status of those reports, and the status of reports open at the beginning of the preceding quarter (see paragraph 241h).

40. OFFICE OF THE CHIEF COUNSEL. The Office of the Chief Counsel is responsible for all legal services required for FAA functions involved in the investigation of aircraft accidents and incidents and FAA licensed commercial space activities. The legal representative is responsible for all legal services required for FAA functions involved in the investigation of the types of aircraft accidents and incidents in paragraph 170.

41. ASSOCIATE ADMINISTRATOR FOR CIVIL AVIATION SECURITY. The Associate Administrator for Civil Aviation Security provides specialized technical and investigative assistance for enforcement or referral action for aircraft accidents and incidents and FAA licensed commercial space activities that directly involve hazardous material, atmospheric/ radiological material, etiological contamination, or criminal activity. Examples include hijacking, sabotage, explosive incidents, forged certificates, drug trafficking, false markings, and

alien smuggling. Office personnel may also provide assistance in such matters as certification of security clearances, preparation of identification media, handling of classified information, and other matters.

42. AIRCRAFT CERTIFICATION SERVICE. Aircraft Certification Service is responsible for the safety of civil aircraft. This organization consists of the headquarters policy office and four special policy offices called "directorates." Each directorate is responsible for policy under Federal Aviation Regulations covering a particular category of aircraft or aeronautical part (see Appendix 1). The four directorates serve as "geographical directorates" and are responsible for all of the field offices within a geographical area. The field offices are responsible for:

a. Issuing product-type certificates and other design approvals held by manufacturers in the responsible geographic area.

b. Providing engineering specialists to assist in the investigation of aircraft accidents and incidents that raise questions of product design.

c. Developing design-related corrective actions.

43. OFFICE OF PUBLIC AFFAIRS. The Office of Public Affairs and/or the appropriate regional/center Public Affairs staff respond to news media inquiries on FAA functions and responsibilities associated with an aircraft accident or incident or FAA licensed commercial space activity until the NTSB investigation team arrives at the scene. The NTSB becomes responsible for answering all media questions related to the accident itself, circumstances surrounding the accident, and its probable cause. For FAA investigations, media response is the responsibility of the headquarters Public Affairs staff (see Chapter 10).

44. OFFICE OF INTERNATIONAL AVIATION. The Office of International Aviation maintains a current list of countries to which the Department of State will not normally authorize travel by accident investigators unless explicit approval is first obtained from the Office of Aviation, Department of State. Also, when AAI-100 indicates interest in a foreign accident investigation in which the FAA is not entitled to participate under the Chicago Convention, the geographically responsible FAA international representative will, with the local U.S. embassy, attempt to secure an invitation for FAA participation from the civil aviation authority of the crash-scene country.

45. OFFICE OF COMMERCIAL SPACE TRANSPORTATION. The Office of the Associate Administrator for Commercial Space Transportation, as it pertains and relates to mishaps concerning FAA licensed commercial space activities, is responsible for:

a. Developing FAA policy and negotiating and implementing memorandum of agreement(s) (MOA) between the FAA and other Federal, state, and local government agencies concerning the notification, response, and investigation of accidents, incidents, and other identified occurrences.

b. Providing oversight, guidance, and direction to the Licensing and Safety Division (AST-200) concerning the development and promulgation of technical specifications and requirements relative to the implementation of that policy and approved MOA.

c. Identifying and developing FAA/AST mishap notification response and investigation plans and associated documentation relating to FAA licensed commercial space launch activities.

d. Identifying and providing engineering and technical support to the FAA IIC for NTSB and FAA accident and incident investigations conducted under the authority of the Office of Accident Investigation (AAI).

e. Conducting independent FAA/AST investigations.

46. - 59. RESERVED.

CHAPTER 3. AIR TRAFFIC AND OTHER INITIAL NOTIFICATION AND REPORTING RESPONSIBILITIES

60. GENERAL. In order to provide authorities in FAA, NTSB, or the military services with information on aircraft accidents and incidents, notification shall proceed as outlined in this chapter.

a. Any FAA employee who becomes aware of an aircraft accident or incident shall report the facts immediately to the nearest Air Traffic (AT) facility (center, terminal facility, automated flight service station (AFSS), or flight service station (FSS)).

b. Contact from points that are not readily accessible to an AT facility, such as those outside the United States, its territories, and possessions, shall be made through established channels; i.e., Department of State, the FAA Aeronautical Fixed Telecommunications Network, or by any expeditious means appropriate to the accident or incident circumstances.

c. FAA Form 8020-3, Facility Accident/Incident Notification Record, and FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice, are to be used by AT to initiate preliminary notification of aircraft accidents and aircraft incidents, except for emergency evacuations, which require FAA Form 8020-11, Incident Report. Do not use FAA Forms 8020-3 and 8020-9 for AT incidents (see paragraph 64 for description of aircraft accidents and aircraft incidents). If requested by the FSDO, FAA Form 8020-11 will also be completed for selected aircraft incidents.

d. FAA Form 8020-11, Incident Report; FAA Form 8020-17, Preliminary Pilot Deviation Report; FAA Form 8020-21, Preliminary Near Midair Collision Report; and FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report, are to be used to report AT incidents (see paragraph 80 for description of AT incidents and Appendix 2 for copies of the forms).

60-1. FAA CONTRACT TOWER. Unless indicated in the following paragraphs, other FAA orders, or specifically directed by AAI-100, AAT-20 or the FAA IIC, in complying with this order, FAA Contract Towers (FCT) shall follow the same procedures as those outlined below for FAA Air Traffic facilities. This includes, but is not limited to, the preparation and retention of a formal or informal aircraft accident file. The FCT facility shall not forward their formal or informal aircraft accident files, other data, documents, information, notes, recordings, and/or rerecordings, etc., concerning an aircraft accident or incident to the FAA, except as provided in the following paragraphs.

61. OPERATIONS CENTERS. When a notification of an aircraft accident or incident or an Air Traffic incident is received from any source, the Regional Operations Center or Washington Operations Center operations officer shall contact the appropriate offices and representatives for conferences or briefings as necessary.

a. When the reported occurrence is one that requires regional or Washington notification in accordance with paragraphs 64 and 262, the regional operations officer shall set up a telephone conference between the appropriate offices and the notifying party.

b. When telephone notification of an occurrence indicates that the use of a navigational aid may have been involved, the regional operations officer shall confer with the Flight Inspection Central Operations Office, AVN-250, and the appropriate regional Airway Facilities (AF) division. Also, Aviation System Standards (AVN) shall be included whenever notification is received that an FAA aircraft is involved in an accident or incident.

c. The regional operations officer shall immediately notify the appropriate Aviation Medical division after receiving a report of a fatal aircraft accident or a report of an in-flight medical incapacitation of a cockpit crewmember.

d. The regional operations officer shall assist the FAA IIC in establishing conference calls to include the Washington Operations Center, NTSB, manufacturers, Air Traffic, Airway Facilities, Office of Airport Safety and Standards, Civil Aeromedical Institute, Aircraft Certification Directorates, and FAA William J. Hughes Technical Center, as necessary.

e. The Washington Operations Center operations officer compiles all the accident and incident messages received each day for the AAI-100 Duty Room. Each working day, AAI-100 telecopies to AFS-620 a list of accidents derived from the Washington Operations Center compilation.

f. The regional operations officer shall immediately notify the appropriate regional Airports division of accidents and incidents in their region.

g. The Washington Operations Center shall notify the Environment, Energy, and Employee Safety Division, AEE-200, within 4 hours of all incidents covered by Occupational Safety and Health Administration (OSHA) reporting requirements. These incidents include FAA fatalities and/or when three or more FAA employees are involved in an accident and hospitalized on an in-patient basis.

62. NOTIFICATION OF OTHER OPERATIONS CENTERS. Each regional operations officer shall provide information to other regional Operations Centers when events occurring in the regional operations officer's area of responsibility may be of concern to other regions or centers. These events include:

a. Accidents or incidents in which the aircraft operator's operating certificate is held by another region or in which another region has the certification responsibility for that aircraft.

b. Accidents or suspected accidents (overdue and missing aircraft) of aircraft that are carrying prominent persons from another region.

c. Accidents involving injuries or death of FAA personnel from another region.

d. Any other occurrences which, in the opinion of the Regional or Washington Operations Center operations officer, are of official interest.

63. NATIONAL TRANSPORTATION SAFETY BOARD.

a. The NTSB will notify FAA immediately when it receives notification of an aircraft accident or incident from a non-FAA source.

b. If NTSB intends to investigate the accident or incident, it will inform FAA. FAA will provide the FAA IIC's name, location, contact point, etc., to NTSB.

c. Any NTSB requests and replies shall be kept in the AT aircraft accident or AT incident file.

64. AIR TRAFFIC AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION AND REPORTING. An aircraft accident or aircraft incident encompasses all problems related to the aircraft itself; e.g., accidents, emergency evacuations, and in-flight major component failures. An aircraft accident or aircraft incident differs from an AT incident, which includes NMAC's, pilot deviations, vehicle or pedestrian deviations, and other occurrences. AT incidents are discussed in paragraphs 80 to 89. Appendix 2 contains a flowchart summarizing the AT reporting process for aircraft accidents and aircraft incidents.

a. What to Report. AT facilities shall report:

(1) All known and suspected accidents. The Washington Operations Center shall be notified of accidents within 2 hours of the original accident report. An example of a suspected accident is the simultaneous unexplained loss of radio communications and radar contact with an aircraft.

(2) Accidents involving aircraft that departed a foreign country and whose first point of intended landing was in the United States or aircraft that departed the United States for a foreign country. For such accidents:

(a) The completion of FAA Form 8020-3 (see paragraph 64b) and FAA Form 8020-9 (see paragraph 65) shall conclude the initial notification procedures.

(b) If the aircraft accident occurs within the jurisdiction of the United States or while receiving services by an FAA AT facility, prepare a formal accident package in accordance with paragraph 70.

(3) All aircraft incidents, selected criminal acts reported to or by law enforcement agencies, emergency evacuations of aircraft, in-flight major component failures, and any incident that threatened or caused damage or injury to property, aircraft, or persons.

(4) The following special-emphasis accidents or incidents:

(a) Accidents involving well-known people, members of Congress, or Presidential or Vice Presidential aircraft. Secure communications will be used in reporting whenever either of the latter two individuals are on board the aircraft.

(b) Accidents in which hazardous materials are being transported.

(c) Accidents involving U.S.-manufactured aircraft of foreign registry which occur outside the United States, its territories, and possessions.

(d) Other accidents or incidents which the reporting facility or FSDO personnel believe warrant telephone notification of the Washington Operations Center or the Regional Operations Center.

(5) Overdue and missing aircraft when:

(a) Neither communication nor radar contact can be established and 30 minutes have passed since its estimated time of arrival over a specified or compulsory reporting point or at a clearance limit in your area, or its clearance void time.

(b) Information is received that search and rescue procedures have commenced for an aircraft that is not on a flight plan.

b. How to Report.

(1) The AT facility first receiving notification of a known accident or a suspected accident shall make and record initial notification using FAA Form 8020-3, which is a list of contacts (see Appendix 2). Managers shall ensure that copies of FAA Form 8020-3 with telephone numbers inserted are available. Notification to the nearest National Weather Service (NWS) of known or suspected accidents in which any person suffers death or serious injury or the aircraft received substantial damage is mandatory. Unless otherwise outlined in a letter of agreement between the respective region and the NWS, notify the nearest NWS office or forecast center. Initial notification is based on preliminary information. FAA Form 8020-3 is not used for AT incidents. See paragraphs 80 to 89 for reporting AT incidents.

(2) All AT facilities (except AFSS's or FSS's) having geographical jurisdiction over an airport that is supported by an AT facility and/or has a published instrument approach shall develop and maintain a current FAA Form 8020-3 for each such airport. FAA Form 8020-3 is not required for private airports not meeting the above criteria. Those facilities having part-time jurisdiction over airspace designated to another facility shall develop a separate FAA Form 8020-3 for each such facility. Example: Indianapolis Air Route Traffic Control Center (ARTCC) shall have an FAA Form 8020-3 for Evansville Airport Traffic Control Tower (ATCT) and all satellite airports.

(3) The AT facility shall complete and transmit FAA Form 8020-9 (see paragraph 65).

c. Air Traffic facilities shall notify the Air Traffic Investigations Division, AAT-200, of all known and suspected accidents within 2 hours of receiving the original accident report involving any of the following:

(1) Air carrier, air taxi, or commuter aircraft.

(2) Aircraft operating under instrument fight rules (IFR), or special visual flight rules (SVFR).

(3) For all other accidents, the determination of whether AAT-200 notification is necessary or required shall be based on the "level of AT service" (if any) which was being provided to the aircraft, including weather-related accidents when a weather briefing was provided within 24 hours of the accident. Weather briefings include FAA-contracted Direct User Access Terminal Systems (DUATS). The "level of AT service" is used to denote the amount and complexity of service being provided. The determination of the "amount of complexity" of AT service shall be based on the best assessment of the regional AT division in consultation with the facility. Although not all-inclusive, an example of minimum service may be a VFR arrival or departure to or from an airport in class D airspace. A higher level of service may be a separation, sequencing, and/or vectoring to a VFR aircraft within class B airspace.

(4) All aircraft incidents, selected criminal acts reported to or by law enforcement agencies, emergency evacuations of aircraft, and in-flight major component failures.

(5) Accidents involving well-known people, members of Congress, Presidential, or Vice Presidential aircraft. Secure communications will be used in reporting whenever either of the latter two individuals are on board the aircraft.

(6) Accidents in which hazardous materials are being transported.

(7) Overdue and missing aircraft when:

(a) Neither communication nor radar contact can be established and 30 minutes have passed since its estimated time of arrival over a specified or compulsory reporting point or at a clearance limit in your area, or its clearance void time.

(b) Information is received that search and rescue procedures have commenced for an aircraft that is not on a flight plan.

65. COMPLETING AND TRANSMITTING FAA FORM 8020-9, AIRCRAFT ACCIDENT/ INCIDENT PRELIMINARY NOTICE. Immediately after completing telephone notification using FAA Form 8020-3, the reporting AT facility shall compile the required information, complete FAA Form 8020-9, and transmit it. Terminal and/or terminal radar approach control (TRACON) facilities shall provide essential details to the AFSS or associated FSS for transmission of the message. Enter "unknown" for any item unavailable when the message is prepared; e.g., "C unknown."

a. Completing Form 8020-9.

(1) Complete part 1 of FAA Form 8020-9 for all accidents and/or suspected accidents.

(2) Complete part 2 of FAA Form 8020-9 when radio navigational aids, communications equipment, radar-automated systems, or approach lights may have been or were involved. Notify appropriate AF personnel of the facilities potentially involved and use data provided by them to complete FAA Form 8020-9, part 2.

(3) FAA Form 8020-9 shall be updated as new and/or amended information becomes available. Because it is a worksheet, these amendments shall be accomplished simply by placing a single line through the erroneous information and entering the new data. Examples of items commonly amended are the aircraft type, aircraft damage, and location and time of occurrence. For transmitting a second message, see paragraph 65c.

b. Transmitting Form Data (Preliminary Message).

(1) The appropriate ARTCC or AFSS shall transmit the Preliminary Notice message by National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence and shall also transmit by telephone or facsimile for significant accidents (e.g., involving air carriers, air taxis, media interest, or prominent persons) to the Regional Operations Center. The message shall follow the format of FAA Form 8020-9, parts 1 and 2, as appropriate. Also transmit using this format when:

(a) An AT facility receives initial notification more than 24 hours after the aircraft accident.

(b) There is an aerial application (agricultural) or industrial accident.

(2) Address the message to:

(a) NTSB, Washington, D.C.

(b) Washington Operations Center, FAA, Washington, D.C.

(c) FAA regional office with jurisdiction over the area in which the accident occurred. If the aircraft was under the control of an FAA facility in another region, both regions shall be addressed.

(d) Aeromedical Research Division, AAM-600, Mike Monroney Aeronautical Center.

(e) Aviation Data Systems Branch, AFS-620, Mike Monroney Aeronautical Center.

(f) U.S. Air Force Rescue Coordination Center, Langley Air Force Base. Virginia.

(g) El Paso, Texas, Intelligence Center (EPIC).

(h) The appropriate civil aeronautical authority for accidents involving aircraft of Canadian or Mexican registry in accordance with ICAO Annex 13.

(3) Notify the FSDO and the NTSB field office with jurisdiction over the area in which the accident occurred by telephone, facsimile, or in accordance with a regional agreement. A copy of FAA Form 8020-9 shall also be forwarded to the FSDO.

(4) When the facility originating the message is at the same location as one or more of the above offices, immediate delivery of a copy of FAA Form 8020-9 shall be made in accordance with local agreements.

(5) The facility originating the message, if not the facility responsible for preparing the accident file as determined by paragraph 67, shall forward a copy of FAA Form 8020-9 to the responsible facility. If the responsible facility cannot be determined, the regional AT division shall make the determination, notify the responsible facility, and furnish essential information.

(6) When a facility transmits the information from FAA Form 8020-9 for the originating facility, the originating facility shall be provided a copy of the transmittal. When a facility is the transmitting facility only, it is not required to retain the transmittal beyond the requirement for NADIN messages in the latest edition of FAA Order 1350.15, Records Organization, Transfer, and Destruction Standards.

(7) When transmitting information from FAA Form 8020-9 via NADIN, the manager's name and title of the AT facility responsible for compiling the required information (as determined by paragraph 67) shall be included in the format.

(8) When no AT formal or informal file is required, the originating facility is not required to retain FAA Form 8020-9 and/or FAA Form 8020-3 beyond the requirement for NADIN messages as described in the latest edition of FAA Order 1350.15.

c. Transmitting a Second Message.

(1) Send a second message upon locating aircraft wreckage, to revise the original message, or to downgrade the accident to an incident.

(2) Distribute the message to the same addresses as the original message and include a reference to the accident date and aircraft identification number in the original message.

(3) Include the letters "FAA" in FAA Form 8020-9, part B, if the aircraft involved is owned or operated by the FAA, flown by FAA personnel on official duty, or utilized by FAA inspectors performing flight tests.

(4) Enter "unknown" for any item unavailable when the message is prepared; e.g., "C unknown."

(5) Complete FAA Form 8020-9, item F, in all cases. If the name of the FS IIC for the accident is unknown, the office(s) notified should be indicated; e.g., NTSB FTW, SW-FSDO-65.

66. MILITARY NOTIFICATION OF FAA WHEN FAA IS INVOLVED IN A MILITARY AIRCRAFT ACCIDENT. When a military accident occurs and military authorities determine that a function of the FAA Administrator is or may be involved, the commander or the designated representative at the installation involved will transmit by telephone, via the nearest or most convenient FAA facility, all unclassified information. The military will also deliver a complete and final message to the AT facility as soon as possible, normally within 24 hours of the accident. If FAA Form 8020-9 has already been distributed, the FAA facility shall send a second message in accordance with paragraph 65c that would include the new information supplied by the military. The information required from the military is:

a. Date and time of accident, both stated in coordinated universal time (UTC).

b. Location of accident scene based on direction and distance from the military base or prominent geographical location, if known; otherwise, latitude and longitude coordinates.

c. Aircraft type, model, and serial number.

d. Unit to which the aircraft was assigned.

e. Point of departure.

f. Type of AT clearance.

g. Destination.

h. Last known position in flight and/or radio contact with pilot.

i. Security classification of accident, if applicable.

j. Presence of radioactive or hazardous materials, if applicable.

k. Description of accident.

l. Identity of FAA functions involved.

m. If FAA participation is requested by the military.

n. If other investigations will be conducted.

o. Name, telephone number, and address of the military contact.

67. DETERMINATION OF AIR TRAFFIC FACILITY RESPONSIBLE FOR FINAL DATA COLLECTION.

a. The final collection of all accident information will be accomplished by the field facility that meets the following criteria related to the aircraft involved:

(1) Aircraft on instrument flight rules (IFR) flight plans under the control of an FAA-staffed facility: the AT facility with jurisdiction over the flight when the accident occurred.

(2) Aircraft on IFR flight plans under the control of a military-staffed facility: the ARTCC in whose area the accident occurred. The ARTCC will cooperate with the military by furnishing the required information to the assigned investigator through the AT representative (ATREP). The ARTCC shall obtain permission to release documents from the Evaluations and Investigations Staff, AAT-20, through the appropriate regional AT division.

(3) Aircraft not on an IFR flight plan but in communication with an FAA facility: the FAA facility having communication with the aircraft.

(4) Aircraft not in communication with an FAA facility: the last FAA facility having communication with the aircraft.

(5) Other Aircraft: the AFSS with flight planning responsibilities for the area in which the accident occurred.

NOTE: Communication may include two-way radio or telephonic communication with the pilot or inter/intra-facility coordination regarding the flight.

(6) Aircraft that have not communicated with an FAA facility, but have communicated exclusively with an FCT: the last FCT facility having communication with the aircraft.

(7) Aircraft that have communicated with both an FAA facility and an FCT facility:

(a) The last FAA facility having communication with the aircraft will conduct the final collection of all accident information involving FAA facilities. Except as noted in paragraph 70c, no information from an FCT facility will be included in the package.

(b) The last FCT facility having communication with the aircraft will conduct the final collection of all accident information involving FCT facilities. No information from an FAA facility will be included.

b. AT does not need to establish a file for agricultural, ultralight, balloon, and/or industrial accidents unless requested by the regional AT division, AAT-20, or the FAA IIC.

68. NUMBERING OF AIR TRAFFIC FORMAL ACCIDENT FILE/PACKAGE AND INFORMAL ACCIDENT FILE.

a. AT formal accident files and packages, and informal accident files shall be numbered with the facility accident number beginning with the (3-digit) number 001 and continuing in numerical sequence without regard to year. The number shall be preceded by the 3-character facility identifier and the facility type identifier (e.g., ARTCC, TRACON, ATCT, AFSS, FCT). Examples: "ZTL-ARTCC-095," "D10-TRACON-004," "HNL-ATCT-013," "SAT-AFSS-044," and "OLM-FCT-001." Do not use a separate numbering system for formal accident files/packages and informal accident files.

b. FAA facilities retaining information in an AT informal or formal accident file shall use the same accident number being used by the facility preparing the informal or formal accident file (as determined in paragraph 67).

c. FCT facilities retaining information in an Air Traffic informal or formal accident file shall use the same accident number being used by the FCT facility preparing the informal or formal accident file (as determined in paragraph 67).

d. When both FAA and FCT facilities have created an Air Traffic informal or formal accident file, two separate accident file numbers shall be used, an FAA facility number and an FCT facility number.

69. FACILITIES PROVIDING NORMAL OR ROUTINE SERVICES.

a. Facilities that provided normal services to the subject aircraft and did not either have control over the aircraft just prior to or at the time of the accident and/or have pertinent transmissions may, after coordination with the facility responsible for preparing the AT accident file (see paragraph 67), submit a normal service statement.

b. Those facilities providing normal services must provide a statement certified by the facility manager (or manager's designee) that:

"All services provided by (name of facility) were normal and there were no pertinent transmissions."

c. A certified index listing each document being held by the facility to support a normal service statement shall also be included on a separate sheet (see Appendix 2). The certified index shall list every document in the accident file (or package) unless the document is individually certified. The certified index shall be signed by the facility manager using the following format:

"I hereby certify that the following originals are on file in this office."

d. Those facilities providing normal services shall provide FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet), as described in paragraph 74b(11).

70. FORMAL ACCIDENT FILE/PACKAGE DATA COLLECTION. A formal accident file/package is required for all investigations, including military investigations, when AT facilities may be or are involved in the accident.

a. Prepare formal accident files/packages for the following (all of which include military aircraft):

(1) Air carrier, air taxi, and commuter accidents.

(2) Accidents involving aircraft operating under IFR, or special visual flight rules (VFR) which resulted in fatalities or serious injuries.

(3) For all other accidents, the determination of whether a formal accident file/package is necessary or required shall be based on the "level of AT service" (if any) which was being provided to the aircraft, including weather-related accidents when a weather briefing was provided within 24 hours of the accident. Weather briefings include FAA-contracted Direct User Access Terminal Systems (DUATS). The "level of AT service" is used to denote the amount and complexity of service being provided. The determination of the "amount of complexity" of AT service shall be based on the best assessment of the regional AT division in consultation with the facility. Although not all inclusive, an example of minimum service may be a VFR arrival or departure to.or from an airport in class D airspace. A higher level of service may be a separation, sequencing, and/or vectoring to a VFR aircraft within class B airspace.

(a) If it is determined not to prepare a formal accident file/package, the regional AT division may request the facility(ies) to prepare an informal accident file in accordance with paragraph 73.

(b) In the case where no AT service was being provided to the aircraft but AT subsequently became aware of the accident (via notification by police or similar organizations), no formal or informal file/package is required, and all forms and documentation associated with the notification process shall be retained as specified in the latest edition of FAA Order 1350.15.

(4) For any suspected aircraft accidents when wreckage and/or other debris is not immediately located but when there is reason to believe that an accident may have occurred and the accident meets any of the requirements of paragraph 70a.

(5) When requested by AAT-20, the regional AT division, or the FAA IIC.

b. Obtain documentation as follows:

(1) After the preliminary notification (see the latest edition of Order 7210.3), appropriate facilities along the flight route shall be requested to provide pertinent documentation (see paragraph 70b(6)).

NOTE: AFSS's are responsible for the immediate delivery of such a request by telephone or by hand to addresses in the AFSS's flight planning area. The AFSS in whose flight plan area the accident occurs shall deliver the request to each DUATS vendor.

(2) Upon receipt of such a request, AT facilities shall promptly advise the requesting facility if pertinent documentation is available and the date it will be forwarded. Negative replies shall be forwarded within 4 hours. Normal service statements shall be forwarded within 4 administrative days.

(3) Responding facilities shall impound all pertinent original documents and voice recordings, including both interphone and radio communications, and all available computer data. Unless otherwise advised by the AT accident representative, retention shall be in accordance with paragraphs 71, 76, 78, and 79. Facilities shall compare the accuracy of the automated radar terminal system (ARTS) clock with its time source and also compare the voice recorder equipment clock with the ARTS clock. The results of these findings shall be noted on FAA Form 7230-4, Daily Record of Facility Operation.

(4) Particular attention shall be given to the handling of voice recordings to avoid undue wear or damage and to avoid tampering charges. Generally, the playback of such recordings should be limited to the minimum number of times necessary to make recorded copies and to meet the needs of the accident investigators.

(5) Responding facilities shall furnish the requesting facility with five copies of pertinent records, certified indexes, and/or normal service statements.

(6) Examples of pertinent documentation include but are not limited to FAA Form 8020-9; FAA Form 7230-4, Daily Record of Facility Operation; Personnel Logs; FAA Form 7230-10, Position Log (or automated equivalent); facility layout chart; Flight Progress Strips; Pilot Report (PIREP) and weather data; Significant Meteorological Information (SIGMET); Airmen's Meteorological Information (AIRMET); Notice to Airmen (NOTAM); FAA Form 7233-1, Flight Plan; and copies of operations letters, letters of agreement, and facility memoranda. The determination of which information is pertinent will be made by the requesting facility manager.

c. The formal accident file shall contain the formal accident package, original voice recording (see paragraph 78b), at least one certified voice re-recording, FAA Form 8020-9, FAA Forms 8020-24 and 8020-25 (if applicable), and all other pertinent documents and material gathered or created as part of, or subsequent to, the initial investigation unless specifically excluded by Order 8020.11 or in writing by AAT-20. Also, include a copy of transcripts (full or partial, as appropriate) and certified voice re-recordings prepared by all involved FCT's in the FAA Air Traffic formal accident file, not package. No other FCT documents shall be retained in the FAA Air Traffic formal accident file without the permission of AAI-100 and/or AAT-20.

d. The formal accident file shall be labeled as described in paragraph 79a.

e. When notified by Flight Standards that an aircraft accident has been:

(1) Downgraded to an aircraft incident, the responsible AT facility (see paragraph 67) shall assemble an informal accident file instead of a formal accident file.

(2) Determined to be a nonoccurrence, the responsible AT facility (see paragraph 67) shall coordinate with the regional AT division and retain all documentation as described in the latest edition of Order 1350.15.

71. DATA COLLECTION AND CERTIFICATION BY SELECTED FACILITIES.

a. Automated Flight Service Stations, Flight Service Data Processing System (FSDPS) Facilities, and Aviation Weather Processor (AWP) Facilities.

(1) When data are required by an AFSS for inclusion in a formal accident package or file or for use in an accident investigation, the AFSS must request an event reconstruction (EVR) printout from the associated FSDPS or Operational and Supportability Implementation System (OASIS) facility. After initial review by the AFSS, any additional pertinent information must be requested from the FSDPS or OASIS within the 15-calendar-day computer data retention period. When additional pertinent information is needed from the AWP facility to support the accident package or file, the FSDPS facility shall request an EVR from the AWP facility. This request must also be made within the 15-calendar-day computer data retention period.

(2) On receiving an EVR request, the OASIS AFSS, or FSDPS and/or AWP facilities shall:

(a) Conduct an EVR after searching for all contacts with the specific aircraft.

(b) Reduce the computer data to printed form producing two printouts.

(c) Certify one printout as the original and one printout as the copy. The FSDPS and/or AWP facility shall forward them to the requesting AFSS or FSDPS facility. After coordination between the requesting facility and the preparing facility, the FSDPS and/or ASP facility, as an alternative, make the certified copy from the certified original and reduce to 8 ½" x 11" when being copied (OASIS EVR's are printed originally on 8 ½" x 11" paper).

(d) Return the computer recording medium to service 15 calendar days from the date of data extraction unless specific retention instructions are received.

(3) The AFSS shall include the certified copy in the accident file. The certified original copy may be kept in a separate secured area. Because the computer recording medium will be returned to service, the certified original copy is the only remaining official data in the possession of the FAA. The certified original copy shall be retained for the same period as the accident package.

(4) Information that may have been pertinent to the flight, but not actually provided to the flightcrew or operator, shall be obtained and retained separately in the accident file but not as part of the actual accident package. Requests for message text from AWP facilities may be necessary to determine its relevance to the flight.

b. When requested by the FAA IIC, AAI-100, AAT-20, the Air Traffic Division, or the Air Traffic facility responsible for final data collection (see paragraph 67), any Air Traffic facility having any pertinent documentation (i.e., radar data, etc.,) in support of an aircraft accident or incident investigation will retain this documentation in accordance with paragraphs 68 and 79a or 79c. This only applies to Air Traffic facilities, which provided no direct or indirect Air Traffic services to the aircraft in question. Although the Air Traffic facility will maintain an Air Traffic formal or informal file, other documentation as outlined in paragraphs 72 and 73 will not be required.

c. Computer Data Certification.

(1) A certification statement is signed by the manager of the AT or AWP facility or the manager's designee:

"I hereby certify this document is derived from computer recordings from (UTC date and UTC time) to (UTC date and UTC time)."

This certified data becomes the official printed historical document after the recording medium has been returned to service.

(2) A certification statement is signed by the person at the digital aviation weather network (DAWN) or aeronautical information system (AIS) host facility who fulfills the data request:

"I hereby certify this data is derived from the (DAWN/AIS) data received by this facility for the period from (UTC date and UTC time) to (UTC date and UTC time)."

(3) Facilities equipped with the digital voice recorder systems (DVRS) wherein a request is made for a voice re-recording to be provided on a digital audio tape. The certification statement is signed by the person at the facility who fulfills the data request:

"I hereby certify this data is derived from the DVRS data received by this facility for the period from (UTC date and UTC time) to (UTC date and UTC time)."

(4) All requests to the AOS facility automation manager for data will be through the Air Traffic facility manager or designee.

(5) The following statement is signed by the manager of the en route facility when recorded en route host computer data is transferred to a diskette or compact disk read only memory (CD- ROM):

> "Please note that the program we used to transfer this data in the host computer utilizes several control character codes which are not represented by printable characters and may or may not have ASCII equivalents. Therefore, we make no representations regarding the completeness of the data or the exactness of its conformity to previous or future downloads, either paper or electronic, or to the data on the mainframe itself. Please check data closely before using it to make sure that it is suitable to your needs."

d. David J. Hurley Air Traffic Control System Command Center (ATCSCC).

(1) When it has been determined by AAT-20, by a regional AT division, or by the FAA IIC that the ATCSCC may have information pertinent to an accident or incident, the ATCSCC will be requested to retain data, documentation, and/or voice re-recordings in accordance with this order and local directives.

(2) The ATCSCC shall provide data, documentation, and/or voice re-recordings as outlined in paragraphs 69 and 70, or other paragraphs as appropriate.

72. CONTENT, ASSEMBLY, AND DISTRIBUTION OF FORMAL ACCIDENT PACKAGE.

a. Content. The formal accident package shall contain the accident report forms, all pertinent records, personnel statements, transcriptions of voice recordings, charts, operation letters, letters of agreement, and facility memoranda (see Appendix 2). Include items as accident documentation requires. Copies of records from facilities other than the one originally reporting the accident or responsible for the preparation of the package shall be obtained and included in the package, if pertinent.

b. Copies.

(1) FAA facilities providing hard copy documents to the preparing facility shall submit five copies and retain the original. The copies shall be forwarded to the facility preparing the formal accident file/package within 10 calendar days. Copies shall not have original signatures. The facility preparing the accident package shall assemble five packages; i.e., the original and four copies.

(2) FCT facilities shall prepare one copy and retain the original. The copy shall be forwarded as described in paragraph 72e within 10 calendar days. The copy shall not have an original signature.

c. Assembly. Assemble package in a top-fastening hard cover binder with a cover label, dividers, and sections. Affix a gummed label (maximum size 3" x 5") to the front cover. The label shall be clearly marked "AIRCRAFT ACCIDENT PACKAGE" with the facility accident number, aircraft registration or flight number, aircraft type, accident UTC date and UTC time, and the UTC date the package is to be destroyed (the original accident package -- 5 years; copies of the original package -- 2½ years). Include a table of contents page that lists each section number and content. Insert a sheet of plain bond paper between each section with the section number and title of the section centered on the page. If the information called for by a specific section is unavailable or not pertinent, use that section number for the next required item so that the numbers remain in sequence. All information in each section shall be in the chronological order of flight. Every page shall reference the accident number and aircraft registration or flight number. Assemble the package in the following order:

(1) Section 1. Table of Contents (list each section number and content).

(2) Section 2. FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) (see paragraph 74). Each facility having provided AT services or having communication with the subject aircraft shall submit FAA Form 8020-6-1. These forms shall be placed in Section 2 and in the chronological order of flight. Facilities preparing an accident package as a result of paragraph 67a(5) will also prepare FAA Form 8020-6-1 in accordance with paragraph 74b(11). However, the facility will insert the following statement into the chronological summary of flight: "The (3-character facility identifier and the facility type identifier) did not have communications or other contact with the aircraft and is preparing this document in accordance with Order 8020.11, paragraph 67(a)(5)."

(3) Section 3. Certified Indexes and Normal Service Statement(s) (see paragraph 69b). The certified index shall list each item that is retained in its original form in the facility files or package. This shall also include computer data and voice recordings and/or re-recordings being retained as a result of the accident. The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier.

(4) Section 4. FAA Form 7230-4, Daily Record of Facility Operation.

(5) Section 5. Personnel Logs.

(6) Section 6. FAA Form 7230-10, Position Log, or automated equivalent. At a minimum, include those forms that have individuals listed in paragraph 74b(9).

(7) Section 7. Facility Layout Chart (mandatory for ATCT's, TRACON's, ARTCC's, and FCT's only).

(8) Section 8. Airport Diagram. For all airport surface accidents, provide an airport diagram. The airport diagram shall include the name of the airport and, if the diagram is not to scale, include the statement "this diagram not to scale" on the diagram.

(9) Section 9. Flight Progress Strips: FAA Forms 7230-7.1, Terminal-Continuous With Center Perforation; 7230-7.2, Terminal-Continuous Without Center Perforation; 7230-8, Terminal-Cut; 7230-19, ARTCC (Marginally Punched Continuous Strip); 7530-01, Tablatures Machine Continuous Paper; 7230-21, FSS; 7233-5, In-Flight Contact Record, or M1FC In-Flight Contact Record or other automated equivalent.

(10) Section 10. Transcriptions of Voice Recordings (see paragraph 77).

(11) Section 11. FAA Form 8020-3, Facility Accident/Incident Notification Record, (see paragraph 64).

NOTE: Unless requested by AAT-20, the regional AT divisions, or the FAA IIC, all home, cellular, and pager telephone numbers of FAA, airport, military, and emergency personnel/offices shall be obliterated or sanitized from all copies of FAA Form 8020-3. Only the original AT accident file and package and originating AT facility (see paragraph 64), if different from the facility assembling the file and package, will retain these numbers on the original document.

(12) Section 12. Personnel Statements (see paragraph 75).

(13) Section 13. Weather Products: Weather that was pertinent and available to the controller (regardless if issued to the flightcrew) and the source of the weather. This includes but is not limited to PIREP's, SIGMET's, AIRMET's, and weather-related NOTAM's.

NOTE: DAWN, AIS, Model 1 AWP, or OASIS EVR, or copies of weather observation forms must be individually certified by the AT facility responsible for initiating the record. The AT certification shall read: "I certify that this is a true copy of the original which was available to the controller." The certification for AT facilities taking weather observations shall read: "I certify that this is a true copy of the original which has been forwarded to the National Weather Service Records Center."

En route facilities shall obtain pertinent weather information from the center weather service unit which must be certified by AT. AT facilities that take weather observations shall certify the observation form for inclusion in the AT accident package. AT facilities that do not take weather observations shall contact the associated AFSS and request weather information needed. The AFSS will coordinate with the FSDPS or use OASIS to obtain the weather information. The AFSS will provide a certified copy of the weather to the requesting facility.

(14) Section 14. Nonpublished applicable NOTAM's.

(15) Section 15. FAA Form 7233-2, Preflight Briefing Log, or automated equivalent.

(16) Section 16. FAA Form 7233-1, Flight Plan, or automated equivalent.

(17) Section 17. Other. Include any other materials deemed pertinent.

d. Certification of Copies of Original Records (Excluding Tapes). The facility manager or the manager's designee shall certify all copies of original records. The certification may be accomplished by preparing a certified index listing each document or by certifying each document. In both cases, use the following format:

"I hereby certify that the following copies of records are true copies of originals which are on file in this office."

Signature
Name
Title
Name of Facility

e. Distribution.

(1) The FAA facility preparing the accident package shall retain the package with original documentation in the facility files. Original documents (recorded or written) shall not be released from the AT facility's custody without the permission of the AAT-20 manager or the manager's designee. When such permission is received, a memorandum documenting the change of custody shall be placed in the facility file. This memorandum shall state the name, office, approving official, and date the records were forwarded. FAA facilities shall distribute the four complete copies of the package as follows:

(a) Two complete packages to the regional AT division. After review, the regional AT division will forward one copy of the package to AAT-20 within 45 calendar days of the accident.

(b) Two complete packages to the FAA IIC (FSDO or AAI-100, as appropriate) after regional AT division and AAT-20 review. The FAA IIC shall forward one copy to NTSB within 60 calendar days of the accident.

(c) Facilities that prepare a formal accident package as a result of an accident involving military aircraft shall distribute the package in accordance with paragraphs 72e(1) and (2).

(d) Should corrections to the accident package become necessary, all changes shall be distributed in the same manner as outlined in paragraphs 72e(1)(a) and 72e(1)(b). A memorandum from the facility manager shall accompany any change(s) with a complete explanation of the change.

(2) The FCT facility preparing the accident package shall retain the package with original documentation in the facility files. Distribute the copy of the package as follows:

(a) To the regional AT division. After review for compliance with applicable FAA orders and directives, the regional AT division shall forward the one and only copy of the package to AAT-20 within 45 calendar days of the accident. After review for compliance with applicable FAA orders and directives, AAT-20 shall return the one and only copy to the originating FCT facility.

(b) After regional AT division and AAT-20 review, the FCT facility shall forward one copy to NTSB within 60 calendar days of the accident.

(c) Should corrections to the accident package become necessary after the FCT forwards the copy of the accident package to the NTSB, all changes shall be distributed in the same manner as outlined in paragraphs 72e(2)(a) and 72e(2)(b). A memorandum from the FCT facility manager shall accompany any change(s) with a complete explanation of the change.

f. Air Traffic Aircraft Accident Package Certification.

(1) An Information Memorandum addressed to the Air Traffic Regional Division Manager from the Air Traffic Manager, or Acting Air Traffic Manager, of the data collection facility shall be prepared. The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier. This memorandum will certify that the Air Traffic Manager or Acting Air Traffic Manager is attesting to the completeness and accuracy of the entire Air Traffic Aircraft Accident Package. The memorandum will provide the following certification:

> "I hereby certify that the attached Air Traffic Aircraft Accident Package has been reviewed, and it is complete and accurate."

(2) An Information Memorandum addressed to the Manager, Air Traffic Investigations Division, AAT-200, from the Air Traffic Regional Division Manager, or the Air Traffic Regional Division Manager's designee, shall be prepared. This memorandum will certify that the Air Traffic Regional Division Manager, or the Air Traffic Regional Division Manager's designee, is attesting to the completeness and accuracy of the entire Air Traffic Aircraft Accident Package. The memorandum will provide the following certification:

> "I hereby certify that the attached Air Traffic Aircraft Accident Package has been reviewed, and it is complete and accurate."

(3) Both of the original certification memoranda must be attached to the inside cover of the accident package submitted to AAT-200 for review. All copies of the memorandums shall be removed and destroyed 30 days after AAT-200 has completed the review of the Air Traffic Aircraft Accident Package.

73. CONTENT OF INFORMAL ACCIDENT FILE.

a. An informal accident file shall be retained in the facility files. The file shall include the original of:

(1) FAA Form 8020-3 (see paragraph 64).

(2) FAA Form 8020-9 (see paragraph 65).

(3) FAA Forms 8020-6 and 8020-6-1 (see paragraph 74).

(4) FAA Form 8020-11 (as appropriate) (see paragraph 85).

(5) FAA Forms 8020-24 (see paragraph 86) and 8020-25 (see Appendix 1).

(6) Each personnel statement (see paragraph 75).

(7) A certified cassette re-recording and a certified re-recording (marked "Original" to replace the original) (see paragraph 78b).

(8) Include a copy of all transcripts and certified voice re-recordings prepared by all involved FCT's in the FAA Air Traffic informal accident file. No other FCT documents shall be retained in the FAA Air Traffic informal accident file without the permission of AAI-100 and/or AAT-20.

(9) Other pertinent items.

b. Affix a gummed label (maximum size 3" x 5") to the file. The label shall be clearly marked "INFORMAL ACCIDENT FILE" with the facility accident number, aircraft registration or flight number, aircraft type, accident UTC date and UTC time, and the UTC date the file is to be destroyed.

c. Every page shall reference the accident number and aircraft registration or flight number.

74. FAA FORM 8020-6, REPORT OF AIRCRAFT ACCIDENT.

a. General.

(1) FAA Form 8020-6 is used to record and report information about aircraft accidents (see Appendix 2). This information will be used by FAA and other Government investigating bodies.

(2) The form consists of six copies and a cover sheet. The cover sheet should be used for the preparation of a draft report by the specialist or supervisor on duty at the time of the accident. The report shall be typewritten in clear language. Do not use symbols and/or abbreviations. The draft shall be destroyed at the time the typewritten FAA Form 8020-6 is signed. Since the carbon copies are often difficult to read, the facility may elect to photocopy the original typewritten page.

b. Form Instructions.

(1) Report Number. Reports shall be numbered as described in paragraph 68.

(2) Item 1. Aircraft Type and Identification; Item 2. Date/Time of Accident (Greenwich Mean Time; i.e., coordinated universal time or UTC); and Item 3. Location of Accident (i.e., distance to nearest town or airport, distance from runway, location on airport, etc., include state; do not use latitude/longitude). Self-explanatory.

(3) Item 4. Nature of Accident. A brief statement of the nature of the accident shall be included if known. Examples: midair or taxiing collisions, landed with gear up, crashed on final approach. When the information is not known or can only be surmised, enter "unknown."

(4) Item 5. Type of Flight. State briefly the nature of flight and type of flight plan on which the aircraft was operating. Examples: local VFR, cross-country, no flight plan, and IFR flight plan.

(5) Item 6. Flightcrew. Enter the name of each flight crewmember, his or her position (examples: pilot, flight engineer, flight attendant), address (city and State only), and extent of injury. Give extent of injuries as known at time of report preparation. Do not delay report for later information.

(6) Item 7. Passenger Data. Include, if available, names, addresses (city and State only), extent of injuries. Do not include flightcrew information (see Item 6). Do not delay report for later information.

(7) Item 8. Aircraft Damage; Item 9. Property Damage; Item 10. Operational Status of Navigational Aids/Lights/Communication. Self-explanatory.

(8) Item 11. Weather Data. Weather data must be written out in plain language. Numbers shall be spelled out. The first section shall identify what the actual conditions were at the scene of the accident. If conditions/reports are not available at the scene, identify and use the nearest reporting station. If available, use pilot reports. Section 2 shall state the last reported weather prior to the accident. Section 3 shall state the first report subsequent to the accident. Some type of weather report must be included in each section. The time in the larger boxes ("Conditions in Accident Area at Time of Accident," "Report Just Prior to Accident," and "First Report subsequent to Accident") shall be reported in local time. The date and time in the smaller boxes ("Date and Time") shall be UTC date and UTC time. The statement "weather not available" or "not applicable" shall not be used if the date, time, or location of the accident are known.

(9) Item 12. AT Personnel Involved.

(a) List the names of personnel involved (described in paragraph 75a) in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement. Personnel at facilities providing normal service statements are not listed in this section.

(b) All personnel listed in this section shall also have a personnel statement in the accident package. Indicate the position of operation occupied by each person listed. List the facilities involved and if any of the persons listed were accident witnesses. If additional space is needed to list personnel, enter them in item 14, FAA Form 8020-6-1 (see Appendix 2).

(c) The operating initials for each controller shall be typed to the right of their name and enclosed in parenthesis. Type an asterisk to the left of the first set of operating initials and type a notation at the bottom of the name block (see Appendix 2).

(10) Item 13. Signature of AT Manager. The AT manager or the acting AT manager shall sign this block.

(11) Item 14. Chronological Summary of Flight (see FAA Form 8020-6-1). A complete chronological summary of the flight that describes all pertinent communications, emergency assistance, and other AT services provided to the aircraft shall be reported. This information must be correct and supported by the other AT facilities (if appropriate) involved through documentation which may include normal service statements. Use the continuation sheets to list any information for which insufficient space is provided on the first page of the form. Type the accident date accompanied by "ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED." At the end of the written report, type an underscore line completely across the page and under this type "No More Follows" (see Appendix 2).

75. PERSONNEL STATEMENTS.

a. Facilities preparing personnel statements shall:

(1) Obtain statements as soon as possible directly from any person who:

(a) Had any direct responsibility for controlling or communicating with the flight or preparing or handling data related to the flight.

(b) Witnessed any portion of the flight operation.

(c) Was involved in emergency action as a result of the accident.

(d) Provided a weather briefing to the flightcrew within 24 hours of the accident. This statement shall identify the weather and/or other information used in the briefing, the origin of the data, and the effective time.

(2) Ensure that statements include:

(a) The date that the original statement was actually signed.

(b) The person's name, occupation, location of employment, and his or her operating initials used on personnel logs and/or position logs.

(c) Operational equipment configuration; i.e., radar channel, moving target indicator, circular polarization, video map, offset or indicator, runway or approach lights, etc., (collect for aircraft accidents only). If a facility has a diagram of the radar display, setting of radar channel, etc., this diagram may be attached to the personnel statement in lieu of a handprinted description. If a diagram is provided, add the word "Attachment" shall be placed two lines beneath the signature of the person preparing the statement. Statements that do not contain equipment criteria shall have a single sentence stating such. This will allow for the reader to understand that the omission was not an oversight.

NOTE: The reader of the Personnel Statement should be able to determine why the equipment configuration has not been included with the Personnel Statement. Sentences such as "Equipment configuration is not included" do nothing to assist the reader.

(3) Forward five copies of the statement to the facility preparing the accident package. If the facility preparing the statement is also the facility preparing the package, then prepare four copies.

NOTE: It is permissible and encouraged for the Air Traffic facility to review the examples of the personnel statements in Appendix 2 and prepare, in advance, the "typed" portions of the personnel statement. These templates or pretyped personnel statements may be provided to the person preparing the statement to complete as described throughout paragraph 75. However, do not include pre-typed sentences that prompt the individual to mark or otherwise indicate that the individual does not remember what the various settings of the operational equipment were at the time of the accident or incident on the template or pre- typed form.

b. Prior to statement preparation, personnel shall:

(1) Have the opportunity to review voice recordings and other pertinent information.

(2) Be briefed that the statement shall include only:

(a) Statements in the first person; e.g., "I am," "I saw," "I did."

(b) Factual information regarding the aircraft accident or incident. Opinions, conclusions, or other extraneous data shall not be included.

c. Personnel at facilities forwarding normal service statements do not need to provide personnel statements to the requesting facility. However, the facility providing the normal service statement shall retain all personnel statements in an accident file along with all the other supporting documentation.

d. Personnel statements may be a combination of a template and handwritten information. Facilities may prepare a local form (see example in Appendix 2) on which common information is provided, with sufficient space for specific data to be inserted. These data are to be handprinted neatly, in ink, and signed by the person preparing the statement. The signature of the originator certifies the accuracy of the statement. The personnel statement will neither be edited nor typed and, once signed, will constitute the original statement.

e. While preparing the personnel statement, if it becomes necessary to make a correction (due to a misspelled word or other editorial change), the person preparing the statement shall place a single line through the error and initial (actual initials, not operating initials), and date the change to the text. Editorial changes made after the personnel statement has been signed shall be treated as described above. However, any substantial changes or changes that may alter the meaning and/or context shall be treated as an amended personnel statement and attached to the original document. Amended statements are prepared as described throughout this paragraph and shall be clearly marked "Amended Personnel Statement."

76. RE-RECORDING OF VOICE RECORDINGS. Unless otherwise noted, all references to voice recorders (in this paragraph and/or other appropriate paragraphs) shall refer to both analog voice recorders (i.e., reel to reel) and DVRS.

a. To protect original voice recordings from wear and possible damage, arrangements shall be made to re-record all pertinent recordings as soon as possible after an accident. This re-recording shall include all communications pertinent to the accident and the time track, when available, from a period of 5 minutes before the initial contact to 5 minutes after the last contact. Facilities equipped with the DVRS shall archive the call file immediately preceding and immediately after the 5-minute before and after requirement.

NOTE: The term "contact" is not necessarily defined as two-way, completed communication and/or coordination with or about the subject aircraft. Re-recording shall include all communication and/or coordination pertaining to the subject aircraft even if a completed (acknowledged) transmission is not accomplished. This definition may be extended to include transmissions and/or coordination involving search and rescue efforts and "attention all aircraft" broadcasts (i.e., weather advisories, etc.). Due to the infinite number of possibilities involved, facilities shall coordinate questionable exceptions with their respective region. An example of a "contact" that would be included in the re-recording (either 5 minutes before or 5 minutes after) would be attempts by the air traffic control specialist (ATCS) to contact the subject aircraft. If the ATCS keeps calling the call sign of the aircraft, the 5 minutes (either before or after) referred to begins either at the first or last attempt.

b. Use a direct electronic connection between the playback and re-recording equipment to make this re-recording. Do not use the speaker-to-microphone method except at locations where tape units may not have been adapted for electronic takeoff of sound.

(1) Re-recordings shall be made using stereo equipment and digital time if available. Record time on the right track and data on the left track. When stereo capability does not exist, voice time may be recorded simultaneously with other pertinent data on monaural tape. Adjust the volume of the voice time so that pertinent voice transmissions are not blocked out.

(2) Only two certified re-recordings of the original recording should be made. Any additional re-recordings should be made from a certified copy of the original. A memorandum shall accompany any additional re-recordings and at a minimum state the date this re-recording was made and identify for whom it was made. The memorandum shall be prepared in accordance with paragraphs 77d(1)(a) through 77d(1)(d) and refer to "Recordings" instead of "Transcripts." A copy of this memorandum shall be placed in the accident file.

(3) When voice recordings for time periods in excess of that described in paragraph 76a are released via a Freedom of Information Act (FOIA) request, the facility shall also retain a copy and document to whom it was released and by what authority.

c. A voice announcement preceding a re-recording of an original recording shall be made using the following format as necessary to certify the re-recording:

"This re-recording is being prepared by (facility). The subject concerns (type of incident) involving (aircraft identification(s)) on (date, UTC) at approximately (time, UTC). The agencies/facilities involved in this (type of incident) are (agency/facilities name; do not use abbreviations). Positions of operation are recorded in the following sequence: local control, ground control, etc.)."

"I hereby certify that the following is a true re-recording of the original recorded transmissions pertaining to the (type of incident). My name is (name). I am employed as (title) at (facility)."

d. The re-recording of each position of operation will be preceded by a statement identifying the position and the UTC start and stop times of the re-recording as follows:

"This portion of the re-recording concerns communications at the (position) during the period (UTC) to (UTC) on (UTC date)."

e. Conclude the re-recording with:

"This is the end of the re-recording concerning the (type of incident) involving (aircraft identification(s))."

f. All the cassettes on which the re-recordings are made shall be marked clearly with the aircraft accident number, aircraft identification, the UTC date of the occurrence, facility name, and position(s) with the UTC times encompassing each re-recording. All cassettes shall be checked to ensure adequate quality of the voice and time channel recordings.

g. Remove the plastic tabs at the top of the cassette to preclude any further recording on the cassette.

77. TRANSCRIPTION OF VOICE RECORDINGS.

a. Typewritten transcriptions shall be prepared for all formal accident packages or when requested by the FSDO, the AT division, or AAT-20 and shall contain all recorded communications concerning the subject aircraft for a period of 5 minutes before initial contact until 5 minutes after the last contact (i.e., partial transcripts) (see paragraph 76a NOTE). When specifically requested by AAI-100, the AT division, or AAT-20, complete typewritten transcription (i.e., all communications recorded at the specific position regardless of source) shall be prepared for the above time period. The transcription shall consist of all voice and/or interphone transmissions during the defined time period (i.e., full transcripts). Each operational position (i.e., ground control, local control, radar, radar associate, etc.) shall be transcribed separately. Do not integrate different operational positions into the transcription unless requested by the regional AT division or AAT-20. Facilities equipped with the DVRS shall prepare transcripts containing transmissions from the call file immediately preceding and immediately after the 5-minute before and after requirement. Regardless if the facility utilizes an analog voice recorder system or DVRS, the transcript shall reflect all communications as described and prepared in paragraph 76.

b. Those facilities providing normal service statements (see paragraph 69) do not need to provide a transcript unless requested by the regional AT division, AAT-20, or when notified that litigation is pending.

c. When informed that litigation is pending on a particular accident, and upon being instructed by AAT-20, a complete typewritten full transcription shall be prepared and contain all recorded communications for a period of 5 minutes before initial contact until 5 minutes after the last contact with the subject aircraft (see paragraph 76a NOTE). Facilities equipped with the DVRS shall prepare transcripts containing transmissions from the call file immediately preceding and immediately after the 5-minute before and after requirement. Regardless if the facility utilizes an analog voice recorder system or DVRS, the transcript shall reflect all communications as described and prepared in paragraph 76. The full transcription shall consist of all voice or interphone transmissions during the defined time period. Each operational position (i.e., ground control, local control, radar, radar associate, etc.) shall be transcribed separately. Do not integrate different operational positions into the transcription unless requested by the regional AT division or AAT-20. Full transcriptions shall be made from a copy of the voice recording, not the original recording, to protect the original from wear and damage. The original recording may be used to check the transcription.

d. The transcription will be prepared as follows:

(1) The first page shall be an FAA memorandum and contain the following information:

(a) For "Subject," type "INFORMATION: (Full/Partial) Transcript; Aircraft Accident (aircraft identification); (accident location, city, state); (UTC date)."

(b) For "Date," type the date the transcription was certified and signed.

(c) For "From," type name of the facility preparing the transcription, not the facility manager's name.

(d) For "To," type "Aircraft Accident File (facility file number)."

(e) For the first line of the body of the memorandum, type "This transcription covers the (facility) (operational position) position for the time period from (UTC date and UTC time) to (UTC date and UTC time)."

(f) List of facilities, position(s), and/or aircraft making transmissions and the standard abbreviation for each. These shall be listed in chronological order.

(g) Certification by the person making the transcription (not the AT manager unless he or she prepared the transcription) is as follows:

> "I hereby certify that the following is a true transcription of the recorded conversations pertaining to the subject (aircraft accident, near midair collision, etc.) involving (aircraft identification):"

Signature

Name

Title

Name of Facility

(2) Facilities indicated in the transcription shall be abbreviated by using their location identifier followed by the appropriate abbreviation: AFSS, ARTCC, ATCT, FCT, CERAP, FSS, IATSC, IFSS, RAPCON, RATCF, or TRACON. Air carriers shall be indicated by the appropriate company designator from the latest edition of Order 7340.1, Contractions. Air carrier flights shall be indicated by the company designator and the flight number. These should be listed in chronological order.

(3) The transcription shall be single spaced. Each contact shall be separated by triple spacing. If a cardinal minute is indicated between contacts it shall represent one of the triple spaces, and one blank line shall be added (either prior to or after the cardinal minute) to meet the triple spacing requirement. If two or more cardinal minutes are indicated, the triple spacing requirement is met and no blank lines are required. If transmissions of more than one agency/facility (center, tower, FSS, aircraft operations office, etc.) are recorded, each transmission shall be prefaced by the transmitting agency abbreviation. If breaks occur during any contact, indicate by three dashes.

(a) If time-announce systems are present, time entries shall be entered at the beginning of each transmission. When time-announce systems are not present, a remark shall be entered in the certification regarding the timing method used.

(b) If electronically digital time systems are present, time entries including seconds shall be entered to the left of each transmission. All cardinal minutes shall be indicated unless:

(1) A transmission beginning with or extending through a cardinal minute in which case the next cardinal minute shall be indicated (see Appendix 2).

(2) If four or more cardinal minutes have passed without any transmissions. The grouping of the times is optional, however, if used shall be indicated as follows: The minutes being grouped shall be in parentheses and separated by a single dash. Example (1708-1720). The grouped minutes shall have a single cardinal minute on the line immediately above and below the grouped minutes.

(4) The transcription shall be lower case and verbatim. Abbreviations and punctuation (commas, periods, etc.) shall not be used. An apostrophe shall be used to indicate contractions (I've, I'm, etc.). For spoken numbers, spell the numbers out exactly as spoken. If the recording is unintelligible, insert "unintelligible" in parentheses in the proper location. When an interpretation of a garbled word or portion of a word is required, the interpretation shall be enclosed in parentheses and preceded by an asterisk. An asterisked footnote following the transcription shall read:

> "This portion of the re-recording is not entirely clear, but this represents the best interpretation possible under the circumstances."

(5) Additional pages should have the accident number and aircraft call sign or registration number in the upper left corner, with "page (number) of (number)" two lines below this entry.

(6) Center at the end of the transcript, "End of Transcript."

78. RETENTION OF VOICE RECORDINGS.

a. Voice recordings shall be retained as follows:

(1) For an aircraft accident:

(a) Requiring a formal accident file – 5 years.

(b) Requiring an informal accident file – 2½ years.

(2) For an aircraft or AT incident – 2½ years.

(3) For all suspected aircraft accidents or incidents later determined to be a nonoccurrence, the original voice recordings shall be re-recorded on a cassette as outlined in paragraph 76. These cassette rerecordings shall be retained for 45 days.

b. When it is necessary to retain the original voice recording (see paragraph 78c) after the completion of the accident or incident investigation and when it is reasonably certain that satisfactory re-recordings were obtained and that further playback of the original tape is unlikely:

(1) Analog Voice Recorders Only. The AT facility shall remove the pertinent section of the original tape and splice and store that section on a reel, film canister, or other storage medium designated for that purpose. Care shall be taken to document on the storage reel, film canister, or other storage medium that the reel, film canister, or other storage medium is for that purpose, and to list each accident or incident on the reel, film canister, or other storage medium, along with the date to be destroyed, as described in the latest edition of Order 1350.15. Accident and incident tapes may be stored on the same reel. A length of blank tape or white leader tape should be used to separate each accident or incident tape section.

NOTE: Do not cut an original recording when you have been notified of litigation or when a FOIA request has been made to hold the entire tape.

(2) Digital Voice Recorders Only. The AT facility shall transfer the recorded data of all facility channels (i.e., frequencies and/or land lines) on each digital recorder unit from which there are pertinent recording(s) onto a digital audio tape.

c. Unless a formal accident file/package is required (see paragraph 70a), original voice recordings shall be re-recorded on a cassette and certified as the original re-recording. The original voice tape shall be returned to service except as follows:

(1) Original recordings held for FOIA requests shall be held until the time period specified to the requester has elapsed.

(2) Original recordings held at the direction of AAT-20 for the NTSB or the General Counsel shall be held until a written release is obtained.

(3) Use the recording procedure specified in paragraph 76b. Use the following procedures before placing the original tape back in service:

(a) Check the certified re-recording thoroughly for the quality of the voice and time channels.

(b) Certify the re-recording as a re-recording of the original.

(c) Remove the plastic tabs at the top of the cassette to preclude any further recording on the cassette.

(d) Retain the certified re-recording in the accident file, AT incident file, or secure area.

79. RETENTION AND DISPOSAL OF AIRCRAFT ACCIDENT RECORDS. Retain aircraft accident records as follows, as described in the latest edition of Order 1350.15:

a. Formal Accident File Containing Original Documents and Facility Accident Package. The file and any original documents it contains shall be kept in a secure filing cabinet. Original documents in the file may be packed separately. The file shall be clearly marked "ACCIDENT FILE" with the facility accident number, aircraft registration or flight number, aircraft type, accident UTC date and UTC time, and the UTC date the file is to be destroyed. If the file is being held for litigation, it shall be clearly marked as such and the date to be destroyed shall be obliterated. Any FOIA requests and replies shall be kept in the file. The file shall be destroyed 5 years after the accident date except in litigation cases when it shall be held until a written notification is received from AAT-20 that all litigation has been completed. The file shall then be destroyed 30 calendar days from the receipt of the AAT-20 memorandum. In the event that such notification is received prior to 5 years after the accident, retention requirements revert to the provisions of the latest edition of Order 1350.15.

b. Formal Accident Package Containing Copies of Originals. Retain as above except that the date the package will be destroyed shall be 2½ years after the accident date.

c. Informal Accident Files Containing Originals or Copies. Handle as in paragraph 79a except that the date the file will be destroyed shall be 2½ years after the accident date.

d. Computer Data.

(1) For aircraft accidents or incidents. Computer data such as data analysis and reduction tool (DART), continuous data recording (CDR), and National Track Analysis Program (NTAP) shall be extracted onto an electronic storage medium (i.e., diskette, computer diskette – recordable [CD-R], zip diskette, etc.,) after 15 calendar days. After extraction onto the electronic storage medium, the diskette, CD-R, or zip diskette, etc., shall be checked to ensure the completeness and accuracy of the transferred data. The electronic storage medium shall be retained in the Air Traffic Accident File and clearly marked as in paragraph 79a. The data shall be part of the accident file, not the accident package. The computer tape, disks, or disk packs shall be returned to service after 15 calendar days except when holds are placed on it by AAT-20, the AT division, or due to FOIA requests. In these cases, the tape shall be held and clearly marked with "Hold" the reason (FOIA, etc.), the aircraft registration or flight number, and the accident UTC date. The AT facility shall insist instructions for release of a tape being held shall be in writing. When a tape is being held for FOIA requests, obtain a release from AAT-20 after the FOIA hold has expired. This is to ensure that the Office of the Chief Counsel, Litigation Division, is aware of FOIA activity.

(2) For all suspected aircraft accidents or incidents. All computer data shall be retained 45 calendar days.

e. Tapes Removed From Service. A voice or computer tape may be removed from service because of a request by another facility or FAA office for the tape's use in an investigation. If no further data are requested or provided, that tape will be returned to service 90 calendar days after removal from service.

f. FSDPS Facilities. The computer tapes shall be returned to service 15 calendar days after the data reduction.

g. AFSS's. AFSS's shall retain the certified original computer data reduction for 5 years for a formal file.

h. Withdrawn.

i. DAWN or AIS Host Facilities. DAWN or AIS host facilities shall forward the original historical package to the requesting facility 15 calendar days after the date of the accident.

j. DAWN or AIS Facilities Preparing an Accident Package. DAWN or AIS facilities (host and nonhost) preparing an accident package shall, after the 15-calendar-day retention period, place the original data in a file separate from the package and retain the data for the period required for the package being prepared.

80. AIR TRAFFIC INCIDENT NOTIFICATION AND REPORTING. The reporting of AT incidents is accomplished using forms and procedures which are summarized below. Data collection methods are similar to those described earlier for aircraft accidents and aircraft incidents. An AT incident encompasses all problems not affecting the aircraft directly; e.g., NMAC's, pilot deviations, vehicle or pedestrian deviations, and maneuvers by pilots due to an emergency and/or traffic alert and collision avoidance system (TCAS) resolution advisory (RA) that result in a loss of separation. An AT incident differs from an aircraft accident or aircraft incident, which includes accidents, emergency evacuations, in-flight major component failures, and other occurrences. Appendix 2 contains a flowchart summarizing the reporting process for AT incidents.

a. What to Report. AT facilities shall report:

(1) NMAC's.

(2) U.S. Air Force HATR's.

(3) U.S. Army OHR's.

(4) Pilot deviations.

(5) Incidents which adversely affect the capabilities of AT facilities to provide services.

(6) Maneuvers by pilots due to an emergency and/or TCAS RA that result in the loss of separation.

(7) Any other AT incident that, in the opinion of the reporting facility or person, requires notification; e.g., vehicle or pedestrian deviations.

b. How to Report. The following forms and procedures will be used:

(1) FAA Form 8020-21 for NMAC's, HATR's, and OHR's (see paragraphs 81 to 83).

(2) FAA Form 8020-17 for pilot deviations including reckless flying incidents observed by AT (see paragraph 84). For reckless flying incidents not observed by AT but reported to AT, refer the reporter to the appropriate FSDO.

(3) FAA Form 8020-11 for emergency evacuations observed by AT, selected parachute-jumping incidents, maneuvers by pilots due to an emergency and/or TCAS RA that result in the loss of separation, and other incidents which adversely affect the capabilities of AT facilities to provide services (see paragraphs 85, 87, and 88). Do not use FAA Form 8020-11 to report vehicle or pedestrian deviations.

NOTE: TCAS RA occurrences that do not result in the loss of separation are not reportable incidents unless the AT division, AAT-20, or FSDO determines the incident is of such significance that it should be reported on FAA Form 8020-11.

(4) FAA Form 8020-24 is to be used to report vehicle or pedestrian deviations, including those that result in an accident.

(5) Other incidents including forcible seizure of aircraft (hijack), hazardous materials, sonic boom complaints, complaints of noise or damage allegedly caused by civil aircraft, and unidentified flying objects are handled as described in paragraph 89.

c. Methods of Data Collection and Disposal. The methods of data collection for AT incidents parallel that for accidents. Information is given on data collection and certification (paragraph 71), personnel statements (paragraph 75), re-recording, transcription, and retention of voice recordings (paragraphs 76 to 78).

81. NEAR MIDAIR COLLISIONS (NMAC).

a. When a pilot or flight crewmember announces the intent to file a NMAC report, obtain the following information that is requested on FAA Form 8020-21 (see Appendix 2):

(1) UTC date, UTC time, and location of NMAC (Item 1).

(2) Fix or facility nearest NMAC (Item 2).

(3) NMAC location in respect to fix or facility (Item 3).

(4) Aircraft information (Items 4E to 4H and 5E to 5H).

(5) Type of flight rules during NMAC (Item 7).

(6) Aircraft altitude during NMAC (Item 10).

(7) Closest separation during NMAC (Item 16).

(8) Brief description of NMAC and comments (Item 21). This description shall include, however not be limited to, pertinent actions of the pilot(s) involved and Air Traffic control, and pilot's or flight crewmember's comments and/or concerns as reported.

b. If the reporting flight crewmembers desire to be met at their destination, or if it is not feasible to obtain the information via radio, advise them that an attempt will be made to have the flight met. Contact the AT facility at or nearest the flight's destination and request that personnel meet the aircraft and obtain the appropriate information. The normal order of facilities to be contacted to send personnel to meet the aircraft is:

(1) ATCT.

(2) AFSS or FSS.

(3) ARTCC.

(4) FSDO.

c. Make every effort to locate and identify the other aircraft. If the identity of the other aircraft is determined, obtain the same data as from the reporting flightcrew if the flightcrew is on the frequency being used. If the traffic load does not permit this, receive information over an alternate frequency. If the aircraft is not on the frequency, arrange to have the pilot call the AT facility or for an FAA representative to meet the pilot, using the guidelines in paragraph 81b.

d. The reporting facility shall assign a unique 12-character incident report number to each NMAC. The incident report number, to be used only for tracking by FAA, is assigned as follows:

(1) The first character is "N" for NMAC

(2) The second and third characters are the abbreviation of the FAA region in which the deviation occurred.

AL - Alaskan	NM - Northwest Mountain
CE - Central	SO - Southern
EA - Eastern	SW - Southwest
GL - Great Lakes	WP - Western-Pacific
NE - New England	

(3) The fourth character identifies the type of facility completing the form.

C - ARTCC	R - TRACON
Z - FSDO or other	F - AFSS or FSS
T - ATCT	

(4) The fifth through seventh characters are the facility location identifier (e.g., ZNY) or the FSDO identification (e.g., 025). For combined TRACON and ATCT operations, use the appropriate location identifier; e.g., the O'Hare TRACON would use "C90" and the O'Hare ATCT would use "ORD." See the latest edition of Order 7350.6, Location Identifiers.

(5) The eighth and ninth characters are the calendar year in which the NMAC occurred; e.g., 95 for 1995.

(6) The last three characters are the sequential NMAC number for the year by reporting facility; e.g., NMAC's would be numbered 001 to 999 in 1995 at a given facility.

e. Transmit or arrange to be transmitted information from paragraph 81a along with the incident report number in numerical order within three hours of the NMAC notification by:

(1) Telephone, facsimile, or in accordance with a regional agreement to the FS division and the regional FSDO with jurisdiction over the area in which the NMAC occurred.

(2) NADIN message using immediate (DD) precedence to:

(a) Director, Air Traffic Service, AAT-1.

(b) Evaluations and Investigations Staff, AAT-20.

(c) The regional Air Traffic division.

(d) The responsible Air Traffic facility, if appropriate.

(e) Director, Flight Standards Service, AFS-1.

(f) Planning, Information, and Analysis Program, ATX-400.

f. Immediately notify the regional AT division, AAT-20, and the Washington Operations Center through the Regional Operations Center by telephone when any of the following NMAC's occur:

(1) Significant NMAC's (e.g., involving air carriers, air taxis, media interest, or prominent persons).

(2) Civil aircraft when the reported horizontal or vertical separation is less than 100 feet.

(3) Injuries to personnel or structural damage to an aircraft. A NMAC with a fatality is classified as an aircraft accident but shall be reported and documented as an aircraft accident and as an NMAC.

(4) Actual or potential press coverage.

(5) Civil turbojet regardless of the type of flight.

g. The facility providing AT services, regardless of airspace, to the reporting aircraft at the time of the occurrence shall:

(1) Remove the tapes and make a certified cassette re-recording and a certified re-recording to replace the original marked "Original" (see paragraph 78c) of all voice transmissions pertaining to the NMAC from 5 minutes before to 5 minutes after the occurrence.

NOTE: When pertinent recorded telephone conversations (see Order 7210.3, paragraph 3-3-2d) will assist the investigation, these re-recordings shall be included.

(2) Obtain personnel statements from all ATC personnel involved in the NMAC.

(3) Obtain, when possible, an NTAP or a data reduction plot for 2 minutes before until 1 minute after the NMAC.

h. Complete FAA Form 8020-21 from tape recordings and statements. Attach all the pertinent data; e.g., transcriptions (when requested) and statements. Keep the original and mail one copy each by first class mail within 10 calendar days of the NMAC notification to the:

(1) Regional Air Traffic division.

(2) Regional Flight Standards division.

(3) FSDO responsible for the investigation.

(4) Planning, Information, and Analysis Program, ATX-400.

i. If a facility learns of an NMAC report more than 15 calendar days after it was reported to have occurred (i.e., when the tapes may no longer be available), conduct an investigation based on the data available.

j. Only a pilot or flight crewmember can file an NMAC report. Information received from sources other than the pilot or flightcrew should be thoroughly investigated. Depending on the outcome of the investigation, process the occurrence as appropriate; i.e., operational error, Air Traffic incident, nonoccurrence, or pilot deviation, etc..

k. Complete FAA Form 8020-19 to correct a NMAC report number (see Appendix 2). Keep the original of FAA Form 8020-19 and distribute copies as soon as possible by mail to all recipients of the corresponding FAA Form 8020-21 (see paragraph 81h).

l. The facility shall retain the NMAC file for 2½ years, as described in the latest edition of Order 1350.15, unless the regional AT division or AAT-20 requests otherwise. The file shall contain the original FAA Form 8020-21, the original AT employee witness statements and other supporting documents, a certified cassette re-recording, the certified re-recordings (see paragraph 81g(1)), and other original data from which information was provided to the investigating FSDO or regional counsel. Affix a gummed label (maximum size 3" x 5") to the file. The label shall be clearly marked "NEAR MIDAIR COLLISION REPORT" with the report number, the reporting aircraft registration or flight number, aircraft type, incident UTC date and UTC time, and the UTC date the file is to be destroyed.

82. U.S. AIR FORCE (USAF) HAZARDOUS AIR TRAFFIC REPORTS (HATR).

a. Program and Reportable Events.

(1) The HATR program is the USAF system for collecting information on NMAC's and other hazardous AT situations. This program complements but does not replace similar reporting programs sponsored by the National Aeronautics and Space Administration (NASA) and the FAA.

(4) Type of flight rules at time of deviation (Item 6).

(5) Aircraft altitude when deviation detected (Item 16).

(6) Brief description of deviation and comments (Item 28).

f. Transmit or arrange to be transmitted information from paragraph 84e in numerical order within 12 hours of the detection of a pilot deviation by:

(1) Telephone, facsimile, or in accordance with a regional agreement to the regional FS division and the FSDO with jurisdiction over the area in which the pilot deviation occurred.

(2) NADIN message using immediate (DD) precedence to the:

(a) Air Traffic Service, AAT-1.

(b) Evaluations and Investigations Staff, AAT-20.

(c) Regional Air Traffic division.

(d) Flight Standards Service, AFS-1.

(e) Planning, Information, and Analysis Program, ATX-400.

g. For significant pilot deviations (e.g., involving air carriers, air taxis, or prominent persons), immediately notify the regional AT division, AAT-20, and Washington Operations Center through the Regional Operations Center by telephone.

h. Complete FAA Form 8020-17 from tape recordings and statements. Attach all the pertinent data; e.g., transcriptions (when requested). A copy of FAA Form 8020-17 distributed to the FSDO responsible for the investigation should include a voice re-recording as an attachment. Keep the original and mail one copy each by first class mail within 10 calendar days of the detection of the pilot deviation to the:

(1) Regional Air Traffic division.

(2) Regional Flight Standards division.

(3) Flight Standards District Office responsible for the investigation.

(4) Planning, Information, and Analysis Program, ATX-400.

i. For pilot deviations involving U.S. Army and Navy pilots, send one copy of FAA Form 8020-17 to the appropriate regional AT division military representative and two copies to the applicable military service as follows:

(1) Army: U.S. Army, Fort Belvoir, VA.

(2) Navy: Chief of Navy Operations (OP-885), Department of the Navy, Washington, D.C. 20350-2000.

j. For pilot deviations involving USAF and Coast Guard pilots, send one copy of FAA Form 8020-17 to the appropriate regional AT division military representative and two copies to the commanding officer at the pilot's home base, if known.

k. For pilot deviations involving Coast Guard pilots whose home base is not known, send two copies of FAA Form 8020-17 to: Commandant, United States Coast Guard, 2100 2nd Street, SW., Washington, D.C. 20593-0001.

l. For ARTCC electronically detected deviations of more than 300 feet in which the separation between the deviating aircraft and another controlled aircraft decreases to less than 80 percent of the vertical or horizontal separation required by the latest edition of Order 7110.65, Air Traffic Control, take all actions as for a pilot deviation.

m. For controlled area intrusions into Class A or Class B airspace without authorization or Class C or Class D airspace without establishing communications with ATC, take all actions as for a pilot deviation.

(1) If the pilot was in radio communication with the facility, also provide the FSDO with signed controller statements and a certified re-recording of the conversation. The re-recording shall cover the time from 5 minutes prior until 5 minutes after the conversation.

(2) If requested by the FSDO or regional counsel, also prepare and forward within 10 administrative days of the request the:

(a) Certified transcript of the recorded communications.

(b) ARTS III or NTAP data plot, as appropriate, of the aircraft flight path.

n. For spillouts that resulted in a loss of standard separation, as defined by the latest edition of Order 7110.65, take all actions as for a pilot deviation.

o. Reckless flying incidents should be treated as follows:

(1) For incidents observed by AT (such as low flying or buzzing aircraft), AT will take all actions as for a pilot deviation.

b. Receipt of OHR and Designation of Investigating Facility. The Army files the latest edition of DA (Department of Army) Form 2696-R, Operational Hazard Report, as appropriate. Notification will be as follows:

(1) The Army unit aviation safety officer shall transmit OHR's to the appropriate FAA regional AT division followed by a full report by mail if a civil aircraft or FAA services are involved.

(2) The regional Air Traffic division shall:

(a) Alert the appropriate FAA AT facility(ies) promptly that an OHR is being forwarded by mail. This should result in the retention of pertinent records by the AT facility until the OHR arrives and an investigation is conducted.

(b) Designate which AT facility should coordinate the investigation if more than one FAA facility is involved.

(c) Coordinate the designation of the investigating AT facility with the U.S. Army Safety Center, Directorate of Operations, Operations Division, Fort Rucker, Alabama 36362-5363, (334) 255-3410 or (334) 255-2660, if both Army and FAA facilities are involved.

(d) Forward the OHR to the appropriate FAA AT facility.

c. Air Traffic Facility Action.

(1) Upon receipt of a report that an OHR is being forwarded, retain all records relating to the incident.

(2) Upon receipt of the OHR:

(a) Complete FAA Form 8020-21 using information from DA Form 2696-R and the facility investigation if an NMAC is reported. If an NMAC is not reported, respond with an FAA memorandum. Attach all pertinent data; e.g., transcription (when requested) and statements.

(b) Keep the original and mail one copy each by first class mail within 10 calendar days of the OHR notification to the:

(1) Evaluations and Investigations Staff, AAT-20.

(2) Regional Air Traffic division.

(3) Regional Flight Standards division.

(4) Appropriate Flight Standards District Office.

(5) Planning, Information, and Analysis Program, ATX-400 (without attachments).

(6) Commander, U.S. Army Safety Center, Attn: CSSC-SDA, Administrator Quality Control/Data Administration, Fort Rucker, Alabama 36362-5363 (without attachments).

(7) Unit aviation safety officer whose address is in block 11 (point of contact for further information) of DA Form 2696-R (without attachments).

(3) An AT facility receiving a hard copy OHR of an NMAC directly from the Army shall complete FAA Form 8020-21, attach it to the OHR, and mail it to all the addressees in paragraph 83c within 10 calendar days of the facility's receipt of the OHR.

(4) The AT facility shall retain the original OHR, FAA Form 8020-21, and related information in the facility's files in accordance with paragraph 811, except that the package shall be labeled "NEAR MIDAIR COLLISION REPORT (OHR)."

84. PILOT DEVIATIONS. When it appears that the actions of a pilot constitute a pilot deviation, which includes selected ARTCC electronically detected deviations (see paragraph 84l), controlled area intrusions (see paragraph 84m), and/or reckless flying (see paragraph 84o):

a. Notify the pilot, workload permitting, using the following phraseology: "(aircraft identification) possible pilot deviation advise you contact (facility) at (telephone number)."

b. Compile information pertinent to the incident.

c. Document the incident on FAA Form 7230-4.

d. Assign a unique 12-character incident report number to each pilot deviation. The incident report number to be used for tracking by the FAA is assigned as follows (see instructions on form):

(1) The first character is "P" for pilot deviation.

(2) The second and third characters are the abbreviation of the FAA region in which the deviation occurred.

(3) The fourth character identifies the type of facility completing the form.

NOTE: For combined TRACON and ATCT operations, use the character of the TRACON or ATCT reporting the pilot deviation.

(4) The fifth through seventh characters are the facility location identifier (e.g., ZNY) or FSDO identification code (e.g., 025). For combined TRACON and ATCT operations, use the appropriate location identifier (e.g., the O'Hare TRACON would use "C90" and the O'Hare ATCT would use "ORD.") See the latest edition of Order 7350.6.

(5) The eighth and ninth characters are the calendar year in which the pilot deviation occurred (e.g., 95 for 1995).

(6) The last three characters are the sequential pilot deviation number for the year by reporting facility (e.g., pilot deviations would be numbered 001 to 999 in 1995 at a given facility).

e. Complete the following on FAA Form 8020-17 (see Appendix 2):

(1) Incident report number (see paragraph 84d).

(2) Date, time, and location of deviation (Item 1).

(3) Aircraft information (Item 4).

(4) Type of flight rules at time of deviation (Item 6).

(5) Aircraft altitude when deviation detected (Item 16).

(6) *If there was loss of separation (answer yes or no), if "yes", then closest proximity* (Item 26).

(7) Brief description of deviation and comments (Item 28).

f. Transmit or arrange to be transmitted information from paragraph 84e in numerical order within three hours of the detection of a pilot deviation by:

(1) Telephone, facsimile, or in accordance with a regional agreement to the regional FS division and the FSDO with jurisdiction over the area in which the pilot deviation occurred.

(2) NADIN message using immediate (DD) precedence to the:

(a) Air Traffic Service, AAT-1.

(b) Evaluations and Investigations Staff, AAT-20.

(c) Regional Air Traffic division.

(d) Flight Standards Service, AFS-1.

(e) Planning, Information, and Analysis Program, ATX-400.

g. For significant pilot deviations (e.g., involving air carriers, air taxis, or prominent persons), immediately notify the regional AT division, AAT-20, and Washington Operations Center through the Regional Operations Center by telephone.

h. Complete FAA Form 8020-17 from tape recordings and statements. Attach all the pertinent data; e.g., transcriptions (when requested). A copy of FAA Form 8020-17 distributed to the FSDO responsible for the investigation should include a voice re-recording as an attachment. Keep the original and mail one copy each by first class mail within 10 calendar days of the detection of the pilot deviation to the:

(1) Regional Air Traffic division.

(2) Regional Flight Standards division.

(3) Flight Standards District Office responsible for the investigation.

(4) Planning, Information, and Analysis Program, ATX-400.

i. For pilot deviations involving U.S. Army and Navy pilots, send one copy of FAA Form 8020-17 to the appropriate regional AT division military representative and two copies to the applicable military service as follows:

(1) Army: U.S. Army, Fort Belvoir, VA.

(2) Navy: Chief of Navy Operations (OP-885), Department of the Navy, Washington, D.C. 20350-2000.

j. For pilot deviations involving USAF and Coast Guard pilots, send one copy of FAA Form 8020-17 to the appropriate regional AT division military representative and two copies to the commanding officer at the pilot's home base, if known.

k. For pilot deviations involving Coast Guard pilots whose home base is not known, send two copies of FAA Form 8020-17 to: Commandant, United States Coast Guard, 2100 2nd Street, SW., Washington, D.C. 20593-0001.

l. For ARTCC electronically detected deviations of more than 300 feet in which the separation between the deviating aircraft and another controlled aircraft decreases to less than 80 percent of the vertical or horizontal separation required by the latest edition of Order 7110.65, Air Traffic Control, take all actions as for a pilot deviation.

m. For controlled area intrusions into Class A or Class B airspace without authorization or Class C or Class D airspace without establishing communications with ATC, take all actions as for a pilot deviation.

(1) If the pilot was in radio communication with the facility, also provide the FSDO with signed controller statements and a certified re-recording of the conversation. The re-recording shall cover the time from 5 minutes prior until 5 minutes after the conversation.

NOTE: When pertinent recorded telephone conversations (see Order 7210.3, paragraph 3-3-2d) will assist the investigation, these re-recordings shall be included.

(2) If requested by the FSDO or regional counsel, also prepare and forward within 10 administrative days of the request the:

(a) Certified transcript of the recorded communications.

(b) ARTS III or NTAP data plot, as appropriate, of the aircraft flight path.

n. For spillouts that resulted in a loss of standard separation, as defined by the latest edition of Order 7110.65, take all actions as for a pilot deviation.

o. Reckless flying incidents should be treated as follows:

(1) For incidents observed by AT (such as low flying or buzzing aircraft), AT will take all actions as for a pilot deviation.

(2) For incidents reported to AT by the public or others but not observed by AT, a verbal report of the reported incident will be made to the FSDO or the caller will be asked to call the FSDO. For such incidents and reckless flying incidents reported to the FSDO directly, the FSDO will then transmit information from paragraph 84e by NADIN message via the Regional Operations Center and complete and file FAA Form 8020-17 as specified in paragraph 84h with the:

(a) Regional Flight Standards division.

(b) Planning, Information, and Analysis Program, ATX-400.

p. The Office of the Chief Counsel has instructed the Regional Counsel offices to notify regional Air Traffic divisions on their distribution lists about the outcome of final enforcement actions on controlled area intrusions. The regional Air Traffic division shall then notify the reporting controller, through the Air Traffic facility manager, of the outcome of the enforcement action.

q. Complete FAA Form 8020-19 to correct an incident report number (see Appendix 2). Keep the original of FAA Form 8020-19 and distribute copies by mail to all recipients of the corresponding FAA Form 8020-17 (see paragraph 84h).

r. The reporting facility shall retain the pilot deviation investigation file for 2 ½ years as described in the latest edition of Order 1350.15, unless the regional AT division or AAT-20 requests otherwise. This file shall contain the original FAA Form 8020-17, the original AT employee witness statements and other supporting documents, a certified cassette re-recording, the certified re-recording to replace the original (marked "Original" (see paragraph 78c)), and other original data from which information was provided to the investigating FSDO or regional counsel. Affix a gummed label (maximum size 3" x 5") to the file. The label shall be clearly marked "PILOT DEVIATION REPORT" with the report number, aircraft registration or flight number, aircraft type, incident UTC date and UTC time, and the UTC date the file is to be destroyed.

85. FAA FORM 8020-11, INCIDENT REPORT.

a. When a report is requested by the FSDO or when the requirement for a report is required by paragraph 80b(3), prepare FAA Form 8020-11 within 10 calendar days. Maneuvers by pilots due to an emergency and/or TCAS RA that result in the loss of separation must be reported to the Washington Operations Center and AAT-20, through the Regional Operations Center, as soon as practical and, in every case, within 3 hours of the occurrence. For vehicle or pedestrian deviations, use FAA Form 8020-24; do not use FAA Form 8020-11 (see paragraph 86).

b. Reports shall be numbered beginning with number 1 and continuing in numerical sequence without regard to year. The number shall be preceded by the 3-character facility identifier and the facility type identifier (e.g., ARTCC, TRACON, ATCT, AFSS). Examples: "ZTL-ARTCC-95," "D10-TRACON-04," "HNL-ATCT-13," "SAT-AFSS-44."

c. Summarize the incident in brief form with enough details to permit complete understanding. If appropriate, show the chronological order of events by citing the specific UTC time. Include the UTC date if it differs from the "Time of Incident" (calendar date based on local time). Ensure that statements are substantiated by factual data.

d. Include the following statement under "Remarks" unless determined otherwise by the facility AT manager:

"This is an information copy only to record the circumstances surrounding the subject incident. The FSDO or other appropriate authority will determine and make notification of any further/pending action."

e. List under "Remarks" the facility records on file at the facility such as recorder tapes, flight progress strips, or any other records pertaining to the incident.

f. List under "Attachments" the copies of the facility records forwarded with the report.

g. For those incidents that the USAF Inspection and Safety Center (AFISC) has requested a formal report but the FSDO has not required FAA Form 8020-11, act upon by normal letter correspondence.

h. Retain the original in the facility's files and mail one copy each by first class mail within 10 calendar days of the detection of the incident to the:

(1) Regional Air Traffic division.

(2) Adjacent regional Air Traffic division when required.

(3) Evaluations and Investigations Staff, AAT-20.

(4) Requesting FSDO or the FSDO responsible for the investigation.

i. Refer requests from other offices for additional copies of FAA Form 8020-11 to the recipient of the action copy of the report. The regional Air Traffic division will furnish listings of the FSDO's and mailing instructions as required.

j. The reporting facility shall retain the incident file for 2½ years as described in the latest edition of Order 1350.15 unless the regional AT division or AAT-20 requests otherwise. The file shall contain the original FAA Form 8020-11, the original AT employee witness statements and other supporting documents, a certified cassette re-recording (when appropriate), the certified re-recording to replace the original (when appropriate) and marked "INCIDENT PACKAGE" (see paragraph 78c), and other original data from which information was provided to the investigating FSDO or regional counsel. Affix a gummed label (maximum size 3" x 5") to the file. The label shall be clearly marked "INCIDENT PACKAGE" with the report number, aircraft registration or flight number, aircraft type, incident UTC date and UTC time, and the UTC date the file is to be destroyed. The facility may elect to indicate the type of incident on the label (i.e., "TCAS RA MANEUVER," "EMERGENCY MANEUVER," etc.).

86. VEHICLE AND PEDESTRIAN DEVIATIONS. When an unauthorized vehicle or pedestrian is observed by air traffic control or other parties on any portion of the airport movement area:

a. Compile the following information, which is requested on FAA Form 8020-24:

(1) Local date, UTC time, local time, and location of vehicle or pedestrian deviation (Item 1).

(2) Type of deviation (vehicle or pedestrian, Item 2).

(3) Type of vehicle, if applicable (Item 3).

(4) Surface detection equipment information (Item 10).

(5) Location of vehicle or pedestrian deviation on movement area (Item 11).

(6) Loss of separation (yes or no, Item 16).

(7) Brief description of vehicle or pedestrian deviation (Item 19).

b. Assign a unique 12-character incident report number to each vehicle or pedestrian deviation. The incident report number, to be used only for tracking by FAA, is assigned as follows:

(1) The first character is "V" for vehicle or pedestrian deviation.

(2) The second and third characters are the abbreviation of the FAA region in which the deviation occurred.

(3) The fourth character identifies the type of facility completing the form.

(4) The fifth through seventh characters are the facility location identifier (e.g., DIA). See the latest edition of Order 7350.6.

(5) The eighth and ninth characters are the calendar year in which the vehicle or pedestrian deviation occurred; e.g., 99 for 1999.

(6) The last three characters are the sequential vehicle or pedestrian deviation number for the year by reporting facility; e.g., vehicle or pedestrian deviations would be numbered 001 to 999 in 1999 at a given facility.

c. Transmit, or arrange to be transmitted, information from paragraph 86a in numerical order within 3 hours of the detection of a vehicle or pedestrian deviation by:

(1) Telephone, facsimile, or in accordance with a regional agreement to the regional Airports division with jurisdiction over the area in which the vehicle or pedestrian deviation occurred.

(2) NADIN message using immediate (DD) precedence to:

(a) Air Traffic Service, AAT-1.

(b) Evaluations and Investigations Staff, AAT-20.

(c) Regional Air Traffic division.

(d) Office of Airport Safety and Standards, AAS-1

(e) Planning, Information, and Analysis Program, ATX-400.

d. For significant vehicle or pedestrian deviations (e.g., involving air carriers, air taxis, or prominent persons), immediately notify the regional Airports division, AAT-20, and the Washington Operations Center through the Regional Operations Center by telephone.

e. Notify the airport operator (or designee such as airport manager or security) as soon as practicable.

f. Document the incident on FAA Form 7230-4 and include the name of the airport operator representative who was notified of the incident.

g. Complete FAA Form 8020-24 and attach all pertinent data, e.g., airport diagram. Keep the original and mail one copy each by first class mail within 10 calendar days of the detection of the vehicle or pedestrian deviation to the:

(1) Regional Air Traffic division.

(2) Regional Airports division responsible for the investigation.

(3) Evaluations and Investigations Staff, AAT-20.

(4) Planning, Information, and Analysis Program, ATX-400.

h. For vehicle or pedestrian deviations involving military personnel, send one copy of FAA Form 8020-24 to the appropriate regional Air Traffic division military representative and two copies to the applicable commanding officer.

i. Complete FAA Form 8020-19 to correct an incident report number (see Appendix 2). Keep the original of this form and distribute copies by mail to all recipients of the corresponding FAA Form 8020-24 (see paragraph 86g).

j. The reporting facility shall retain the vehicle or pedestrian deviation investigation file for 2½ years as described in the latest edition of Order 1350.15 unless the regional AT division or AAT-20 requests otherwise. This file shall contain the original FAA Form 8020-24 and original supporting documents. Affix a gummed label (maximum size 3" x 5") to the file. The label shall be clearly marked "VEHICLE OR PEDESTRIAN DEVIATION REPORT" with the report number, aircraft registration or flight number, aircraft type (if aircraft involved), incident UTC date and UTC time, and the UTC date the file is to be destroyed.

87. EMERGENCY EVACUATIONS. An emergency evacuation, while considered an aircraft incident (see paragraph 64), will be reported on FAA Form 8020-11 and the form forwarded to the appropriate FSDO for investigation. Do not use FAA Form 8020-3 or FAA Form 8020-9. If the evacuation results in a serious injury or a fatality, however, the evacuation is considered an aircraft accident and the pertinent procedures will be followed. The reporting facility shall retain documentation as described in paragraph 85j.

88. PARACHUTE-JUMPING INCIDENTS. If AT is notified of a parachute-jumping incident for an aircraft under its control, AT shall call the appropriate FSDO and ask if FAA Form 8020-11 should be filed. If notified of an incident for an aircraft not under its control, the information shall be forwarded to the appropriate FSDO. The reporting facility shall retain documentation as described in paragraph 85j.

89. MISCELLANEOUS INCIDENTS.

a. Forcible Seizure of Aircraft (Hijack). FAA personnel receiving information from reliable sources of a forcible seizure of an aircraft shall immediately notify the area manager of the associated ARTCC. The area manager shall immediately notify the Washington Operations Center through the Regional Operations Center.

b. Hazardous Materials. If AT is notified of a possible hazardous materials incident, the reporting party should be advised to contact the appropriate FSDO and regional Civil Aviation Security division and be given the appropriate telephone numbers. This requirement is contained in 49 CFR 175.45. The reported incident shall be logged on FAA Form 7230-4 along with the name of the reporting party.

c. Sonic Boom Complaints. If AT is notified of a sonic boom complaint, the matter shall be referred to the nearest military installation.

d. Complaints of Noise or Damage Allegedly Caused by Civil Aircraft. When AT receives a telephone complaint of noise or damage allegedly caused by civil aircraft, the complaint should be handled tactfully. If unable to satisfy the complainant, the matter should be referred to the appropriate FSDO. Written complaints of noise or damage allegedly caused by civil aircraft shall be coordinated with the appropriate FSDO.

e. Unidentified Flying Objects (UFO). When AT receives a report of a UFO, and if concern is expressed that life or property might be endangered, refer the individual to the local police department.

90. FLIGHT STANDARDS.

a. When a Flight Standards (FS) inspector receives notification of an aircraft accident or an aircraft incident from a source other than AT, the inspector shall immediately notify the appropriate AT facility and provide the information needed to complete FAA Form 8020-9. Appendix 3 contains a flowchart showing the FS flow of information for accidents and incidents.

b. The FS inspector receiving the initial notification shall act as the FAA IIC until or unless another inspector is assigned.

c. The FS regional office manager and the district office manager shall make arrangements for receiving aircraft accident and incident notifications from FAA facilities within the district office's geographical area of responsibility.

d. After arrival at the accident scene, the FAA IIC shall as soon as possible make an initial telephone progress report through the Washington Operations Center to AAI-100 on all available information when the accident meets the following criteria: the accident is of a catastrophic nature, is of strong public interest, is a nationally newsworthy occurrence, or is of special interest to AAI-100. In these cases, the Washington Operations Center will arrange a teleconference with the Regional Operations Center operations officer and other appropriate personnel. The need for continuing on-scene telephone reporting will be discussed with the AAI-100 duty officer. The FAA IIC will also give AAI-100 the location and telephone number of the NTSB command post or a telephone number at which the FAA IIC may be contacted during the field phase.

e. When the occurrence described in the initial message is determined not to be an accident, a second message shall be transmitted. The second message shall cite the registration number, make and model, and date of occurrence noted in the initial message and shall include the statement "not an accident."

f. The FAA IIC shall provide updated information for a second message when an accident involves operations conducted in accordance with an air carrier operating certificate. The revised information shall be provided as soon as it is available. The information that should have been transmitted in the initial message is indicated as "unknown" or is incorrect. However, the initial FAA Form 8020-9 message should not be delayed in order to incorporate updated information.

91. AIRCRAFT OPERATOR. Operator notification responsibilities are contained in NTSB regulations, 49 CFR 830 (see Appendix 4).

92. AIRCRAFT CERTIFICATION OFFICES.

a. The following action should be taken when initiating or relaying notification of aircraft accidents or incidents that are, or are suspected to be, related to the airworthiness of an aircraft:

(1) For accidents or incidents involving aircraft operated by 14 CFR 121, 125, 133, or 135 certificate holders, the FSDO manager responsible for the investigation shall notify the ACO responsible for the product (aircraft, engines, or propellers) involved (if there is a question regarding certification) and the district office holding the operator's certificate. Also, whenever a principal operations inspector or maintenance inspector becomes aware of an Incident involving the airworthiness of an aircraft operated by the inspector's assigned air carrier, the inspector shall ensure that the ACO responsible for the product is notified. Initial notification shall be made through the Regional Operations Center responsible for maintaining an accurate and current contact roster.

(2) For all other aviation accidents or incidents involving an aircraft's airworthiness, the FSDO manager responsible for the investigation shall notify the ACO responsible for the product involved.

b. When the ACO manager receives initial notification of an airworthiness-related accident or incident, the manager should ensure that the appropriate geographic and accountable directorate managers are notified.

c. The FAA IIC shall keep the ACO manager informed of the progress of airworthiness-related investigations until the ACO manager determines that on-scene participation by an engineering specialist or a design-related corrective action will be required.

d. The ACO manager shall keep the appropriate directorate managers advised of the progress of the investigation. If on-scene participation by engineering specialists is desired, AAI-100 will request that the needed specialists be authorized to participate through the accountable directorate manager.

e. To facilitate these notifications, directorate managers shall ensure that the Regional Operations Center in each region in which the directorate maintains an ACO is provided with a current personnel directory, including office and home telephone numbers, of key Aircraft Certification personnel in the directorate.

f. Notification requirements in paragraph 92 apply when the product involved is a foreign product similar to one with a U.S. type certificate.

93. FOREIGN AIR CARRIERS. The FAA IIC shall notify the FSDO (with 14 CFR 129 responsibility for the foreign air carrier involved) of any accident or incident investigation involving a foreign air carrier in a U.S. jurisdictional area. The FSDO will be responsible for informing the appropriate foreign government aviation agency and the foreign air carrier's representative of the occurrence. In addition, the FAA IIC shall also notify the Manager, Global Issues Division, AIA-100, of the occurrence through the Washington Operations Center. The location of the office with 14 CFR 129 responsibility for each foreign air carrier is in the Air Operations System data base available through the FSDO's or regional Flight Standards division's computer. The FAA IIC shall document a foreign air carrier accident or incident in a U.S. jurisdictional area on FAA Form 8020-23, FAA Accident/Incident Report.

94 - 109. RESERVED

CHAPTER 4. AIRCRAFT ACCIDENT INVESTIGATION RESPONSIBILITIES

SECTION 1. AIR TRAFFIC

110. GENERAL. When AT procedures are involved or are suspected of being involved in an aircraft accident or incident, AT aspects are included in the accident investigation. AT personnel shall cooperate to the fullest extent possible with personnel who are charged with conducting the investigation. Air Traffic's participation in the on-scene accident investigation is considered complete when the FAA IIC advises the AT representative of its completion and leaves the AT facility. If the on-scene investigation of the AT facility is to be reconvened, the FAA IIC shall coordinate such reconvening with AAT-20 or the regional AT division as appropriate.

111. AIR TRAFFIC ACCIDENT REPRESENTATIVE.

a. The AT manager of the facility responsible for the development of the accident package is designated as the on-scene AT representative until the arrival of either the regional AT division- or headquarters-designated AT representative.

b. The FAA IIC shall be in charge of all FAA accident investigation assets and personnel and shall make all management decisions regarding FAA participation in the investigation. The FAA IIC shall be the Administrator's on-scene representative.

112. AIR TRAFFIC ACCIDENT REPRESENTATIVE RESPONSIBILITIES. The AT accident representative shall:

a. Ensure that the operational integrity of the AT facility is not compromised.

b. Determine if navigational facilities and/or ATC equipment are involved or suspected of being involved and:

(1) Ensure that AF personnel are notified.

(2) Determine that all required notification has been accomplished, including the appropriate NOTAM's.

c. Establish liaison promptly with the FAA IIC as the AT representative, provide an initial briefing of pertinent facts, and act as the FAA IIC's principal contact for information and documents. Determine, within 1 hour of notification, with AT personnel and the FAA IIC (if available) or appropriate FS personnel, if a flight inspection is required.

d. Establish and maintain contact with the regional or Chief Counsel's office as appropriate.

e. Arrange, through direct contact with AT personnel involved in the accident, for the protection of their well-being as required and provide them with a briefing on investigation

procedures and their right to counsel during any interview. Provide personnel with information on their rights as they pertain to NTSB requests for drug or toxicology tests.

f. Ensure that all original documentation is protected, including the original voice tapes and/or computer data. The low-level windshear alert system data shall be transferred to a cassette and preserved with the original accident documents. The release of any original document, voice tape, personnel statement, or computer data without the express approval of AAT-1 or AAT-20 is prohibited.

g. Conduct an investigation of all AT aspects of the accident or incident to confirm the adequacy of equipment, procedures, and personnel. Promptly advise AAT-20 and the appropriate regional AT division of any deficiencies noted and the recommended corrective actions.

h. Provide the FAA IIC with working copies of draft transcripts and voice tapes as soon as practicable.

i. Direct all public inquiries concerning the accident to the FAA IIC.

j. Aid or arrange for additional personnel to aid the AT facility in preparing the accident documentation and material requested by the FAA IIC.

k. When advised by the FAA IIC that NTSB requires a briefing of AT aspects surrounding the accident, arrange for a facility representative to provide the requested briefing as soon as practicable. Any direct requests from NTSB to the facility shall be coordinated with the FAA IIC before providing the briefing.

l. When only AT services are involved in a military accident and AAI-100 or the FSDO does not designate an IIC, coordinate FAA investigation activities with the military investigator through the military ATREP or, in the absence of an ATREP, directly with the military investigator.

113. - 117. RESERVED.

SECTION 2. OFFICE OF ACCIDENT INVESTIGATION

118. OFFICE OF ACCIDENT INVESTIGATION RESPONSIBILITIES. In accordance with the latest edition of Order 1100.2, Organization- FAA Headquarters, the Director of Accident Investigation, AAI-1, develops FAA policy and procedural instructions governing accident or incident investigation and reporting. When the circumstances of an accident or incident warrant headquarters participation, AAI-1, through the Manager, Accident Investigation Division, AAI-100, will coordinate the appointment of a special investigation team with the pertinent regions and Washington offices. This team may be assigned to participate in or to conduct the accident investigation (see paragraph 123).

119. REGIONAL FLIGHT STANDARDS DIVISION RESPONSIBILITIES. The manager of the regional Flight Standards division is responsible for ensuring that aircraft accidents and incidents in the region's geographic area of responsibility are investigated and reported in a manner that ensures the proper discharge of FAA responsibilities. Appendix 3 contains a flowchart showing the FS flow of information for accidents and incidents. Additional responsibilities are:

a. Providing technical assistance at the request of the FAA IIC. Technically trained FAA personnel must be made available for accident investigations, but the choice is not to be limited by regional boundaries. The region furnishing the requested personnel will be responsible for travel and per diem costs.

b. Establishing procedures for notification of and coordination with, as appropriate: FAA headquarters; NTSB field offices; other FAA offices, divisions, regional counterparts, and Aircraft Certification Directorates; and military services. It may be expedient to notify the aircraft, engine, or propeller manufacturer when the use of that expertise is appropriate in light of the circumstances or FAA manpower availability.

120. DESIGNATION OF THE FAA IIC. An FAA IIC shall be assigned to all aviation accident and incident investigations. The FAA IIC shall direct and control all FAA participation in the investigation. The selection of the FAA IIC may be made by the responsible district office manager or by the regional FS division manager. In certain instances, however, the FAA IIC may be assigned by AAI-100 in coordination with the regional FS manager. The Associate Administrator for Air Traffic Services or the regional AT division may assign a representative for a military accident when AT is the only FAA element involved. The FS inspector who first receives notification of an aviation accident or incident will be the FAA IIC until relieved of this responsibility by the FSDO manager or the FS division manager.

121. PRINCIPAL AIR CARRIER INSPECTOR RESPONSIBILITIES. Principal inspectors (i.e., operations, maintenance, and avionics) in FS assigned to the operator involved shall make themselves or their designated representatives available to the FAA IIC as soon as possible. The extent of principal inspector participation shall be determined by the FAA IIC after discussion with the principal inspector, the district office manager, and/or the appropriate FS division manager. AAI-100 shall be kept informed of the status of the principal inspector. The use of the

principal inspector as an FAA IIC for investigations involving the principal's assigned carriers should be avoided.

122. POSSIBLE INVOLVEMENT OF NAVIGATION FACILITIES. When a navigational facility was or may have been involved in an accident or incident, the FAA IIC actions shall be as follows:

a. After consulting with the Airway Facilities aircraft accident representative (AFAAR), make the final determination as to the requirement for a flight inspection of a navigation facility involved or suspected of being involved in an accident or incident. The decision to request a flight inspection is to be based solely on safety concerns and not on economic factors.

b. Notify Aviation System Standards if a flight inspection is required.

123. AVIATION SYSTEM STANDARDS RESPONSIBILITIES.

a. The duty officer of the Flight Inspection Central Operations Office, AVN-250, is the focal point for flight inspection accident notifications. Upon receiving notification of an accident or incident that may have involved navigation problems or of an accident related to a navigation or communication facility, the AVN-250 duty officer shall coordinate with the appropriate AVN flight inspection field facility to accomplish the following:

(1) Conduct a flight inspection as requested by the FAA IIC or AFAAR.

(2) Perform en route checks if weather conditions prevent an immediate complete flight inspection and follow up the check by a complete inspection when weather permits.

(3) Ensure that the FAA IIC and AFAAR are informed of the facility's operational status after completion of the flight inspection.

(4) Ensure that two copies each of the post-accident or incident flight inspection report and the last complete periodic flight inspection report are provided to the FAA IIC.

b. The Flight Inspection Technical Support Branch, AVN-210, shall:

(1) Ensure that the inspection and report meet the appropriate standards and notify the FAA IIC.

(2) Ensure that two copies each of the post-accident or incident flight inspection report and the last complete periodic flight inspection report are provided to the FAA IIC.

124. WASHINGTON HEADQUARTERS "GO TEAM."

a. The Office of Accident Investigation, through AAI-100, will assume FAA responsibility for investigating selected accident and incidents and will designate the FAA IIC and a team of technical specialists ("Go Team") as necessary. AAI-100 will give the appropriate regional

FS division manager the name of the designated FAA IIC, who will usually be selected from AAI-100, and the "Go Team" members' names when applicable. The headquarters FAA IIC will assume responsibility for investigating and reporting the accident or incident upon arrival at the scene. The interim FAA IIC will remain on scene to provide support and assistance until relieved by the headquarters-assigned FAA IIC.

b. The Associate Administrator for Airway Facilities; the Associate Administrator for Civil Aviation Security; the offices of the Chief Counsel, Aviation Medicine, and Airport Safety and Standards; Flight Standards Service; the Air Traffic Evaluations and Investigations Staff; and the appropriate Aircraft Certification Directorate shall each designate representatives and alternates to serve as "Go Team" members as required by the FAA IIC for the on-scene investigation.

c. The "Go Team" FAA IIC will keep AAI-1, through AAI-100, and the appropriate regional directors fully informed of the progress of the investigation through daily telephone conference calls. To ensure proper dissemination of information, the conference calls will be made through the operations officer at the region and Washington headquarters. Pertinent regions include the region of occurrence and the Aircraft Certification Directorate with airframe, propeller, engine, or rotorcraft certification responsibility.

125. AVIATION SAFETY PROGRAM MANAGER RESPONSIBILITIES. An aviation safety program manager will not normally be assigned as FAA IIC or have responsibilities for accident investigation, standby duty, or other participant functions. The aviation safety program manager's participation should be limited to the investigation of accident prevention causal factors. If assigned to accident investigation duties, however, the aviation safety program manager shall function the same as any participant.

126. - 131. RESERVED.

SECTION 3. OFFICE OF AVIATION MEDICINE

132. PURPOSE. The Office of Aviation Medicine shall conduct medical investigations of fatal and nonfatal aircraft accidents to determine the relationship of medical, toxicologic, and other human factors to accident cause, and/or aircraft design, and to crash injury and survival. Investigative findings will be applied toward improving aviation safety through regulatory and educational activities.

133. SCOPE. Medical investigations of aircraft accidents shall be related to clearly defined goals and objectives. Autopsy and toxicological information shall be obtained in fatal accidents and compiled with information in airmen's medical records to identify possible contributions of medical conditions and toxic agents to accidents. Investigation projects shall be undertaken for nonfatal and fatal accidents to test specific hypotheses relating human factors to accident cause and aircraft design to crash injury and survival.

134. NOTIFICATION. After a report of a fatal aircraft accident, the Regional Operations Center shall immediately notify the appropriate regional flight surgeon/assistant regional flight surgeon ("the flight surgeons") who shall coordinate with the NTSB IIC or FAA IIC in arranging for autopsies, obtaining toxicologic specimens, and acquiring information in conjunction with accident investigation projects. The flight surgeons should notify the Civil Aeromedical Institute (CAMI) accident research team of accidents meeting its research investigative criteria.

135. RESPONSIBILITIES. The Office of Aviation Medicine (AAM) shall:

a. Develop all policies and coordinate all functions of the Aviation Medical Program in aircraft accident investigations.

b. Identify requirements in the medical investigation of aircraft accidents; plan, review, and recommend projects that will fulfill requirements; and review the status of assigned investigation projects.

c. Manage assigned accident investigation projects.

d. Participate in air carrier aircraft accident and incident investigations as requested or required.

e. Conduct special investigations of aircraft accidents at the request of the Federal Air Surgeon, AAM-1.

f. Obtain information in conjunction with accident investigations in coordination, as appropriate, with flight surgeons and the Director, Civil Aeromedical Institute, AAM-3.

136. REGIONAL FLIGHT SURGEON RESPONSIBILITIES. The regional flight surgeons shall:

a. Receive notification of all fatal aircraft accidents and in-flight medical incapacitation incidents involving flight crewmembers.

b. Participate in air carrier investigations as requested.

c. Coordinate with the NTSB IIC, the FAA IIC, or aviation medical examiners (AME) in arranging for autopsies, obtaining specimens, and acquiring information.

d. Budget for and arrange for payment of autopsies and notify the FSDO of the regional flight surgeon's intent or willingness to pay for requested autopsies.

e. Ensure that whenever toxicologic specimens must be sent to local laboratories, duplicate specimens are obtained for analysis by the Aviation Pathology and Toxicology Laboratory, AAM-610, of the Aeromedical Research Division, AAM-600, at CAMI.

f. Review autopsy and toxicologic reports and the medical certification status of pilot fatalities; complete and provide copies of the accident worksheets (FAA Form 8025-2, Aircraft Accident Medical Information) and autopsy and toxicologic reports to the NTSB IIC or FAA IIC and the Data Analysis Staff, AAM-601, at CAMI.

g. Select AME's for training to assist in obtaining information in conjunction with accident investigations and report all information to appropriate project managers.

h. Provide assistance or contact the AME's for assistance in conjunction with accident investigations and report all information obtained to appropriate project managers.

i. Manage the reimbursement of AME's for their services.

137. CIVIL AEROMEDICAL INSTITUTE RESPONSIBILITIES. CAMI shall:

a. Manage accident investigation projects assigned to it.

b. Participate in air carrier aircraft accident and incident investigations as requested.

c. Conduct special investigations of aircraft accidents at the request of the Federal Air Surgeon, AAM-1, or the Director of CAMI.

d. Conduct toxicologic analyses on specimens from, and special pathologic studies on, aircraft accident fatalities.

e. Compile, store, and analyze autopsy, toxicologic, and medical certification information on airmen involved in accidents to identify possible contributions of medical conditions and toxic agents to accidents.

f. Obtain information in conjunction with accident and incident investigation projects in coordination, as appropriate, with the regional flight surgeons.

g. Provide appropriate training for flight surgeons, AME's, and other accident investigators, as appropriate, in the medical investigation of aircraft accidents.

138. AVIATION MEDICAL EXAMINER RESPONSIBILITIES. The AME's shall:

a. Assist flight surgeons in obtaining autopsies and toxicologic specimens in fatal aircraft accidents.

b. Receive appropriate training and assist flight surgeons in obtaining information in conjunction with accident investigations.

139. - 143. RESERVED.

SECTION 4. AIRWAY FACILITIES SERVICE

144. INTRODUCTION. This section defines Airway Facilities (AF) responsibilities and actions following an aircraft accident/incident. The goals of AF activities are to ensure the continued Safe operation of the NAS, investigate potentially involved facilities in a timely manner, restore operation of facilities removed from service in a timely manner, and provide appropriate accident-related facility documentation to cognizant authorities.

145. SCOPE. The requirements of this section apply to all air navigation facilities in the NAS. In this order, the term "air navigation facilities" means all navigation, communication, and ATC facilities and systems as defined in 49 U.S.C. 40102(a)(4). This includes all Federal, non-Federal, and contract facilities regardless of the maintaining organization for which AF has any maintenance or oversight responsibility. This section applies, as defined below, to all aircraft accidents/ incidents regardless of type, owner, or operator. The provisions of this order take precedence over the requirements of applicable equipment, subsystem, and system maintenance handbooks.

146. OVERVIEW OF AF ACTIVITIES. An AF aircraft accident representative (AFAAR) is designated responsible for decisions related to the treatment of facilities that may have been involved in an accident. Upon notification of accidents not obviously due to aircraft-related reasons (e.g., fuel exhaustion, nosewheel collapse), the AFAAR and Air Traffic (AT) personnel promptly develop a candidate list of facilities for further consideration. This list is reduced by defined principles, based on the circumstances surrounding the accident, to a minimum list of facilities. These facilities are then either removed from service or deemed appropriate to remain in service due to operational assessments, based on a joint AT/AF decision. The AFAAR determines the activities necessary to return each facility to service--typically certification, flight inspection, or a combination of these--and advises the appropriate AF control center for implementation by field personnel. The appropriate AF control center provides status of activities to all concerned entities. An accident package of appropriate facility documentation is assembled and distributed.

147. RESPONSIBILITIES.

a. The Director of Airway Facilities Service (AAF-1) is responsible for all AF aircraft accident-related activities.

b. The Program Director, NAS Operations (AOP-1), is the principle staff element of AAF responsible for oversight of AF aircraft accident policy.

c. The National Operations Division (AOP-100/NOCC), under the direction of AOP-1, is the focal point for all aircraft accident matters for AF and functions as the national AFAAR. The national AFAAR is responsible for:

(1) Making or providing national decisions related to the treatment of facilities that may have been involved in an accident.

(2) Providing a national focal point for regional AFAAR's.

(3) Providing upward reporting of information concerning aircraft accidents.

d. The regional AF divisions are responsible for designating a regional AFAAR and two alternates. Division managers or their designees are responsible for participating in substantial accident decisions when requested by the AFAAR.

e. The regional AFAAR and alternates are responsible for:

(1) Being the focal point for regional assistance and coordination activities to the national AFAAR.

(2) Coordinating for the division all requests for documents, information, and assistance involving aircraft accident investigations and litigation.

(3) Establishing a procedure between the Regional Operations Center and appropriate AF control centers to ensure regional aircraft accident notification procedures are properly defined.

(4) Providing written notification to AOP-100 and appropriate regional AF personnel of the names and telephone numbers of the regional AFAAR's.

(5) Performing the tasks described in paragraphs 150-153.

g. The SMO's are responsible for facility operation, certification, restoration, and documentation related to aircraft accidents/incidents. This includes:

(1) Ensuring that SMO, regional, and national documentation on AF procedures is available to all SMO employees who may have action regarding aircraft accidents (see Order 6000.15, General Maintenance Handbook for Airway Facilities, for additional guidance and requirements on this subject).

(2) Furnishing information, assistance, and documentation as requested by the AFAAR.

148. AIRWAY FACILITIES AIRCRAFT ACCIDENT REPRESENTATIVE. Each region shall appoint an AFAAR and a minimum of two alternates. If a nationally provided AFAAR training course is available, newly appointed AFAAR's and alternates must promptly complete the course.

a. For any given accident, one of these three persons is the AFAAR-of-record (hereafter referred to as the accident AFAAR).

b. The regions shall furnish to the appropriate AF control centers and AOP-100, at a minimum, the identity of the AFAAR and alternates and their telephone numbers (typically work and home telephone, pager, and cellular telephone).

c. The accident AFAAR shall make the decisions described in paragraph 149 for each accident requiring notification. A suggested worksheet for AFAAR activities and decisions is provided in Figure 4-1.

149. PROCESS. The AF response to aircraft accidents/incidents consists of the three major activities defined below and is complete when all the steps defined for each activity have been accomplished. A flowchart showing the sequence of events is included in Figure 4-4.

a. Decisions. This activity includes notifying the AFAAR, propagating the identity of the accident AFAAR, determining the scope of NAS equipment and facility involvement, if any, and defining the prudent level of investigative activities (see paragraph 150).

b. Field Work. This activity includes callout of personnel, establishing as-found equipment/facility status, accomplishment of appropriate investigative efforts on equipment and facilities, and notification of status to appropriate regional and national entities (see paragraph 151).

c. Documentation. This activity includes assembling, proofreading, authenticating, and retaining the official AF accident package (see paragraph 152).

150. DECISIONS. It is important that decisionmaking about possible AF facility and equipment involvement occurs as soon as possible after the accident. There are four major steps to this decisionmaking:

a. Provide timely notification of the aircraft accident/incident. Regions shall establish a procedure between the Regional Operations Center, AF control center(s), and AFAAR's to ensure that the AFAAR and/or alternates are notified of the accident/incident without delay and that the identity of the accident AFAAR function is promptly communicated to all concerned parties.

(1) Accidents which are clearly aircraft related (e.g., nosewheel collapse, fuel exhaustion, ground loops, blown tires, engine failure) may be excluded from this notification procedure if the person or office making this determination is known. Typically, the Regional Operations Center or an AF control center makes this decision that AFAAR notification is not necessary.

(2) Aircraft reported as missing or overdue during en route segments of flight do not require notification. Aircraft reported as missing after having been cleared for an approach shall be treated as an accident.

(3) For IFR accidents involving multiple regions (e.g., the crash site is within one region's boundary but some or all of the facilities supporting the accident flight are maintained or overseen by another), the AFAAR is selected from the region whose air traffic control facility was handling the accident aircraft at the time of the accident or disappearance. (This rule may be ignored if the affected AFAAR's agree, and very little time is required to obtain the agreement.) For VFR accidents, the AFAAR is selected from the region within whose boundary the accident occurred.

b. Define potential AF equipment involvement. Upon notification, AT personnel and the accident AFAAR (or the accident AFAAR alone if AT personnel agree) shall compile as quickly as possible an initial list of candidate facilities for subsequent AF investigative action or further decisionmaking. The initial list can be shortened by excluding some facilities from further consideration using the principles listed in this paragraph.

(1) The initial candidate list is composed of facilities providing data routinely used for accident investigation and documentation (e.g., recorders and weather facilities such as LLWAS, AWOS, and ASOS), and all facilities and/or the services they support in the certification hierarchy that were or may have been in IFR and/or instrument meteorological conditions use, by AT and/or the subject aircraft.

(2) The initial candidate list of facilities shall be reduced to a smaller list as quickly as possible by the accident AFAAR by applying the exclusion principles listed below. (Facilities officially out of service at the time of the accident/incident need not be considered further.) The basis for the decisions should be documented in the AFAAR worksheet (see paragraph 150c for actions to be taken for facilities remaining on the list after applying exclusion principles).

(a) Communications and surveillance facilities may be excluded from further consideration if they and/or the services they support in the certification hierarchy remain in known, continued, and satisfactory use by AT personnel.

(b) En route navigation facilities (i.e., VOR, DME, NDB, TACAN) may be excluded from further consideration if their performance is validated by their subsequent use by other aircraft in en route or terminal operations. If the subject aircraft was cleared for an instrument approach based on an en route navigation facility (e.g., VOR, NDB), that facility may be excluded only by applying the principle in paragraph 150b(2)(c).

(c) Terminal navigation facilities (i.e., ILS/MLS and their subsystems, approach lighting systems, RVR, and en route navigation facilities upon which terminal approaches are based) may be excluded from further consideration if:

1 The accident aircraft is known by a reliable source to have remained outside their coverage volumes, or if the accident aircraft had not been cleared to use them.

2 Subsequent aircraft have been cleared to use, and have used, them in IFR operations and there have been no pilot-reported abnormalities within the preceding 12 hours.

(d) Multiple RVR sensors on the same runway shall be treated as a single system. An RVR system may be excluded from further consideration unless the accident aircraft was conducting either Federal Aviation Regulations Part 121 or Part 135 flight and the RVR sensor(s) were used by AT to issue an approach clearance.

(e) Visual approach navigation aids (e.g., VASI, PAPI) may be excluded from further consideration unless:

1 The accident aircraft was conducting a visual approach, or

2 The accident aircraft was conducting an IFR approach on which the accident occurred at or near the decision height (DH)/minimum descent altitude (MDA) for that approach (i.e., sufficiently close to the DH or MDA that the pilot could have been transitioning to visual navigation). For this decision, "IFR approach" includes non-navigation aid approaches such as those providing computed vertical navigation, e.g., flight management system approaches.

(f) General visual aids (i.e., ODALS, REIL) may be excluded from further consideration if the accident/incident occurred during daylight hours under visual meteorological conditions.

(3) As new facts about the accident scenario become available, additional facilities and the services they support in the certification hierarchy may be removed from the list and documented in the AFAAR checklist, using the principles defined above, and returned to service without further action.

c. Define the prudent level of investigative action required. The list resulting from paragraph 150b consists of facilities providing data routinely used for accident investigation and documentation and facilities and/or services they support in the certification hierarchy that are potentially suspect in their operation.

(1) Facilities providing data routinely used for accident investigation and documentation (e.g., recorders and weather facilities such as LLWAS, AWOS, and ASOS) shall be left in service and promptly certified to affirm normal operation. The data shall be retained (see paragraph 151b(1)).

(2) Potentially suspect facilities and/or the services they support in the certification hierarchy shall be administratively removed from service and an appropriate NOTAM issued, unless AT/AF operational analysis dictates otherwise, or until one of the prudent levels of investigative action defined in paragraph 150c(3) allows restoration to service. An operational decision to leave a potentially suspect facility in service must determine that the importance of continued operation outweighs the probability of that facility or equipment having been a factor in the accident. The accident AFAAR should consult with the AF division manager or Operations Branch manager on this topic as required. The basis (e.g., operational conditions or constraints, subsequent users, normal indications, no intermittent anomalies) for this decision should be documented in the AFAAR checklist.

(3) The accident AFAAR shall assess the accident circumstances to define the action required for each potentially suspect facility prior to returning it to service.

(a) Confirmation of proper operation by measurement of key performance parameters is required for facilities for which certification is not required for restoration (e.g., lighted visual aids). This post-accident confirmation shall be based only on performance checks that do not require equipment adjustments.

(b) Certification is required for all facilities and services identified by the AFAAR (other than those identified in paragraph 150c(3)(a). In addition, flight inspection may be required for some facilities (see paragraph 150c(3)(c)).

1 Several methods of supporting a certification may be available (as defined by certification policy in Order 6000.15), and there is no restriction on the method used. (Examples: remote center air-ground (RCAG) facility certification and the en route communications service certification supported by the RCAG may both be accomplished by obtaining user reports rather than necessitating a site visit; a facility certification may be issued remotely via remote maintenance monitoring where available and appropriate; and in some cases, a partial certification may be issued to restore a facility or service.)

2 A facility certification should be based on a site visit for facilities for which proper functioning in a post-accident scenario prudently requires assessment of external effects such as ILS critical area encroachments or snow cover.

(c) Depending upon facility type and accident conditions, a flight inspection, followed by a facility certification, may be necessary or appropriate. No adjustments shall be made to any facility awaiting post-accident flight inspection.

1 A flight inspection is necessary when requested by the NTSB or the FAA IIC. The accident AFAAR should convey all known relevant facts to these requestors to minimize unnecessary flight inspections.

2 A flight inspection may be necessary to confirm proper facility operation (testing parameters that cannot be measured at the site, restoring damaged facilities whose maintenance handbooks require a confirming flight inspection after certain corrective maintenance activities, etc.).

d. The accident AFAAR shall contact the appropriate AF control center to request:

(1) Certification of facilities providing data routinely used for accident investigation and documentation (paragraph 150c(1)) and retention of that data (paragraph 151b(1)).

(2) Immediate administrative removal from service of each potentially suspect facility/service identified in paragraph 150c(2), followed by implementation and appropriate reporting of the action determined in paragraph 150c(3).

151. FIELD WORK. The field work is composed primarily of actions by the appropriate AF control center and the responding airway transportation system specialist (ATSS):

a. Upon request by the accident AFAAR, the AF control center shall promptly initiate the actions necessary to certify, document, and restore facilities involved in an investigation.

(1) Initiate NOTAM's to remove specified facilities from service.

(2) Call out an ATSS to certify the facilities identified by the accident AFAAR which provide data routinely used for accident investigation and documentation.

(3) Call out an ATSS to restore, by the method determined by the AFAAR, each facility removed from service.

(4) Locate and dispatch an observer for each facility in the two preceding subparagraphs.

(a) For all site visits related to aircraft accidents/incidents, an observer is required unless waived by the AFAAR (paragraph 151a(4)(b)). The observer is a second person who will attest that the recorded findings and actions by the evaluator represent a true and accurate description of the witnessed activities. The observer normally will be a technician with certification authority for the type of facility involved but shall not be the ATSS who last certified the facility. However, if an ATSS with the desired credentials is not available, the observer does not need to be technically qualified or to be an FAA employee. The observer should be (in decreasing order or preference) an ATSS certified on the facility type, an FAA employee without certification credentials on the facility type, an emergency services (e.g. sheriff or highway patrol) or airport employee, or an adult private citizen.

(b) If an observer is not available (due to facility remoteness, unwillingness of public citizens, etc.), or if an undue delay will result in documenting facility status and restoring service, the AFAAR may waive the requirement for an observer. The AF control center shall contact the accident AFAAR when a significant delay (typically more than 1 hour) is experienced in locating an observer.

(5) Accomplish appropriate reporting, using normal internal procedures.

(6) Promptly notify the AFAAR of the results of all accident- or incident-related restoration activities.

b. Upon notification, ATSS personnel contacted by the AF control center shall:

(1) Promptly evaluate and certify facilities that provide data routinely used for accident investigation and documentation. Log all activities in accordance with Order 6000.15. Download, protect, or retain by the appropriate method all volatile data from these facilities to support requests from accident/incident investigation officials. Contact the accident AFAAR for additional instructions as required and to coordinate release of any such data.

(2) Promptly execute the facility restoral checklist (Figure 4-2) for each facility removed from service as a result of an accident/incident investigation. The checklist is complete when the facility has been returned to service.

c. If the accident AFAAR is notified that a facility cannot be restored to service without corrective action (e.g., the facility was damaged by the aircraft or a certification parameter is found out-of-tolerance), the AFAAR shall perform the following in the sequence shown:

(1) Confirm that as-found conditions at the facility are properly documented.

(2) Notify the FAA IIC, if that person is known and available, and appropriate division personnel.

(3) Request the appropriate AF control center to initiate the necessary restoration activities.

152. DOCUMENTATION. To close out AF's post-accident/incident activities, the AF accident documentation package must be assembled.

a. The package shall be assembled by the SMO performing the certification and restoration. If multiple regions were involved in the activities, a SMO in the region of the accident AFAAR is responsible. If more than one SMO was involved, the accident AFAAR shall assign the responsible SMO based on extent of involvement.

b. The package shall be assembled within 15 working days of the date of the accident/incident.

c. If any of the facilities involved remain out of service beyond the 15-day date, the package assembled by the end of the 15-day date is considered an interim package. The required data for the facilities with delayed restoration shall be added to the interim package when available. The final package shall be completed within 10 working days of the last facility restoration.

d. Originals of facility records to be used to prepare an accident package shall be taken into custody by the AF SMO manager as soon as possible. The minimum contents of the package are defined in the package cover sheet/checklist in Figure 4-3. The package shall be assembled with the completed cover sheet, placed in an envelope labeled with date, time, and registration (tail) number of the accident aircraft, and retained in a locked file. Additional instructions on handling the accident package are contained in paragraph 153.

153. PRESERVING, COPYING, AND RELEASING SYSTEM MANAGEMENT OFFICE REPORTS AND RECORDS. The following requirements apply to preserving, copying, and releasing records associated with aircraft accidents:

a. The SMO manager signing the package cover sheet is the (initial) package custodian. The accident AFAAR may designate a subsequent custodian (e.g., the regional AFAAR). In all cases, the custodian shall insure the original package is stored in a locked file or location.

b. If the original accident record is released or mailed for any reason, the releasing custodian shall retain a legible copy until either the original is returned or a designated custodian confirms receipt of the original. The copy shall be compared against the original prior to the release of the original record.

c. The original and any copies of the record are subject to the retention periods described in the latest edition of Order 1350.15.

d. The custodian shall not release the originals of facility records without the permission of the custodian's regional division manager, except for on-site review. Originals released for any purpose shall be returned to the custodian for retention. The custodian shall maintain an accurate and complete list of all original records that were loaned. This list shall show the date and to whom loaned, the purpose, and the date returned.

e. When military facilities are involved, liaison shall be maintained with the base. All requests for data shall be referred to the accident AFAAR. Appropriate measures shall be taken to safeguard the security of classified data.

154. - 159. RESERVED.

FIGURE 4-1. AIRCRAFT ACCIDENT/INCIDENT AFAAR WORKSHEET

1. List the name of the person notifying the AFAAR of the aircraft accident:

_____ _____
Name of Accident AFAAR Notified by (person, organization)

_____
Time Notified (all times in GMT)

2. List the aircraft identification, type, accident location, and time below:

Aircraft Type	**Aircraft ID**	**Flight Plan Type**
_____	_____	IFR_____ VFR_____ None_____
_____	_____	IFR_____ VFR_____ None_____
_____	_____	IFR_____ VFR_____ None_____
_____	_____	IFR_____ VFR_____ None_____
_____	_____	IFR_____ VFR_____ None_____

Location of accident/incident, if known:_____

Date/time of accident/incident:_____

3. Advise the appropriate AF control center and others concerned of your (AFAAR) location and telephone number.

4. Keep the FAA IIC and the appropriate AF control center informed of progress, unusual problems, and significant findings.

5. The accident AFAAR shall contact the IIC, if available, and AT representatives for early coordination of activities and completion of the initial list of candidate facilities described in paragraph 150b of this order. This usually can be accomplished through the Regional Operations Center or appropriate AF control center. The initial list of facilities will contain all those that may have been or were used by the aircraft involved.

6. The accident AFAAR, with the help of AT personnel, may reduce the initial list by removing facilities per the principles documented in paragraph 150b of this order. Document the basis for those that are removed.

FIGURE 4-1. AIRCRAFT ACCIDENT/INCIDENT AFAAR WORKSHEET (continued)

7. Facilities identified by the AFAAR, IIC, and AT on FAA Form 8020-9 are those **not** "subsequently removed from list" in the following table.

Initial Candidate List of Facilities

Facility ID/Type	Subsequently Removed From List	Basis for Removal From List

Use the following lines for other notes as required:

FIGURE 4-2. FACILITY RESTORAL CHECKLIST

Figure 4-2 is required for each facility identified by the accident AFAAR or designee.

1. Complete the following initial items:

a. List the facility that has been identified to be returned to service. This can be accomplished via certification and/or operational status check.

Facility_____ **Ident**_____

b. Steps to complete the certification and restoration of facilities that have been removed from service due to aircraft accident/incident:

NOTE: An observer will normally be required; however, under certain conditions the observer requirement may be waived by the AFAAR.

(1) Observer requirement waived by the AFAAR? **Yes**_____ **No**_____

(2) If (1) is **No**, identify who is to be the observer below:

_____

Facility **ATSS Name**

(3) If (1) is **Yes**, record below the name of the technician who last certified the facility or equipment (control point visits or telephone calls may be required to learn who last certified). The person listed below cannot be today's sole status determinator or facility technical evaluator but may be the observer. If you arrive alone and find you were the last certifying technician, do not proceed until notifying the appropriate AF control center.

_____

Facility **ATSS Name**

c. Upon arriving at the facility, log the following information:

(check off)

(1) Arrival date and time at facility ____

(2) Reason for facility visit ____

(3) Current weather conditions (not at time of accident/incident) at facility. (This is your "unofficial" observation of the general weather conditions upon your arrival at the facility. See the following example text.)

FIGURE 4-2. FACILITY RESTORAL CHECKLIST (continued)

Examples of typical log entries (not necessary to use word-for-word):

2310 arrived site to initiate restoration certification of facility in a post-aircraft accident/incident.

2315 presently the weather conditions are overcast and snowing with 2 feet of snow on the ground.

2316 found GS was operating on commercial power with no alarms or transfers indicated. AT reported no pilot reports of malfunction of this facility during the last **(X)** hours (where **X** = number of hours).

2. Initiate action to certify and restore facility:

a. If the facility is shutdown, record the status of the equipment in the facility log. Reset equipment; **MAKE NO ADJUSTMENTS.** If the facility fails to restore to normal after resetting, notify the accident AFAAR immediately for further instructions. If the facility resets successfully, continue with the next step.

b. Immediately record as-found technical data (see paragraph 3 below). If out-of-tolerance conditions are found, notify the accident AFAAR immediately for further instructions.

c. If a flight inspection has been requested, **MAKE NO ADJUSTMENTS** prior to commencing the flight inspection; and then make only those adjustments requested by flight inspection personnel.

d. Once as-found technical data have been recorded (see paragraph 3 below) and any flight inspection activities have been completed, corrective maintenance in support of facility restoration may begin. Record as-left technical data (see paragraph 3 below).

e Certify the facility as required and initiate restoration coordination. Record all activities in the facility maintenance log.

3. Documentation of the condition of the facility:

a. Technical performance parameters shall be recorded accurately on the appropriate FAA form, Technical Performance Record. For remote maintenance monitoring facilities, all required certification screens shall be taken and a hard copy retained. If equipment involved is operational, a set of "as found" readings or screens shall be recorded prior to any corrective maintenance, followed by recording a set of "as left" readings or screens.

b. Authentication of technical readings: an authentication statement shall be entered immediately below each set of parameter values and on each screen printed, identifying whether they are "as found" or "as left." If no adjustments or other maintenance were

FIGURE 4-2. FACILITY RESTORAL CHECKLIST (continued)

accomplished, a single statement will suffice. The authentication statement to be used on the technical performance record and remote maintenance monitoring screens is as follows:

> "I certify that the above is a true record of the (facility or equipment type) parameter readings (screens) (as found, as left, or as found and left) at the date and time indicated."

ATSS:	**Observer:**
Signature_____	Signature_____
Name_____	Name_____
Title_____	Title_____

c. Enter the following information for automated logs such as SAL:

Log data uploaded: Date:_____ Time:_____ Initials:_____

4. Completion:

a. Confirm restoration coordination is complete.

b. This completes the facility restoral process.

FIGURE 4-3. AIRCRAFT ACCIDENT/INCIDENT PACKAGE COVER PAGE

Minimum Package Contents:

1. Cover page (this page).

2. Technical data (for each facility removed from service): **Initials**

   a. Facility Restoral Checklist. _____
      Reviewed for completeness? _____

   b. Hardcopy printout of **all** (SAL, MMS, etc.) facility log entries, covering the period beginning with removal from service and ending with restoration to service. _____
      Do the log pages contain the proper certification statement? _____

   c. A complete set of Technical Performance Record forms. _____
      Data entered per 6000.15 and "Aircraft Accident" paragraph if any, in maintenance technical handbooks? _____
      Nominal values listed where appropriate? _____
      Signed by supervisor? _____
      Authenticated? _____

ATSS personnel who completed the facility restoral process:

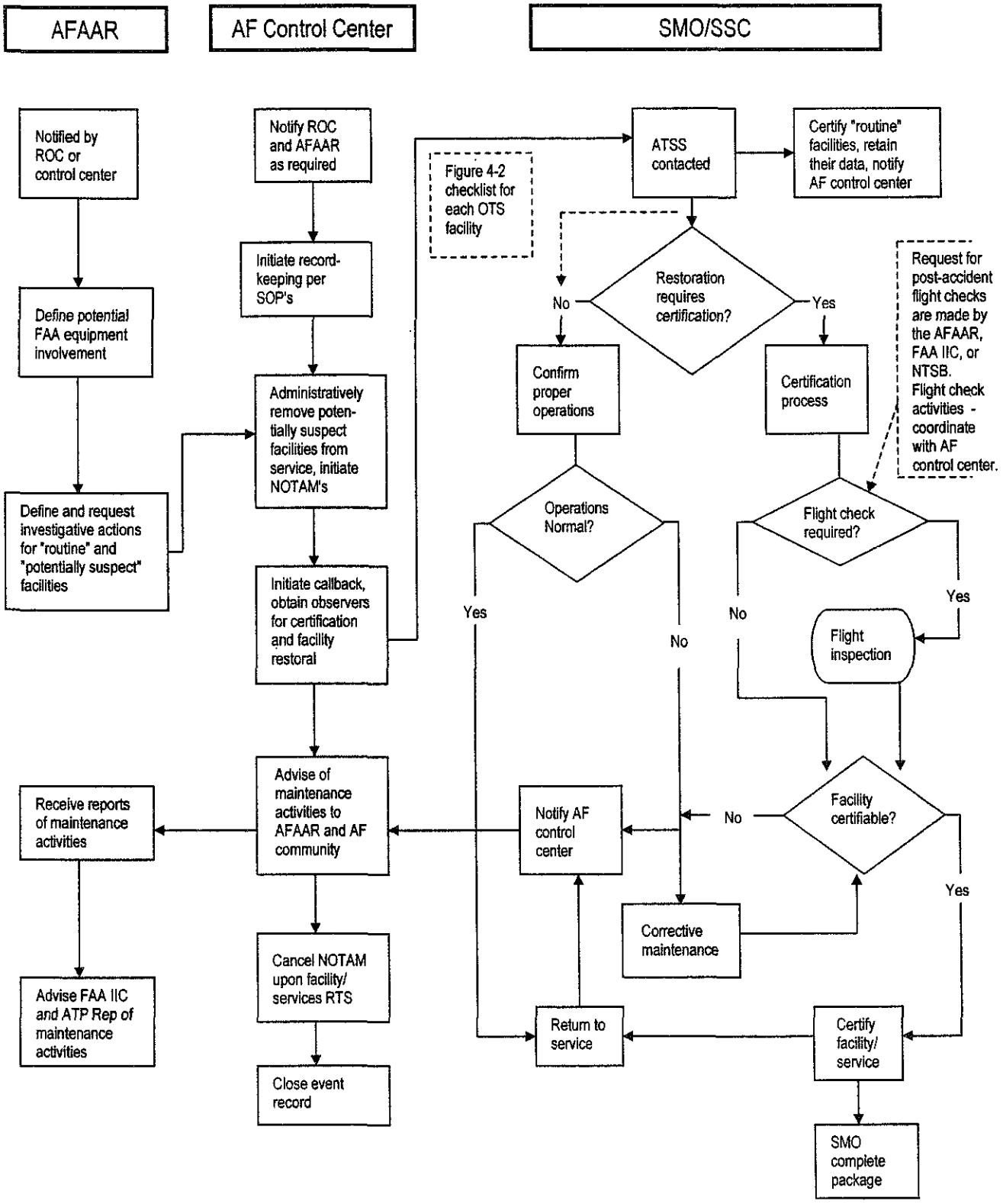
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)

System Maintenance Organization manager who reviewed this package:

(Signature)	(Date)	(SMO)

NOTE: See Chapter 4, Section 4, of this order for instructions on custody, retention, release, and other handling instructions for aircraft accident/incident related documents.

FIGURE 4-4. AF POST-AIRCRAFT ACCIDENT PROCESS



SECTION 5. OFFICE OF AIRPORT SAFETY AND STANDARDS

160. RESPONSIBILITIES.

a. The Airport Safety and Operations Division, AAS-300, is designated as the primary contact and focal point in the Office of Airport Safety and Standards with regard to the coordination of accident and incident information with the Accident Investigation Division, AAI-100.

b. AAI-100 will immediately notify the designated AAS-300 representative when air carrier and commuter accidents occur on or near an airport and provide the representative with the information. A determination will then be made whether AAS-300 or regional certification inspectors or both will participate in the investigation. AAS-300 will send personnel based on the following criteria:

(1) Catastrophic accidents or significant fires require AAS-300 and regional personnel.

(2) Other accidents or incidents require regional personnel only.

c. When AAS-300 certification personnel participate, arrangements will be made with AAI-100 for transportation on FAA aircraft, if available. Otherwise, commercial air transportation will be used.

d. AAI-100 will be provided with a current list of AAS-300 individuals from which one will be notified. This list will also be on file in the Washington Operations Center. If AAS-300 is to participate in the investigation, AAS-300 will arrange for a credentialed headquarters certification inspector to participate. AAS-300 will contact the appropriate Regional Operations Center to notify regional certification personnel who will participate. Regional callup information will be assembled and issued to all concerned.

e. AAI-100 may request AAS-300 to provide Airports specialists in areas other than airport certification. Upon receipt of such a request, AAS-300 will contact the appropriate Airport organization in order to provide the needed specialty.

f. Special emphasis will be given to those items required and contained in the Airport Certification Manual/Specification at airports certificated under 14 CFR 139. Investigations should include an analysis of the self-inspection reports prepared by airport personnel to determine if a deficiency that may possibly relate to the accident was reported, and what actions were taken to correct the deficiency.

g. If, during the investigation, possible violations of 14 CFR 139 become evident, regional Airports division certification staffs shall be notified immediately so that corrective and enforcement actions shall be initiated.

h. Special emphasis will be given at airports subject to Federal agreements (airport grant-in-aid and surplus property) to any contributing factors associated with or pertinent to such agreements.

i. Upon receipt of accident or incident information from AAI-100 or any other source that may involve airport functions, a preliminary report will be made by AAS-300 to the Director of Airport Safety and Standards, AAS-1, and other interested divisions and branches.

j. AAS-300 will advise AAS-1 and other appropriate divisions and branches of any involvement of the Office of Airport Safety and Standards functions that may be revealed during the accident or incident investigation.

k. All Airports representatives will report to the FAA IIC and may be assigned to a working group when their expertise is required.

161. REGIONAL AIRPORTS DIVISION RESPONSIBILITIES.

a. Regional Airports division managers shall make arrangements to receive immediate notification of accidents and incidents from the Regional Operations Center and other sources as appropriate.

b. Upon receipt of notification that an accident or incident has occurred that may involve Office of Airport Safety and Standards functions, including 14 CFR 139, the region with jurisdiction will designate an airport certification inspector or other specialist to assist in the investigation. When the FAA IIC assigns the Airports representative to a group, the representative will remain with that group until released by the group chairperson and the FAA IIC.

c. When a regional Airports division has been requested to provide a specialist other than an airport certification inspector, the specialist will be instructed in the proper investigation procedures.

d. The regional Airports division will be responsible for conducting investigations of vehicle and pedestrian deviations at airports certificated under 14 CFR 139 with airport traffic control towers. The investigation by the regional certification inspector will include the completion of FAA Form 8020-25 (Investigation of Vehicle or Pedestrian Deviation Report) within 90 days of the receipt of FAA Form 8020-24 (Preliminary Vehicle or Pedestrian Deviation Report) from air traffic control. FAA Form 8020-25 will be completed even if the vehicle or pedestrian deviation led to an accident.

e. When requested by the FAA IIC, Airports personnel will conduct investigations and provide investigation results to the FAA IIC. When an accident or incident occurs at an airport, the investigation will cover those items of Airports' responsibility pertinent to, or which could have a relationship to, the accident or incident.

162. - 167. RESERVED.

SECTION 6. OFFICE OF THE CHIEF COUNSEL

168. GENERAL. The provision of legal representation, counsel, and advice to the Office of the Administrator and other FAA offices and services, when required in connection with accident investigations, is a primary function of the Office of the Chief Counsel (AGC) and should be given a high priority at all times.

169. EXTENT OF LEGAL PARTICIPATION. The legal services required in an accident investigation vary by accident. Many FAA investigations conducted under Title 49 United States Code do not require substantial legal services. Some, however, demand full legal participation. In each accident investigation involving FAA, it is the responsibility of AGC to provide the appropriate level of legal participation.

170. INVESTIGATIONS REQUIRING FULL LEGAL PARTICIPATION. A legal representative of AGC shall be designated for each aircraft accident investigation that requires full legal participation. The legal representative will be designated only in the investigation of those accidents where the degree of FAA interest is substantial. Such accidents must involve one or more of the following:

a. Substantial damage to an air carrier aircraft resulting in one or more fatalities.

b. A midair collision involving at least one civil aircraft.

c. A near midair collision in controlled airspace resulting in serious injury or fatality.

d. Substantial damage to a civil aircraft or serious injury or fatality of nonmilitary personnel under circumstances which will create strong public interest.

e. Accidents or incidents, civil or military, in which it is suspected that FAA facilities contributed to the occurrence.

171. DESIGNATION OF LEGAL REPRESENTATIVE. AGC designates the FAA legal representative in the investigation of all accidents described in paragraph 170 that involve substantial damage to an air carrier aircraft with one or more fatalities. Unless AGC designates another FAA attorney, the Regional Counsel for the region in which the accident occurred designates the FAA legal representative in the investigations of all other types of accidents listed in paragraph 170. When appropriate, a legal representative may delegate the performance of a portion of the legal services described in paragraph 170 to another FAA attorney.

172. LEGAL REPRESENTATIVE RESPONSIBILITIES. The legal representative is responsible for all legal services required to determine the proper performance of FAA functions related to the types of aircraft accidents listed in paragraph 170. Specifically, the legal representative shall:

a. Report to the FAA IIC upon arrival at the accident or incident scene. If not required to proceed to the scene, the representative will be kept informed of the progress and development of the investigation.

b. Provide appropriate legal review of all evidence acquired by FAA during the investigation.

c. Determine if any additional evidence should be obtained concerning the legal aspects of the investigation and request that evidence. This shall not affect the responsibility of the FAA IIC to ensure that all available relevant evidence is obtained. The legal representative should not hinder the normal investigative process.

d. Provide legal clearance of all statements, documents, and related evidence presented by FAA during the investigation.

e. Ascertain from AAI-100 or the FAA IIC what evidence NTSB or a military agency seeks from FAA and the names of FAA employees that have been requested to testify in a formal or informal hearing.

f. Brief FAA personnel on their conduct and responsibilities in the presentation of evidence at formal or informal interviews, hearings, or depositions.

g. Provide legal representation for FAA personnel in all NTSB and military agency interviews and hearings when the personnel request such representation. In the performance of this function, the legal representative will ensure that all questioning of FAA personnel is conducted in accordance with applicable FAA directives.

h. Provide any FAA legal material that might be required during an investigation, such as opinions on the effect of statutory provisions or related memoranda.

i. Counsel and guide the FAA spokesperson at NTSB hearings or at hearings conducted by military authorities under Title 49 United States Code and Chapter 7 of this order. When determined as appropriate by the FAA IIC or ATREP, act as FAA spokesperson in a military hearing.

j. Perform all other legal functions which may be required during an investigation. Assist in the presentation of FAA evidence and the carrying out of FAA responsibilities.

k. Report significant developments and problems to AGC as expeditiously as possible.

173. REGIONAL COUNSEL RESPONSIBILITIES. The Regional Counsel for the region in which an accident or incident occurs is responsible for the performance of all legal services appropriate to the investigation if the accident or incident is of a type not listed in paragraph 170. These legal services consist of many of the activities listed in paragraph 172. The extent to which they are performed is dependent upon the type of investigation. The regional counsel's working relationships with the participants must ensure that investigation participants obtain appropriate guidance from the regional counsel during the whole investigation.

174. - 179. RESERVED.

SECTION 7. ASSOCIATE ADMINISTRATOR FOR CIVIL AVIATION SECURITY

180. RESPONSIBILITIES.

a. Notification of accidents and incidents involving possible illegal activity such as drugs, stolen aircraft, aircraft false markings, or accidents and incidents having a security, hazardous materials, and/or atmospheric/radiological contamination interest will normally be received by the Associate Administrator for Civil Aviation Security (ACS) from the Washington Operations Center. However, information might also come directly from other sources such as the Accident Investigation Division (AAI-100), regional FS offices, law enforcement agencies, the military, or the public.

b. The Special Activities Staff, ACS-50, is designated as the prime focal point in ACS on the exchange of information on accidents and incidents involving aviation security, hazardous materials, and incidents involving or suspected of involving explosion and explosive devices (bombs). The Investigation Division, ACO-300, is designated as the prime focal point on illegal activities such as stolen aircraft, aircraft false markings, aviation drug-related accidents or incidents, counterfeit certificates, classified national security information found at the crash scene, etc. Atmospheric/radiological contamination incidents are the responsibility of the Chief Scientific and Technical Advisor, ACS-20. Coordination will be accomplished with AAI-100, other concerned offices and divisions of ACS, and the responsible security divisions in the regions.

c. Upon receipt of accident or incident information involving possible illegal activity or having security or hazardous materials or atmospheric/radiological implications, the appropriate ACS focal point will provide reports to the FAA IIC and the Associate Administrator for Civil Aviation Security, ACS-1.

d. ACS conducts a technical investigation of each incident involving hazardous materials or explosive or incendiary devices (bombings). Investigations of explosives incidents are conducted in cooperation with the law enforcement agencies with criminal investigative jurisdiction. The purpose of the technical investigation is to determine the type of explosive or incendiary device and the methodology used in order to develop countermeasures for use by the aviation security and law enforcement communities. ACS-50 is responsible for providing qualified specialists to accomplish this task in support of the FAA IIC.

181. REGIONAL CIVIL AVIATION SECURITY DIVISION RESPONSIBILITIES.

a. Regional Civil Aviation Security division managers shall make arrangements for receiving immediate notification of accidents and incidents with security implications.

b. Upon receiving notification that an accident or incident occurred that may involve ACS functions, the region with jurisdiction will designate a security representative to assist the FAA IIC and advise the appropriate concerned offices or divisions within ACS. If the FAA IIC assigns the security representative to a group, the representative will remain with that group until released by the group chairperson and the FAA IIC.

182. - 189. RESERVED.

CHAPTER 5. ACCIDENT INVESTIGATION, REPORTING, AND QUALITY ASSURANCE PROGRAM

SECTION 1. INVESTIGATION GUIDELINES AND QUALITY ASSURANCE PROGRAM

190. GENERAL. The following guidelines are provided for the purpose of ensuring a thorough investigation of aviation accidents. Information in this section relates to FAA investigative activities during accident investigations.

a. The United States, as a member of ICAO, assisted in the preparation of the latest edition of ICAO Document 6920, Manual of Aircraft Accident Investigation, which contains advice and direction on the investigation of aircraft accidents.

b. If an FAA IIC or participant is undecided about the proper procedure to use during an investigation, he or she should do the following:

(1) FAA IIC: contact supervisor or AAI-100.

(2) Participants: contact the FAA IIC.

191. NATIONAL TRANSPORTATION SAFETY BOARD (NTSB). NTSB investigates civil aircraft accidents and incidents and coordinates with the FAA IIC in its conduct of the investigation. NTSB may investigate aircraft or air traffic incidents; in both cases, NTSB has the same authority as in accident investigations.

192. EXTENT OF INVESTIGATION.

a. FAA shall investigate aircraft accidents to the extent necessary to:

(1) Establish the facts, conditions, and circumstances of the occurrence.

(2) Ensure the proper discharge of FAA responsibilities.

(3) Identify safety issues surrounding the accident and submit meaningful safety recommendations.

(4) Submit a verbal report to NTSB from which the NTSB may make a determination of probable cause for accidents that the NTSB did not participate on scene. Provide the NTSB with photographs, witness reports, etc., to become a part of and support the NTSB accident report. Written reports may be submitted to the NTSB for a specific fact, i.e., a report relative to an engine teardown.

b. Except in unusual circumstances, the FAA IIC is expected to participate in all on-scene investigations to ensure that all FAA areas of responsibility are considered.

c. The following situations require extensive investigation:

(1) Fatal or serious injuries are involved.

(2) Notification information indicates possible structural failure, design or manufacturing defects, an airworthiness or commercial space safety or flight termination system deficiency, or violation of the Code of Federal Regulations (CFR).

(3) Aircraft in-flight fire is involved.

(4) FAA facilities, procedures, personnel, or aircraft are involved.

(5) An identified safety deficiency is identified.

(6) AAI-100 requests extensive investigation.

193. FAA IIC RESPONSIBILITIES.

a. The FAA IIC is an FAA employee designated either by the FSDO with jurisdiction in the area that the accident occurred or by AAI-100. The FAA IIC is responsible for the overall FAA investigation and is the principal contact for all aspects of the investigation. The FAA IIC must ensure that the initial notification message will be or has been transmitted by AT as soon as possible. For FAA licensed commercial launch accidents, the FAA IIC will be designated by AAI-100 or AST-200 (in consultation with AST-1).

b. The FAA IIC will conduct an investigation of all accidents regardless of whether the NTSB accomplishes an on-scene investigation. In the absence of the NTSB, the FAA IIC has the same authority and responsibility as the NTSB IIC. The FAA IIC will, in accordance with NTSB policy, provide party status to companies and associations that have a right to participate in the investigation.

c. The FAA IIC shall have at least one of the following credentials which should be used to gain access to the accident site:

(1) FAA Form 110A, Aviation Safety Inspector's Credential, used by qualified Flight Standards (FS) personnel.

(2) FAA Form 8020-20, Air Safety Investigator, used by Office of Accident Investigation personnel.

(3) FAA Form 8000-39, Airport Operations Area Access Credential, used by Flight Standards personnel who need access to airport operations areas.

(4) FAA Form 8000-40, Aviation Safety Investigator, used by Office of Aviation Safety Analysis personnel.

d. During accident and incident investigations, the FAA IIC shall, as appropriate:

(1) Determine if a biohazard exists; if so, be sure that all FAA participants have access to and use of the equipment.

(2) Advise other groups when their areas of responsibility are involved, e.g., the FS division with the air carrier certificate responsibility, AT division, AF division, Airports division, or Aircraft Certification Directorate.

(3) Maintain liaison with NTSB and the military services.

(4) Request technical assistance directly from regional FS divisions and headquarters through AAI-100.

(5) Request a flight inspection. Consult with the AFAAR, regional AF division, regional AT division, AVN-250, or AAI-100 to determine the need for and the extent of a facility flight inspection.

(6) Confer with regional, center, and headquarters legal counsel.

(7) Use the NTSB's accident headquarters (command post) as the FAA IIC headquarters during the investigation.

(8) Provide the NTSB IIC with information requested by NTSB and other relevant information obtained by the FAA.

(9) Supervise all FAA investigation personnel and coordinate their group assignments with the NTSB IIC. FAA personnel shall not be released until the FAA IIC has copies of and has discussed all exhibits that FAA participants obtained during the investigation and until the NTSB IIC has released the participants.

(10) Keep the regional office and other interested regions, offices, and services advised of the investigation's progress.

(11) Keep the regional office advised of where the FAA IIC can be contacted during the investigation's field phase.

(12) Keep AAI-100 advised, if requested, of the investigation's progress and where the FAA IIC can be contacted during the investigation's field phase.

(13) Initiate or recommend emergency corrective action immediately by direct communication with AAI-200.

(14) Contact supervisory personnel or AAI-100 for instructions if unsure of actions to deal with uncooperative agencies or individuals.

(15) Inform the NTSB IIC of the FAA IIC's departure from the scene.

(16) Prepare and distribute FAA Form 8020-23.

(17) Consider safety recommendations in accordance with paragraph 15.

(18) Determine the biohazard area and ensure that the proper precautions are exercised.

(19) Destroy files maintained by the FAA IIC when necessary corrective action or followup is completed.

194. FAA PARTICIPANT RESPONSIBILITIES.

a. For NTSB/FAA-conducted investigations, FAA participants shall:

(1) Report to the FAA IIC for group assignment.

(2) Participate in the investigation as a group member directed by and until released by the group chairperson.

(3) Be alert at all times to FAA responsibilities described in paragraph 8 and report any observed deficiencies to the FAA IIC as soon as possible.

(4) Report to the FAA IIC upon being released by the NTSB group chairperson at the end of each day's activities and before departing the scene at the close of the investigation.

(5) Furnish the FAA IIC with a copy of each exhibit and/or item of information obtained during the group investigation.

b. For FAA-conducted investigations, FAA participants shall report to the FAA IIC for assignment of such duties as the FAA IIC will require during the investigation.

195. FAA IIC INITIAL ACTIONS.

a. Determine the presence of a biohazard area.

b. Ensure that the emergency locator transmitter has been deactivated (remove batteries, antennae, etc.). This action is necessary to preclude its continued operation or reactivation during aircraft wreckage removal.

c Verify that FAA Form 8020-9 has been sent by AT. If the information has not been sent, obtain the information, relay it to the nearest AT facility, and confirm that it transmits the information.

d. Organize the investigation and assist the NTSB with its investigation if NTSB is on scene.

e. Arrange for security at the accident scene. Determine if hazardous materials are on the aircraft and request special assistance if necessary (see paragraph 280). On request, the regional Civil Aviation Security division will provide assistance in establishing and maintaining appropriate security at crash scenes. Agricultural accidents may also require arrangement of accident scene security if hazardous materials are on the aircraft.

f. Determine if crew incapacitation was a factor for fatal accidents. Promptly contact the Regional Operations Center or the regional flight surgeon for assistance in obtaining the services of an AME. The local coroner should be contacted to ensure that flightcrew bodies have not and will not be embalmed until an AME or regional flight surgeon is consulted.

g. Section 1134 of Title 49 United States Code gives the FAA the following authority when the NTSB is not on scene:

The Board is authorized to examine the remains of any deceased person aboard the aircraft at the time of the accident, who dies as a result of the accident, and to conduct autopsies or such other tests thereof as may be necessary to the investigation of the accident: provided, that to the extent consistent with the needs of the accident investigation, provisions of local law protecting religious beliefs with respect to autopsies shall be observed.

h. Coordinate with NTSB on NTSB-conducted investigations prior to departure to the accident scene. The FAA IIC should not delay departure to the accident scene for the sole purpose of traveling with the NTSB IIC (see paragraph 197 for procedures when FAA personnel arrive at the scene prior to NTSB personnel).

i. When the FAA IIC's travel time will not allow him or her to arrive within a reasonable time, telephone calls should be made to relay FAA concerns to the on-scene public safety official (sheriff, police, etc.). Discuss the items in paragraph 196 with the public safety official.

196. ARRIVAL AT ACCIDENT SCENE. The FAA IIC should make an initial familiarization visit to the accident scene to establish the status of or accomplish the following:

a. Rescue operations (who, where, when).

b. Wreckage security. Treat accident scene like a crime scene.

c. Site safety (see paragraph 202).

d. Notification procedures. Verify that NTSB and the Washington Operations Center were notified by the Regional Operations Center.

e. Emergency locator transmitter should be deactivated.

f. Flight data and cockpit voice recorders, if installed, should be located and secured.

g. Perishable evidence. This must be documented quickly or preserved.

h. Victim identification. Contact law enforcement officers.

i. Autopsy and toxicology studies. Contact assistant Federal Air Surgeon in regional office.

j. News releases (see paragraph 209).

k. Photographic documentation should occur before wreckage is moved.

l. Wreckage recovery and movement. Delay until perishable evidence and photographic documentation are complete.

m. Names, addresses, and telephone numbers of witnesses are obtained from law enforcement officers.

197. WHEN NTSB IS IN CHARGE, BUT FAA INSPECTOR ARRIVES FIRST. Whenever possible, the FAA IIC should coordinate FAA's initial on-scene actions with the NTSB IIC before the arrival of the NTSB at the accident scene. Suggested actions are as follows:

a. Establish contact with local law enforcement officials and request accident scene security by such officials.

b. Arrange for preservation of the wreckage.

c. Ensure that power to the cockpit voice recorder is off and remains off (to prevent erasure of recorded information) until the recorder is removed by authority of the NTSB.

d. Do not delay or prevent removal of remains. However, the cooperation of local authorities should be solicited so that human remains are not removed before the arrival of an AME, provided that an undue time delay is not expected. If remains are removed before the arrival of an AME, note injury evidence and tag the location.

e. Make a preliminary survey of the wreckage site. Initiate preliminary investigations as requested by the NTSB and establish and maintain security until the arrival of NTSB personnel. Collect preliminary data (name and address information) from witnesses. Wait for an NTSB investigator to conduct indepth witness interviews, except in the case of transient witnesses.

f. Comply with NTSB regulations in 49 CFR 830.10 which state that before the arrival of an NTSB investigator or an authorized NTSB representative:

> "...(b) such wreckage, mail, or cargo, may not be disturbed or moved except to the 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 positions and conditions of the wreckage and any significant impact marks."

g. Monitor accident site security. NTSB regulations permit only persons authorized by the NTSB IIC or the Director, NTSB Office of Aviation Safety, to participate in examination of wreckage, records, mail, or cargo in NTSB's custody. At times, well-meaning guards, not knowing the reasons for the NTSB request for complete security, may allow unauthorized personnel access to the scene before NTSB investigators arrive.

h. Do not allow anyone to disturb the involved portion of the wreckage when evidence of an explosion is recognized, except for removal of casualties and remains, until the arrival of the Federal Bureau of Investigation or FAA explosives investigation specialists. If the center of the explosion is disturbed, critical evidence can be lost, i.e., the type of explosive device employed which, in turn, might preclude apprehension and conviction of the perpetrator.

198. ACCIDENT SCENE ACCESS. It is appropriate to review the statutes and regulations under which inspectors may demand immediate access to the accident scene when conducting inspections for NTSB or FAA. If the inspector has difficulty gaining access to inspect and photograph the accident scene, quote from Title 49 United States Code or refer person(s) refusing the inspection to paragraphs 198a and b. Remind them that aircraft accident and incident investigations are a Federal matter, and that no lower authority has any legal or other right to hide the wreckage or refuse access to it for as long as access is required. The United States Government has custody of the wreckage by law and that custody will be released upon completion of the investigation by completing NTSB Form 6120.15, Release of Aircraft Wreckage and Receipt of Aircraft Parts.

a. Title 49 United States Code and 49 CFR 831.9 require any person having custody of an aircraft, or other property involved in an aircraft accident, to permit accredited NTSB investigators to have access to the aircraft and/or the accident scene and conduct all inspections necessary for a proper investigation. FAA personnel investigating an accident wherein the NTSB does not participate on scene, are accredited NTSB investigations and, therefore, entitled to demand access under the above sections.

b. Any person who refuses to grant access to an aircraft or wreckage after proper demand by inspectors will be subject to civil penalties of up to $1,000 under Section 46301 of Title 49 United States Code; and/or criminal penalties up to $5,000 in fines, or 1 year in jail, or both; and/or an injunction issued by a U.S. district court.

c. If confronted with a person who resists granting access, the investigating inspectors should first inform that person of the above statutes and regulations. If access is still not granted, the investigators should immediately notify their FSDO manager who, through the region, should arrange for the Regional Counsel's office to take vigorous legal action to secure access and institute enforcement proceedings if access is not granted. The regional Flight Standards division and the Regional Counsel's office should also notify appropriate NTSB elements of the progress of such situations.

199. ORGANIZATION AND CONDUCT OF THE FIELD INVESTIGATION.

a. Organization. Before or after the accident scene familiarization visit, the FAA IIC should hold an organizational meeting. The organizational meeting for most accidents may be an informal conversation involving an FAA IIC and one or more of the following: FAA participants, or aircraft operator, owner, or manufacturer representatives. The purpose of the meeting is to define briefly the FAA's responsibilities, procedures, and objectives; investigation participants are also apprised of what is expected of them.

b. Investigation. After completing the organizational meeting and ensuring the documentation and/or preservation of perishable evidence, e.g., human factors data, fuel samples, pressurized systems, and transient witnesses, the FAA IIC shall expedite the on-scene investigation. Photographs of the accident scene are a good place to start. Printed labels placed in the photographed scene ensure permanent records of identification and orientation. Generally, color photographs are superior to black and white photographs for investigations.

c. Documentation. Further documentation by notes, measurements, etc., is necessary to complement even the most thorough photographic coverage. Suggested documentation subjects include:

(1) Wreckage distribution.

(2) Body distribution.

(3) External flight control positions, e.g., rudder, elevator, ailerons, flaps, slats, spoilers, stabilizers, and tabs.

(4) Cockpit flight control indications.

(5) Cockpit instrument readings.

(6) Abnormalities in cabin and cockpit areas.

d. Investigation Suggestions. During the investigation, certain evidence will require more detailed examination. The knowledgeable, experienced investigator is continually evaluating evidence as a possible causal factor. A complete list of causal or contributing factors does not exist. The following suggestions may stimulate the investigator's analyses:

(1) Missing extremities: wing or horizontal stabilizer tips, vertical stabilizer tip, propeller, or rotor tips.

(2) Missing flight control surfaces: rudder, elevators, ailerons, flaps, stabilizers, spoilers, slats, tabs, etc.

(3) Missing structure.

(4) Preimpact versus post-crash fire evidence.

(5) Metal fatigue versus instantaneous breaks.

(6) In-flight versus impact breaks.

(7) Positive versus negative wing or stabilizer separation.

(8) Overloading or out-of-center-of-gravity evidence.

(9) Evidence of aircraft attitude at impact.

(10) Controlled versus uncontrolled attitude at impact.

(11) Engine power at impact.

(12) Systems operation before impact.

(13) Flight control problems.

(14) Evidence of an explosion.

(15) Cockpit documentation.

(16) Evidence of impact before final contact with terrain: trees, wires, buildings, terrain, poles, obstructions.

(17) Witnesses.

(18) Aircraft performance.

(19) Meteorological conditions.

200. NTSB TEAM CONCEPT.

a. NTSB uses the team concept for the investigation of all major aircraft accidents. The formal investigation involving wreckage recovery, security, field investigation, public hearings, and report writing is conducted under the direction of an NTSB IIC. Technical specialists are assigned to groups in two areas:

Operations	**Airworthiness**
Air Traffic Control	Flight Data Recorder
Airports	Aircraft Performance
Cockpit Voice Recorder	Maintenance Records
Human Performance	Powerplants
Operations	Structures
Survival Factors	Systems
Meteorology	
Witnesses	

b. NTSB technical specialists chair the investigation groups and are assisted by FAA participants, technical specialists who represent the State of registry, the operator, crew organizations, manufacturers, and other selected experts. The primary function of each group is to examine all facts in their area. The secondary function is to apprise the other groups of findings. Communication on findings is accomplished through a daily progress meeting conducted by the NTSB IIC. Frequently one group uncovers information that may be a lead for another group.

201. INVESTIGATION EQUIPMENT. Flight Standards division managers shall provide each FSDO or International Field Office in their region with the necessary clothing and equipment for accident investigation. A suggested equipment list is given in Appendix 1.

202. INVESTIGATOR SAFETY. Safe investigative practices and common sense safety precautions are of vital importance but are often overlooked during an investigation. Each investigation participant must consider several items including the following:

a. Good health is a prerequisite.

b. Sound physical condition for withstanding strenuous outdoor activity is a necessity.

c. Control of one's emotions due to the disruptive effect of a disaster is a necessity.

d. Calm and competent behavior to preclude frantic or ill-advised action is a necessity.

e. Suitable gear for the climate and terrain is needed upon arrival.

f. Wearing gloves when handling wreckage is mandatory.

g. Hardhats should be worn when working inside or under wreckage.

h. Advice of local experts such as forest rangers, mountain rescue teams, surveyors, and law enforcement personnel on the type of protection needed should be followed.

i. The effects of fatigue on the safety of one's performance long before total exhaustion takes place should be understood.

j. The workload should be adjusted to the circumstances: more may be accomplished in a well organized 6-hour day than in an unorganized 12-hour day.

k. The quality of the investigation is best served by an awareness of the need for mental alertness and physical fitness.

l. At high elevations, portable oxygen and other emergency equipment should be available.

m. Unexpected weather or equipment failures may isolate the investigation team in remote areas; therefore, provisions for first aid, shelter, food, water, and fuel should be made before the need arises.

n. The buddy system and a logging in and out system for personnel for remote area operations should be used.

o. Reliable communications between the investigation headquarters and the various activity scenes should be maintained by telephone, walkie-talkie, or long-range radio equipment.

p. The use of helicopters at inaccessible accident scenes is extremely dangerous; coordination between the helicopter crew and the investigating team is a must.

q. Working around heavy equipment is very dangerous and demands the same observance of safety measures as does that of helicopter use.

r. When the crash scene is in water, only fully qualified and properly equipped personnel will be assigned to missions such as underwater recovery and photography.

s. The following potentially hazardous items or situations may be encountered:

(1) Sharp, jagged pieces of metal. Wreckage may shift.

(2) Fuel and other flammable agents. Toxic agents may be present with a fire.

(3) Ignition sources: hot metal, battery (may also explode), ignition wires, electrical wires, grass or wood fire, or any explosive agent. Tires may explode.

(4) Hazardous materials from the aircraft or at the scene.

(5) Still-loaded aircraft systems, including: fuel and oil, pneumatic, hydraulic, electrical, and oxygen. Remember that controls may move.

(6) On frozen water, ice may give under wreckage.

(7) Possibility of snakes.

t. Lacerations from wreckage where human remains are present will require a hepatitis injection.

203. AIRMAN AND AIRCRAFT RECORDS. The FAA is prohibited from releasing the medical records of any living person without the individual's consent.

a. A certified copy of the airman's FAA certificate history may be obtained from the Airmen Certification Branch, AFS-760.

b. A certified copy of the airman's FAA medical history may be obtained from the Aeromedical Certification Division, AAM-300.

c. A certified copy of the aircraft historical records may be obtained from the Aircraft Registration Branch, AFS-750.

204. POST-ACCIDENT AND INCIDENT DRUG TESTING. Post-accident and incident drug testing shall be conducted in accordance with current DOT and FAA directives.

205. AIRWORTHINESS INVESTIGATIONS. An FAA airworthiness investigation shall be conducted whenever:

a. Preliminary data indicate an in-flight structural failure or designor manufacturing-induced malfunction of a powerplant, aircraft system, or component.

b. Requested by the responsible Aircraft Certification Directorate or Director, Aircraft Certification Service, AIR-1, Washington, D.C.

c. Directed by AAI through AAI-100.

206. CRASHWORTHINESS INVESTIGATIONS.

a. Determine early in the investigation if an FAA crashworthiness investigation is needed. Consider the following conditions in making this determination:

(1) The pilot compartment or cabin or some occupiable portion remains relatively intact, and the occupants were injured seriously by the surrounding structure or the failure of seats, body, or cargo-restraint systems.

(2) The aircraft structure was destroyed by impact and/or fire and any occupant survived.

b. When a crashworthiness investigation is undertaken, the following items, when pertinent, shall be investigated for inclusion in a crashworthiness report and documented with photographs or sketches if possible:

(1) The approximate magnitude and direction of major impact forces.

(2) The final ground trajectory of the aircraft.

(3) The condition of the entire aircraft, including the interior and evidence of injuries to occupants as a result of failed components or detached objects. Include the progression of structural failure of the passenger compartment.

(4) Any floor deformation and its relevance to any seat failures.

(5) The number, location, type, and condition of seats and belts. Include the direction in which the seats were facing before and after impact.

(6) The condition of galleys and other items of mass. List all items that separated from the structure which may have injured passengers or crew. Relate failures to structural design.

(7) Any design features such as apparent inadequately padded seat backs, food tray storage, bulkhead-reinforcing members, lower seat structure, etc., that may have contributed to injuries.

(8) The evacuation procedures. Identify the exits used and the number of persons who used each exit.

(9) If all exits were operable and usable from inside and outside.

(10) If entry was made through any exit from outside.

(11) The performance of the emergency equipment such as the emergency interior lighting systems, slides, ropes, etc.

(12) If the emergency exit markings and operation placards, both inside and outside, were adequate.

(13) If any obstructions could or did restrict the use of any doors or emergency exits.

(14) The system used for directing the aircraft evacuation. Comment on the adequacy of the system.

(15) Items that stood out as being useful in the evacuation.

(16) The performance of cabin-class dividers. Also describe location of dividers in relationship to exits, divider curtains or doors, and aisle-width-through dividers.

(17) If evacuation from the inside or assistance from the outside was hampered by smoke, fire, etc.

(18) The exterior light conditions.

(19) The seat number of each occupant.

(20) Description of cause of death and secondary injuries of all deceased occupants and description of injuries to all other occupants.

(21) If findings in the aircraft correlate with victim's injury patterns (consult the AME, local medical examiner, or pathologist).

207. PUBLIC AIRCRAFT.

a. An FAA inspector from the FSDO notified by NTSB or other sources of a public aircraft accident or covered incident will investigate the occurrence. Public aircraft are not subject to all the same CFR's that apply to civil aircraft. Therefore, the investigation will only be to the extent necessary to determine if any of FAA's nine areas of responsibility are involved. If an FAA area of responsibility is involved, the investigation will be handled in the same manner as for a civil aircraft. The FAA is not required or authorized to:

(1) Conduct a formal accident investigation, except when a written authorization exists; or

(2) Accept accident or incident delegation responsibility from any group or organization.

b. Investigations conducted by the organization owning or having operational control of the aircraft, i.e., city, State, Federal agency, etc., will be conducted under its jurisdiction. Primacy of the investigation will be retained by that authority. FAA Form 8020-23 will be completed and forwarded to the regional FS division within 30 days. The regional FS division will send the original report to AFS-620 and a copy of **accident reports only** to AAI-220.

208. ULTRALIGHT VEHICLES.

a. The NTSB supports FAA's policy in 14 CFR 103 of allowing the ultralight vehicle community to develop their own ultralight vehicle ("ultralight") safety programs. The NTSB will not investigate ultralight accidents other than for two-place ultralight vehicles which are registered aircraft. The FAA will not investigate ultralight accidents or compile an accident or incident report.

b. However, FAA does have the responsibility to determine if the particular operation was in compliance with 14 CFR and if there was any aviation safety impact which requires corrective action. The determination of FAA involvement is delegated to the inspector assigned to accident standby duty. While an assessment of the extent of involvement can be made by telephone, it is usually difficult to determine compliance without going to the accident scene. It is the responsibility of the aviation safety inspector to determine if the vehicle was an ultralight under 14 CFR 103 or was an unregistered aircraft.

c. If there were fatalities, if there was a conflict with other aircraft operations over a congested area, if there was buzzing, if a two-place ultralight was involved, etc., these factors may indicate violations of 14 CFR and that an on-scene investigation is necessary to document areas of noncompliance. If widespread accident publicity is anticipated, e.g., a prominent person is involved, AAI-100 should be advised of the occurrence by telephone through the Regional Operations Center. FAA Form 8020-9 is not to be used for ultralight vehicle accident notification. No accident form is required.

209. RELEASE OF INFORMATION. This subject is covered in detail in Chapter 10. In summary, when NTSB is in charge of an investigation, it makes all releases. When FAA is conducting the investigation, the appropriate regional/center Public Affairs office (or headquarters) will make releases in coordination with the FAA IIC.

210. COORDINATION WITH OTHER FAA OFFICES. The FAA IIC shall contact the local FAA office, facility, or region with requirements for information, equipment, or personnel. Offices shall provide the requested information and assistance by the most expeditious means available. The FAA IIC should receive a copy of the transcript of the cockpit voice recorder tape and the flight data recorder tape when NTSB makes such transcripts. When NTSB does not make such transcripts, the FAA IIC may request recorder readouts through AAI-100.

211. COOPERATION WITH STATES, AGENCIES, AND OTHERS. FAA district office managers and inspectors are expected to maintain a cooperative working relationship with other Federal agencies, State aviation commissions, State and local police, fixed base operators, airport managers, and other groups and individuals having aviation interests or responsibilities.

a. Inspectors are expected to familiarize themselves with State and local regulations on accident reporting in their area. While FAA personnel are expected to work in cooperation with State and local aeronautical groups, nothing in this order or other orders shall be interpreted to mean that FAA has delegated any of its accident investigative authority or responsibility to such parties. Further, the FAA IIC is not relieved of investigative responsibilities because another agency or governmental unit has investigated, or intends to investigate, the occurrence.

b. FAA's policy is to cooperate with all public and private research agencies in the free exchange of accident data and in the conduct of accident studies in the interest of flying safety. All special studies, including requests for such information, shall be coordinated through AAI-100.

212. INVESTIGATION CONCLUSION.

a. The NTSB IIC shall not release the wreckage until FAA agrees that it is no longer needed. If FAA requests NTSB to retain control of the wreckage for a period beyond NTSB's investigative needs, the request may be granted for a period not to exceed 60 days from the request date. FAA shall bear the storage and security costs, if any, for this additional period.

b. The field phase of an investigation may be considered complete when, in the judgment of the FAA IIC, all relevant or required information has been documented. Once the FAA IIC decides to end the field investigation, certain obligations and responsibilities must be considered:

(1) Receipt and retention of aircraft parts using FAA Form 8020-2, Aircraft/Parts Identification and Release, or NTSB Form 6120.18, Part Tag (see paragraph 229).

(2) Release of aircraft wreckage using NTSB Form 6120.15 (see paragraph 231a).

(3) Notification of parties to the investigation of associated investigation projects.

(4) Release of FAA participants.

(5) Satisfaction of financial obligations regarding guard services, services of personnel hired to assist in the investigation, rental equipment, damage to private property, communication facilities, and storage and transport of wreckage.

(6) Establishment of a target date for completion of the accident report.

213. REGISTRATION CERTIFICATES. When an aircraft is destroyed or damaged to the extent that repair is unlikely, the owner or the owner's agent is required to request cancellation of the registration certificate.

214. AIRCRAFT DATA PLATES. Aircraft data plates from destroyed aircraft present a unique problem because entire aircraft have been rebuilt around a recovered and resold data plate. There is no legal basis for an inspector or investigator to retain the data plate from a destroyed aircraft. However, the inspector or investigator will remove the data plate with the permission of the owner or insurance company, deface or destroy the plate, and then return it to the owner or the insurance company. Disfiguring the data plate will eliminate its future usefulness and resale value. Lastly, advise AFS-750 in Oklahoma City that the aircraft was destroyed.

215. FAA DEFICIENCIES. Deficiencies identified during the investigation that are related to the FAA's nine areas of responsibility shall be annotated on FAA Form 8020-23 (see Appendix 3) with a brief description of the deficiency. It is incumbent on the inspector or investigator to determine if corrective action is needed. If such action is needed, the inspector or investigator will prepare and forward a safety recommendation(s) in accordance with paragraph 15.

216. DESIGN DEFICIENCIES. If, during an accident investigation, it is ascertained that a deficiency may exist in the design of an aircraft, the FAA IIC shall take immediate action to inform AAI-200 in accordance with paragraph 15.

217. ACCIDENT INVESTIGATION QUALITY ASSURANCE PROGRAM. The Office of Accident Investigation is responsible for implementing an automated Accident Investigation Quality Assurance Program to aid management in meeting its mandated responsibilities. The Office of Accident Investigation must receive enough information about each accident to determine that:

a. The accident was investigated thoroughly and FAA's nine areas of responsibility were reviewed.

b. Corrective action(s) was or will be initiated.

c. Operational and technical factors may have been involved.

218. QUALITY ASSURANCE PROGRAM OBJECTIVES. The quality assurance program for accident investigations has the following objectives:

a. That the level of participation in the investigation be adequate to carry out FAA-mandated duties and responsibilities. Accidents, by definition, represent a failure in the NAS. Thus, a determination must be made of where the failure occurred. An investigation must determine if it was a human factors failure; a mechanical failure of airframe, engine, or equipment; an ATC error caused by flight operational procedures; or another possibility.

b. That thorough investigations be conducted by trained personnel. The FAA IIC should therefore be trained thoroughly in investigative techniques.

c. That investigation results be reported in a complete, accurate, and timely manner and documented on FAA Form 8020-23 with the FAA IIC's analysis of the involvement of FAA's nine areas of responsibility (see paragraph 228).

d. That corrective action be taken whenever any of FAA's responsibilities are involved.

219. QUALITY ASSURANCE DATA.

a. Data from FAA Form 8020-23 are entered into a quality assurance data base that shows performance in a number of areas including:

(1) FAA and/or NTSB participation.

(2) If participants went to the accident scene.

(3) Reporting on FAA's nine areas of responsibility.

(4) Name of reporting inspector.

(5) Corrective actions proposed.

b. As data accumulate in each area, norms will be quantified and used to develop regional and district office benchmarks against which to measure performance. The benchmarks will then be used to identify substandard and superior performance in each area.

c. Periodic reports developed from the data base will be forwarded to regions for their information and action, as appropriate.

220. COMPLETION AND DISTRIBUTION OF FAA FORM 8020-23 (**FOR ACCIDENTS**).

a. FAA Form 8020-23 will be completed by the FAA IIC and distributed within 30 days of each accident to the regional FS division. The regional FS division will send the original report to AFS-620 and a copy to AAI-220. Any new information will be forwarded after the original submission on an amended FAA Form 8020-23 through the original distribution process.

b. FAA Form 8020-23 will be submitted to indicate that an aircraft is missing. All persons aboard an aircraft missing 30 days or more will be considered fatalities. An amended form will be submitted after 30 days to report the fatalities.

c. FAA Form 8020-23 is releasable through the FOIA. The nine responsibilities and the technical factors are not releasable because these are the investigator's opinion. The two narratives are only releasable if factual. Statements that are opinions will be redacted.

221. ACCIDENT INVESTIGATION QUALITY ASSURANCE AWARDS PROGRAM. The Office of Accident Investigation has implemented a program which recognizes the Aviation Accident Quality Assurance Region of the Year and FSDO of the Year. Selection is based on criteria that measure the involvement, quality, timeliness of the investigations performed, identification of responsibilities, and submission of safety recommendations.

222. - 225. RESERVED.

SECTION 2. ACCIDENT INVESTIGATION FORMS AND REPORTS

226. FAA IIC REPORTING RESPONSIBILITIES.

a. Air Carrier and General Aviation Accidents. The FAA IIC is responsible for the following phases of investigation reporting for air carrier or general aviation accidents:

(1) Initial Phase. The FAA IIC will ensure that the information from FAA Form 8020-9 is or was transmitted by an ATC facility to provide notification that an aviation-related occurrence has taken place. This form is designed to provide the basic "who," "what," "where," and "when" information. AFS-620 uses the FAA Form 8020-9 message to open a computerized accident file in anticipation of receiving the accident report. If the occurrence is later downgraded from accident to incident status, the FAA IIC will ensure that a second message is transmitted as described in paragraph 65c.

(2) Post-Field Phase. For all investigations, the FAA IIC should:

(a) Request from the NTSB IIC copies of all pertinent notes and exhibits that NTSB acquired during NTSB-conducted investigations. This request includes the NTSB group chairperson reports.

(b) Review with each FAA participant all information obtained by and discussed in each NTSB group before the participant is permitted to leave the accident scene.

(c) Request a verbal report from a participant if the participant is called away from the investigation before the FAA IIC can discuss the participant's NTSB group activities.

(d) Complete FAA Form 8020-23 and forward to the regional FS division.

(e) Forward names of any deceased who held an airman's certificate to Civil Aviation Registry, AFS-700, Oklahoma City, Oklahoma, for removal from records.

b. Foreign Air Carrier Accidents. The FAA IIC for an accident which occurs in a U.S. jurisdictional area and which involves a foreign air carrier shall notify the FSDO with 14 CFR 129 certificate responsibility for the foreign air carrier involved. The FSDO is responsible for informing the appropriate foreign government's aviation agency and the foreign air carrier's representative of the accident. The FAA IIC shall also give notice of the accident through the Washington Operations Center to the Manager, Global Issues Division, AIA-100, Office of International Aviation. The location of the FSDO with 14 CFR 129 certificate responsibility for each foreign air carrier is listed in the Air Operations System data base available through the FSDO or regional FS division's computer. Accident reports will be completed and forwarded for all foreign air carrier accidents in a U.S. jurisdictional area in accordance with paragraph 243. The investigation shall be reported on FAA Form 8020-23.

227. PROGRESS REPORTS. After arrival at the accident scene, the FAA IIC shall, as soon as possible, make an initial telephone progress report through the Washington Operations Center to AAI-100 on all available information when the accident meets the following criteria: the accident is of a catastrophic nature, is of strong public interest, is a nationally newsworthy occurrence, or is of special interest to AAI-100. In these cases, the Washington Operations Center will arrange a telecon with the Regional Operations Center operations officer and other appropriate personnel. The need for continuing on-scene telephone reporting will be discussed with the AAI-100 duty officer. The FAA IIC will also give AAI-100 the location and telephone number of the NTSB command post or a telephone number at which the FAA IIC may be contacted during the field phase.

228. FAA PARTICIPANT REPORTING RESPONSIBILITIES.

a. Participants shall report directly to the FAA IIC.

b. Participants in accident investigations conducted by NTSB or by the military will make reports as requested by NTSB or the military group chairperson. When group chairperson reports are received for coordination, participants will either concur or nonconcur with the report. When an FAA participant nonconcurs, the participant will inform the group chairperson in writing and give the reason(s) for nonconcurrence. A copy of the nonconcurrence will be furnished immediately to the FAA IIC and to AAI-100. Also, participants will make an immediate verbal report followed, as soon as possible (if requested by the FAA IIC), with a written report to the FAA IIC whenever any of the following exists:

(1) Performance of FAA facilities or functions was a factor.

(2) Performance of non-FAA owned and operated ATC facilities or navigational aids was a factor.

(3) Airworthiness of FAA-certificated aircraft was a factor.

(4) Competency of FAA-certificated airmen, air agencies, commercial operators, or air carriers was involved.

(5) Federal Aviation Regulations were adequate.

(6) Airport certification safety standards or operations were involved.

(7) Airport security standards or operations were involved.

(8) Airman medical qualifications were involved.

(9) Federal Aviation Regulations were violated.

229. FAA FORM 8020-2, AIRCRAFT/PARTS IDENTIFICATION AND RELEASE; AND NTSB FORM 6120.18, PART TAG.

a. Title 49 United States Code gives FAA the authority to examine and test parts as reasonably necessary when conducting investigations. The FAA IIC should obtain the parts directly from the owner or the owner's authorized representative, coordinate with the aircraft owner, when possible, before disassembly of parts/components, and bring the following to the owner's attention:

(1) The FAA IIC should contact the NTSB for funding authorization prior to committing funds.

(2) FAA is not obligated to reassemble the components but does pay for their return to the owner.

(3) The owner has the right to participate in the investigation.

b. When parts such as instruments, avionics, carburetors, magnetos, or electrical parts will be sent to a facility (manufacturer, laboratory, etc.) for analysis, do not disassemble the parts in the field. Carefully package and ship the parts in as-found condition to ensure that the part is, as far as practicable, in the as-found condition when it arrives at the destination.

c. Tag each part with FAA Form 8020-2, each copy of which shall contain NTSB investigation number (see Appendix 3). If FAA Form 8020-2 is not available, use NTSB Form 6120.18. FAA Form 8020-2 shall be used as follows:

(1) Attach the signed cardboard copy securely to the part.

(2) Retain a signed copy.

(3) Give the original form to the owner or the owner's representative.

(4) Include information on the parts tag and the carrier's bill of lading advising the recipient to contact the local FAA representative before opening or processing the package.

(5) Include the following information on the carrier's bill of lading under description of articles:

(a) Make, model, and aircraft identification number.

(b) Place and date of occurrence.

(c) Part name and number.

d. The sending office should contact that FAA representative before sending the part, give the expected time of arrival of the part, and arrange for the representative's participation as needed in the processing.

e. The parts should not be exposed to public view. Large or heavy parts should be boxed or crated.

f. When parts are sent to the ACO responsible for that product's design approval, they shall be shipped as the ACO directs. The parts shall be properly identified in a letter of transmittal which briefly describes the accident and the reason for the examination.

g. The ACO shall ensure that the parts are examined and that action is taken to correct aircraft, engine, or component service difficulties.

h. When the ACO completes its examination of the parts, an original and three copies of the examination report shall be forwarded to the FAA IIC.

i. The FAA office that examines the parts shall return the parts to the owner with a receipt such as FAA Form 8020-2 made out in triplicate. The owner should be asked to return the original and one copy to the sender. The copy should then be forwarded to the FAA IIC.

j. The NTSB lab is available for use by the FAA, and any such requests will be through the Office of Accident Investigation.

230. FAA FORM 8020-23, FAA ACCIDENT/INCIDENT REPORT.

a. Completion of FAA Form 8020-23 for Accidents.

(1) The FAA IIC is responsible for conducting the accident investigation and shall, within 30 days, complete FAA Form 8020-23 for each accident investigated. The IIC will forward the original to the regional FS division. The regional FS division will send the original to AFS-620 and a copy to AAI-220. If the IIC is a member of the AAI-100 staff, he/she forwards the original to AFS-620 with a copy to AAI-220.

(2) Any new information identified after the original submission shall be coded on an amended FAA Form 8020-23 and forwarded through the original distribution process.

(3) FAA Form 8020-23 shall be submitted to indicate an aircraft is missing. All persons aboard an aircraft missing 30 days or more will be considered fatalities. An amended FAA Form 8020-23 shall be submitted after 30 days to report the fatalities.

(4) If an accident is downgraded to an incident, the FAA IIC shall submit, through the normal distribution, an amended FAA Form 8020-23 indicating the downgrade.

(5) FAA Form 8020-23 is in Appendix 3.

b. Distribution of FAA Form 8020-23, for Accidents.

(1) Basic Distribution.

(a) FAA Form 8020-23 will be completed by the FAA IIC and forwarded within **30 days** of each accident to the **regional FS division**. The regional FS division will send the **original** report to **AFS-620** and a **copy** to **AAI-220**. If the FAA IIC is from AAI-100, he/she forwards the original to AFS-620 with a copy to AAI-220.

(b) Revisions to the form shall be sent as an amendment through the normal distribution.

(2) Additional Distribution for Accidents Involving:

(a) **Holders of an operating certificate:** copy to the operator's certificate-holding district office.

(b) **An air traffic control facility:** copies to regional Air Traffic divisions and the facilities involved.

(c) **The airworthiness of an aircraft, engine, or propeller:** copy to the appropriate Aircraft Certification Directorate (see Appendix 1) and a copy to the Aircraft Maintenance Division, AFS-300.

(d) **Emergency evacuations:** copy to the Air Transportation Division, AFS-200, within 10 work days of the occurrence and a copy to AAI-100.

231. NTSB FORM 6120.15, RELEASE OF AIRCRAFT WRECKAGE AND RECEIPT OF AIRCRAFT PARTS.

a. FAA-Investigated Incidents. For FAA-investigated accidents or incidents, use FAA Form 8020-2 when the investigation is complete to release the aircraft or any of its parts to the registered owner. Do not use NTSB Form 6120.15.

b. NTSB-Investigated Accidents or Incidents. NTSB will release the wreckage of all accidents or incidents that it investigates. If FAA needs to examine the wreckage further after NTSB has completed its investigation, the FAA IIC should request the NTSB IIC to retain possession of the wreckage or to release the wreckage to FAA via NTSB Form 6120.15. The FAA IIC will re-release the wreckage with a second NTSB Form 6120.15.

232. NTSB FORM 6120.9, PASSENGER STATEMENT; AND NTSB FORM 6120.11, STATEMENT OF WITNESS. When NTSB is in charge of an investigation, it will conduct passenger and witness interviews and obtain statements. For accidents in which the NTSB is not on scene, the FAA performs this function. One of the investigator's first actions should be to obtain the names and addresses of passengers and witnesses. Good statements depend largely upon the interviewer. The interviewers words, actions, and attitude can determine to a large

extent the tone and effectiveness of an interview. Most witnesses are willing to tell what they know when they are informed that the information is to be used to prevent similar accidents. The qualifications of witnesses should always be considered.

a. Written Statements. For passenger statements, use NTSB Form 6120.9 (see Appendix 3). Use NTSB Form 6120.11, when practicable, for witnesses (see Appendix 3). It is good practice to have the individual give an oral account first. This gives the inspector an opportunity to develop the significant features of the testimony. Statements from the family physician, other professional sources, and relatives or close associates of the pilot should be obtained when medical aspects appear to be involved. In the absence of NTSB Form 6120.9, statements can be made on plain paper. Ensure that the appropriate information is included to identify the accident location, date, etc.

b. Oral Statements. A witness may refuse to provide a written statement but give oral testimony. Preface the written account of an oral statement with a brief explanation, e.g., "John Doe, age 42, a homebuilder, said he was working on a new house about 200 feet from the accident scene. He declined to give a written statement." Relate Doe's story accurately. A tape recorder may be used, provided the witness gives consent. Indication of the consent must be included with the introductory statements at the beginning of the recording. Have a third person present for confirmation of the written account of the oral statement and have the third person sign the statement, certifying it to be what the witness stated.

c. Exclusion of FAA From Interview. In some NTSB investigations, a witness may wish to exclude FAA from the interview. The request will be honored; however, the witness will be requested to participate in a separate FAA interview. A witness that refuses to participate in a separate interview can and will be subject to appropriate enforcement action. The FAA IIC will immediately notify the Regional Counsel in the appropriate region and the Litigation Division, AGC-400, if FAA participation is denied.

233. NTSB FORM, PRELIMINARY ACCIDENT REPORT.

a. The NTSB uses this form to issue preliminary factual information to the public pending NTSB's release of the final report and the findings of probable cause.

b. The FAA IIC shall notify the AT facility responsible for preparation of the AT accident package whenever the preliminary investigation indicates that the occurrence is to be downgraded to an incident. The AT facility shall prepare an informal accident file on all downgraded accidents.

c. The "History of Flight" factual narrative may not exceed 200 words. The opening paragraph should include: (1) date of accident; (2) time of accident; (3) type of aircraft; (4) owner/operator; (5) accident type; (6) phase of operation; (7) purpose of flight;

(8) flight plan, conditions, and IFR or VFR; (9) aircraft damage; (10) crew/personnel injury; (11) pilot certification; and (12) origin of flight (place, date, and time). An example follows:

> On January 1, 1989, at 1550 EST, a Cessna 150, N1234, registered to Semico Aviation, collided with a snowbank on landing at Parker Airport, Duval, Maryland, while on a training flight. Visual meteorological conditions prevailed at the time, and a VFR flight plan was filed. The aircraft was substantially damaged, and the certificated flight instructor and student pilot were seriously injured. The flight originated at Pauley, Virginia, on January 1, 1989, at 1350 EST.

234. NTSB FORM 6120.1/2, PILOT/OPERATOR AIRCRAFT ACCIDENT REPORT. The requirements for aircraft accident reporting by pilots and operators are set forth in 49 CFR 830.15. NTSB Form 6120.1/2 (see Appendix 3) is to be used for this purpose. The FAA IIC shall not add to or alter NTSB Form 6120.1/2. The form becomes part of the accident or incident report package.

235. REPORT RETENTION AND RECORDS DISPOSAL.

a. Report Retention. Flight Standards facilities and AAI shall maintain copies of accident reports until all corrective actions are completed.

b. Records Disposal. As described in the latest edition of Order 1350.15:

(1) FAA Form 8020-23: destroy closed files maintained by AFS-620 after 2 ½ years.

(2) Destroy files maintained by the regional Flight Standards division and the FSDO when necessary followup or corrective action is completed.

236. - 239. RESERVED.

CHAPTER 6. INCIDENT INVESTIGATION AND REPORTING

SECTION 1. GENERAL

240. OVERVIEW.

a. The FAA investigates aircraft incidents and collects and analyzes aircraft incident reports because the reports provide an excellent source of accident prevention information. An active incident reporting system is the foundation of a good safety program. Aircraft incident investigations may result in regulatory changes, issuance of Airworthiness Directives (AD's), revised procedures, standards, policy, etc. Support for such actions depends on facts discovered during the investigation. All relevant facts should be documented. The applicable regional Flight Standards division investigates pilot deviations.

b. Some aircraft malfunctions are documented by use of a Service Difficulty Report (SDR), a Mechanical Interruption Summary, a Malfunction or Defect (M or D) report, or another reporting method. However, if an aircraft operational incident is associated with the malfunction or failure, the operational incident must also be documented by the reporting FSDO on FAA Form 8020-23. An example of this dual reporting requirement would be an aircraft with a pressurization system valve malfunction that resulted in an emergency descent maneuver. The malfunction would likely result in an SDR or M or D report. The emergency descent incident requires documentation on FAA Form 8020-23.

241. INCIDENT RESPONSIBILITIES.

a. The latest edition of Order 1100.2 assigns to the Planning, Information, and Analysis Program, ATX-400, the responsibility for collecting, automating, and analyzing airspace and surface incident reports (near midair collisions, operational errors, vehicle and pedestrian deviations, and pilot deviations). The latest edition of Order 1100.5 (FAA Organization-Field) assigns to the FS divisions the responsibility for incident investigation and reporting, except for vehicle and pedestrian deviations. In some instances, an aircraft incident may occur within one region's geographical area, but the aircraft may continue its flight to or through one or more regions prior to flight termination. In these instances, the FS division in the region in which the aircraft first lands following the occurrence is responsible for satisfying the FAA's investigative responsibilities, with the exception of pilot deviations and near midair collisions which are investigated by the region of occurrence. Vehicle and pedestrian deviation investigations at airports certificated under 14 CFR Part 139 are the responsibility of regional Airports divisions.

b. Regional AT division managers are responsible for investigating and reporting incidents that only involve AT functions, i.e., operational errors or deviations.

c. The FAA IIC has the responsibility to notify the regional Airports and AF divisions and the appropriate ACO when functions of these offices are involved in the incident.

d. The degree of participation by other FAA elements in an incident investigation and documentation depends on the extent of their involvement in the incident and on the requirement

that all relevant facts be obtained. The FAA IIC may request participation or documentation by other FAA elements when necessary.

e. The FAA IIC shall determine the extent of investigation necessary for an incident other than an NMAC or a pilot deviation before requesting an AT package.

f. When AT provides notification on FAA Forms 8020-11, 8020-17, or 8020-21, the FS investigating office will inform the reporting AT facility of the final disposition of the incident. When AT personnel or facilities are involved, the FAA IIC will give these parties an opportunity to comment and will indicate on the report that this opportunity was given.

g. The regional FS office manager will assign responsibility for the coordination of information flow between the FS region and ATX-400 on NMAC's and pilot deviations and the submission of a quarterly report to ATX-400. The report shall be submitted within 21 working days after the end of March, June, September, and December. The report will contain information as specified by ATX including, with incident number and date, a list of the NMAC and pilot deviation reports received by the region in the preceding quarter, the status of each of those reports, and the status of all reports open at the beginning of the preceding quarter.

h. The regional Airports division manager will assign responsibility for the coordination of the flow of information between the Airports region and ATX on vehicle and pedestrian deviations and the submittal of a quarterly report to the Planning, Information, and Analysis Program, ATX-400. The report shall be submitted within 21 working days after the end of March, June, September, and December. The report will contain information as specified by ATX-400 including (with incident number and date) a list of the vehicle or pedestrian deviation reports received by the region in the preceding quarter, the status of each of those reports, and the status reports open at the beginning of the preceding quarter.

242. INCIDENT NOTIFICATION.

a. Flight Standards District Offices will normally receive telephone notification of accidents and incidents described in paragraphs 64 and 80 from an AT field facility or the Regional Operations Center. For an incident other than an NMAC or a pilot deviation, and if written occurrence documentation is required from the AT facility, the district office inspector shall request the AT facility to provide a completed FAA Form 8020-11. For a reported NMAC, FAA Form 8020-21 must be filed by the AT facility. For a pilot deviation, including a reckless flying incident observed by AT, FAA Form 8020-17 must be filed by the AT facility. Appendix 3 contains a flowchart of the FS accident and incident investigation process.

b. If an FS inspector receives notification of an occurrence described in paragraphs 64 and 80 from a source other than an AT facility or the Regional Operations Center, the inspector shall immediately contact the nearest AT facility and provide the information the AT facility needs to complete any additional notifications.

c. If an FS inspector receives notification of an incident not observed by AT from a source other than AT, FS should proceed as follows: for reckless flying incidents, complete

FAA Form 8020-17, followed by FAA Form 8020-18 after the investigation; for other incidents, only complete FAA Form 8020-23 after the investigation.

d. In addition to the accidents and incidents described in paragraphs 64 and 80, the Washington Operations Center must notify AAI-100 of all incidents which have a significant impact on aviation safety; have threatened substantial damage to property or aircraft or possible injury to personnel; or are anticipated by the FAA IIC, the FSDO manager, or the FS regional staff to be of national interest. An all-inclusive description of incident types that meet the above criteria is not practical. However, in deciding whether to advise AAI-100 of an incident, consider that AAI-100 has the responsibility for keeping the Director of Accident Investigation, the Director of Flight Standards Service, the Director of Aircraft Certification Service, the Federal Air Surgeon of the Office of Aviation Medicine, the Director of Civil Aviation Security, and other FAA officials actively informed of the circumstances of such incidents.

e. If a flight crewmember notifies an FS inspector of a possible NMAC, the inspector shall be responsible for notifying the local AT facility which will then transmit the required message. Investigation of the report shall be completed in accordance with paragraph 81.

f. Aircraft Certification Directorates should be notified with regard to certification responsibilities for which they have authority.

g. Regional Airports divisions will receive notification of vehicle or pedestrian deviations described in paragraph 86 from an AT field facility or the Regional Operations Center. A completed FAA Form 8020-24 will follow the notification within 10 days.

243. FOREIGN AIR CARRIER INCIDENTS. The FAA IIC for an incident that occurs in a U.S. jurisdictional area and which involves a foreign air carrier shall notify the FAA office having 14 CFR 129 responsibility for that foreign air carrier. The district office with 14 CFR 129 responsibility is responsible for informing the appropriate foreign government aviation agency and the foreign air carrier's representative of the incident. The FAA IIC shall also notify the Global Issues Division, AIA-100, of the incident through the Washington Operations Center. The location of the district office which has 14 CFR 129 certificate responsibility for each foreign air carrier is listed in the Air Operations System data base in the district office or in the regional FS division's information processing equipment. FAA Form 8020-23 will be completed and distributed for each foreign air carrier incident.

244. REPORT RETENTION. For an NMAC or pilot deviation investigation, FS facilities shall retain two copies of the preliminary and investigative reports and all supporting documents. For vehicle or pedestrian deviations, regional Airports offices shall retain two copies of the preliminary and investigative reports and all supporting documents. The envelope containing this information should be retained in the facility's files according to instructions in the latest edition of Order 1350.15 unless directed otherwise. Note the following information on the front of the envelope:

a. The incident report number.

b. The date of the incident.

c. The aircraft identification data (for NMAC and pilot deviation investigations if applicable for vehicle or pedestrian deviation investigations).

d. A list of the envelope contents.

245. RECORDS DISPOSAL. Dispose of accident/incident records as follows, as described in the latest edition of Order 1350.15:

a. FAA Form 8020-23 (Reporting Incidents). Destroy files maintained by the regional FS division, FSDO, and Aircraft Certification Directorates when necessary followup or corrective action is completed.

b. FAA Forms 8020-21 and 8020-15. Transfer closed files maintained by ATX-400 to the Federal Records Center when 1 year old. ATX-400 is to retain microfilm copies of closed reports for a minimum of 2 additional years. The Federal Records Center should destroy files 6 years after receipt. Destroy files maintained by the regional FS division and FSDO when necessary followup or corrective action is completed and confirmation of receipt is received from ATX-400.

c. FAA Forms 8020-17 and 8020-18. Transfer closed files maintained by ATX-400 to the Federal Records Center when 1 year old. ATX-400 is to retain microfilm copies of closed reports for a minimum of 2 additional years. The Federal Records Center should destroy files 6 years after receipt. Destroy files maintained by the regional FS division and FSDO when necessary followup or corrective action is completed and confirmation of receipt is received from ATX-400.

d. FAA Form 8020-24. Transfer closed files maintained by ATX-400 to the Federal Records Center when 1 year old. ATX-400 is to retain microfilm copies of closed reports for a minimum of 2 additional years. The Federal Records Center should destroy these files 6 years after receipt. Destroy files maintained by the appropriate Airports division when necessary followup corrective actions are completed and confirmation of receipt is received from ATX-400.

246. - 259. RESERVED.

SECTION 2. INVESTIGATION OF SPECIFIC (NON-CRIMINAL) INCIDENTS

260. NEAR MIDAIR COLLISIONS (NMAC). Preliminary reports of all NMAC's are to be reported by AT on FAA Form 8020-21 and sent to the appropriate FSDO. The inspector will then conduct the investigation, complete FAA Form 8020-15, and forward it as described in paragraph 260d. For AT reporting instructions, see paragraph 81.

a. The office responsible for investigating and reporting the NMAC shall be the FSDO in whose area the incident occurred.

b. The use of FAA Form 8020-15 is as follows:

(1) The inspector should document all factors involved in the incident on FAA Form 8020-15. The facts will categorize the case as critical, potential, or no hazard. In critical and potential situations, every effort should be employed to establish the aircraft's identity prior to closing the file.

(a) **Critical**: a situation in which collision avoidance was due to chance rather than a pilot's act. Less than 100 feet of aircraft separation is considered critical.

(b) **Potential**: a situation which would probably have resulted in a collision if no action had been taken by either pilot. Less than 500 feet of aircraft separation is usually required in this case.

(c) **No Hazard**: a situation in which direction and altitude would have made a midair collision improbable regardless of evasive actions.

(2) When altimeter error is suspected, a detailed report shall be made on all factors that may have had a bearing on the occurrence, i.e., altimeter type, indicated altitude, airspeed, free air temperature, correction factor, logbook review of altimetry complaints, etc. Consideration shall be given to company operating procedures. Necessary action shall be taken to have the altimeters, transponders, and static systems checked. The inspector shall also request flight recorder tapes for analysis, when appropriate.

(3) The investigation shall be coordinated with the AT facility(ies) involved. Their findings and recommendations shall be considered in the investigation.

c. The incident report number assigned by the reporting AT facility on FAA Form 8020-21 must be displayed in the upper right-hand corner of FAA Form 8020-15.

d. The investigating office shall keep the original of completed FAA Form 8020-15 and distribute one copy each by mail within 90 days of the initial notification of the NMAC to:

(1) The regional Flight Standards division.

(2) The regional Air Traffic division.

(3) The responsible AT facility.

(4) Planning, Information, and Analysis Program, ATX-400.

e. If the NMAC report needs to be reclassified, complete FAA Form 8020-19. If the NMAC report is reclassified as "insufficient evidence to investigate," an indicator will be retained. If the NMAC report is reclassified as "no incident," the related information will be removed from the FAA information system. Keep the original of FAA Form 8020-19 and distribute one copy each as soon as possible by mail to the addresses in paragraph 260d.

261. HAZARDOUS AIR TRAFFIC REPORTS (HATR) AND OPERATIONAL HAZARD REPORTS (OHR).

a. For USAF HATR's and for U.S. Army OHR's, the appropriate FSDO will receive a complete copy of the incident package, i.e., FAA Form 8020-21, a copy of the HATR or OHR (if received by AT from the military), and any other attachments. FS will then conduct an investigation of the incident using FAA Form 8020-15, as described in paragraphs 260a, b, c, and e.

b. The investigating office shall distribute copies of the completed FAA Form 8020-15 and any attachments within 90 days of the initial notification of the HATR or OHR to:

(1) The regional Flight Standards division.

(2) The regional Air Traffic division.

(3) The responsible AT facility.

(4) Planning, Information, and Analysis Program, ATX-400 (without attachments).

(5) For HATR's:

(a) Air Force Inspection and Safety Center (AFISC)/SEFA, Norton AFB, California 92409-7001 (without attachments).

(b) HQ AFCC/ATC, Scott AFB, Illinois 62225-6001 (without attachments).

(c) The appropriate FAA regional AF representative (without attachments).

(d) The originating USAF unit flying safety office (without attachments).

(e) The appropriate MAJCOM's of facility or aircraft involved.

(6) For OHR's:

(a) Commander, U.S. Army Safety Center, Attn: CSSC-DA (Accident Records Management Division), Fort Rucker, Alabama 36362-5363 (without attachments).

(b) The unit aviation safety officer whose address is in block 11 (point of contact for further information) of DA Form 2696-R (without attachments).

c. The investigating office shall keep the original of completed FAA Form 8020-15 and other related information in the facility files in accordance with paragraph 244, except that the package shall be labeled "Near Midair Collision Report (HATR)" or "Near Midair Collision Report (OHR)" as appropriate.

262. PILOT DEVIATIONS. All preliminary reports of pilot deviations, including reckless flying observed by AT, are to be reported by AT on FAA Form 8020-17 and sent to the appropriate FSDO. See paragraph 84 for AT reporting instructions.

a. Investigation of reports of pilot deviations, including reckless flying, should be completed and recorded on FAA Form 8020-18 within 90 days of the initial notification date.

b. The incident report number assigned by the reporting AT facility on FAA Form 8020-17 must be displayed in the upper right-hand corner of FAA Form 8020-18.

c. For reckless flying incidents reported to AT by the public or others but not observed by AT, a verbal report of the reported incident will be made to the FSDO or the caller will be asked to call the FSDO. For those such incidents and reckless flying incidents reported to the FSDO directly, the FSDO will then transmit information from paragraph 84e to the addressees in paragraph 84f(2) by NADIN message via the Regional Operations Center and complete and file FAA Form 8020-17 as specified in paragraph 84h with:

(1) The regional Flight Standards division.

(2) Planning, Information, and Analysis Program, ATX-400.

d. The investigating office shall keep the original of completed FAA Form 8020-18 and distribute one copy each of completed FAA Form 8020-18 with the attached FAA Form 8020-17 within 90 days of the initial notification of the pilot deviation to:

(1) The regional Flight Standards division.

(2) The regional Air Traffic division.

(3) The responsible AT facility.

(4) Planning, Information, and Analysis Program, ATX-400.

e. If a pilot deviation report needs to be reclassified, complete FAA Form 8020-19. If a pilot deviation report is reclassified as "insufficient evidence to investigate" or "no incident," the related information will be removed from the FAA information system. Keep the original of FAA Form 8020-19 and distribute one copy each as soon as possible by mail to the addresses in paragraph 262d.

263. VEHICLE AND PEDESTRIAN DEVIATIONS. All preliminary reports of vehicle or pedestrian deviations are to be reported by AT on FAA Form 8020-24 and sent to the appropriate regional Airports division. For AT reporting instruction, see paragraph 86. The regional Airports divisions investigate vehicle or pedestrian deviations that occur at airports certificated under 14 CFR Part 139 with FAA and FAA contract towers.

a. Investigation of reports of vehicle or pedestrian deviations should be completed and recorded on FAA Form 8020-25 within 90 days of the initial notification date (see Appendix 1). FAA Form 8020-25 will be completed even if the vehicle or pedestrian deviation resulted in an accident.

b. The incident report number assigned by the reporting AT facility on FAA Form 8020-24 must be displayed in the upper right-hand corner on FAA Form 8020-25.

c. The investigating office shall keep the original of the completed FAA Form 8020-25 (see retention instructions in paragraph 244) and distribute one copy each of this completed form with the attached FAA Form 8020-24 within 90 days of the initial notification of the vehicle or pedestrian deviation to the:

(1) Airport Safety and Operations Division, AAS-300.

(2) Regional Air Traffic division.

(3) Responsible Air Traffic facility.

(4) Planning, Information, and Analysis Program, ATX-400

(5) Airport manager or designee.

d. If a vehicle or pedestrian deviation report needs to be reclassified, complete FAA Form 8020-19 (see Appendix 2). If a vehicle or pedestrian deviation report is reclassified as "insufficient evidence to investigate" or "no incident," the related information will be removed from the FAA information system. Keep the original of FAA Form 8020-19 and distribute one copy each as soon as possible by mail to the addresses in paragraph 263c.

264. EMERGENCY EVACUATIONS.

a. Emergency evacuations shall be reported on FAA Form 8020-11 by AT. The incident will be investigated by FS and a report prepared on FAA Form 8020-23. The investigating inspector should proceed to the scene of the evacuation as soon as possible to obtain the needed

information. An emergency evacuation that results in a serious injury or a fatality shall be classified as an aircraft accident.

b. A copy of FAA Form 8020-23 should be forwarded to the Air Transportation Division, AFS-200, within 10 workdays of the occurrence. The narrative section of the report should include at least a brief narrative on the following:

(1) The reason for evacuation.

(2) Who initiated the evacuation (e.g., crewmember or passenger).

(3) Which exits (by specific location) were used, which exits were not used, and reason for nonuse.

(4) Whether any exits, slides, or associated components malfunctioned and, if so, what were the malfunctions.

(5) Whether any particular exit was used by the majority of the evacuees and, if so, the apparent reason.

(6) The estimated total time it took to evacuate the aircraft.

(7) The nature and extent of any injuries.

265. PARACHUTE JUMPING. If requested by the FSDO, AT will file FAA Form 8020-11 for a parachute-jumping incident for an aircraft that is under its control. For incidents involving an aircraft not under the control of AT, the information shall be forwarded to the appropriate FSDO. FAA Form 8020-23 shall be completed by FS when a serious injury or a fatality results from a voluntary parachute jump. The completed incident report shall contain the following in the narrative section:

(1) Name of jumper.

(2) Experience and training of jumper.

(3) Club affiliation.

(4) Description of the parachutes and their packing records.

266. FORCIBLE SEIZURE OF AIRCRAFT (HIJACK). Resolution of ongoing acts of aircraft piracy is the responsibility of the Associate Administrator for Civil Aviation Security (ACS) when the aircraft is in flight, and the responsibility of the Federal Bureau of Investigation (FBI) at all other times. For prosecution purposes, the after-the-fact investigation of aircraft piracy, as well as of threats and/or acts of sabotage and other related criminal acts, are the responsibility of the FBI. The FAA's fundamental interest in and responsibility for safety require that FAA report the incident and give appropriate assistance to the FBI. The responsible Civil Aviation Security

division will submit the required reports. No FAA Form 8020-11 is filed by AT. However, if the incident involves other safety factors, e.g., emergency evacuation or interference with the flightcrew, FS divisions shall participate and submit FAA Form 8020-23. In such cases, close cooperation is necessary between ACS, FS divisions, and the FBI.

267. HAZARDOUS MATERIALS. The requirements for reporting incidents involving hazardous materials appear in 49 CFR 175.45.

a. When a FSDO receives notification from an operator that a hazardous materials incident occurred, the air carrier's representative or the aircraft operator should be advised to also contact the appropriate Civil Aviation Security Field Office (CASFO) concerning the incident. If circumstances prevent immediate contact between the reporting person and the CASFO, the FSDO should obtain the following information and relay it to the appropriate CASFO:

(1) Name of the person reporting the incident.

(2) Name and address of the carrier involved.

(3) Telephone number where the reporting person can be contacted.

(4) Date, time, and location of the incident.

(5) The extent of injuries, if any.

(6) Classification, proper name, and quantity of the hazardous materials involved and whether a continuing danger to health and/or life exists at the scene.

b. The FSDO should advise the operator to submit Form DOT F 5800.1, Hazardous Materials Incident Report, in accordance with 49 CFR 175.45(c).

c. Hazardous materials incidents meeting the reporting requirements of 49 CFR 175.45(a) require telephonic notification to the Regional Operations Center and the Washington Operations Center.

d. A report of an incident involving a disease factor may be made by telephone directly to the Director, Centers for Disease Control, U.S. Public Health Service, Atlanta, Georgia, (404) 633-5313.

268. SONIC BOOM COMPLAINTS.

a. Speculation on Sonic Booms. FAA personnel shall not indulge in prolonged time expenditure or speculation with complaints concerning aspects of responsibility for disturbances or property damage. Do not imply that sonic booms or similar disturbances are caused by specific aircraft or aircraft operated by a particular military or civilian organization.

b. Investigation of Complaints. The Department of Defense is responsible for investigating all sonic boom complaints. FAA personnel shall assist the investigating officer whenever an official request is made.

c. Written Complaints.

(1) When a complaint is received on alleged damage from a sonic boom, answer the complaint in writing, using the following format:

(Name and address of complainant)

Dear (Name):

This is in reply to your letter of (date) regarding damage to your property which you believe was caused by the sonic boom of an aircraft operating in your vicinity. Since the Department of Defense investigates all sonic boom reports, we have forwarded your letter to the U.S. (Air Force or Navy). Their answer will be mailed to you directly which should expedite the handling of your inquiry and provide for a prompter and more responsive reply.

Sincerely,

(Name and Title)

(2) Forward a copy of the complaint letter and the FAA's reply to one of the following, as appropriate:

(a) Claims Officer, Office of the Staff Judge Advocate (nearest USAF installation).

(b) Commandant (appropriate Naval District), Attention: District Legal Officer.

(3) When a written complaint is received which does not claim property damage, the complaint should be answered in writing, using the format in paragraph 268c(1), except the first sentence should be changed to read "...regarding what appears to be a sonic boom caused by an aircraft operating in your vicinity." Forward a copy of the complaint letter and FAA's reply to the organization concerned.

d. Telephone Complaints. Handle telephone complaints or reports received by any FAA element by tactfully referring the complaint to the nearest military air installation. If local coordination arrangements are in place, calls should be referred to the designated military officer.

269. COMPLAINTS OF NOISE OR DAMAGE ALLEGEDLY CAUSED BY CIVIL AIRCRAFT. When FS receives a telephone complaint of noise or damage allegedly caused by civil aircraft, the complaint should be handled tactfully. If unable to satisfy the complainant, the matter should be referred to the appropriate FS regional office. Written complaints of noise or damage allegedly caused by civil aircraft shall be coordinated with the appropriate FS regional office.

270. UNIDENTIFIED FLYING OBJECT (UFO). When FS receives a report of a UFO, and if concern is expressed that life or property might be endangered, refer the individual to the local police department.

271. - 287. RESERVED.

SECTION 3. CRIMINAL INCIDENTS

288. STATUTORY PROVISIONS. The willful or malicious damage or destruction of Federal installations, airports, aircraft, air navigation facilities or interference with crewmembers or passengers or other crimes against air commerce or aircraft are Federal offenses and punishable under 18 U.S.C. or 49 U.S.C. Appendix. The significant U.S.C. sections which could involve an incident within the purview of this order are:

a. 18 U.S.C. 32, Destruction of Aircraft or Aircraft Facilities.

b. 18 U.S.C. 1361, Government Property or Contracts.

c. 18 U.S.C. 1362, Communication Lines, Station, or System.

d. 18 U.S.C. 1364, Interference with Foreign Commerce by Violence.

e. 18 U.S.C. 2117, Breaking or Entering Carrier Facilities.

f. 49 U.S.C. Appendix 1472(c), Interference with Air Navigation.

g. 49 U.S.C. Appendix 1472(i), Aircraft Piracy.

h. 49 U.S.C. Appendix 1472(j), Interference with Flight Crewmembers or Flight Attendants.

i. 49 U.S.C. Appendix 1472(k), Certain Crimes Aboard Aircraft in Flight.

j. 49 U.S.C. Appendix 1472(l), Carrying Weapons or Explosives Aboard Aircraft.

k. 49 U.S.C. Appendix 1472(m), False Information.

l. 49 U.S.C. Appendix 1472(o), Interference with Aircraft Accident Investigation.

289. HANDLING OF POSSIBLE CRIMINAL INCIDENTS. The following provisions will serve as a guide to FAA personnel who may be involved either directly or indirectly in matters concerning criminal acts against airports, navigational facilities, aircraft, air carriers, passengers, or crewmembers (also see the Criminal Investigations chapter in the latest edition of Order 2150.3, Compliance and Enforcement Program):

a. Generally, any FAA employee receiving information on criminal acts involving an aircraft should verbally report the information to the nearest CASFO manager who will in turn notify the FBI or appropriate Federal, State, or local law enforcement agency. In an emergency, this notification should be made through the Regional Operations Center. It may also be appropriate to notify the pilot in command and the aircraft operator. The operator and concerned authorities can then determine the required action, such as flight cancellation, immediate landing, or inspection of baggage, facilities, and aircraft.

b. In instances of a criminal act, or the discovery of an explosive or incendiary device aboard an aircraft, or an attempt at a criminal act, or receipt of warning of a criminal act, the air carrier, aircraft owner, or operator is expected to notify FAA and the FBI. FAA personnel, after receipt of information on such an incident, shall immediately notify their supporting security element who in turn will notify the FBI, regardless of whether or not this was done by non-FAA personnel.

c. FAA personnel should exercise the utmost discretion in carrying out their responsibilities to avoid unfavorable public reaction. Therefore, any information received should be discussed only with the individuals or organizations involved and with law enforcement agencies. When a criminal act has occurred or an explosive or incendiary device is discovered aboard an aircraft, inspectors shall not release such information to the news media. Any information released to the news media should come only from the individuals or organizations involved or the FBI.

290. - 295. RESERVED.

SECTION 4. FAA FORM 8020-23, AIRCRAFT ACCIDENT/INCIDENT REPORT

296. GENERAL. FAA Form 8020-23 shall be prepared for each aircraft incident except for NMAC's and pilot deviations. For NMAC's, complete FAA Form 8020-15. For pilot deviations, complete FAA Form 8020-18. Examples of incidents to be reported on FAA Form 8020-23 include vehicle or pedestrian deviations, emergency evacuations, foreign aircraft accidents and incidents in the United States, and selected parachute-jumping incidents. Other incidents reported on FAA Form 8020-23 include those incidents that an operator is required to report to NTSB in compliance with 49 CFR 830.5. In cases of hijack incidents, FAA Form 8020-23 will be completed by FS, but there will be no related FAA Form 8020-11. In cases of reckless flying incidents not observed by AT, FS will complete FAA Forms 8020-17 and 8020-18.

297. PREPARATION OF FAA FORM 8020-23 **(FOR INCIDENTS)**. Sections of FAA Form 8020-23 for which information is obtainable and pertinent shall be completed. FAA safety analysis and the demand by the public and industry for copies of incident records require that the form be carefully prepared and include all relevant facts. Use an "X" to indicate selections for a "yes" or "no" condition or when multiple selections are shown. Section 33, Narrative, shall contain an incident summary to provide continuity to the information given in the data sections or attachments. The section on "Conduct of Investigation" is not filled out for incidents. A copy of FAA Form 8020-23 is in Appendix 3.

298. DISTRIBUTION OF FAA FORM 8020-23 **(FOR INCIDENTS)**.

a. Basic Distribution. The original is forwarded to AFS-620 through the regional FS division of the reporting district office.

b. Additional Distribution. For incidents involving:

(1) **Holders of an operating certificate**: copy to the operator's certificate-holding district office.

(2) **An ATC facility**: copies to the regional AT division and the facility involved.

(3) **The airworthiness of an aircraft, engine, or propeller**: copy to the appropriate Aircraft Certification Directorate (see Appendix 1) and a copy to the Aircraft Maintenance Division, AFS-300.

(4) **Emergency evacuations**: copy to AFS-200 within 10 workdays of the occurrence.

299. - 309. RESERVED.

CHAPTER 7. MILITARY ACCIDENT OR INCIDENT INVESTIGATIONS

310. FAA PARTICIPATION.

a. Title 49 United States Code provides for the agency's participation in military accident investigations when an FAA function is involved.

b. The military commander in charge of the investigation is responsible for making a determination on FAA involvement and will include this determination in the FAA notification. Despite an initial negative determination, the senior member of an aircraft safety investigation board or the director of a military safety center may later make a determination on FAA involvement and advise FAA.

c. An FAA function will be considered to be involved when an FAA employee or designee; an FAA facility, procedure, directive, or publication; an FAA-certificated civilian airman; or an FAA-certificated joint use airport possibly is associated with an accident or incident (termed "mishap" by the military services). FAA may have an interest when the aircraft or equipment is common to both civil and military aviation or when there are environmental factors of common interest.

d. In a military mishap in which a mutual interest exists but no FAA function is or may be involved, FAA may request to participate in the investigation. Requests for participation shall be forwarded to the appropriate military safety center following coordination with AAI-100 (see Appendix 1 for military addresses and format of request).

e. Reported accidents or incidents involving military aircraft shall be investigated by the FSDO responsible for the geographic area in which the incident occurred whenever:

(1) Public safety is involved.

(2) There are possible 14 CFR violations.

f. The investigation and reporting of military aircraft accidents or incidents shall follow the same guidelines as for civil aircraft incident investigations.

311. TYPES OF INVESTIGATIONS. Each military service has the responsibility to investigate aircraft mishaps involving aircraft assigned to that service. The investigation will be conducted by an aircraft safety investigation board ("safety board") on which only military personnel may be members. Civilians, including FAA personnel, may be panel or working group members.

a. The primary missions of the investigations conducted by an aircraft military safety board are to:

(1) Determine, analyze, and evaluate all factors which contributed to, or may have contributed to, the mishap.

(2) Recommend actions that will prevent recurrence.

b. Other investigations associated with a military mishap may be conducted for reasons other than accident prevention by safety boards appointed for that specific purpose. Normally, FAA personnel do not participate in other investigations. However, when FAA participation is required, the personnel will have an opportunity to observe the proceedings. FAA participants may suggest lines of inquiry to the safety board but may not question witnesses.

312. INVESTIGATION ARRANGEMENTS.

a. After receiving notification from the military authorities of an aircraft mishap that involves FAA functions, FAA will indicate if it desires to participate in the investigation by sending a response (as shown in Appendix 1).

b. The appropriate FAA office may give an oral summary of the response to the military commander responsible for the mishap investigation. However, the FAA office involved will also send a message containing the response as soon as possible, normally within 24 hours of the receipt of the notification from the military.

313. SECURITY CLASSIFICATION AND CLEARANCE.

a. Security matters will be administered in accordance with applicable military regulations. However, all classified information should be handled and processed in accordance with the latest edition of Order 1600.2, Safeguarding Controls and Procedures for Classified National Security Information and Sensitive Unclassified Information. The regional Civil Aviation Security division should be contacted on security issues and requirements.

b. The commander of the unit of a military aircraft involved in a mishap and the commander responsible for the mishap investigation are responsible for the security of classified matters and material from the aircraft involved in the mishap.

c. Official notification of military authorities about employee security clearances shall be made by the appropriate regional Civil Aviation Security division. Presentation of FAA credentials does not convey any information about an employee's security clearance.

314. ASSIGNMENT OF FAA PERSONNEL. An FAA IIC shall be assigned whenever FAA participates in a military aircraft mishap investigation. Appropriately qualified personnel shall be assigned when FAA participates in such an investigation.

315. PARTICIPATION OF FAA PERSONNEL.

a. FAA personnel will participate in a military aircraft mishap investigation to promote safety in the NAS and to prevent recurrence of the factors which led to the mishap. FAA personnel participating in the investigation will not participate in any other type of military investigation of the occurrence. FAA participants will not have enforcement or punitive responsibilities with respect to any military person involved in the mishap.

b. The FAA IIC and FAA participants shall be active participants in the accident investigation. However, the FAA IIC and FAA participants shall not participate in the determination of probable cause by the safety board nor participate in the safety board findings or recommendations. Whenever an FAA function is identified as an aircraft accident causal factor, the senior member of the board will afford the FAA IIC an opportunity to submit views with respect to the board's findings. Such views shall be appended to the mishap report.

c. The FAA IIC shall:

(1) Determine the extent of involvement of FAA responsibilities and the extent of participation in the investigation.

(2) Effect liaison between FAA and military authorities.

(3) Arrange to provide all pertinent information available from the appropriate FAA office/facility to the military authorities.

(4) Ensure that all FAA personnel participating in the investigation understand the privileged nature of the investigation.

(5) Make necessary provisions to arrange for FAA personnel as witnesses.

d. FAA personnel shall be allowed to:

(1) Participate as members of panels or working groups.

(2) Interview the pilots, crewmembers, passengers, and witnesses.

(3) Examine the wreckage, accident scene, and any other material evidence if the personnel possess the proper security clearance.

e. The director of the involved military safety center will prepare the brief of the aircraft accident for FAA. The brief should be forwarded directly to the Accident Investigation Division, AAI-100, 800 Independence Avenue, SW., Washington, D.C. 20591.

f. Copies of all nonprivileged documents used by the safety board shall be provided to the FAA accident coordinator. The documents will exclude all testimonial evidence, safety board findings, causes, and recommendations made in the investigation report.

316. TREATMENT OF TESTIMONY. The testimony of witnesses and any other information obtained by FAA participants in a military mishap investigation will:

a. Be considered and treated by FAA as privileged to the same extent and in the same manner as the military service conducting the investigation.

b. Not be released outside FAA.

c. Not be used for FAA enforcement actions.

The military authorities will afford an FAA witness the same protection as a military witness with respect to testimony before a safety board.

317. MILITARY ASSISTANCE IN FAA INVESTIGATIONS OF MILITARY AIRCRAFT MISHAPS. The FAA may conduct a separate, independent investigation of a military aircraft mishap to carry out FAA responsibilities. The military service involved will assist FAA personnel by making material evidence and military witnesses available. Arrangements to conduct the FAA investigation will be coordinated between the military service headquarters and FAA. When military personnel or civilian employees of a military service will testify before an FAA investigator, the military commander will provide legal assistance to the individual.

318. RESPONSIBILITIES OF THE DIRECTOR OF A MILITARY SAFETY CENTER. The director of a military safety center shall provide FAA with any information which, in the director's judgment, would contribute to the promotion of air safety.

319. FAA REQUESTS FOR MILITARY AIRCRAFT MISHAP INFORMATION. FAA may request information on military aircraft mishaps. Such requests may be addressed either to the director of a military safety center or to the military service headquarters.

320. SUSPECTED SABOTAGE OR OTHER CRIMINAL ACTS. Whenever any person becomes aware of information which indicates sabotage or other criminal act as a possible mishap causal factor, the information shall be brought immediately to the attention of the senior member of the safety board.

321. - 339. RESERVED.

CHAPTER 8. FOREIGN ACCIDENTS OR INCIDENTS

340. RESPONSIBILITY FOR INTERNATIONAL AREAS. FAA responsibilities remain unchanged when U.S.-registered or -manufactured aircraft are involved in an accident or incident in a foreign country. The degree of investigation participation, however, is subject to ICAO Annex 13, Department of State policy, and any special agreements between the United States and a particular country. However, accidents and incidents investigated in foreign countries are the jurisdiction of the country in which they occurred, and investigations will be conducted according to the country's procedures. The NTSB is, by law, the agency which provides U.S.-accredited representatives ("U.S. representatives") for accidents. FAA personnel will participate in investigations as technical advisors to the U.S. representative. If no NTSB representative participates in the investigation, an FAA representative may be designated as the U.S. representative. The appropriate division manager will assign regional personnel based on NTSB and AAI-100 requirements to:

a. Participate in investigations of all accidents or incidents that occur in foreign countries only after coordination with the U.S. embassy or the Department of State and AAI-100. AAI-100 will coordinate FAA participation with NTSB.

b. Participate in investigations of accidents or incidents that involve U.S.-registered or -manufactured aircraft in foreign countries if requested by the foreign government and if approval is granted by the Department of State and NTSB.

c. Participate in investigations of accidents or incidents that involve a foreign country's civil aircraft when invited by that country and/or requested by AAI-100. Participation shall be limited to obtaining factual data and providing technical advice. FAA personnel shall not participate in the probable cause deliberations or determination. No notes, reports, film, photographs, or documents relating to the accident or incident will be retained by FAA personnel. Such documents will be left in the country of occurrence.

d. Offer technical assistance and guidance in the investigation of accidents and incidents involving U.S. aircraft to countries with which the United States has no investigative agreements. This offer will be made through the Department of State or U.S. embassy.

e. Conduct a review of the aircraft accident notification procedures in Foreign Affairs Manual Volumes 7 and 10 during routine visits with American embassies and consulates within the region's area of responsibility. Any deficiencies should be reported via the FAA regional office to the Office of International Aviation for coordination of corrective actions with the Department of State.

341. INVITATION OR REQUEST FOR U.S. PARTICIPATION IN FOREIGN INVESTIGATIONS. If an ICAO member state invites the participation of the United States in an investigation, the invitation must be sent to the Department of State. If a contracting state does not request such participation, but FAA wishes to participate, a request shall be made to the ICAO member state by the Department of State. Washington, D.C., level coordination with the Department of State and NTSB shall be accomplished by AAI-100. The degree of FAA interest

in the accident or incident, local diplomatic considerations, availability of qualified FAA personnel, etc., should be made known to the Manager, AAI-100, during or shortly after initial notification of the occurrence.

a. The NTSB usually discharges the U.S. responsibilities to ICAO. When the FAA participates with NTSB, the FAA assignee(s) will be the FAA advisor(s). If more than one FAA employee is assigned as an advisor, one employee will be designated as the primary FAA advisor.

b. The NTSB may request FAA to discharge the U.S. responsibilities to ICAO. The NTSB will make the necessary requests and arrangements through the Department of State with the foreign country when FAA agrees to perform this function. In such cases, an FAA employee will be assigned as the U.S. representative.

c. AAI-100 will notify the FAA region concerned when the FAA U.S. representative or advisor is approved and cleared to depart to the accident or incident scene.

342. FOREIGN INVESTIGATION ASSIGNMENTS.

a. When an FAA employee is assigned as the U.S. representative, all activities will be conducted in accordance with NTSB direction and ICAO Annex 13.

b. FAA advisers are expected to support the U.S. representative fully and are under the direct supervision of the U.S. representative. FAA advisers shall submit reports as requested by the U.S. representative. An FAA adviser shall withdraw from an investigation when directed by the U.S. representative. An adviser may direct a request to withdraw to the U.S. representative only after approval by the adviser's supervisor and AAI-100.

c. The FAA U.S. representative, or the primary FAA adviser, shall keep AAI-100 informed of the status of the investigation. When information may only be transmitted by the U.S. representative through the Department of State to NTSB, AAI-100 will contact NTSB to obtain such information.

343. REPORTS ON FOREIGN INVESTIGATIONS. Accidents and incidents that involve U.S.-registered or -manufactured aircraft in foreign countries are expected to be investigated and reported upon by the country of occurrence. When that country is an ICAO member, the country is expected to furnish the United States with a copy of the report whether or not the United States participated in the investigation. The country of occurrence should be advised, however, that no written information should be released to FAA until that country agrees that the information may be released to the public. The FAA could be subpoenaed to produce the information before the completion of the investigation. Foreign reports will be handled as follows:

a. Progress Reports. Progress reports during the investigation's field phase will be provided daily, if possible, to AAI-100 by the U.S. representative (if FAA) or the FAA advisor. Whenever an aircraft's airworthiness is involved, the appropriate Aircraft

Certification Directorate shall be informed of the investigation's progress through AAI-100. For accidents or incidents involving aircraft operated by 14 CFR 121, 125, 133, or 135 certificate holders, the operator's certificate-holding district office will also be kept informed of the investigation by AAI-100.

b. Final Reports. Accident reports prepared by (or for) the country of occurrence are received by FAA from various sources. The final report may be distributed by that country directly to the U.S. representative, the FAA advisor, to an International Field Office, or in some instances, a U.S. embassy. Copies of foreign accident reports shall be forwarded to AAI-100 for redistribution. The FAA needs the final report to distribute copies to the appropriate Aircraft Certification Directorate and the Aviation Data Systems Branch, AFS-620.

344. FOREIGN CIVIL AIRCRAFT ACCIDENTS OR INCIDENTS IN THE UNITED STATES. FAA investigative responsibilities for a U.S. civil aircraft described in Chapter 1 remain unchanged when a foreign civil aircraft is involved in an accident or incident in the United States. FAA Form 8020-23 must also be submitted.

345. CORRECTIVE ACTIONS. The provisions of paragraph 15, FAA Safety Recommendation Program, apply to foreign accident and incident investigations.

346. - 359. RESERVED.

CHAPTER 9. NATIONAL TRANSPORTATION SAFETY BOARD (NTSB) ACCIDENT AND INCIDENT HEARINGS AND DEPOSITIONS

360. GENERAL. The rules governing NTSB accident hearings and depositions (testimony under oath) appear in 49 CFR 845 (see Appendix 4).

361. HEARING AND DEPOSITION SCHEDULING. When notified that depositions are to be taken or that an NTSB accident investigation public hearing is to be held, AAI-100 will contact the assigned hearing officer to determine NTSB's requirement for FAA witnesses. Immediately thereafter, AAI-100 will contact the FAA IIC and the Litigation Division, AGC-400, for the purpose of coordinating FAA's efforts in preparing for the hearing or deposition.

362. FAA SPOKESPERSON(S).

a. The FAA spokesperson(s) for the prehearing conference and for the formal hearing will be designated by AAI-100.

b. The FAA spokesperson represents and speaks for the FAA. The FAA spokesperson should develop a comprehensive line of questions. The spokesperson will be permitted to question FAA and non-FAA witnesses.

c. The Litigation Division, AGC-400, is responsible for providing legal counsel and procedural briefings to FAA personnel who are designated as hearing witnesses.

363. FAA REPRESENTATION AT PREHEARING CONFERENCES AND HEARINGS.

a. FAA representatives at the prehearing conference and the hearing will be the FAA spokesperson, the FAA IIC, an AAI-100 representative, and those FAA technical specialists designated by the spokesperson with the advice of the appropriate FAA elements. The number of FAA representatives should be minimized and limited to personnel whose advice and assistance are essential for the proper representation of FAA.

b. Witnesses do not normally attend prehearing conferences. However, if attendance is required, FAA employee witnesses shall be accompanied by one or more of the following:

(1) The FAA IIC.

(2) The employee's supervisor.

(3) A legal representative from AGC-400 or the Regional Counsel, if the witness requests.

(4) A representative for the Associate Administrator for Air Traffic.

364. DEPOSITIONS. The NTSB may elect to take depositions in lieu of conducting a public hearing. The purpose of NTSB-taken depositions in accident and incident investigations is the same as for hearings as described in 49 CFR 845.2.

365. FAA EMPLOYEES AS WITNESSES AT NTSB HEARINGS AND DEPOSITIONS. FAA employees will confer with the FAA spokesperson, legal representatives, and other personnel as deemed necessary by the FAA spokesperson, prior to testifying at an accident or incident hearing deposition. Each FAA witness must be thoroughly familiar with all facts revealed during the investigation that are within the witness's area of responsibility and technical specialty. The witness should have pertinent manuals, handbooks, and other material available for reference. The FAA spokesperson will review any documentary evidence to be introduced by an FAA employee. Suggested guidelines for the conduct of FAA witnesses follow.

a. Prepare a brief oral statement outlining your qualifications, duties, and capacity of employment with FAA including:

(1) Full name.

(2) Business address.

(3) Date employed by FAA.

(4) Major duties.

(5) Years of aviation experience.

(6) Type of aviation experience.

(7) FAA certificates held.

(8) Additional qualifications.

b. Relax. Take your time on the witness stand.

c. Ascertain that the question is complete before answering. Do not anticipate portions of the question.

d. Be sure you fully understand the question before answering.

e. Ask for a rereading or rephrasing if the question is not understood.

f. Answer all questions directly and concisely.

g. Confine your answers specifically to the questions asked.

h. Be brief. Do not volunteer information.

i. Answer questions with a "yes" or "no" when possible without elaboration.

j. Answer questions with which you are not directly familiar by stating that you have no knowledge regarding the question.

k. Do not offer conjecture or give your personal opinion.

l. Do not guess. State that you do not know the answer when you do not know it.

m. Advise the FAA spokesperson privately and as soon as possible when you have additional information on a matter covered by specific questions.

n. Consult the applicable source material in advance if you anticipate questions on 14 CFR, operation specifications, FAA directives, an air carrier's manual, instrument approach procedures, etc. Have material available for reference and quotation, if necessary.

366. EXHIBITS AND TRANSCRIPTS.

a. Exhibits. The NTSB will provide AAI-100 with a set of exhibits before NTSB hearings and after NTSB depositions (the latter for a fee).

b. Transcripts. AAI-100 will obtain and retain a transcript of NTSB hearings and depositions from the NTSB-designated court-reporting firm.

367. - 379. RESERVED.

CHAPTER 10. PUBLIC RELEASE OF ACCIDENT AND INCIDENT INFORMATION

380. GENERAL.

a. Public disclosure of FAA records under the Freedom of Information Act (FOIA) is addressed in paragraph 387.

b. Release of accident and incident information to the news media is the responsibility of the organization (FAA, NTSB, or military service) conducting the investigation. For FAA, the Office of Public Affairs at headquarters, regions, and centers provide a control point to answer and coordinate information requests from the news media and the public.

c. Regardless of which organization conducts the investigation, FAA shall not release any accident or incident information that would or could reasonably be expected to interfere with the investigation efforts. Coordination with the investigating organization's IIC on the release of information is essential.

d. The above information release guidelines are not intended to restrict the free exchange of factual information between individuals, organizations such as product manufacturers (airframe, engines, etc.), or industry organizations that are part of the investigating team.

381. NTSB-CONDUCTED INVESTIGATIONS.

a. The FAA shall not respond to information requests related to accidents or incidents under NTSB investigation unless the request pertains only to factual information on FAA activities or operations and is information which is otherwise releasable under the FOIA. FOIA requests shall be handled in accordance with paragraph 387.

b. Requests for information that FAA obtained during an investigation by FAA personnel as participants in an NTSB-conducted investigation (e.g., the content of witness statements, photographs, reports of factual observations, readings of instruments, or recordings) that do not constitute information on FAA activities or operations shall be referred to NTSB. FOIA requests shall be handled in accordance with paragraph 387.

c. Requests for information related to NTSB activities, investigations, etc., shall be referred to NTSB's Office of Government, Public, and Family Affairs, any NTSB field office, or to NTSB's IIC. FOIA requests shall be handled in accordance with paragraph 387.

382. MILITARY AIRCRAFT INFORMATION. Information on military aircraft or personnel involved in an accident or incident shall not be released by FAA. Requests for such information shall be referred to the commander of the appropriate military aviation facility nearest to the accident or incident scene or to the Public Affairs Office of the appropriate military service.

383. INFORMATION THAT MAY BE RELEASED BY FAA.

a. Certain preliminary facts pertaining to an accident or incident may be released by FAA as soon as the facts are known. When the release is made by other than an FAA employee assigned to an FAA Public Affairs Office, the contents of the release shall be brought to the attention of the regional Public Affairs Office as soon as possible.

b. All or any part of the following factual information may be released by the FAA IIC or by the applicable facility, center, or regional office as soon as the information is available:

(1) Identification information such as aircraft make, model, and registration number.

(2) Nature of the flight, i.e., general aviation or air carrier.

(3) History of the flight, e.g., flight plan, route of flight, destination.

(4) Pilot's aeronautical qualifications, i.e., type of airman certificate and ratings, certificate status, and limitations, if any.

(5) Aircraft's operational status (e.g., status and contents of airworthiness certificate, including approved operating limitations) and any factual data on the aircraft airworthiness or whether a certificate of waiver or special flight permit was issued and, if so, the limitations.

(6) Contents of pertinent recorded weather observations.

384. FAA PUBLIC AFFAIRS OFFICE RELEASES DURING INVESTIGATIONS.

a. Requests for information by the media about FAA activities or operations associated with the investigation such as copies of ATC controller statements, tapes or transcripts of AT communications, or information on the technical performance of FAA facilities, shall be directed to the headquarters Public Affairs office. All public inquiries should go to the FOIA office.

b. The region/center Public Affairs Office may release information related to the investigation to the news media or public during the investigation, provided authorization is obtained from:

(1) The NTSB IIC or concurrence of the NTSB Public Affairs Office when an investigation is conducted by NTSB.

(2) The FAA IIC when an investigation is conducted by FAA.

c. Investigation information shall not be released prematurely, e.g., information on the functioning of navigational aids before a flight check is completed. All such information shall be reviewed by the appropriate regional division manager or higher authority to ensure the completeness or accuracy of such information.

d. Official statements of known facts about the accident or incident made by personnel involved in controlling or communicating with the flight may be released only after review by the appropriate legal office to ensure that statements are entirely factual.

e. Requests for information concerning FAA's plan and schedules for new facilities and procedures, preventive measures, and related material, including reasons why certain facilities have not been installed shall be referred to the Washington headquarters Office of Public Affairs.

f. For an accident or incident in the vicinity of the Mike Monroney Aeronautical Center or the FAA Technical Center, the appropriate Public Affairs Office will assume the role normally assumed by the regional Public Affairs Office. After the release of the factual information in paragraph 383, however, the center Public Affairs Office shall coordinate all additional accident information activities with the appropriate regional Public Affairs Office. Information release policy and authority will remain with the responsible region. A member of the center Public Affairs Office will serve primarily as the local spokesperson.

385. AT TAPES AND TRANSCRIPTS.

a. After completion of the field phase of an aircraft accident investigation (except military accidents), transcripts and tape copies of AT radio transmissions and other communications shall be considered identifiable records of the FAA and may be released to the public upon payment of the appropriate fee as described in the latest edition of FAA Order 1200.23. For the purpose of the above provision, an NTSB field accident investigation shall be considered complete when all NTSB personnel leave the scene. However, transcripts and tape copies will not be released until the NTSB IIC officially returns custody of such items to the FAA facility.

b. When ATC communication tapes or transcripts are approved for release, the regional Public Affairs Office, after coordination with the regional AT division manager, the Regional Counsel, and the Washington headquarters Office of Public Affairs, shall arrange to playback pertinent portions of the recorded communications with the assistance of the AT accident representative. Permission to hear a playback of recorded radio communications includes permission for those listening to make their own recording. The playback will not occur unless:

(1) It is under the direct supervision of the Public Affairs officer or the officer's designee.

(2) A copy of the original recording is used.

(3) The official transcript is completed.

(4) It is made simultaneously with the transcript release.

c. Public disclosure of portions, entire transcripts, or recordings of AT radio communications may be withheld when it is determined by the appropriate authority that the denial is consistent with the purpose of one or more of the exemptions permitted under 5 U.S.C. 552(b). The exemptions are described in the latest edition of Order 1200.23.

d. National Airspace System computer/radar data release is governed by the latest edition of Order 1200.22, Use of National Airspace (NAS) Computer/Radar Data or Equipment by Outside Interests.

386. PUBLIC REQUEST FOR REPORTS.

a. Aircraft Accident Reports. The agency is not authorized to release to the public copies of aircraft accident or incident report files maintained by FAA except as noted below. The requester should be informed that aircraft accident reports can be obtained from the NTSB, Public Inquiries Section, 490 L'Enfant Plaza East, SW., Washington, D.C. 20594.

b. FAA Form 8020-11, Incident Report; and FAA Form 8020-23, FAA Accident/ Incident Report. Requests for copies of FAA Form 8020-11 (the preliminary form) shall be sent to the facility where the incident occurred. Public request for reports of incident investigations conducted by FAA (FAA Form 8020-23) shall be referred to the Aviation Data Systems Branch, AFS-620, Federal Aviation Administration, Mike Monroney Aeronautical Center, P.O. Box 25082, Oklahoma City, Oklahoma 73125. A nominal fee is charged for search and reproduction. Requests for reports of incident investigations conducted by NTSB shall be addressed as in paragraph 386a.

c. FAA Form 8020-21, Preliminary Near Midair Collision Report; and FAA Form 8020-15, Investigation of Near Midair Collision Report. Copies of NMAC reports are maintained by the Planning, Information, and Analysis Program, ATX-400. Requests for copies shall be addressed to that office at 800 Independence Avenue, SW., Washington, D.C. 20591.

d. FAA Form 8020-17, Preliminary Pilot Deviation Report; and FAA Form 8020-18, Investigation of Pilot Deviation Report. Copies of pilot deviation reports are maintained by ATX-400. Requests for copies shall be addressed as in paragraph 386c.

e. FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report; and FAA Form 8020-25, Investigation of Vehicle or Pedestrian Deviation Report. Copies of vehicle and pedestrian deviation reports are maintained by ATX-400. Requests for copies shall be addressed as in paragraph 386c.

f. FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice. Requests for dissemination shall be coordinated with and approved by AAI-100.

387. FOIA REQUEST FOR ACCIDENT OR INCIDENT INVESTIGATION DOCUMENTS.

a. This section applies to requests for information made pursuant to the Freedom of Information Act, 5 U.S.C. 552, that FAA created or obtained during investigations by FAA personnel as participants in NTSB-conducted investigations (referred to as major accident investigations) and during on-site investigations by FAA personnel on behalf of NTSB (referred to as limiteds).

b. Upon receipt of a request under the FOIA for accident or incident information, FAA personnel are to gather and preserve documents that are responsive to the request. If an investigation is ongoing when the FOIA request is received, FAA personnel shall preserve the responsive records until such time as the request is processed.

c. Documents that were created by or originated with FAA as part of the investigation and are responsive to the request must be gathered and retained by FAA until a release date or authorization is obtained from the NTSB IIC or the NTSB FOIA legal officer when an investigation is conducted by NTSB, or from the FAA IIC when an investigation is conducted by the FAA. FAA should not release any accident or incident information that could reasonably be expected to interfere with ongoing investigation efforts. Typically, FOIA releases should not occur until the factual portion of an investigation is completed. If there is any question concerning the timing of a response, FAA should contact the NTSB IIC or the NTSB FOIA legal contact. Once a release date or authorization is received, FAA shall make its FOIA determination regarding release of the responsive documents. The release determination shall be made in accordance with the FOIA exemptions set forth in 5 U.S.C. 552(b).

d. Responsive documents that were created by or originated with NTSB are to be specifically referred to NTSB for a release decision by NTSB. Referral of NTSB documents to NTSB should be accomplished by sending a copy of both the incoming request and the responsive documents to NTSB with a request that NTSB make a release determination and provide FAA with a copy of the NTSB response to the requester. The referral should be directed to the FOIA Officer, Public Inquiries Section, National Transportation Safety Board, 490 L'Enfant Plaza East, SW., Washington, D.C. 20594.

e. If a request is received while the factual portion of an investigation is incomplete, an interim response shall be sent to the requester in a timely manner. The interim response, at a minimum, shall inform the requester of the ongoing nature of the investigation, of an estimate of the release date based on completion of the factual portion of the investigation, and of the exemptions that are likely to apply to the documents when the FOIA response is rendered.

388. - 399. RESERVED.

CHAPTER 11. ACCIDENT INVESTIGATION BLOODBORNE PATHOGENS EXPOSURE CONTROL PROGRAM

400. GENERAL. The FAA's Accident Investigation Bloodborne Pathogens Exposure Control Program was established on September 6, 1994, to provide guidance to FAA personnel on how to control potential exposure to bloodborne pathogens while conducting an on-scene aviation accident/incident investigation or examining accident wreckage specimens. These guidelines are applicable when human remains are present at the accident site. The basis for the precautions is the presumption of the presence of bloodborne pathogens, such as the hepatitis B virus (HBV) and the human immunodeficiency virus (HIV), in blood or body fluids at the accident site. FAA Order 3900.19, Occupational Safety and Health Program, requires a means for addressing occupational safety and health issues. One element of occupational safety and health is the safety of FAA personnel assigned responsibilities for on-scene accident investigation or examination of wreckage specimens. The potential for exposure to bloodborne pathogens is of particular concern, and the potential for exposure needs to be minimized or controlled. The Occupational Safety and Health Administration (OSHA) Bloodborne Pathogens Standard (29 CFR 1910.1030) provides requirements and guidance on controlling exposure to bloodborne pathogens.

401. BACKGROUND.

a. Employees from various organizations within the FAA may be required as part of their job responsibilities to participate in the on-scene investigation of an aviation accident or to examine wreckage specimens. When conducting an investigation and preparing to exit the accident site, the FAA employee may be exposed to bloodborne pathogens. In order to control exposure to bloodborne pathogens, FAA organizations whose employees participate in these types of activities must meet OSHA requirements and have in place an Exposure Control Plan as provided in Figure 11-1, Exposure Control Plan. There are a number of considerations that should be applied in the development of an Exposure Control Plan: special training for the investigation participants; HBV vaccination; special assessment of the accident site for the presence of bloodborne pathogens (biohazard); selection process for determining what personal protective equipment should be used; qualification of the accident site as a biohazard for the protection of spectators, media, and industry personnel; biohazard waste disposal; and procedures for handling an exposure incident.

b. The FAA organizations most likely to have on-scene accident investigation responsibilities are: Office of Accident Investigation, Office of Aviation Medicine, Aircraft Certification Service, Aircraft Certification Directorates, Flight Standards regional offices and district offices, Associate Administrator for Civil Aviation Security, Office of Airport Safety and Standards, and the Fire Safety Section, AAR-422, (located at the William J. Hughes Technical Center). The Office of Accident Investigation and FSDOs have Exposure Control Plans in place. Other FAA offices that have accident investigation responsibilities will utilize the Exposure Control Plan of these two offices when participating in an on-scene accident investigation.

402. TRAINING.

a. A training program was developed by Flight Standards Service that satisfies the OSHA bloodborne pathogens awareness and protection training requirements. Training videos were developed which contain information and direction concerning bloodborne pathogens, the universal precautions that should be applied, and the procedures to be followed to control exposure. These videos, supported by instructors and other training material, comprise the training program that describes procedures for the administration of the HBV vaccine and for on-scene participation in accident investigations where there may be an injury or fatality.

b. A full complement of training videos is available to each FAA office where FAA personnel may participate in on-scene accident investigations. All of these offices shall have access to subject matter experts who will be available to respond to any need for further information. The training contains information and direction concerning bloodborne pathogens, the universal precautions that should be applied, and the procedures to be followed to control exposure. All affected FAA field offices should contact their nearest FSDO to arrange for training. Headquarters personnel training will be arranged by AAI. Appropriate personnel will receive initial training and then be given recurrent training on a yearly basis. Training costs will be absorbed by the participating offices.

403. HBV VACCINATION.

a. For those employees who have occupational exposure, an HBV vaccine series is available to minimize an employee contracting the virus. The HBV vaccine series is offered free of charge. Vaccination costs will be absorbed by the participating offices. Employees are required to contact their local healthcare professional (personal physician, hospital, public health office, or AME as directed by the regional Aviation Medical Division) and promptly initiate the series of vaccinations. Vaccination for HBV consists of a series of three injections. After initiation of the HBV vaccine with the first injection, a second injection is given 1 month later and is then followed by the third injection 6 months later. There is little tolerance in the schedule, and management is required to support the schedule adopted for each employee.

b. A reimbursement process is required for compensating the employee for the cost of the vaccinations and related employee incurred expense or for the direct compensation to the healthcare professional for administering the HBV vaccine series. Confirmation from a healthcare professional that an injection has been administered is required to authorize reimbursement. Managers may authorize reimbursement for the entire vaccination series following demonstration that an employee has paid for the entire vaccination series and has received at least the first injection. Managers may also authorize reimbursement on an injection-by-injection basis after receiving a confirmation from a healthcare professional that each injection has been administered. A healthcare professional's signature on the Hepatitis B Virus (HBV) Vaccination Consent/Decline Form (FAA Form 8020-22), Figure 11-3, and a copy of a receipt of payment are sufficient to claim reimbursement after each injection. Prior to receiving the vaccinations, employees may apply for and receive an advance of funds in accordance with

local or regional accounting procedures. After receiving vaccinations, employees are required to promptly submit appropriate documentation to clear the advance in accordance with agency policy.

c. Records of advance of funds, vaccinations, and vouchers for reimbursement are to be maintained by each office as required by agency policy concerning retention of records. If an employee declines the HBV vaccine, a copy of the completed and signed consent/decline form shall be forwarded to the office manager who is responsible for forwarding it (using a sealed manila envelope with the employee's name and the notation "Medical Records Other") to the appropriate headquarters or regional Human Resource Management Division for inclusion in the employee's official personnel file. An employee who declines the HBV vaccine may, at a later date, elect to receive the HBV vaccine after completing a new consent/decline form. Declination of the HBV vaccine does not preclude that employee from subsequent assignment to perform on-scene accident investigation or to examine wreckage specimens. When the training and use of personal protective equipment required by the Exposure Control Plan are provided and the employee has been afforded the opportunity to receive/decline the HBV vaccine, exposure to bloodborne pathogens is considered controlled by OSHA regulations. Accordingly, employees who decline the HBV vaccine remain responsible to perform fully their assigned duties as directed by their supervisors. Before receiving the first injection, the employee should read the HBV information provided on FAA Form 8020-22.

d. Once an employee has elected to receive the HBV vaccine, the employee is responsible for:

(1) Discussing medical suitability for HBV vaccine with a healthcare professional of choice.

(2) Receiving the HBV vaccine series of three injections in accordance with the 6-month series process.

(3) Obtaining the signature of the healthcare professional on the original consent/ decline form to document receipt of the HBV vaccine series.

(4) Completing, signing, and dating the consent/decline form and sending it to the office manager who is responsible for forwarding it (in a sealed manila envelope with the employee's name and the notation "Medical Records Other") to the appropriate headquarters or regional Human Resource Management Division for inclusion in the employee's official personnel file.

404. PERSONAL PROTECTIVE EQUIPMENT. On-scene investigators will be required to use personal protective equipment. FSDO's will be the primary source of personal protective equipment for FAA personnel except for major NTSB "Go Team" investigations when AAI will be the primary source. Details on the selection, care, and use of disposable and nondisposable personal protective equipment are provided in the Exposure Control Plan.

405. RECORDS. Medical and training records will be kept for all employees covered by an Exposure Control Plan. An employee's HBV vaccination status record is kept in the employee's official personnel file and maintained in the same manner as other medical records (in a sealed manila envelope). Initial and recurrent training records will be maintained at the FAA field office. When the inspector transfers from one office to another, initial and recurrent training records will be transferred with the inspector to the new duty station. Exposure incident records are kept by the FAA Clinical Services, AAM-230, for headquarters staff or the regional Aviation Medical Division for regional or FSDO staff. Details for retaining records are specified in the Exposure Control Plan for each office. Procedures specified in FAA Order 1280.1A, Protecting Privacy of Information About Individuals, should be followed when keeping the records.

406. RESPONSIBILITIES. The Environment, Energy, and Employee Safety Division, AEE-200, has responsibility for ensuring that FAA bloodborne pathogens policy contained in this order is accurate in light of the OSHA Bloodborne Pathogens Standard and related regulations as they relate to the bloodborne pathogens program. AAI and the Environmental Energy and Safety Division, ANS-500, have joint responsibility for the accident investigation Bloodborne Pathogens Exposure Control Program in headquarters. The regional Occupational Safety and Health Managers have this responsibility in the regions. Title 29 CFR Part 1960, Basic Program Elements for Federal Employee Occupational Safety and Health Programs, encourages local offices to form a safety committee to help develop and monitor an occupational safety and health program for that office. FAA made this a requirement with the release of the Occupational Safety, Health, and Environmental Compliance Committee Charter signed by the Administrator on March 18, 1996. Each facility is responsible for appointing a Collateral Duty Safety Officer. The Collateral Duty Safety Officer within each facility should be, and in some offices is, required by a labor agreement to help in the development of occupational safety and health programs and also to act as a conduit for occupational safety and health information. Considering the purpose of these committees and the function of the safety officers, it is consistent that their duties include participation in the administration/management of the Bloodborne Pathogens Exposure Control Program. Responsibilities for the Collateral Duty Safety Officer, safety committees, and other participants in the program are as follows:

a. **National/Regional Safety Manager Responsibilities.**

(1) AEE-200 shall review and comment on all policy changes to the bloodborne pathogens section of this order and will perform the oversight function to ensure that the program is in accordance with policy and the OSHA standard.

(2) ANS-500 and the regional Occupational Safety and Health Managers will:

(a) Provide technical assistance in the operation of the Bloodborne Pathogens Exposure Control Program in headquarters and in field offices participating in the program.

(b) Provide technical assistance in the administration of the required training of the work force regarding bloodborne pathogens awareness (including universal precautions) and respiratory protection.

(c) Serve as the focal point through which office Collateral Duty Safety Officers elevate health and safety issues.

(d) Oversee the operation of the Bloodborne Pathogens Exposure Control Program jointly with AAI.

b. **Office Safety Committee Responsibilities.**

(1) Assist the office manager in establishing the location and management of the supply and distribution of personal protective equipment.

(2) Assist the office manager in ensuring that procedures are developed for the cleaning of reusable equipment for subsequent use.

(3) Assist the office manager in identifying and contracting local sources within the geographic area of the office that would dispose of contaminated nonreusable personal protective equipment.

(4) Assist and facilitate the determination and maintenance of employee immunization schedules.

c. **Office Collateral Duty Safety Officer Responsibilities.**

(1) Ensure that the Exposure Control Plan developed by the office meets conditions of the program.

(2) Monitor activities in the office to ensure compliance with the Exposure Control Plan.

(3) Provide recommendations on how the office can improve its compliance with the program.

d. **Office Manager Responsibilities.**

(1) Ensure that all office personnel assigned to accident investigation duties receive initial training, formally consent or decline the HBV immunization, and complete appropriate records.

(2) Ensure overall development, implementation, and compliance of their area of responsibility with the Exposure Control Plan.

(3) Coordinate with the headquarters Office of Aviation Medicine and/or the regional Aviation Medical Division to resolve any medical issues which affect the immunization program or any exposure incident which might occur.

(4) Ensure that all affected personnel receive initial and annual recurrent training on controlling the exposure to bloodborne pathogens.

(5) Ensure completion of required documentation for an exposure incident.

e. **FAA Investigator-In-Charge (IIC) Responsibilities.**

(1) Survey accident site with the NTSB and local authorities to determine if a biohazard exists. If a biohazard exists, secure and control access to the accident site. The IIC will determine suitability of compliance with this directive for each FAA participant who will be required to work on site.

(2) Brief all personnel on the biohazard nature of the accident site, the requirements for personal protective equipment at the site, and the personal prohibitions that are to be applied during the investigation in the biohazard areas.

(3) Identify investigative tasks needing personal protective equipment, identify extent of use of personal protective equipment, arrange availability of personal protective equipment for all FAA personnel requiring it, and coordinate disposal of personal protective equipment. Flight Standards will be used as the resource of personal protective equipment for all FAA personnel except for major NTSB "Go Team" investigations when AAI will be the primary source. The FAA is not responsible for furnishing personal protective equipment to participants other than FAA personnel.

f. **Office of Aviation Medicine Responsibilities.**

(1) Resolve any medical issues that evolve which affect the development of an Exposure Control Plan, the vaccination program, or any exposure incident which might occur involving headquarters offices.

(2) Conduct initial evaluations of exposure incidents involving headquarters offices to confirm that the exposure incident occurred.

(3) Maintain exposure incident medical records for all incidents involving headquarters employees.

(4) Administer HBV vaccinations for employees covered by an Exposure Control Plan in headquarters offices.

(5) Provide subject matter experts to support Exposure Control Plan training programs.

g. **Regional Aviation Medical Division Responsibilities.**

(1) Resolve any medical issues that evolve which affect the development of an Exposure Control Plan, the vaccination program, or any exposure incident which might occur involving field personnel.

(2) Conduct initial evaluations of exposure incidents involving field personnel to confirm that the exposure incident occurred.

(3) Maintain exposure incident medical records for all incidents involving regional personnel.

(4) Provide subject matter experts to support Exposure Control Plan training programs.

h. **Flight Standards Service Responsibilities.**

(1) Through regional Flight Standards divisions, provide bloodborne pathogens training programs to FAA field offices whose personnel participate in on-scene accident investigations.

(2) FSDO's will provide personal protective equipment to FAA personnel at accident sites as specified in their Exposure Control Plan.

(3) FSDO's will maintain appropriate stock of personal protective equipment as presented in their Exposure Control Plan.

i. **Office of Accident Investigation Responsibilities.**

(1) Jointly with AEE-200 and ANS-500, oversee the operation of the Bloodborne Pathogens Exposure Control Program concerning aircraft accident investigation within the FAA.

(2) Provide bloodborne pathogens training programs for headquarters employees.

(3) Provide personal protective equipment to FAA personnel at an accident site for major NTSB "Go Team" investigations.

j. **Employees Covered by Exposure Control Plan Responsibilities.**

(1) Attend initial and recurrent training programs.

(2) Comply with the requirements of the Exposure Control Plan that cover their organization.

(3) Wear the proper personal protective equipment when required.

(4) Follow appropriate personal hygiene procedures as directed in the Exposure Control Plan.

(5) Report any exposure incident to supervisor.

407. FORMS.

a. There are a number of forms that should be used in the process of obtaining HBV vaccination and for reporting an exposure incident. Workers' compensation forms should also be used. All forms may be acquired from the headquarters or regional Human Resource Management Division.

b. Examples of the following forms are located at the end of this chapter:

(1) FAA Form 8020-22, Hepatitis B Virus (HBV) Vaccination Consent/Decline (see Figure 11-3). This form provides proof of immunization regarding the administering of the HBV vaccine, dates of injections, lot number of the vaccine, and name of person injected. This form provides a declination statement that the employee is aware of availability of the HBV vaccine but chooses not to be immunized at that time and has the option for future vaccination. Before receiving the first injection, the employee should have the opportunity to read HBV information provided on the form.

(2) FAA Form 3900-6, FAA Mishap Report (see Figure 11-4). This form provides for the documentation of an exposure incident in an FAA facility.

408. - 419. RESERVED.

FIGURE 11-1

FAA EXPOSURE CONTROL PLAN

Facility Name:_____

Address:_____

_____

Plan Prepared By:_____
(Insert the name of the manager who modified this plan at your facility.)

Date:_____
(Insert the date this plan is put into effect at your facility.)

Date Reviewed for Update:_____

1. PURPOSE. This Exposure Control Plan establishes guidance to protect aircraft accident investigators from bloodborne pathogens that might be encountered during the course of their investigations in the field or during examination of wreckage specimens at a location remote from the accident or incident site. This will be accomplished by mandating the use of universal precautions implemented by work practice controls, engineering controls, personal protective equipment, and biohazard labeling. Hepatitis B virus (HBV) vaccine and post-exposure evaluation will be offered free of charge. Annual training on bloodborne pathogens will be required. Records will be maintained in accordance with the Occupational Safety and Health Administration (OSHA) Bloodborne Pathogens Standard (29 CFR 1910.1030). Within each affected office, an office safety committee has been identified to assist in the management of work practice, engineering, and housekeeping controls.

2. EXPOSURE DETERMINATION LIST. A list shall be prepared of the position classification and grade series of office staff who have been offered the HBV vaccination series and who may have contact with blood or other potentially infectious materials during an on-scene accident investigation or the examination of wreckage specimens. Figure 11-2, Exposure Determination List, shows a sample listing.

3. WORK PRACTICE CONTROLS. The following work practice controls are in place:

a. Washing is required. Employees shall wash their hands and any other skin with soap and water or flush mucous membranes with water immediately or as soon as feasible following direct contact with blood, body fluids, or other potentially infectious materials. Employees have been instructed in this procedure and know the location of the wash facilities. In the field, employees will use antiseptic towelettes for this purpose, followed by thorough washing as soon as facilities are available.

b. After examination, all contaminated wreckage and other specimens are placed in appropriate containers for disposal or archiving. Containers meet the requirements of OSHA

Bloodborne Pathogens Standard outlined in 29 CFR 1910.1030(d)(2). Employees have been trained and shall follow these procedures.

c. While conducting an accident investigation that has been declared a biohazard or investigating wreckage that is contaminated, personnel are prohibited from eating, drinking, smoking, applying cosmetics or lip balm, handling contact lenses, and doing any actions where a mucous membrane may be touched. In the event that there is a requirement to break from conducting an investigation for any personal needs, the employees have been instructed and shall:

(1) Exit the investigation site via the defined entry/exit point.

(2) Disinfect work gloves, goggles, and boot covers.

(3) Remove waterproof inner glove and re-glove.

(4) Remove contaminated personal protective equipment following procedures addressed in bloodborne pathogens safety training.

(5) Place disposable personal protective equipment in the identified biohazard bags.

(6) Immediately following the removal of all personal protective equipment, cleanse hands and face with antiseptic towelettes and wash hands and face with soap and water as soon as possible.

d. Storage of food and drink is prohibited in places where potentially infectious materials (such as contaminated specimens) are kept or are in the process of transport. This applies to containers such as refrigerators, shelves, cabinets, countertops, and storage compartments in cars and trucks.

e. Nondisposable accident investigation equipment that may become contaminated is disinfected after each use by using an Environmental Protection Agency (EPA) registered disinfectant. Figure 11-10, Procedure for Disinfectant Selection, provides a mechanism for verifying and documenting the effectiveness of any commercial disinfectant purchased for use by FAA employees where there is potential for contact with blood or body fluids in the course of their work. If the equipment cannot be decontaminated before transport, employees are instructed to put equipment into identified biohazard containers.

f. Closable leak-proof containers with appropriate labeling are available for all other regulated waste such as disposable gloves or contaminated specimens. In the event that regulated waste or specimens contain sharp objects, an appropriate container will be utilized and will be available at the accident site. The office manager will ensure the availability of appropriate containers for accident investigations.

4. ENGINEERING CONTROLS. A task analysis identified the engineering tasks necessary for accomplishing the field investigation and shop/bench teardown activities (see paragraph 12 below, Task Analysis for Aircraft Accident Investigators). The following engineering controls apply to the examination of cockpit instruments, seats, restraints, cabin furnishings, and any other aircraft component examined during the conduct of the accident investigation:

a. Where hand washing facilities are not readily available (as while conducting an accident investigation), antiseptic towelettes are provided for employee use. The towelettes are immediately available to the employee as part of the personal protective equipment kit that is provided for accident investigations. FSDO managers will ensure the establishment of a location for and manage the resupply of the personal protective equipment kits. Guidelines for the type and quantity of personal protective equipment to keep on hand are in Figure 11-9, Personal Protective Equipment. The office manager will ensure the accessibility of personal protective equipment by investigators within the office and other involved FAA personnel.

b. Specimens of blood or other potentially infectious materials are kept in containers that prevent soak-through or leakage during collection, handling, processing, storage, transport, or shipping. When packages that contain blood or other potentially infectious materials are shipped, a biohazard label is affixed to the exterior of the package and all applicable shipping requirements are met.

c. Other regulated waste (such as used gloves, soiled laundry, and other contaminated specimens) is kept in a red biohazard container that can hold all contents without leakage during handling, storage, transport, etc. Each office involved in accident investigation will have procedures for management of biohazard waste. These procedures include coordination with authorized disposal facilities for pickup, receipt, and disposal of the regulated waste. This action will most often occur as soon as practical following departure from the accident site. The office manager will identify the contacts for disposing of regulated waste and ensure employee awareness of the arrangements. In those cases where more than one office is involved, office managers will ensure coordination on the procedures and arrangements.

(1) The authorized disposal facility is _____ (insert name of authorized disposal facility).

(2) The FAA IIC is responsible for ensuring the disposal of the regulated waste in accordance with the procedures presented in this document.

d. Maintenance of proper engineering controls will be the responsibility of the individual office managers.

5. PERSONAL PROTECTIVE EQUIPMENT. There are a number of considerations that shall be applied in the selection, care, and use of personal protective equipment as follows:

a. Disposable personal protective equipment such as moisture proof glove liners, coveralls, and National Institute for Occupational Safety and Health (NIOSH) approved respirator

(face mask) is available for all workers at risk of exposure and is provided as part of the accident investigation kit. Personal protective equipment is used whenever exposure to infectious material is possible as specified by universal precautions outlined in OSHA Bloodborne Pathogens Standard (29 CFR 1910.1030(b)(3)). Waterproof glove liners (hypoallergenic gloves, if required) are available to affected employees. Since FSDO's will be the primary source for personal protective equipment except for major investigations, FSDO office managers will ensure the availability of personal protective equipment in their office for use during accident investigations. FSDO office managers will establish methods and means for resupply of personal protective equipment and ensure a readily accessible location for storage of all personal protective equipment. All disposable items will be discarded whenever they are removed or damaged and will be immediately placed in biohazard waste containers.

b. The following procedure will be used to inventory and resupply office personal protective equipment: _____ (insert office procedure and include process for coordination with appropriate personnel from other FAA offices involved in investigations; e.g., Office of Accident Investigation, Office of Aviation Medicine, Aircraft Certification Directorates, FSDO's, and regional Aviation Medical Divisions).

c. Nondisposable personal protective equipment (such as utility gloves, boot covers, and goggles) is available for all employees who are at risk of being exposed to contaminants. The personal protective equipment is examined for damage before use and replaced as necessary. Nondisposable personal protective equipment is used whenever disposable personal protective equipment does not provide adequate protection from possible puncture or airborne debris. If nondisposable personal protective equipment remains usable, it will be disinfected upon exit from the exposure condition, suitably bagged for transport, and cleansed before return to use.

d. Face protection including eye shields or goggles will be used when the risk of splatter or aerosolization of contaminated material may occur.

e. Characteristics and quality requirements of certain items of personal protective equipment include being fluid and puncture resistant. Waterproof glove liners should meet or exceed Food and Drug Administration requirements to ensure a quality level of more than 98-percent pinhole free.

f. Guidelines on the type and quantity of personal protective equipment items to be kept in supply at each FSDO are presented in Figure 11-9, Personal Protective Equipment.

6. HOUSEKEEPING. The following housekeeping procedures are generally applicable on or off the accident site and for the storage of accident investigation specimens that may be contaminated:

a. Housekeeping procedures for cleaning and decontaminating work stations, nondisposable personal protective equipment, and accident investigation equipment are carried out only by the accident investigators while wearing appropriate personal protective equipment.

b. Employees are responsible for ensuring that equipment or surfaces are cleaned with an EPA-registered disinfectant or a 10-percent solution of household chlorine bleach and decontaminated following contact with a contaminant if a spill or leakage occurs and when they are finished using them.

c. Employees have been instructed to clean reusable containers that have a reasonable likelihood of being contaminated. Employees will use an EPA-registered disinfectant or a 10-percent solution of household chlorine bleach and replace protective coverings for surfaces and equipment after decontamination or at the end of the work shift.

d. Broken glass from specimens that may be contaminated will be picked up by using a brush, dust pan, forceps, and/or tongs. Implements used for cleaning will be cleaned and decontaminated if necessary.

e. Containers for contaminated material are sealable, puncture proof, and leak proof.

f. Color-coded and labeled bags/containers are available for laundry storage prior to cleaning. Most items used are disposable. Those contaminated items that may require laundering are handled as little as possible.

g. Contaminated laundry that is wet and presents a reasonable likelihood of soak-through or leakage from the bag or container is disposed of in containers that prevent soak-through or leakage of fluids to the exterior. Protective gloves are used by all workers who have contact with contaminated laundry. Other protective equipment is available as required.

h. In the event that there is a requirement to examine contaminated accident wreckage specimens, the examination will be conducted in an area suitably isolated from the normal work areas. Precautions will be taken to ensure that all contact with specimens is amenable to disinfection.

7. HEPATITIS B VACCINE. Hepatitis B vaccine has been offered free of charge to employees identified in Figure 11-2, Exposure Determination List. Hepatitis B Virus (HBV) Vaccination Consent/Decline Form (FAA Form 8020-22), Figure 11-3, has been completed for each employee listed. The employees have had the opportunity to read the HBV information on FAA Form 8020-22 before they receive their first injection. Prior to the first injection of the HBV vaccine, (1) an evaluation has been made of the exempt status of the consenting employee who may have previously received the complete HBV vaccination series, (2) antibody testing has revealed that the employee is immune, or (3) the vaccine is contraindicated for medical reasons. At risk employees who consent or decline the HBV vaccine have signed the appropriate forms. The office manager will ensure that the signed consent/decline form is included in the employee's official personnel file. The employee can be reimbursed for the expense prior to receiving the vaccination in accordance with local or regional accounting procedures.

8. LABELS AND SIGNS. Red color coding and/or biohazard labels are used to mark all hazardous items. Hazardous items marked with red color coding and/or biohazard labels include sharp object containers, containers of other regulated waste (laundry, used gloves, etc.), and

refrigerators or freezers that hold potentially infectious materials. Containers that are used to transport, ship, or store potentially infectious materials (including U.S. Postal Service's Express Mail, United Parcel Service, or Federal Express) are also marked with red color coding and/or biohazard labels. Contaminated areas at the accident site shall be marked with biohazard labels to warn personnel who follow.

9. INFORMATION AND TRAINING.

a. All employees with occupational exposure to bloodborne pathogens shall participate in a training program during working hours at no cost to the employees. Training shall be provided at the time of initial assignment to a job task where occupational exposure may occur and at least annually thereafter. The office manager is responsible for recording the training received by the employees and establishing a schedule for recurrent training. Training for the staff will be provided by _____ (insert the appropriate FSDO name if the office is a field office or the Office of Accident Investigation if the office is a headquarters office).

b. The training program shall contain at least the following elements:

(1) An accessible copy of the OSHA bloodborne pathogens rule and an explanation of its contents.

(2) A general explanation of the epidemiology and symptoms of bloodborne diseases.

(3) An explanation of the modes of transmission of bloodborne pathogens.

(4) An explanation of the facility management's Exposure Control Plan and the means by which an employee can obtain a copy of the written plan.

(5) An explanation of the methods for recognizing tasks and other activities that may involve exposure to blood and other potentially infectious materials.

(6) An explanation of the use and limitations of methods that will prevent or reduce exposure.

(7) Information on the types, proper use, location, removal, handling, decontamination, and disposal of personal protective equipment.

(8) An explanation of the basis for selection of personal protective equipment.

(9) Information on the HBV vaccine including its efficacy, safety, method of administration, benefits, and how the employee will be reimbursed for the cost of the vaccination.

(10) An explanation of the procedure to follow if an exposure incident occurs including persons to contact, the method of reporting the incident, and medical followup that will be made available.

(11) Information on the exposure incident evaluation and followup that the facility management is required to provide for the employee following an exposure incident.

(12) An explanation of the signs and labels and/or color coding required by the standard.

(13) An opportunity for questions and answers with the person conducting the training session.

> **NOTE**: A trainer conducting the training shall be knowledgeable or have immediate access to an expert on the subject matter covered by the elements contained in the training program as it relates to an employee's respective workplace.

10. RECORDKEEPING. Vaccination, medical, and training records are kept for all employees with occupational exposure.

a. Vaccination Records. FAA Form 8020-22, Figure 11-3, will be inserted in an employee's official personnel file and maintained in the same manner as other medical records (in a sealed manila envelope). It will include the following:

(1) Employee's name and social security number.

(2) HBV vaccination status (including date of vaccinations, records relating to employee's ability to receive the vaccine, and signed declination form, where applicable).

b. Medical Records. In the event that an exposure incident occurs, an accurate record shall be maintained for the affected employee and include HBV vaccination status. These confidential medical records are kept for at least 30 years after the person leaves employment in accordance with 5 CFR Subpart E, Employee Medical File System Records. Procedures specified in FAA Order 1280.1A, Protecting Privacy of Information About Individuals, will be followed when maintaining these records. Written permission from the employee is required for access to these medical records except as provided by law. Employee medical records shall be provided upon request for examination and copying to employees, to employee representatives, to the Assistant Secretary of Labor for Occupational Safety and Health or the designated representative, and to the Director of the National Institute for Occupational Safety and Health (NIOSH) or the designated representative. NIOSH is a major operating component of the Centers for Disease Control and Prevention under the Department of Health and Human Services. The exposure incident records are kept by the FAA Clinical Services, AAM-230, for headquarters staff or the regional Aviation Medical Division for regional and FSDO staff. If the employee changes jobs to another office covered by an Exposure Control Plan in another region, then the exposure incident records are transferred to the regional Aviation Medical Division of the new region. The exposure incident records include the following:

(1) Employee's name and social security number.

(2) HBV vaccination status (including date of vaccinations, records relating to the employee's ability to receive the vaccine, and signed declination form, where applicable).

(3) All information given to the evaluating healthcare professional in the event of an exposure incident.

(4) A copy of the evaluator's written opinion.

c. Training Records. Initial and recurrent training records will be maintained at the FAA field office. When the inspector transfers from one office to another, initial and recurrent training records will be transferred with the inspector to the new duty station. Records of the training received by employees at risk of occupational exposure are kept in this facility located at _____(insert office locations). The records are kept for 3 years from the date of the training sessions. These records are available upon request for examination and copying to employees, to employee representatives, to the Assistant Secretary of Labor for Occupational Safety and Health, and to the Director of NIOSH. These records include the following information:

(1) Dates of training sessions.

(2) Material covered.

(3) Names and job titles of the trainees.

(4) Name and qualifications of the trainers.

11. EXPOSURE INCIDENT EVALUATION AND FOLLOWUP. An exposure incident is defined as contact with blood or other potentially infectious materials that results from a worker's job duties and creates some potential for infection. Such exposures may include injection through the skin or contact with the eye, mouth, and other mucous membrane, or non-intact skin. In the event of such an incident, the following procedures are followed in this facility:

a. The employee should inform the supervisor as soon as possible of an apparent exposure incident. Following the initial contact with the immediate supervisor, the Office of Aviation Medicine in headquarters or the regional Aviation Medical Division, as appropriate, shall then be notified.

b. The responsible FAA medical office will then conduct an evaluation of the circumstances of the exposure and qualify whether or not it was an exposure incident (see Figure 11-5, Bloodborne Pathogen Exposure Incident Evaluation).

c. If the exposure was an exposure incident, the FAA medical office will initiate a request to the employee's healthcare provider to evaluate and treat the employee (see Figure 11-6, Example of Evaluation and Treatment Request). A licensed physician or healthcare professional

will perform the evaluation and medical followup for the exposed employee at no cost to the employee. All required laboratory tests are done by an accredited laboratory at no cost to the employee.

d. When possible, the source individual is identified and source blood collected.

e. After consent of the source individual is obtained, human immunodeficiency virus (HIV) and HBV blood or specimen testing will be performed as soon as possible unless the source is known to be infected with HIV or HBV.

f. The employee is informed of source blood test results and of applicable laws governing disclosure of this information.

g. The employee is offered blood collection and/or testing. The employee has a right to refuse either or both. However, if the exposed employee gives consent for the blood collection but not for HIV testing, the blood is kept for 90 days during which time the employee can choose to have the sample tested at no cost to the employee.

h. Appropriate post-exposure protective treatment is offered to the exposed employee and may include immune globulin for hepatitis B. The recommendations of an evaluating physician who is familiar with current U.S. Public Health Service guidelines on post-exposure protective treatment for HIV are followed in the event of HIV exposure.

i. Counseling and evaluation of any reported illnesses are provided at no charge to the exposed employee.

j. A written opinion by the evaluating healthcare professional stating that the exposed employee has been informed of the results of the evaluation and about any exposure-related conditions that will need further evaluation and treatment is included in the employee's medical record.

k. Workers' compensation forms are completed by the appropriate personnel after an exposure incident has been confirmed by the organization conducting the initial evaluation.

l. The office manager will direct the completion of required documentation for every exposure incident in this facility. The FAA Mishap Report (FAA Form 3900-6), Figure 11-4, will be utilized and shall include at least the following:

(1) Name of individual exposed.

(2) Name of source of exposure.

(3) Description of how the incident occurred and route of exposure.

(4) Location, date, and time of the incident.

(5) Written evaluation of exposure incident including suggestions for changes in facility procedures and a record of how these changes are implemented for each incident.

12. TASK ANALYSIS FOR AIRCRAFT ACCIDENT INVESTIGATORS. Each aircraft accident scene is unique and, by its nature, is disorderly. The tasks required of the aircraft accident investigator cannot be itemized as precisely as those in the clinical or laboratory setting. The IIC shall use his or her best judgment as to what personal protective equipment will be needed at a specific site. The biohazard nature of the accident site can range from no readily apparent evidence of blood or body fluids to obvious presence of blood or body fluids. As a minimum, latex gloves and eye protection should be used during the initial site survey (adverse weather conditions may require additional personal protective equipment during this initial survey). If it is determined that blood or body fluids are present, additional personal protective equipment will be required as directed by the IIC. The areas of investigation where there is gross contamination with blood or body fluids should be approached with gloves, shoe protection, disposable body cover, NIOSH-approved respirator (face mask), and eye protection.

a. If contaminated specimens are brought back to the office for further examination, gloves should be worn while working with the specimens. Either waterproof latex-type gloves or utility gloves could be used depending on the condition of the specimens.

b. When it is apparent that additional tasks should be taken, it is the responsibility of the investigator to apply common sense consistent with the objective of controlling exposure to bloodborne pathogens and potential personal injury as a consequence of the nature of the wreckage and the environment. The following additional tasks when conducting an accident investigation, along with the use of proper personal protective equipment, should be used to control the potential exposure to bloodborne pathogens:

(1) On-Scene Accident Investigation Tasks.

(a) The IIC will survey wreckage and the site for biohazard potential utilizing Figure 11-7, Site Survey Checklist.

(b) If a biohazard exists, the site will be secured and a point of entry/exit established. The IIC will coordinate the biohazard nature of the accident site with the NTSB IIC (if on site), other investigators, and local authorities. The area of possible contamination will be determined, and a biohazard placard will be placed on wreckage nearest the most visible entry to the biohazard area. The IIC will identify investigative tasks needing personal protective equipment and the extent of use of personal protective equipment. The IIC will also advise on personal prohibitions in the conduct of the accident investigation and the contacts that have been made for disposal of regulated waste.

NOTE: It is preferred that the conduct of an investigation in the biohazard area and the handling of contaminated wreckage or parts should be accomplished at the same time. The number of participants should be kept to a minimum.

(c) While wearing appropriate personal protective equipment, the packaging of contaminated parts, instruments, or equipment will be conducted using common sense techniques that do not cause needless contamination of personal protective equipment.

(d) If practical, recordkeeping will be assigned to investigators outside the biohazard areas to minimize contamination of recording equipment. If this is not possible and in order to minimize the potential for contamination, procedures should be used to ensure that personnel handling wreckage are not responsible for manipulating recording equipment. Proper procedures would then be followed in decontamination or disposal of equipment.

(e) When exiting the accident site for any reason, disinfect nondisposable personal protective equipment such as boot covers, goggles, and work gloves with an EPA-registered disinfectant or a 10-percent solution of household chlorine bleach. Remove inner gloves, re-glove, and then remove personal protective equipment and equipment covers as trained. Place all disposable items in the biohazard bag for disposal.

(f) Immediately following the procedures in (e) above, re-glove and place nondisposable personal protective equipment in containers marked as suitable for disinfected personal protective equipment. Clean recording equipment and tools with antiseptic towelettes and remove and dispose of inner glove. Wash hands and face with antiseptic towelettes. As soon as practical, wash hands and face with soap and water.

(g) Nondisposable items that have been decontaminated may require further cleaning before reuse.

(2) On-Scene Minimum Personal Protective Equipment.

(a) Wear waterproof latex-type glove liners under utility work gloves. If the environmental conditions warrant liquid-proof boots, boot covers worn over work boots may be appropriate. Environmental conditions may also warrant goggles.

(b) Mark entry/exit point with a biohazard placard. At this location, place equipment identified in Figure 11-8, Entry/Exit Equipment. When directed by the IIC, investigators identified to enter biohazard areas should apply personal protective equipment such as gloves, goggles, NIOSH-approved respirator (face mask), body cover, and work boot covers as described in Figure 11-9, Personal Protective Equipment.

(c) All containers for disposable and nondisposable items and antiseptic towelettes are utilized as identified during the training program.

(3) Off-Site Accident Investigation Tasks.

(a) In the event that the wreckage is moved to a different location and that it has not been clearly shown to the IIC that the wreckage has been decontaminated all or in part, the on-site procedures will be followed.

(b) If the wreckage is not contaminated or has been declared decontaminated, normal procedures should be followed in the conduct of the accident investigation.

(4) Requirements for Moving or Transporting Wreckage Specimens.

(a) Ideally, all parts that are examined away from the accident site will be cleaned and disinfected before they are transported. If it is permissible to decontaminate parts, an EPA-registered disinfectant or a 10-percent solution of household chlorine bleach should be applied to all exposed areas. However, when cleaning and disinfecting can destroy evidence or damage parts, it will be necessary to transport parts that are contaminated. Appropriate personal protective equipment will be used in preparing parts for transport. All sharp-edged parts will be padded to protect personnel and preserve evidence. Depending on the size of the part and environmental conditions, personal protective equipment in excess of waterproof latex-type gloves and work gloves may be required as determined by the investigator. Contaminated sharp objects that are to be transported should be put in appropriate containers apart from nonsharp contaminated objects.

(b) When applying an EPA-registered disinfectant or a 10-percent solution of household chlorine bleach to contaminated parts, a minimum of 30 minutes should elapse or the manufacturer's disinfectant instructions should be followed before the parts are handled with uncontaminated gloves. Approved shipping containers identified during training should be utilized as appropriate and labeled as biohazard if containing contaminated parts.

(5) Security of the Accident Scene.

(a) During on-scene accident investigations, local officials will be requested to establish and maintain security of the site. The IIC and the local authorities will establish the size of the secured area.

(b) Security will be maintained to prevent entry into the area that is a biohazard or a personal hazard.

(c) In most cases, the biohazard area will be located within the secured area. Secured areas will be identified separately from the biohazard area with appropriate markers and signs.

(d) Spectators and news media will not be allowed to enter the biohazard area.

(6) Remote Area Accidents. In remote areas where spectators and news media are not likely to be a factor, the IIC will take reasonable precautions to avoid the possibility of anyone unknowingly walking into the accident scene.

FIGURE 11-2.

EXPOSURE DETERMINATION LIST

FACILITY NAME: Seattle Flight Standards District Office

ADDRESS: 1601 Lind Avenue
Renton, WA 98055

OFFICE POSITIONS COVERED BY EXPOSURE CONTROL PLAN

POSITION CLASSIFICATION	GRADE/SERIES
Supervisory Aviation Safety Inspector	FM-1825-15
Aviation Safety Inspector	FG-1825-9/11/12/13/14

FIGURE 11-3

Hepatitis B Virus (HBV) Vaccination Consent/Decline Form

Department of Transportation
Federal Aviation Administration

Name(Type or Print)	Social Security Number	Telephone Number
Allen Jones	111-22-3333	206-123-4567

Facility and Street Address
Seattle FSDO 1601 Lind Avenue, SW

City	State	Zip Code
Renton	WA	98055

☒ YES, I CONSENT to receive HBV vaccine

I have read the information given to me about Hepatitis B virus and HBV vaccine, and I have had the opportunity to ask questions which were answered to my satisfaction

I CONSENT to participate in a vaccination program I understand this includes 3 injections at prescribed intervals over a 6-month period I further understand that there is no guarantee that I will become immune to the Hepatitis B virus or that I will not experience an adverse side effect as the result of the vaccination

NOTE Health Care Provider (Professional), please evaluate the medical suitability of this patient for HBV vaccine Please indicate by checking one of the following

☒ NEEDS vaccine ☐ DOES NOT NEED vaccine ☐ Vaccine CONTRAINDICATED

Phillip Armstrong, M.D
Health Care Provider (Professional) Signature

7/5/92
Date

HBV Vaccination Record

Dose	Date Given	Lot Number	Administered By Print Name & Signature		Next Date Due
1	7/5/92	505B	Dr. Phillip Armstrong	Phillip Armstrong M.D	8/5/92
2	8/5/92	505B	Dr. Phillip Armstrong	Phillip Armstrong, M.D	2/5/93
3	2/5/93	507F	Dr. Phillip Armstrong	Phillip Armstrong M.D	

☐ NO, I DECLINE to receive HBV vaccine

I understand that due to my occupational exposure to blood or other potentially infectious materials, I may be at risk of acquiring HBV infection I have been given the opportunity to be vaccinated with HBV vaccine at no charge to me However, I DECLINE HBV vaccination at this time I understand that by declining this vaccine I continue to be at risk of acquiring HBV, a serious disease If in the future I continue to have occupational exposure to blood or other potentially infectious materials and I want to be vaccinated with HBV vaccine, I can receive the vaccine series at no charge to me I also understand that the Flight Surgeon responsible for my facility will have access to this form I understand that declination of HBV vaccine does not relieve me of the requirement to perform assigned investigation of accidents/incidents or examinations of wreckage specimens job functions as directed by my supervisor

Allen Jones
Signature

7/5/92
Date

NOTE *This document when completed by either the employee declining the HBV vaccine or a health care professional after evaluation indicating vaccine is contraindicated or is not needed, or the employee consents and completed the HBV vaccination series shall be sealed in an envelope with the employee's name on the outside and then inserted in the employee s Official Personnel File (OPF)*

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FIGURE 11-3 (continued)

Hepatitis B Virus (HBV)
Information

THE DISEASE

Hepatitis B is a virus that is transmitted by blood and body fluids. People most often become infected with Hepatitis B virus (HBV) through unprotected sexual intercourse with an infected partner or by sharing needles with an infected person. Accident investigators may come in direct contact with blood and body fluids and may be at risk for exposure to HBV. Hepatitis B may be characterized by fever, loss of appetite, nausea, abdominal pain, fatigue, and jaundice. Consequence of Hepatitis B infection might include cirrhosis, liver cancer, or death. In addition, you may become a chronic carrier and be a source of infection to others.

THE VACCINE

Immunization with the Hepatitis B vaccine can prevent acute Hepatitis B infection and can also reduce the chance of death from long term complications of HBV infection. According to OSHA Regulation 29 CFR 1910.1030 (Occupational Exposure to Bloodborne Pathogens), employees who are at risk for occupational exposure to blood must be offered the Hepatitis B vaccination series. Several safe and effective vaccines against HBV use only a portion of the virus and are produced in the laboratory from common baker's yeast cells. It is not made from blood or blood products. The vaccine cannot transmit HBV or other bloodborne pathogens like the human immunodeficiency virus (HIV) The immunization process is a series of 3 doses of vaccine given according to the following schedule:

1st dose:	at elected date
2nd dose:	1 month later
3rd dose:	6 months after the 1st dose

Over 90 percent of healthy people who receive the full course of immunization will develop protective immunity. The duration of this immunity is unknown but it is estimated to be at least 5 to 7 years. People who are immune because of natural infection do not require vaccination.

SIDE EFFECTS OF THE VACCINATION

Hepatitis B vaccine is usually well tolerated. Local soreness at the injection site is the most frequent reaction. Low grade fever lasting 48 hours, malaise, fatigue, headaches, nausea, muscle soreness, joint pain (all limited to a few days after vaccination), and rash have been reported. Very rarely have cases of neurological reaction, including Guillain-Barre, been reported. Individuals who are or may be pregnant should discuss the vaccination with their private physician. Individuals who have allergies to yeast or Thimerosal (commonly used in contact lens solution) should not be vaccinated.

Should you have any questions about Hepatitis B vaccine, contact the Regional Flight Surgeon. You may also wish to consult with your personal physician if you have a current illness, chronic medical condition, or doubts regarding allergies.

FIGURE 11-3 (continued)

Instructions For
Hepatitis B Virus (HBV) Vaccination Consent/Decline Form

1. The supervisor/manager provides the consent/decline form to the employee.

2. After reading the Hepatitis B Virus information presented with the form, the employee consents to or declines to receive the HBV vaccine by completing the employee identification blocks of the consent/decline form and by signing and dating in the designated space provided on the form to record his/her selection.

3. If the employee declines the HBV vaccine, the employee provides the original signed form to the supervisor/manager who will forward the form to the appropriate Human Resource Management Division for filing in the OPF. The supervisor/manager will provide a copy of the declination to the employee.

4. If the employee consents to the HBV vaccine:

   a. The employee shall provide a copy of the form to the supervisor/manager in order to receive funding authorization for the HBV vaccination.

   b. After receiving funding authorization, the employee will present the original form to the Health Care Provider (Professional) to record the medical suitability of the employee to receive the HBV vaccine series. Also the Health Care Provider (Professional) must sign and date the original form to record the date and lot number of the HBV vaccine received by the employee. The Health Care Provider (Professional) shall also record the date each subsequent shot is administered, the lot number of the vaccine administered, and the date the next shot is due by signing and dating the appropriate blocks in the consent portion on the form.

   c. After receiving each shot in the HBV vaccine series, the employee will provide a copy of the form, receipt for payment, and appropriate voucher to the supervisor/manager to receive reimbursement or clear the applicable portion of the advance of funds and to document completion of the series of shots within prescribed time frames.

   d. Upon completion of the HBV vaccine series (i.e., 3 shots over 6 months), the employee will return the original form to the supervisor/manager for reimbursement, clearance of the advance of funds, and filing in the OPF.

PRIVACY ACT STATEMENT

Collection of the information requested on this form, including the social security number (SSN), is necessary for processing actions related to the administration of the Bloodborne Pathogens Exposure Control Programs, that is required by Occupational Safety and Health Administration Regulation 29 CFR Section 1910.1030. Collection of your SSN is authorized by Executive Order 9397 and will be used by the FAA as an employee identification number. Furnishing the requested information, including your SSN, is voluntary, but failure to provide all of the requested information may result in delay in processing actions related to the Accident Investigation Bloodborne Pathogens Exposure Control Program. The collected information will become part of one or more of the following systems of record as appropriate: OPM/Govt-1 (General Personnel Records), DOT/FAA-811 (Employee Health Record System), and OPM/Govt-10 (Employee Medical File System Records). The routine uses of those systems will apply to the information collected. Upon request, a copy of this statement will be available to employees.

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FIGURE 11-4

FAA MISHAP REPORT

Department of Transportation
Federal Aviation Administration

1. GENERAL MISHAP DATA

Assigned by Safety and Health Mgr.
Report Number NM-29306

Region NW **Organization Code** FSDO-01

Unit Name SEATTLE FSDO
Location SEATTLE INTERNATIONAL AIRPORT
SEATTLE WA
Facility Type N/A Equipment
Weather OVERCAST

Mishap Date 06/29/93
Mishap Time 0900

Mishap Type Primary INJURY
Mishap Type Secondary NONE

Phase of Operation ACCIDENT INVESTIGATION
Seat Belt N/A **(Y, N, U, N/A)** **Fatigue** U **(Y, N, U)** **Drug/Alcohol** N **(Y, N, U)**
Y = Yes N = No U = Unknown N/A = Not Applicable

Total Number Exposed 01

Narrative of Mishap During an accident investigation conducted by Mr. Allen Jones, it was necessary for Mr. Jones to record some of the cockpit instrument readings. While reaching through some wreckage to clear wet debris from an instrument face, the back of his right hand was cut by a jagged piece of metal. The jagged metal was also coated with some wet debris that appeared to be blood. Mr. Jones was only wearing disposable latex exam gloves.

Corrective Action All investigators are reminded of the need to use caution at the accident site and to wear sufficient protective equipment; in this case, puncture resistant utility gloves.

Cause Puncture wound sustained by contact with jagged metal while not wearing protective gloves.

Reported By PETER SMITH
Title SUPERVISOR AIRWORTHINESS UNIT **Report Date** 07/06/93

Completed by Safety and Health Mgr.
Report Complete ☒ **Entered By** R K W ILSON

FAA Form 3900-6 (10-85)

FIGURE 11-4 (continued)

II. PERSONNEL DATA

Name |A|L|L|E|N| |J|O|N|E|S| | | | | | | | | | | | | | | | | | | | | | **SSN** |2|2|2| |3|3| |5|5|5|5| **Age** |5|6|
Sex |M| Grade |G|S| - | 1| 3| | | | **Job Title** |A|V| |S|A|F|E|T|Y| | I|N|S|P|E|C|T|O|R| | | | | | |
Job Assignment |A|C|C| I|D|E|N|T| | I|N|V|E|S|T| I|G|A|T| I|O|N| | | | | | | | | | | |
Total Experience | | 1|0| **Experience in Type** | | | |5|

III. INJURY/ILLNESS DATA

Illness Code | 1|0| **Nature of Injury/Illness** |L|A|C|E|R|A|T|I|O|N| | | | | | | | |
Part of Body |B|A|C|K| |O|F| |R| I|G|H|T| |H|A|N|D| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
Severity | |L|O|S|T| |T| I|M|E| | | | | | | | | | | | | |
Contaminants | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
Actual Days Off | | | 1| **Actual Days Restricted** | | 1| 0|
CA1/CA2 Completed |D| **Personnel Cost** | | | | | | |1|0|0|
(N, D, O) See Instructions

IV. PROPERTY DATA

Government Property |N|O|N|E| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
Government Property ID | N| /A | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
Additional Property |N|O|N|E| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
Additional Property ID |N|/|A| | | | | | | | | | | | | | | | | | | | |
Government Cost |N|/|A| | | | | | | **Additional Cost** | | | | | | | | | |
Liability Claim | N| **Operational Days Lost** | | | 0|
(Y, N, U) |
Operator Information

Name | |N|/|A| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | **Series** | | | | | | | | |

Total Experience | | | | | | **Experience in Type** | | | | | | | | |

FIGURE 11-5

BLOODBORNE PATHOGEN EXPOSURE INCIDENT EVALUATION

Date of Accident 6/29/93 Time of Accident 6:30 a.m.

Date of Exposure Incident 6/29/93 Time of Incident 9:00 a.m.

Location of Exposure Incident Seattle International Airport

Employee's Name Allen Jones SSN 111-22-3333

Facility Location Seattle FSDO Facility Telephone 206-123-3323

DESCRIPTION OF EXPOSURE INCIDENT - INCLUDE ROUTE(S) AND CIRCUMSTANCE(S):
Mr. Jones cut his hand on a jagged piece of metal wreckage in the cockpit area while reaching to clear some wet debris from the face of a cockpit instrument. The jagged metal appeared to be coated with blood.

SOURCE NAME (If Known): Unknown

SOURCE HBV/HIV STATUS (IF KNOWN):
HBV ( ) Positive ( ) Negative (X) Unknown
HIV ( ) Positive ( ) Negative (X) Unknown

EMPLOYEE HEPATITIS B IMMUNIZATION STATUS:

Immunized	(X) Yes	( ) No	
Immunization Date:	#1 7/92	#2 8/92	#3 2/93
Antibody titer 1	Adequate	Date 7/5/93	Date 7/5/93

DETERMINATION OF EXPOSURE: (X) Exposure Incident ( ) Nonexposure Incident

INITIAL EXPOSURE INCIDENT REPORT TO:
(X) Employee Date 7/6/93 (X) Manager Date 7/6/93

INFORMATION SENT TO HEALTHCARE PROVIDER EVALUATING EXPOSED EMPLOYEE:
Healthcare Provider Name Dr. Brent Blue
Street Address 111 Skyline Drive
City, State, ZIP Woodside, WA 98711
Telephone 206-849-1727
(X) Copy of OSHA Bloodborne Pathogens Standard (29 CFR 1910.1030)
(X) Employee's Vaccination Status
(X) Description of Employee's Duties Relevant to Incident

INFORMATION FROM HEALTHCARE PROVIDER TO FAA MEDICAL REPRESENTATIVE:

1. Written opinion - date 7/1/93		
2. Copy of written opinion to employee - date 7/1/93		
3. Recommendation for hepatitis B vaccination/immune globulin	(X) Yes	( ) No
4. Recommendation for further test and/or treatment	(X) Yes	( ) No
5. Statement that employee was informed of evaluation results	(X) Yes	( ) No
6. Other information		

SIGNATURE OF FAA MEDICAL EMPLOYEE: Michael D. Jones, M.D
Michael D. Jones, M.D.

FIGURE 11-6

EXAMPLE OF EVALUATION AND TREATMENT REQUEST

July 1, 1993

Brent Blue, M.D.
111 Skyline Drive
Woodside, WA 98711

Dear Dr. Blue:

Mr. Allen Jones is an accident investigator for the Federal Aviation Administration. In accordance with OSHA Bloodborne Pathogens Standard (29 CFR 1910.1030), I request that you evaluate and appropriately treat Mr. Jones for an exposure to blood products. I have enclosed (or will provide at a later date) the following:

1. A copy of the OSHA standards.
2. A description of the employee's duties as they apply to this exposure incident.
3. Documentation of the route of exposure and the circumstances under which the exposure occurred.
4. Source individual's HBV/HIV status, if known.
5. The employee's HBV vaccine status and other relevant medical information.

The OSHA regulation requests the Federal Aviation Administration, as the employer, to provide the employee with a written opinion of your clinical evaluation within 15 days. The written opinion should only contain the following:

1. Whether hepatitis B immune globulin and/or hepatitis B vaccine is indicated and if the vaccine was administered.
2. The need for any further followup of the employee.
3. Documentation that the employee was informed of the evaluation results.

All other clinical findings and/or diagnoses are to remain confidential and should not be included in the written report. The accident investigator will file a claim with the Office of Workers' Compensation Programs for reimbursement of your services and shall provide you with an authorization for examination and/or treatment using appropriate forms.

Thank you for your cooperation. If you have any questions, please call me at (206) 227-2300.

Sincerely,

Michael D. Jones, M.D.
Michael D. Jones, M.D.

Enclosures

Please return correspondence to: Christopher S. Taylor, M.D.
Aviation Medical Division, ANM-300
Federal Aviation Administration
1601 Lind Avenue, SW.
Renton, WA 98055-4056

FIGURE 11-7

SITE SURVEY CHECKLIST

Site Survey Checklist

1. Establish if there is an injury/fatality in the probable areas of investigation. If so, identify entry/exit point to biohazard area.

2. Conduct general survey of the accident site. Wear latex gloves and eye protection.

3. Determine if contamination of investigator's personal clothing is probable considering accessibility to wreckage and environmental conditions that may cause the misting or splashing of blood or body fluids.

4. If crouching, kneeling, or lying is required to inspect within the wreckage, full personal protective equipment is required. If an erect position can be maintained or the only need to crouch is outside the wreckage, then only partial personal protective equipment may be necessary. The IIC will establish the proper personal protective equipment.

5. If there is visible moisture or significant wind in the vicinity of the site, full personal protective equipment may be required.

6. The IIC coordinates disposal of the regulated waste.

Personal Prohibitions and Decontamination Guidance. While within the biohazard area, accident investigation personnel are prohibited from eating, drinking, smoking, applying cosmetics or lip balm, handling contact lenses, and doing any other actions where a mucous membrane may be touched. If there is a requirement to break from conducting an accident investigation to take care of any personal needs, the investigator shall:

1. Exit the accident investigation site via entry/exit point.

2. Remove contaminated personal protective equipment and decontaminate nondisposable personal protective equipment in accordance with procedures.

3. Place disposable and nondisposable personal protective equipment in biohazard bags.

NOTE: Following removal of all personal protective equipment, clean hands and face with antiseptic towelettes and, as soon as possible, wash hands and face with soap and water.

FIGURE 11-8

ENTRY/EXIT EQUIPMENT

Items located at the marked (biohazard placard) entry/exit to the accident site are identified below:

Equipment	Quantity
Biohazard waste bag (nonsharps)	4 bags
Biohazard waste basket (sharps)	1 basket
Biohazard signs	Entry signs/labels
Biohazard tape	1 roll
Investigation tools	As required
EPA-registered disinfectant	1 can (or a 10-percent solution of household chlorine bleach)
Antiseptic towelettes	3 packets
Waterproof latex-type disposable exam gloves	At least 6 pair per investigator
2-inch duct tape (used for coveralls repair, sealing, etc.)	180 feet
Other	As required

FIGURE 11-9

PERSONAL PROTECTIVE EQUIPMENT

Personal protective equipment is defined for two categories--disposable and nondisposable. The number of items kept in supply at each FSDO is dependent on the number of accidents occurring within the jurisdiction of each FSDO. To determine the number of disposable and nondisposable items, determine the average number of accidents and incidents investigated by the FSDO over the past 3 years and segregate the injury or fatality events from those where there were no injuries or fatalities.

Disposable Equipment Requirements for Each Investigation Event

The calculation of the factor to be used in determining the number of disposable items is based on multiplying the number of injury or fatality events times the assumption that on the average 1.5 inspectors participate at the same time in the accident investigation, and that each inspector will on the average exit the accident site 2.5 times.

EXAMPLE: FSDO X averages 100 injury or fatality accidents and incidents each year. Therefore, the factor for determining the number of disposable items is 100 x 1.5 x 2.5 = 375. Call this factor an investigation event which will then be used to calculate the number of disposable items.

The following list provides the number of disposable items anticipated to be required for each investigation event. The anticipated accident investigation environment may also indicate that other choices of equipment should be made.

Disposable Equipment	Quantity Required for Each Accident Investigator
Waterproof latex-type disposable exam gloves	6 pair
Coveralls	2 pair
NIOSH-approved respirator (face mask)	3 masks
Antiseptic towelettes	3 packets
Biohazard tape	1 roll
Other	As required

FIGURE 11-9 (continued)

Nondisposable Equipment Requirements for Each Investigation Event

To determine the number of nondisposable items required to support the investigation of injury or fatality accidents, an analysis similar to that used in determining the disposable personal protective equipment should be applied except for not being concerned with the number of times an investigator may exit the accident site. Use the average number of injury or fatality accidents annually investigated by the FSDO times 1.5 (average number of inspectors participating in the accident) and divide the total by 25 (assumed number of accidents the nondisposable equipment can be used without significant deterioration). This results in the amount of equipment required by the FSDO.

EXAMPLE: FSDO X averages 100 injury or fatality accidents and incidents each year. Therefore, the factor for determining the number of nondisposable items or sets of personal protective equipment is 100 x 1.5 divided by 25 = 6.

Nondisposable Equipment	Quantity Required for Each Accident Investigator
Utility work gloves (select puncture- and abrasion-resistant material)	1 pair
Boot covers	2 pair
Goggles	1 pair
Hardhat	Optional
Other	As required

FIGURE 11-10

PROCEDURE FOR DISINFECTANT SELECTION

GENERAL

1. OSHA requires that employees who use commercial disinfectants ensure that the products are registered by the EPA as effective against HIV and HBV.

2. The EPA maintains an Antimicrobial Unit Hotline which can be accessed to determine if a disinfectant is acceptable. The telephone number is 1-800-447-6349.

3. An in-house prepared disinfectant that is also approved by EPA consists of a 1:10 mixture of bleach (sodium hypochlorite) and water.

PROCEDURE

1. Obtain the EPA registration number from the disinfectant's label or from the supplier.

2. Call the Antimicrobial Unit Hotline at 1-800-447-6349.

3. Ask if the EPA registration number is listed by EPA as effective against both HIV and tuberculosis.

NOTE: There currently is no EPA testing protocol for evaluating a disinfectant's efficacy against HBV. Thus, OSHA requires the use of a disinfectant that has passed the tuberculosis testing protocol. This is because the organism that causes tuberculosis is known to be more resistant than HBV, and a biocide that will destroy tuberculosis will also destroy HBV.

CHAPTER 12. COMMERCIAL SPACE MISHAP NOTIFICATION, RESPONSE, AND INVESTIGATION

SECTION 1. GENERAL

420. OVERVIEW. The Commercial Space Launch Act of 1984, as amended, authorizes the Secretary of Transportation to oversee and coordinate United States commercial launch activities. In carrying out these responsibilities, the Secretary is authorized to initiate investigations and inquiries for the purpose of enforcing the Act. The FAA's authority to investigate commercial space launch mishaps is contained in Section 70115 of 49 U.S.C., Subtitle IX, Chapter 701, Commercial Space Launch Activities. Depending on international policy and agreements, the FAA's investigation authority can extend to accidents involving U.S. space launch services conducted outside the United States. On June 5, 1989, the Department of Transportation's (DOT) former Office of Commercial Space Transportation and the National Transportation Safety Board (NTSB) executed Appendix H to the Reimbursable Memorandum of Agreement (MOA). Appendix H outlines the relationship between the Associate Administrator for Commercial Space Transportation (AST) and NTSB and NTSB's role in commercial space transportation accident investigations. Specifically, NTSB will investigate certain types of commercial space transportation accidents. However, subject to the provisions of Section 304(a)(1) of the Independent Safety Board Act of 1974, as amended, nothing in Appendix H impairs AST's authority to conduct investigations of accidents under applicable provisions of law or to obtain information directly from parties involved in, and witnesses to, a commercial space launch accident.

421. PURPOSE, SCOPE AND OBJECTIVES. The purpose of this chapter is to identify and define the responsibilities of the various parties involved should a commercial space launch mishap (accident, incident, or other occurrence), as defined herein, occur for which the FAA has responsibility. In so doing, this chapter:

a. Defines terms specific to AST and commercial space launch mishaps.

b. Identifies reportable mishaps (accidents that NTSB and FAA would investigate and incidents and other occurrences that FAA/AST would investigate, participate in the investigation of, or request reports relating thereto).

c. Describes the notification, reporting, and response roles and responsibilities of the FAA, AST, NTSB, Department of Defense (DOD), and FAA licensed commercial operators.

d. Defines the categories of events for which AST may request representation or support from other FAA organizations or exterior agencies and/or a copy of any related documentation.

422. DEFINITIONS.

a. Mishap. Mishap means a launch accident or incident, failure to complete a launch as planned, or an unplanned event or series of events (herein defined as "other identified occurrences") resulting in a fatality or serious injury (as defined in 49 CFR §830.2) or resulting

in greater than $25,000 damage to a payload, a launch vehicle, a launch support facility, or Government property located on the launch site.

b. Accident.

(1) Launch Accident. Launch accident means an unplanned event occurring during the flight of a launch vehicle resulting in the known impact of a launch vehicle, its payload, or any component thereof outside designated impact limit lines; or a fatality or serious injury (as defined in 49 CFR §830.2) to any person who is not associated with the flight; or any damage estimated to exceed $25,000 to property not associated with the flight that is not located at the launch site or designated recovery area.

(2) Launch Site Accident. Launch site accident means an unplanned event occurring during a ground activity at a launch site resulting in a fatality or serious injury (as defined in 49 CFR §830.2) to any person who is not associated with the activity, or any damage estimated to exceed $25,000 to property not associated with the activity.

c. Incident.

(1) Launch Incident. Launch incident means an unplanned event occurring during the flight of a launch vehicle, other than a launch accident, involving a malfunction of a flight safety system or failure of the licensee's safety organization, design, or operations.

(2) Launch Site Incident. Launch site incident is not specifically defined and would therefore, implicitly, fall under the definition of "other identified occurrences."

d. Other Identified Occurrences. Any mishap not meeting the above definitions of an accident or incident, or events identified by AST which, due to their nature or assessed impact, could have an adverse effect or impact upon the United States commercial space launch industry. Other identified occurrences include, but are not limited to, the following:

(1) The intentional destruction of the launch vehicle via activation of the flight termination system by either the range safety officer or onboard fault/failure detection devices.

(2) The inadvertent reentry from orbit of a launch vehicle stage or other launch vehicle parts associated with an FAA licensed launch, after the successful launching thereof, resulting in property damage, personal injuries (as defined in 49 CFR §830.2), or fatalities.

(3) The unintended impact of a launch vehicle, its payload, or any component thereof on a launch site whose operation is licensed by the FAA or within the designated launch limit lines.

(4) A fatal or serious injury (as defined in 49 CFR §830.2) of a civilian or a launch team member occurring on a launch site, whose operation is licensed by the FAA, or during an FAA licensed launch event.

(5) An unauthorized or unapproved activity or FAA license violation occurring at an FAA licensed launch site or during an FAA licensed launch vehicle operation.

(6) Property damage exceeding $25,000 to a payload, launch vehicle, property at an FAA licensed site, or U.S. Government property.

(7) Accidents or incidents involving non-FAA licensed use of a space launch vehicle, vehicle stage, system, launch process, procedure, or support equipment identical to those licensed by the FAA; or operators licensed by the FAA conducting non-FAA licensed launch activities identical to those for which they are licensed by the FAA.

(8) Mission failures or events preceding or immediately following an FAA licensed launch activity of such a serious nature that it prohibits the accomplishment of primary mission objectives such as achieving orbit, improper orbit insertion, or catastrophic payload failure (the destruction of the payload due to an internal explosion or disintegration, or premature reentry resulting in property damage, personal injury, or fatalities).

e. Personnel Injury. A fatal or serious injury, as defined herein, of a civilian or a launch team member occurring in a launch related area or facility.

f. Mission Failure. A failure to complete the mission as planned.

g. Commercial Operator. A nongovernmental entity licensed by the FAA/AST to conduct commercial space launch/launch activities or to operate sites and facilities where commercial space launch/launch activities take place.

h. Commercial Space Launch. A space launch authorized to be conducted under a license issued by the FAA/AST.

i. Fatal Injury. As defined in 49 CFR §830.2, a fatal injury means "an injury that results in death within 30 days of the accident."

j. Flight Safety System. A generic term referring to airborne/ground systems involved in, but not necessarily limited to, tracking, evaluating, or command and control of a commercial launch vehicle that is necessary to protect public safety. Examples include all tracking, display, and flight termination systems used during a commercial activity.

k. Flight Termination System. A safety system designed to cause thrust termination of any stage at any time in flight from launch to orbital insertion or impact.

l. Impact Limit Line. A line predetermined in advance of the launch establishing a boundary beyond which a launch vehicle, or any portion thereof, or its cargo will not be allowed to impact. A major function of the impact limit line is to provide for public safety.

m. Launch Vehicle. Any vehicle constructed for the purpose of operating in or placing a payload in outer space and any suborbital rocket.

n. Probable Cause. Event(s) determined by the investigation team to be the most likely cause of the accident/incident based on the available facts/data.

o. Public Area. Any area outside the confines of the launch range property.

p. Range Operator. A Government entity (e.g., 45th Space Wing, 30th Space Wing, or Wallops Flight Facility) providing one or more range functions (e.g., manpower, facilities, tracking instrumentation, data collection, and safety).

q. Serious Injury. As defined in 49 CFR §830.2, a serious injury means any injury which:

(1) Requires hospitalization for more than 48 hours, commencing 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 or nerve, muscle, or tendon damage.

(4) Involves any internal organ.

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

SECTION 2. NOTIFICATION, RESPONSE, AND REPORTING REQUIREMENTS

423. INFORMATION REQUIREMENTS. This information is recorded on the AST Mishap Report Worksheet (see Figure 12-2). The inability to provide all of the data in the initial notification shall not delay or impede initiation of the notification process. It is of the utmost importance that the notification process be initiated as soon as possible. The individual reporting or receiving a mishap report shall attempt to ascertain the following details concerning the event:

a. Date, time, and location (launch site).

b. Launch vehicle operator (if applicable).

c. Launch site operator (if applicable).

d. Individual reporting mishap (name, number, organization, etc.).

e. Description (midair collision/explosion, crash [intact ground/water impact], midair disintegration, etc.).

f. Specific location of mishap.

g. Effects (damage/casualties).

h. Mission/operational phase in progress at time of occurrence.

i. Possible/probable causes.

j. Current situation (e.g., fire/explosive/toxic/chemical hazards present).

k. Emergency response procedures in effect (e.g., rescue-recovery/damage control).

l. Responsible/controlling authority and individual point(s) of contact.

m. Other individuals notified or to be notified and results of notification (complete/incomplete).

424. NOTIFICATION/RESPONSE REQUIREMENTS.

a. Notification requirements are dependent upon functional responsibilities and reporting requirements inherent to the FAA/AST entity or position. Paragraphs 425-433 identify mishap notification responsibilities relative to who is to notify whom, when notifications are to be made, and how notifications are to be communicated.

b. The notification requirements will be incorporated into the AST Mishap Notification and Response Handbook that will contain mishap notification diagrams and lists. Mishap notification diagrams will be developed and tailored to provide a quick visual reference as to

who is to be notified, from whom notifications are to be received, and to whom notifications are to be made. A corresponding mishap notification list will detail the home addresses and office/ home telephone numbers, regular/emergency pager numbers, cellular telephone numbers, and e-mail addresses of the individuals to be notified.

c. Procedures relative to the initiation of investigations and other related follow-on actions to a mishap are addressed in Section 3 of this chapter.

d. Figure 12-1, AST Related Mishap Notification Process (Expanded) provides an overview of the entire FAA/AST commercial space mishap (accident/incident/other occurrence) notification and response process.

425. LICENSED OPERATORS. FAA licensed operator notification requirements are specified in 14 CFR §415.41, Accident Investigation Plan, and in the terms and conditions contained in the licensee license orders. Section 415.41(b) of CFR 14 specifies that the licensed operator shall provide immediate accident/incident notification to the Washington Operations Center. However, some FAA licensees have, at their own discretion, made provisions in their accident investigation plans for additional notification and coordination with the AST safety inspector (if present) or the AST duty officer.

426. DEPARTMENT OF DEFENSE AND NATIONAL AERONAUTICS AND SPACE ADMINISTRATION RANGES. The majority of licensed commercial launch site operators are located on or with DOD and NASA missile launch ranges with the exception being the Kodiak launch complex located on Kodiak Island, Alaska. The other three licensed commercial launch sites are located on Cape Canaveral Air Force Station (CCAS), Florida; Vandenberg Air Force Base (VAFB), California; and NASA's Wallops Flight Facility (WFF), Wallops Island, Virginia. Commercial launches from NASA's WFF often employ DOD Eastern range communications and tracking system assets.

a. When approved, an FAA/DOD MOA will specify that CCAS and VAFB:

(1) Use the speediest means available to notify the FAA Washington Operations Center of a commercial space launch accident.

(2) Provide accurate and timely communications to AST regarding:

(a) Commercial space launch incidents and other occurrences.

(b) Military space launch mishaps involving licensed commercial launch operators or launch vehicles commonly employed in commercial launches.

b. An FAA/NASA MOA will provide for similar Washington Operations Center AST notification.

427. ASSOCIATE ADMINISTRATOR FOR COMMERCIAL SPACE TRANSPORTATION, AST-1. Upon notification that a mishap has occurred, AST-1 will confirm or specify, relative to the circumstances, that the Administrator, the Deputy Associate Administrator for Commercial Space Transportation, the Special Assistant for External Affairs (AST-5), the AST Crisis Response Coordinator, and the Washington Operations Center have been notified. AST-1 will verify via AST-200 that all specified notifications herein have been accomplished. AST-1 may also, if deemed necessary or appropriate, activate the AST-1 Mishap Notification Response Team or direct the AST Crisis Response Coordinator to convene the Crisis Response Working Group (CRWG).

a. Accident Notification/Response.

(1) AST-1 will provide direct telephone or e-mail notification to the Administrator and key U.S. Senate and House of Representatives staff members as soon as possible or within the first 4 business hours of the next day of an FAA licensed launch or launch site accident.

(2) Upon request, AST-1 will provide an informational briefing to the Administrator and key U.S. Senate and House of Representatives staff members as soon as possible during business hours on the day of the FAA licensed launch or launch site accident, or within the first 4 hours of the day following the FAA licensed launch or launch site accident.

b. Incident/Other Identified Occurrence Notification/Response. As soon as possible during business hours or within the first 4 hours of the day following an FAA licensed launch, a launch site incident, or other identified occurrence, AST-1 will provide an informational briefing and distribute "talking points" by:

(1) Conference to:

(a) Washington Operations Center.

(b) Associate Administrator for Regulation and Certification, Aircraft Certification Service, and Office of Accident Investigation.

(c) Associate Administrator for Air Traffic Services and Air Traffic Airspace Management Program.

(d) Office of Public Affairs.

(e) Office of Government and Industry Affairs.

(f) Office of the Chief Counsel.

(g) Assistant Administrator for Policy, Planning, and International Aviation.

(h) Others as appropriate.

(2) E-mail to:

(a) The Administrator

(b) Chief of Staff, AOA-2

(3) Telephone to key U.S. Senate and House of Representatives staff members

428. DEPUTY ASSOCIATE ADMINISTRATOR FOR COMMERCIAL SPACE TRANSPORTATION, AST-2. In the absence of and in full consultation with AST-1, AST-2 will assume the above notification and response responsibilities of AST-1.

429. SPECIAL ASSISTANT FOR EXTERNAL AFFAIRS, AST-5. This office is the public affairs representative for AST and has the responsibility, at the direction of AST-1, to ensure that AST's conduct and representations external to the FAA are properly coordinated with APA. AST-5 shall assume primary responsibility for:

a. Coordinating AST's public response to a mishap.

b. Developing generic public response statements for use by AST safety inspectors.

c. Assisting AST-1 in preparing and disseminating mishap information to senior FAA and DOT officials.

d. Coordinating the development and release of proposed public statements, as necessary or required, with the Department of State, DOD, DOT, NASA, NTSB, or other FAA functional areas.

430. AST CRISIS RESPONSE COORDINATOR. The Associate Administrator for Commercial Space Transportation is responsible for identifying and providing a crisis response coordinator. Under the direction of AST-200, the crisis response coordinator shall be responsible for:

a. Developing and maintaining the AST Standard Operating Guidelines (SOG) contained within the Crisis Management Handbook and ensuring that ADA-20 has an up-to-date copy.

b. Working with the Washington Operations Center in developing and setting up the FAA Command Center AST primary communications network.

c. Assisting AST-1 and the Washington Operations Center in coordinating and convening the FAA AST CRWG.

d. Assisting AST-5 in the preparation, coordination, and dissemination of post-mishap event reports.

e. Interfacing with AAI, ADA-20, and ADA-30 concerning the development of this chapter, the AST Mishap Notification Response Handbook, and AST simulation exercises.

431. AST CRISIS RESPONSE WORKING GROUP. The AST CRWG will consist of, but may not be limited to, the following FAA officials or their designated representative(s):

a. Administrator.

b. Deputy Administrator.

c. Manager, Operations Center Complex.

d. Chief Counsel.

e. Assistant Administrator for Public Affairs.

f. Associate Administrator for Commercial Space Transportation.

g. Associate Administrator for Regulation and Certification.

h. Director of Accident Investigation.

432. AST MISHAP NOTIFICATION RESPONSE TEAM. The Mishap Notification Response Team is an AST internal crisis response working group established to assist AST-1 in addressing and responding to those individuals, entities, situations, and circumstances relevant to the occurrence of a mishap that would not require a coordinated response from the higher level AST CRWG.

a. The Mishap Notification Response Team shall consist of the following:

(1) Associate Administrator for Commercial Space Transportation, AST-1.

(2) Deputy Associate Administrator for Commercial Space Transportation, AST-2.

(3) Special Assistant for External Affairs, AST-5.

(4) Manager, Space Systems Development Division, AST-100.

(5) Manager, Licensing and Safety Division, AST-200.

(6) FAA/AST Counsel.

(7) AST Crisis Response Coordinator.

(8) AST duty officer.

(9) AST safety inspector (if assigned or as designated).

b. AST-1 may augment the team with other AST personnel, FAA technical experts, or personnel from other relevant Federal Government entities. Team assembly, including place, method, and modes of communication, shall be at the discretion of AST-1.

433. AST COMPLIANCE MONITOR/SAFETY INSPECTOR. AST provides a compliance monitor/safety inspector for each FAA licensed launch. AST also monitors FAA licensed launch site operators on an as-needed/required or annual basis.

a. Each engineer assigned to the Licensing and Safety Division, AST-200, is required to qualify as an AST safety inspector and is provided with a current copy of the AST Mishap Notification Response Handbook.

b. The AST safety inspector is responsible for ensuring that his/her Mishap Notification Response Handbook is up to date and complete relative to an assigned launch or inspection.

c. The AST safety inspector is required to notify immediately an AST duty officer if the inspector observes or is informed of a launch vehicle or launch site mishap. If the AST duty officer has not been assigned or cannot be contacted, the inspector is to contact AST-200, AST-1, and AST-2 (see Figure 12-1).

d. The AST safety inspector shall provide as much of the information possible as specified in paragraph 423. However, priority shall be given to providing initial mishap (accident, incident, or other identified occurrence) notification to AST.

e. The AST safety inspector may, by direction of AST-1 or AST-200, provide notification to specific AST staff and engineering personnel assigned to the AST Mishap Notification Response Team (see paragraph 438).

f. In responding to an accident or incident, the AST safety inspector, as appropriate or directed, will identify and establish contact with local representatives of the following entities:

(1) Recovery, rescue, and law enforcement organizations.

(2) Federal/state emergency management agencies.

(3) U.S. Space Command.

(4) DOD Range Safety and Security Office.

(5) NASA Range Safety and Security Office.

g. The AST safety inspector is to continue attempts to gather and report all data items identified in paragraph 423. As soon as conditions or circumstances permit or upon request, the inspector shall complete and provide a signed copy of the AST Mishap Report Worksheet to the:

(1) Associate Administrator for Commercial Space Transportation, AST-1.

(2) Manager, Licensing and Safety Division, AST-200.

(3) AST Crisis Response Coordinator (accident only).

(4) FAA IIC (accidents only).

h. In the event of an accident or incident requiring the dispatch of an FAA IIC, the AST safety inspector shall be subordinate to and under the direction of the FAA IIC.

i. After reporting the event to the AST duty officer or AST-200 if a duty officer is not assigned, the AST safety inspector shall take direction from either the duty officer or AST-200.

434. AST DUTY OFFICER. The Compliance Monitoring and Inspection Team (CMIT) Leader, with the concurrence of AST-200, assigns a qualified Licensing and Safety Division engineer the function of AST duty officer for each FAA licensed launch. The duty officer is responsible for ensuring that his/her Mishap Notification Response Handbook is up to date and complete relative to the assigned launch. The CMIT leader at the requisite prelaunch or preinspection team meeting will verify and validate that the duty officer's Mishap Notification Response Handbook is current and complete.

a. Accident/Incident Notification/Response. Standardized notification and reporting procedures, as shown in Figure 12-1, have been developed and coordinated with the FAA Washington Operations Center. Those procedures provide for the automatic notification of the AST duty officer (and almost simultaneous notification of AST-1 and AST-200) by the Washington Operations Center of a mishap reported by an FAA licensed launch or launch site operator.

(1) After being notified by the Washington Operations Center, if the AST duty officer has not been contacted by the AST safety inspector, the duty officer shall provide notification to the safety inspector. An inspector may not be present at a launch site if FAA licensed commercial launch activities or a scheduled inspection is not in progress. However, AST safety inspector notification/verification will not be undertaken until the specified/required AST duty officer notifications have been completed.

(2) By direction of AST-1 or AST-200, the duty officer shall notify members of the AST Mishap Notification Response Team.

b. Other Identified Occurrences Notification/Response. When notified that prespecified "other identified occurrences" have occurred, the duty officer shall notify AST-200, AST-1, AST-2, and, by direction of AST-1 or AST-200, the AST Mishap Notification Response Team members.

(1) Depending upon the specific "occurrence" reported or at the direction of AST-1, the duty officer may notify the Washington Operations Center. Teleconferencing between the inspector, the duty officer, AST-200, AST-1, and AST-2 will be provided, upon request, by the Washington Operations Center.

(2) By direction of AST-200 or AST-1, the duty officer will establish any necessary coordination between AST, the Washington Operations Center, and regional Operations Centers.

c. The AST duty officer is to continue attempts to gather and report all data items identified in paragraph 423 from all available sources. As soon as conditions/circumstances permit or upon request, the AST duty officer shall complete and provide a signed copy of the AST Mishap Report Worksheet to the:

(1) Associate Administrator for Commercial Space Transportation, AST-1.

(2) Manager, Licensing and Safety Division, AST-200.

(3) AST Crisis Response Coordinator (accident only).

(4) FAA IIC (accident only).

(5) Chief Counsel.

435. AST BACKUP INSPECTOR/DUTY OFFICER. The AST Compliance Monitoring and Inspection plan and the AST Licensing Process and Procedures directive provide for a backup inspector/duty officer to assume, as necessary, either the role of the AST safety inspector or the duty officer. That individual, when required to assume either position, also inherits inspector/ duty officer notification and response responsibilities.

436. AST COMPLIANCE MONITORING AND INSPECTION TEAM (CMIT) LEADER. The CMIT leader has no direct or explicit mishap notification or response requirements. However, the CMIT leader is required to conduct a CMIT meeting prior to each launch or inspection. The primary purpose of the meeting is to ensure that the AST safety inspector and duty officer are adequately prepared to initiate the AST mishap notification and response process should a mishap occur during their respective tours of duty. To that end, the CMIT leader is responsible for verifying that the AST safety inspector's and the duty officer's Mishap Notification Response Handbooks are current, complete, and relevant to the assigned launch or inspection. Prior to the prelaunch or inspection CMIT meeting, the CMIT leader is responsible for ensuring that:

a. The applicable range or launch site, licensee points of contact, and respective emergency contact number(s) have been identified and provided to the inspector, the duty officer, and the Washington Operations Center.

b. The applicable range or launch site and licensee points of contact have been provided with the emergency contact number(s) for the assigned inspector, the duty officer, and the Washington Operations Center.

c. The Washington Operations Center has a current copy of the FAA Crisis Response Handbook AST Mishap Notification and Response Team List (Tab 4 of AST's Standard Operations Guidelines).

d. The Associate and Deputy Associate Administrators for Commercial Space Transportation and AST-200 have up-to-date mishap notification diagrams and lists in their respective Mishap Notification Response Handbook.

e. The AST licensed operators list containing the names, office addresses, and emergency telephone numbers (home, pager, or cellular) of the chief executive or operations officer, as provided by AST-1 (this information may only be available to AST-1 and restricted to AST-1's Mishap Notification Response Handbook), onsite representatives, and other personnel deemed critical to the launch or inspection is current and included in the supporting documentation section of the Mishap Notification Response Handbook.

f. The AST Compliance Monitoring and Inspection plan stipulates that the CMIT leader is to assume, as necessary, the role of the AST duty officer or inspector should the backup AST safety inspector/duty officer be required to assume the role of either the inspector or the duty officer. When required to assume either position, the CMIT leader also inherits those notification and response responsibilities relative thereto.

437. MANAGER, LICENSING AND SAFETY DIVISION , AST-200. It is the responsibility of AST-200 to ensure that the AST mishap and notification response process functions as intended, and that those AST personnel having identified responsibilities relative thereto are knowledgeable and prepared to participate efficiently and effectively when called upon to do so.

a. It is the responsibility of AST-200, in consultation with AST-1, to ensure that the Mishap Notification Response Handbook, mishap notification diagrams and lists, and other appropriate information and data contained in the supporting documentation section of the handbook are developed and properly maintained. This includes identification of applicable points of contact at DOD, NASA, NTSB, and other Federal, state, and local government entities. AST-200 is also responsible for the development and implementation of exercises intended to ensure that AST personnel are familiar with this plan, are knowledgeable of their respective copies and contents of the Mishap Notification Response Handbook, and are capable and prepared to respond accordingly.

b. It is also the responsibility of AST-200 to ensure that the necessary interfaces with entities external to AST (e.g., FAA, DOT, ranges, and licensees) have been identified, established, and maintained.

c. Accident Notification/Response. When notified by the Washington Operations Center that an accident has occurred, AST-200 is to:

(1) Ensure or verify, via the Washington Operations Center, that the following have been notified:

(a) Affected Regional Operations Center.

(b) Administrator.

(c) Secretary of Transportation.

(d) Air Traffic Tactical Operations, ATT-200.

(e) Advanced Aeronautical Projects Law Branch, AGC-250.

(f) Office of Public Affairs.

(g) Accident Investigation Division, AAI-100.

(2) Verify:

(a) Via Accident Investigation Division, AAI-100, that the NTSB has been notified.

(b) Via the AST duty officer that:

1. The AST safety inspector, if assigned, is aware of the event and has responded accordingly.

2. If directed, the duty officer has notified the AST Mishap Notification Response Team.

(c) That the following entities, where appropriate, have also been notified or are aware of the event:

1. U.S. Space Command.

2. Appropriate DOD/HQ Safety Center(s).

3. NASA HQ/appropriate NASA Space Center(s).

4. Department of State.

5. Other Federal, state, and local government agencies.

(3) Appoint or designate an AST Licensing and Safety Division engineer to the FAA accident investigation "Go Team."

d. Incident Notification/Response. When notified by the AST duty officer that an incident has occurred, AST-200 is to:

(1) Ensure or verify, via the duty officer, that the following have been notified:

(a) Associate Administrator for Commercial Space Transportation, AST-1.

(b) Deputy Associate Administrator for Commercial Space Transportation, AST-2.

(c) AST Mishap Notification Response Team.

(2) Verify that the AST safety inspector, if assigned, is aware of the event and has responded accordingly.

(3) As directed or as appropriate, ensure that the following are notified or are aware of the event:

(a) Washington Operations Center and the affected Regional Operations Center.

(b) Air Traffic Tactical Operations, ATT-200.

(c) Advanced Aeronautical Projects Law Branch, AGC-250.

(d) Accident Investigation Division, AAI-100.

(e) U.S. Space Command.

(f) Appropriate DOD/HQ Safety Center(s).

(g) NASA HQ/appropriate NASA Space Center(s).

(h) Department of State.

(i) Other Federal, state, and local government agencies.

(4) Appoint or designate an AST Licensing and Safety Division engineer to function as the AST investigator.

e. Other Identified Occurrence Notification/Response. When notified that a prespecified "other identified occurrence" has occurred, AST-200 shall:

(1) Ensure that AST-1, AST-2, AST staff and division personnel, and AGC-250 have been notified.

(2) Ascertain that the AST safety inspector, if assigned, is aware and responding accordingly.

(3) Depending upon the specific "occurrence" reported or at the direction of AST-1, notify or direct the duty officer (if assigned) to notify (as appropriate) the following:

(a) Washington Operations Center and the affected Regional Operations Center.

(b) Air Traffic Tactical Operations, ATT-200.

(c) Accident Investigation Division, AAI-100.

(d) U.S. Space Command.

(e) Appropriate DOD/HQ Safety Center(s).

(f) NASA HQ/appropriate NASA Space Center(s).

(g) Department of State.

(h) Other Federal, state, and local government agencies.

(4) Appoint or designate an AST Licensing and Safety Division engineer to function as the AST investigator.

f. As soon as conditions or circumstances permit or upon request, AST-200 shall collect completed and signed copies of the AST Mishap Report Worksheet from the AST safety inspector and/or the duty officer, if assigned, and provide a consolidated report to AST-1. If a safety inspector or a duty officer was not assigned, AST-200, as recipient of the initial notification, shall be responsible for initiation and completion of the AST Mishap Report Worksheet.

438. DEPUTY MANAGER, LICENSING AND SAFETY DIVISION. In the absence of AST-200, the Licensing and Safety Division deputy manager will assume the notification and response responsibilities as stated in paragraph 431 and, as soon as possible, will notify and consult with AST-200.

439. WASHINGTON OPERATIONS CENTER. When notified of a mishap or at the specific request of the AST duty officer or AST-200, the Washington Operations Center has agreed to initiate a preset AST teleconferencing network to include the reporting entity, the AST duty officer, AST-200, AST-1, and AST-2.

a. The Washington Operations Center has established the AST primary response net to support the CRWG.

b. The Washington Operations Center has further agreed to expand either networks, as needed or as requested, to accommodate AST mishap notification and response requirements.

c. The Washington Operations Center, when notified that a mishap has occurred and depending upon the type of mishap, will implement the notifications specified in the Washington Operations Center specific AST mishap notification diagrams, lists, or standard operating guidelines, being certain to obtain the mishap information specified in the guidelines.

440. REGIONAL OPERATIONS CENTERS. The Washington Operations Center, by agreement with AST and the regional Operations Centers, will provide AST launch notification to the cognizant regional Operations Center and other regional Operations Centers desiring such notifications. The Washington Operations Center has also agreed to provide notification to the affected regional Operations Center in whose region a reportable mishap has occurred.

441. AST MISHAP NOTIFICATION AND RESPONSE HANDBOOK. Each member of AST-200 and other AST personnel identified in this chapter as having notification responsibilities and requirements shall be provided with a copy of the Mishap Notification Response Handbook containing the appropriate mishap notification diagrams and lists and relevant supplemental information and data. The Associate Administrator for Commercial Space Transportation has tasked AST-200 and the AST Crisis Response Coordinator with ensuring that the handbook and mishap notification diagrams and lists are consistent with this chapter and coordinated with other relevant AST mishap and crisis notification and response policy, guidance, directives, and plans.

442. REPORTING REQUIREMENTS. All FAA reportable commercial space launch mishaps shall be recorded on the AST Mishap Report Worksheet (Figure 12-2). The associated information requirements that were previously detailed in paragraph 423 are also discussed in Figure 12-2. A copy of the AST Mishap Report Worksheet shall be provided in all copies of the Mishap Notification Response Handbook.

SECTION 3. INVESTIGATION

443. RESPONSIBILITY.

a. NTSB. The NTSB has the authority to investigate all commercial space launch accidents. DOT (FAA/AST) has given NTSB the additional authority to investigate all commercial space launch accidents outlined in the DOT (FAA/AST) Reimbursable MOA. Specifically, NTSB has agreed to investigate:

(1) Launch or launch site accidents.

(2) Impact outside impact limit lines.

(3) Property damage off range exceeding $25,000.

(4) Events subject to Section 304(a)(1)(f) of the Safety Board Act of 1974.

(5) Other events agreed to by NTSB and AST.

b. AST. In addition to the following, AST has the authority to conduct independent investigations parallel to an NTSB investigation:

(1) Accidents not investigated by NTSB.

(2) Incidents or other identified mishaps.

(3) Malfunction of flight safety system.

(4) Failure of safety organizations or safety processes associated with or related to commercial space launches.

(5) Violations of FAA license or license orders.

c. Federal Ranges. Federal ranges may conduct their own investigation independent of any NTSB or AST investigation. A DOD/FAA MOA will provide for mutual cooperation and participation between DOD ranges and FAA concerning commercial launch accidents, incidents, or other mishaps on DOD ranges.

d. Commercial Operator.

(1) A commercial operator is responsible for establishing an accident investigation plan identifying the procedures and criteria by which the commercial operator will investigate accidents, incidents, and other mishaps. The plan shall identify the commercial operator's procedures for:

(a) Reporting an accident, incident, or other mishaps to AST.

(b) Securing data and off-range wreckage pertaining to an accident, incident, or other mishaps.

(c) Cooperating with the responsible investigating authority during an investigation.

(d) Providing, within applicable provisions of law, copies of all reports and other data pertaining to an accident, incident, or other mishaps as may be required by AST.

(e) Supporting an accident, incident, or other mishap investigation being carried out by the NTSB, AAI, or AST.

(2) The commercial operator may choose to conduct its own investigation of accidents, incidents, or other mishaps independent of any AST investigation. A commercial operator's investigation shall not interfere with any ongoing FAA or NTSB investigation.

444. AST INVESTIGATIVE ROLE. Selection of AST personnel to participate in an NTSB or AST investigation shall be determined by the FAA IIC and be subject to the recommendation of AST-1. The FAA IIC will be selected by AAI-1.

445. AST INVESTIGATIVE AUTHORITY.

a. AST may initiate its own investigation during an ongoing NTSB investigation when there are suspected license violations. Such investigations will be conducted separately from the NTSB investigation.

b. In fulfilling its duties under the Commercial Space Launch Act, AST may:

(1) Investigate.

(2) Take part in the commercial or range operator's investigation, either as a participant in the investigation or as an observer.

(3) Designate an AST representative to track the investigation process.

(4) Require a copy of the final investigation report.

(5) Obtain a followup hard copy of any verbal report.

(6) Require clarification and/or resubmission of specific portions of a final report so submitted.

c. An AST investigation will focus primarily on, but not be limited to, the following issues:

(1) Failure of the launch vehicle flight safety system and the causes of such failure.

(2) Significant failure of the ground command system and causes thereof.

(3) Significant failure or errors of the range safety tracking and data acquisition systems and/or in the computer and display systems utilized for public safety protection and the causes of such failures.

(4) Failure in the planning, approval, and operation processes leading to erroneous or misleading decisions that contributed to increased public risk.

(5) Failure of critical systems resulting in unplanned reentries that increased public risk.

(6) Failure of vehicle guidance or other component resulting in:

(a) Collision with another spacecraft.

(b) Increased risk to other operational spacecraft.

(c) Substantial increase in space debris.

(d) Violations.

(7) Violation of a term or condition of an FAA license, license order, or AST established safety regulations.

446. PROCEDURES. The purpose of an AST investigation is to determine if there was an AST license violation and to make recommendations to AST-1 that, if implemented, will limit or significantly reduce the recurrence of such events.

a. In order to accomplish this objective, the AST investigation team will take action to:

(1) Determine if current AST licensing practices, regulations, and standards are adequate to protect against property damage and public injury and recommend necessary changes.

(2) Determine whether there was a violation of AST regulations or of the terms or conditions of the license.

b. General Procedures. The following general procedures govern investigations conducted by AST:

(1) The Associate Administrator for Commercial Space Transportation or AST-200 shall appoint an IIC and an investigation team to carry out the investigation.

(2) The investigation will be under the control and direction of the AST IIC.

(3) AST will be solely responsible for releasing factual information of the investigation to the public and will designate the official spokesperson for the investigation.

(4) Group leaders assigned to a particular investigation will work under the direction of the AST IIC and will remain with the assigned group until that phase of the investigation has been completed or they are released by the AST IIC. Group leaders will submit to the AST IIC information obtained during the course of the investigation.

(5) The AST IIC will keep the team informed of the progress of the investigation.

(6) Pertinent records obtained and factual reports prepared during the investigation shall be made available to the AST IIC in a timely and orderly manner.

c. Team Selection. The AST IIC and other AST investigation team members, to include consultants and advisors, are appointed by AST-1 or AST-200. Consultants and advisors may be Government employees, contractors, commercial or range operators, industry representatives, or other members of the public. After the initiation of an investigation, if the IIC determines that additional team members are required, additional team member names may be submitted to AST-1 or AST-200 by the IIC for approval. Consultants and advisors will be selected on the basis of their knowledge and experience in the following areas:

(1) Range safety.

(2) Flight safety.

(3) Reliability and quality control (safety procedures).

(4) Launch vehicle operations.

(5) Risk analysis.

d. Team Organization. The IIC is responsible for determining the organization required for an investigation team and the responsibilities of the team members. Members will perform investigation tasks, complete appropriate forms, recommend corrective action, and submit findings and recommendations to the IIC. The IIC may designate one of the team members to provide administrative support to the team or may request a separate administrator.

e. Gathering Data, Facts, or Testimony.

(1) When conducting an investigation, AST may, pursuant to the Commercial Space Launch Act, request the range operator, commercial operator, or other participants to provide under applicable provisions of law all appropriate safety and range data documentation pertaining to safety issues. This includes, but is not limited to, flight anomalies, significant equipment failure, range safety actions, and casualties.

(2) In the event additional facts are needed by AST during an ongoing NTSB investigation, FAA personnel may obtain these facts following notification to the NTSB IIC. In obtaining such facts, AST personnel will not interfere with any ongoing NTSB investigation. AST personnel will make it clear that they are not acting under NTSB direction. If the NTSB investigation is not completed, the FAA IIC will notify the NTSB IIC of any AST intent to take any enforcement action.

(3) Wreckage or records will not be released until AST has determined that they are no longer needed. In the event AST requests NTSB to retain control of any wreckage for a period of time beyond NTSB's investigative needs, that period of time shall not exceed 60 days from the date of the request. AST shall be responsible for any additional storage and security costs.

f. Preparing Investigation Report. AST shall prepare a final report to include a narrative description and analysis of how and why the event occurred, findings, probable cause(s), and recommendations. If NTSB has conducted an investigation, its accident report may be incorporated into AST's report by reference and/or as an attachment where applicable.

447. - 460. RESERVED.

FIGURE 12-1
AST Related Mishap Notification Process (Expanded)

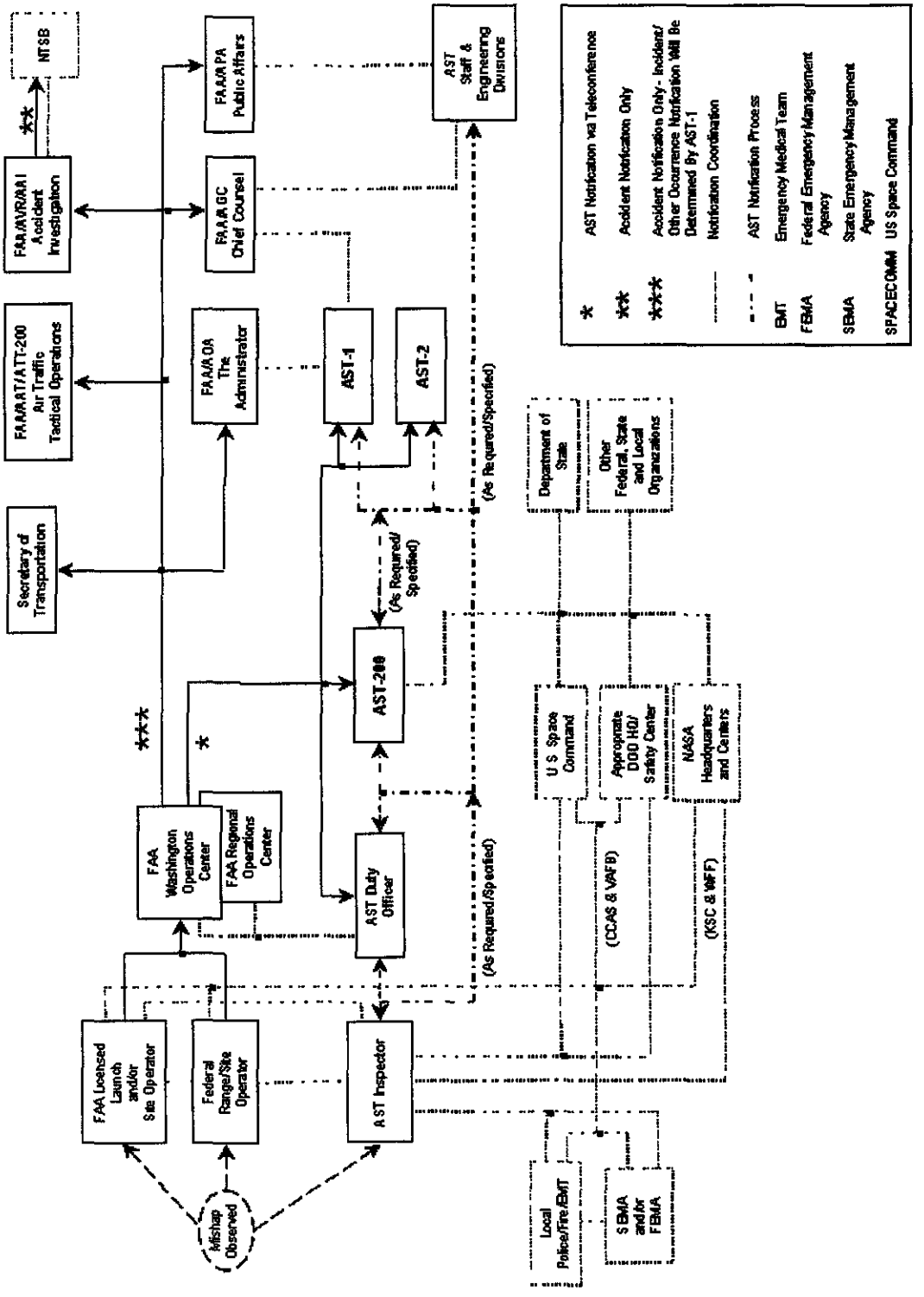


FIGURE 12-2.

EXAMPLE OF AST MISHAP REPORT WORKSHEET

a. Information Requirements

The individual reporting or receiving a mishap report shall attempt to ascertain and record the following details concerning the event on the following worksheet:

1. **Received the information from** (name, number, organization, etc.):_____

_____

2. **Date and time the information was received:**_____

3. **Date and time of mishap:**_____

4. **Location of launch site:**_____

5. **Launch vehicle operator** (if applicable):_____

6. **Launch site operator** (if applicable):_____

7. **Type of mishap** (accident, incident, or other mishap):_____

_____

8. **Description:**_____

_____

_____

_____

9. **Specific location of mishap:**_____

_____

10. **Effects** (damage/casualties):_____

_____

_____

FIGURE 12-2 (continued)

11. **Mission/operational phase in progress at time of occurrence:**_____

_____

12. **Possible/probable causes:**_____

_____

_____

13. **Current situation** (e.g., fire/explosive/toxic/chemical hazards present):_____

_____

_____

14. **Emergency response procedures in effect** (e.g., rescue-recovery or damage control):_____

_____

_____

15. **Responsible/controlling authority and individual point(s) of contact:**_____

_____

_____

16. **Other individuals notified or to be notified and results of notification** (complete/ incomplete):_____

_____

_____

Notifications made of the above information to:

Name and Title	Date	Time
_____	_____	_____
_____	_____	_____
_____	_____	_____

FIGURE 12-2 (continued)

Name and Title	Date	Time

Information taken by:

(Name and Title)	(Signature)

b. AST Safety Inspector

If present at the site of a reportable mishap, the AST safety inspector, after initiating the AST notification sequence, is to continue attempts to gather and report all data items identified in paragraph 423. As soon as conditions or circumstances permit or upon request, the inspector shall complete and provide a signed copy of the worksheet to: **AST-1, AST-200, the AST Crisis Response Coordinator (accident only); and the FAA IIC (accidents only).**

c. AST Duty Officer

After receiving notification of a reportable mishap and complying with the notification/response requirements stated in paragraph 428, the AST duty officer is to continue attempts to gather and report all data items identified in paragraph 423 from all available sources. As soon as conditions or circumstances permit or upon request, the AST duty officer shall complete and provide a signed copy of the worksheet to: **AST-1, AST-200, the AST Crisis Response Coordinator (accident only), and the FAA IIC (accidents only).**

d. Manager, AST Licensing and Safety Division (AST-200)

As soon as conditions or circumstances permit or upon request, AST-200 shall collect completed and signed copies of the worksheet from the AST safety inspector and/or duty officer, if assigned, and provide a consolidated report to AST-1. If a safety inspector or duty officer was not assigned, AST-200, as recipient of the initial notification, shall be responsible for initiation and completion of the worksheet.

e. AST Mishap Notification and Response Handbook

A copy of the worksheet shall be provided in all copies of the AST handbook.

APPENDIX 1. GENERAL INFORMATION FOR AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION, INVESTIGATION, AND REPORTING

TABLE OF CONTENTS

APPENDIX 1. GENERAL INFORMATION FOR AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION, INVESTIGATION, AND REPORTING

PART 1. LISTS OF CURRENT FORMS

a. **FAA Forms**

Form Number	Title	National Stock No. (NSN, 0052-00-prefix or Stocking Point	Unit of Issue
FAA Form 110A	Aviation Safety Inspectors Credential	APR-110	Sheet
FAA Form 3400-3	AF Personnel Certification and Related Training Record	648-4004	Sheet
FAA Form 3400-5	Responsibility Assignment	842-8001	Sheet
FAA Form 6030-1	Facility Maintenance Log	028-5001	Pad
FAA Form 6030-2	Facility Maintenance Log	861-0000	Pad
FAA Form 6030-16	Technical Reference Data Record Cover/Transmittal Sheet	895-3000	Sheet
FAA Form 6030-17	Technical Reference Data Record	895-4000	Sheet
FAA Form 6032-1	Airway Facilities Modification Record	620-1001	Sheet
FAA Form 6040-3	Facility and Service Outage Report	687-4001	Pad
FAA Form 6040-17	Airway Facilities Technical Inspection Program (AFTIP)	867-1000	Sheet
FAA Form 6040-18	AFTIP, Inspection Data and Action Item Record	867-2000	Sheet
FAA Form 6040-19	AFTIP, Action Item Record (Continuation Page)	867-3000	Sheet
FAA Form 6040-20	AFTIP, Facility Analysis Worksheet	867-4000	Sheet
FAA Form 6040-21	AFTIP, Facility Analysis Worksheet (Continued)	867-5000	Sheet
FAA Form 6040-22	AFTIP, Facility Analysis Worksheet (Continued)	867-6000	Sheet

PART 1. LIST OF CURRENT FORMS (continued)

a. **FAA Forms** (continued)

Form Number	Title	National Stock No. (NSN, 0052-00-prefix or Stocking Point	Unit of Issue
FAA Form 6040-23	AFTIP, Facility Analysis Worksheet (Continued)	867-7000	Sheet
FAA Form 6040-24	AFTIP, Facility Analysis Worksheet	867-8000	Sheet
FAA Form 6040-25	Airway Facilities Technical Inspection Program	867-9000	Sheet
FAA Form 7230-4	Daily Record of Facility Operation and Personnel Log	024-5002	Sheet
FAA Form 7230-7.1	Flight Progress Strip - Terminal - Continuous With Center Perforations	806-6001	Box
FAA Form 7230-7.2	Flight Progress Strip - Terminal - Continuous Without Center Perforations	806-6002	Box
FAA Form 7230-8	Flight Progress Strip - Terminal-Cut	806-7000	Box
FAA Form 7230-10	Position Log	024-6102	Pad
FAA Form 7230-19	Flight Progress Strip - ARTCC (Marginally Punched Continuous Strips)	652-6001	Box
FAA Form 7230-21	Flight Progress Strip - FSS	628-7001	Box
FAA Form 7233-1	Flight Plan	027-8000	Pad
FAA Form 7233-2	Preflight Briefing Log	628-3000	Pad
FAA Form 7233-5	In-Flight Contact Record	803-6000	Pad
FAA Form 8000-36	Program Tracking and Reporting Subsystem Data Sheet	893-4002	Sheet
FAA Form 8000-39	Airport Operations Area Access Credential	APR-110	Sheet

PART 1. LIST OF CURRENT FORMS (continued)

a. FAA Forms (continued)

Form Number	Title	National Stock No. (NSN, *0052-00-prefix* or Stocking Point	Unit of Issue
FAA Form 8000-40	Aviation Safety Investigator	ASF-10	Sheet
FAA Form 8020-2	Aircraft/Parts Identification and Release	690-3001	Set
FAA Form 8020-3	Facility Accident Notification Record	633-5002	Sheet
FAA Form 8020-6	Report of Aircraft Accident	074-5251	Set
FAA Form 8020-6-1	Report of Aircraft Accident (Continuation Sheet)	074-5301	Set
FAA Form 8020-9	Aircraft Accident/Incident Preliminary Notice	036-8002	Sheet
FAA Form 8020-10	Aircraft Accident Data Transmittal	637-7004	Sheet
FAA Form 8020-11	Incident Report	024-6001	Set
FAA Form 8020-15	Investigation of Near Midair Collision Report	906-4001	Set
FAA Form 8020-17	Preliminary Pilot Deviation Report	899-0001	Set
FAA Form 8020-18	Investigation of Pilot Deviation Report	899-1001	Set
FAA Form 8020-19	Reclassification of Aviation Incident Report	899-2002	Sheet
FAA Form 8020-20	Aviation Safety Investigator	AAI-100	Sheet
FAA Form 8020-21	Preliminary Near Midair Collision	906-5001	Set
FAA Form 8020-23	FAA Accident/Incident Report	923-1000	Sheet
FAA Form 8020-24	Preliminary Vehicle or Pedestrian Deviation Report	922-4000	Set
FAA Form 8020-25	Investigation of Vehicle or Pedestrian Deviation Report	922-5000	Set

PART 1. LIST OF CURRENT FORMS (continued)

a. FAA Forms (continued)

Form Number	Title	National Stock No. (NSN, 0052-00-prefix or Stocking Point	Unit of Issue
FAA Form 8025-2	Aircraft Accident Medical Information	875-2000	Sheet
Various	Technical Performance Record	Various	Various

b. NTSB Forms. Copies of NTSB forms are available from any NTSB field office (see Appendix 1 for a map of NTSB offices).

Form Number	Title
NTSB Form 6120.1/2	Pilot/Operator Aircraft Accident Report
NTSB Form 6120.3	Accident File Contents
NTSB Form	Preliminary Report Aviation (3 pages)
NTSB Form	Factual Report Aviation (5 pages)
NTSB Form 6120.9	Passenger Statement
NTSB Form 6120.11	Statement of Witness
NTSB Form 6120.15	Release of Aircraft Wreckage and Receipt of Aircraft Parts
NTSB Form 6120.18	Part Tag

c. Other Forms

DA Form 2696-R	Operational Hazard Report (Department of the Army)
DOT Form 5800.1	Hazardous Materials Incident Report
DOT Form RSPA 298C	Report of Financial and Operations Statistics, Small Aircraft Operations

PART 2. MILITARY AIRCRAFT ACCIDENT INFORMATION

a. Military Safety Center Addresses:

United States Air Force
Directorate of Aerospace Safety
AFISC/SE
Kirtland AFB, NM 87117-5671

United States Army
Commander, USASC
U.S. Army Safety Center
Fort Rucker, AL 36362-5363

United States Coast Guard
Chief, Flight Safety Branch
U.S. Coast Guard Headquarters
2100 2nd Street, SW.
Washington, DC 20593-0001

United States Navy
Commander
Naval Safety Center
Norfolk NAS, VA 23511

PART 2. MILITARY AIRCRAFT ACCIDENT INFORMATION (continued)

b. Message Format for FAA Participation in Investigation

TELEGRAPHIC MESSAGE

NAME OF AGENCY	PRECEDENCE	SECURITY CLASSIFICATION
FEDERAL AVIATION ADMINISTRATION ACCIDENT INVESTIGATION DIVISION 800 INDEPENDENCE AVENUE, SW WASHINGTON, D C 20591	ACTION URGENT INFO	ROUTINE
ACCOUNTING CLASSIFICATION 88-21-895-003	DATE PREPARED 12-12-88	FILE BOS88FA271
FOR INFORMATION CALL		
NAME JAMES MADISON	PHONE NUMBER 202-555-5678	TYPE OF MESSAGE ☐ Single ☐ Book ☐ Multiple-Address
THIS SPACE FOR USE OF COMMUNICATION UNIT		

MESSAGE TO BE TRANSMITTED (Use double spacing and all capital letters)

TO (COMMANDER OF THE MILITARY UNIT IN CHARGE OF THE ACCIDENT INVESTIGATION)

INFORMATION FORWARDED TO

(APPROPRIATE MILITARY SAFETY CENTER - ADDRESS IN APPENDIX 1)

SUBJECT AIRCRAFT ACCIDENT (AIRCRAFT TYPE, MODEL, SERIAL NUMBER) OCCURRING (LOCATION) ON (DATE AND TIME)

1 REFERENCE (MESSAGE, TELEPHONE CALLS, ETC)

2 FAA (WILL) (WILL NOT AT THIS TIME) PARTICIPATE

3 THE FAA ACCIDENT COORDINATOR IS (GIVE FULL NAME, POSITION HELD IN FAA, SECURITY CLEARANCE, AND DUTY STATION)

4 OTHER FAA PERSONNEL ASSISTING THE FAA ACCIDENT COORDINATOR ARE (FOR EACH PERSON GIVE FULL NAME, POSITION HELD IN FAA, SECURITY CLEARANCE, AND DUTY STATION)

5 FAA PERSONNEL ARRIVING BY (MOTOR, AIR, RAIL) AT (TIME AND PLACE)

6 STATE ANY FAA REQUESTS OR REQUIREMENTS

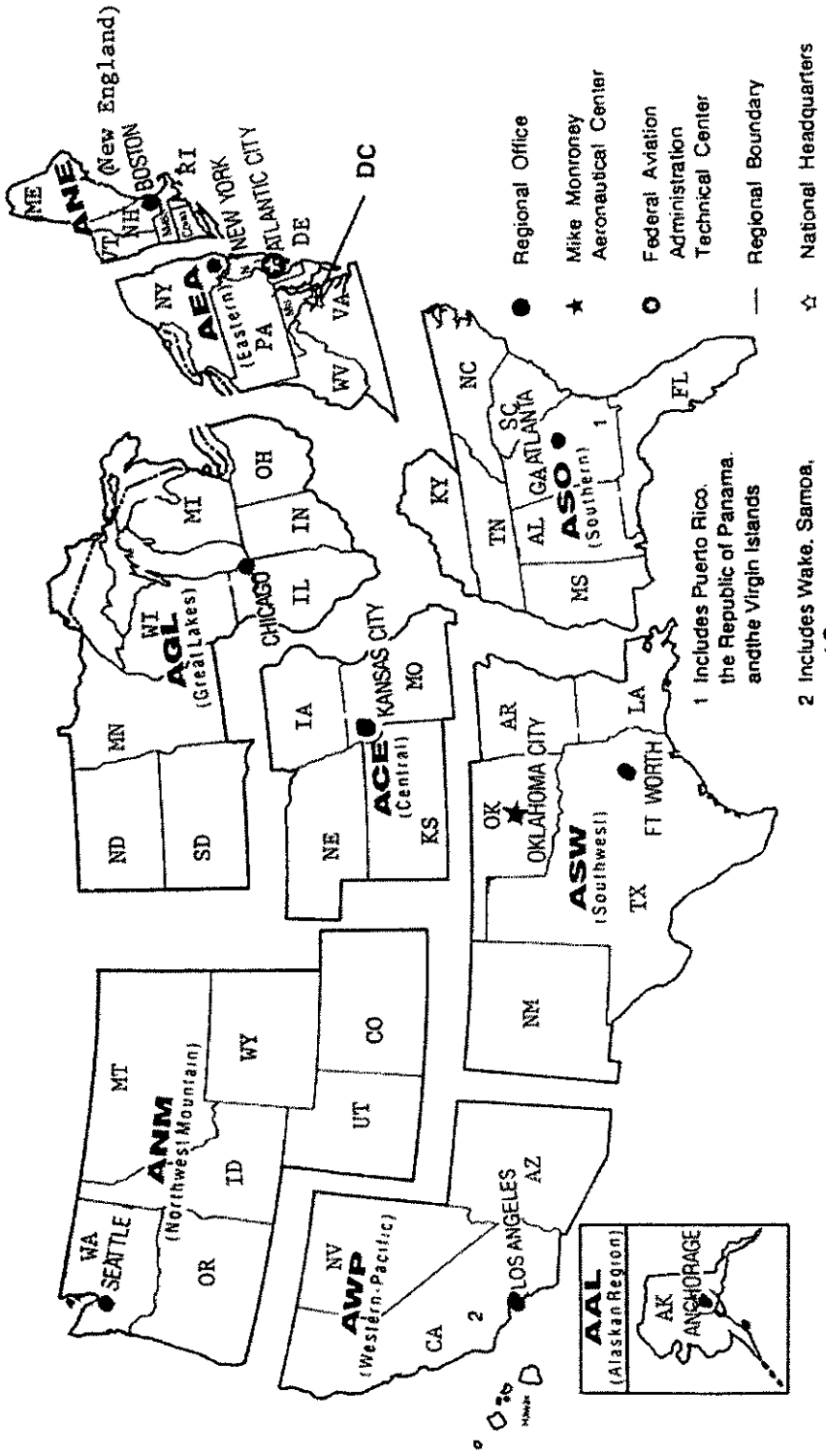
STEVE WOODS, AAI-100

SECURITY CLASSIFICATION		
	PAGE NO 1	NO OF PGS 1

STANDARD FORM 14 Previous edition usable NSN 7540-00-634-3968 14-103
REVISED 11-80
GSA FPMR (41 CFR) 101-35 306 *U S GPO 1987-0-181-247/60074

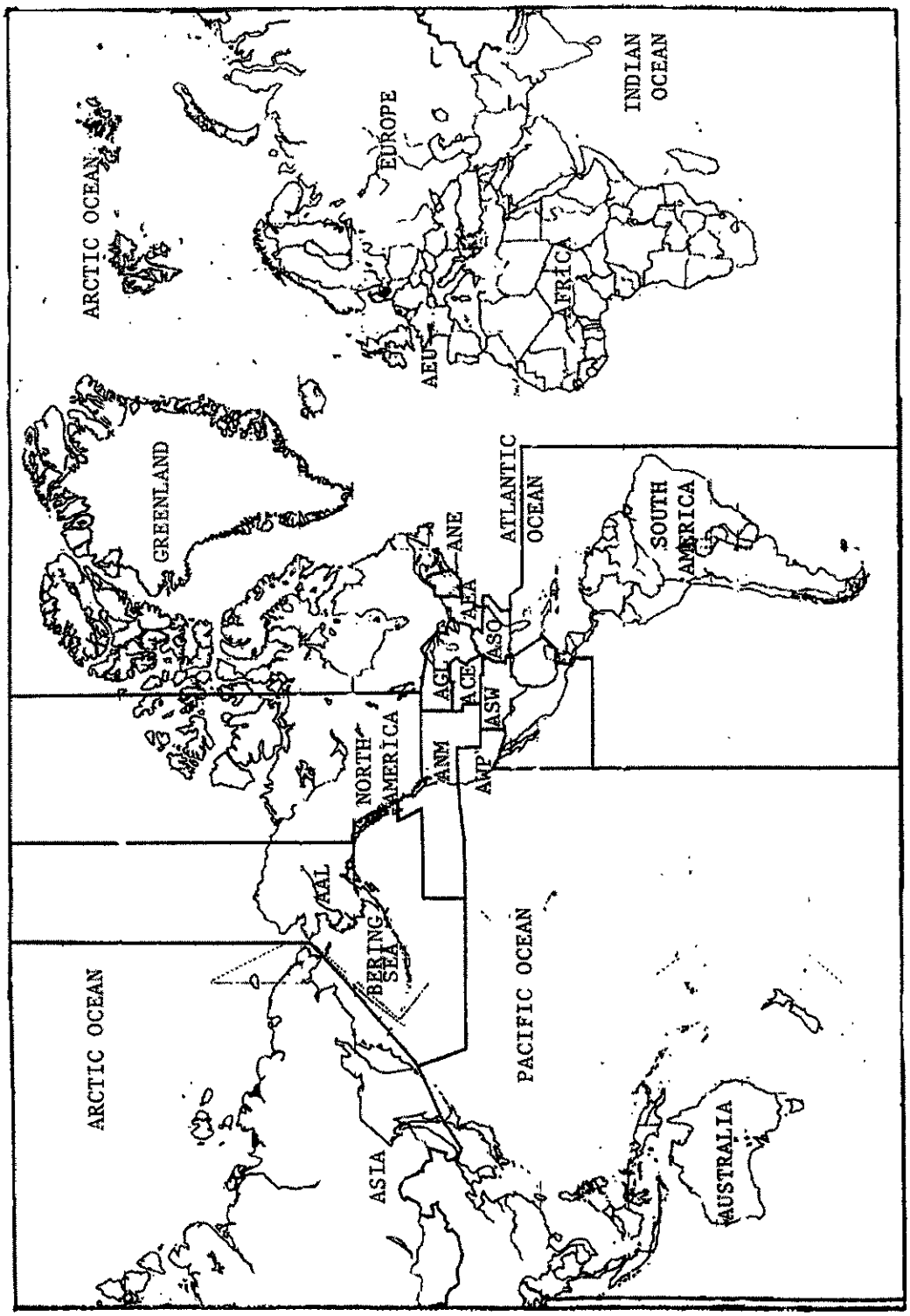
PART 3. FAA AND NTSB MAPS

a. FAA Regional Boundaries



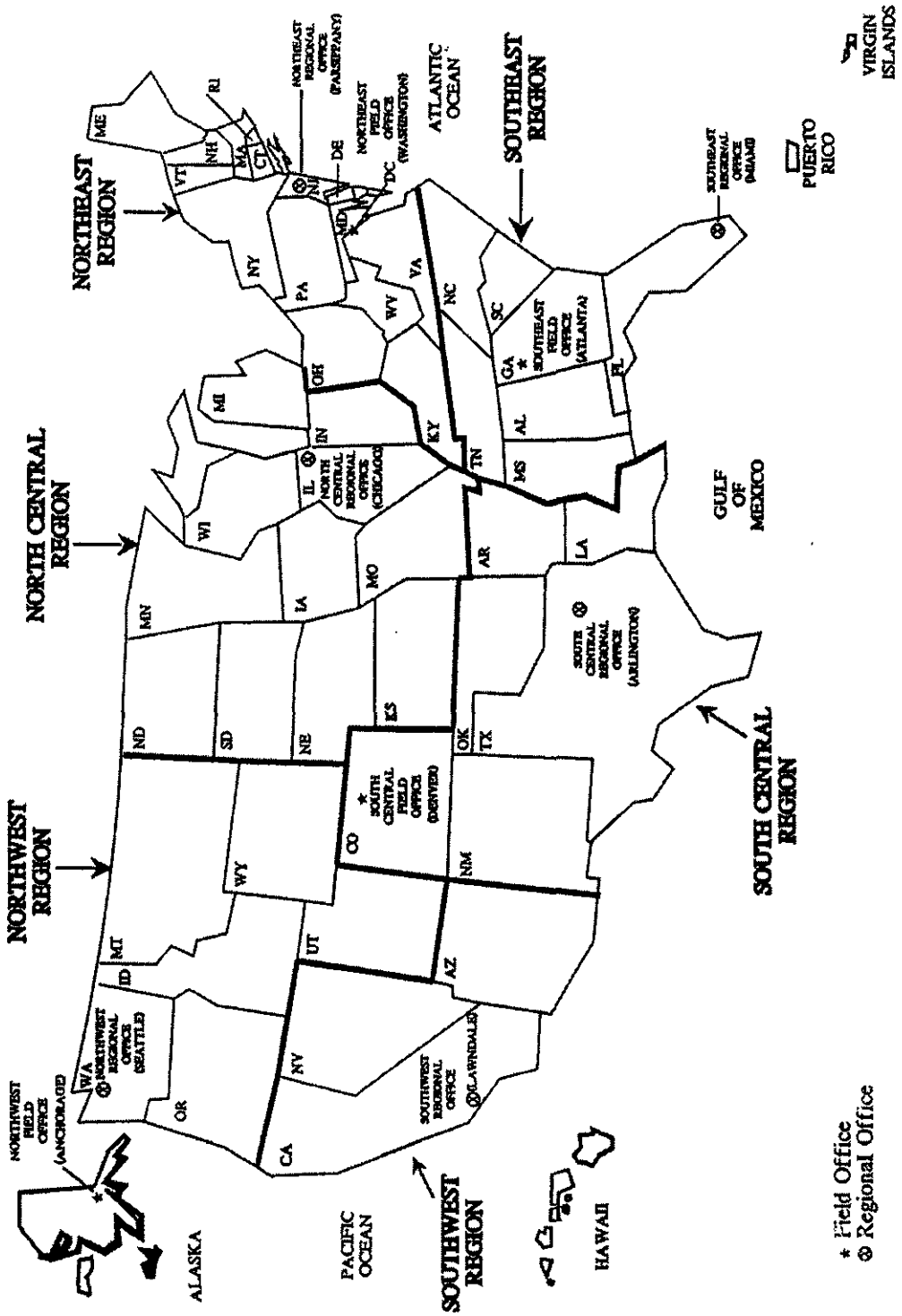
PART 3. FAA AND NTSB MAPS (continued)

b. FAA International Jurisdictions



PART 3. FAA AND NTSB MAPS (continued)

c. NTSB Aviation Regional and Field Boundaries



PART 4. AIRCRAFT CERTIFICATION DIRECTORATES
AND THEIR RESPONSIBILITIES

a. TRANSPORT AIRPLANE DIRECTORATE (14 CFR 25)

Directorate Headquarters: Northwest Mountain Region, ANM-1
Transport Airplane Directorate, ANM-100
Transport Standards Staff, ANM-110 (ANM-ROC)
International Office, ANM-116 (Foreign Transport Airplanes)

Denver Aircraft Certification Field Office, ANM-191D (ANM-ROC)
Air Methods Inc., Englewood, CO
Aviat Inc., Afton, WY
Garlick Helicopters, Hamilton, MT
Hawkins & Powers, Greybull, WY
Learjet, Inc., Denver, CO
Rocky Mountain Helicopters, Inc., Provo, UT
Univair Aircraft Corp., Aurora, CO
Universal Corp., Grand Junction, CO

Los Angeles Aircraft Certification Office, ANM-100L (ANM-ROC)
Advanced Aerodynamics & Structures, Inc. (Jetcruzer), Long Beach, CA
AlliedSignal, Inc., Phoenix, AZ
Boeing, Long Beach Division, Long Beach, CA
Boeing, McDonnell Douglas Helicopter Systems, Mesa, AZ
Gippsland Aeronautics, Australia
Hiller Aircraft Corp., Marina, CA
Honeywell, Inc., Phoenix, AZ
Mitsubishi, Japan
Robinson Helicopter, Inc., Torrance, CA
Seabird Aviation, Australia
Tracor Flight Systems, Inc. (Convair turbojets and turboprops), Goleta, CA
Foreign Certification Responsibility (except rotorcraft) Pacific Rim Countries: China, Korea, Japan, Australia, New Zealand, etc.

Seattle Aircraft Certification Office, ANM-100S (ANM-ROC)
Alliance Aircraft Group, Kent, WA (Helip Couriers)
American Blimp Co., Portland, OR (airships)
Avian Balloon Co., Spokane, WA (hot air balloons)
Boeing Transport Aircraft, Renton and Everett, WA
JobMaster, Renton, WA (Howard DNC)
Lancair, Bend, OR (Columbia 300)
Machen, Inc. (Piper Aerostar), Spokane, WA
Pacific Propeller, Kent, WA (propellers)
Republic Aircraft Manufacturing, Shelton, WA (RC-3 SeaBee)

PART 4. AIRCRAFT CERTIFICATION DIRECTORATES AND THEIR RESPONSIBILITIES (continued)

Seattle Aircraft Certification Office, ANM-100S (ANM-ROC) (continued)
SEMCO Balloon, Coeur d'Alene, ID (hot air balloons)
Twin Commander, Arlington, WA
U.S. / L.T.A., Eugene, OR (airships)
W.E. Lamon, Eugene, OR (deHavilland DHC-1B)

b. SMALL AIRPLANE DIRECTORATE (14 CFR 23)

Directorate Headquarters: Central Region, ACE-1
Small Airplane Directorate, ACE-100
Standards Office, ACE-110 (ACE-ROC)
Balloons, Airships, and Gliders
Normal, Utility, Acrobatic
Commuter Category Foreign Aircraft

Anchorage Aircraft Certification Office, ACE-115N (AAL-ROC)
Aero-Twin, Anchorage, AK
Aircraft Rebuilders, Anchorage, AK
Airframes, Inc., Big Lake, AK
Airglas Engineering Co., Anchorage, AK
Alaska Aircraft Engineering, Homer, AK
Alaska Aircraft Sales, Inc., Anchorage, AK
Alaska Tire and Rubber Company, Inc., Chugiak, AK
Alaskan Aircraft Engines, Inc., Anchorage, AK
All West Freight, Inc., Sterling, AK
Arctic Aircraft Co., Anchorage, AK
Arctic Transportation Service, Inc., Anchorage, AK
AvAlaska, Inc., Anchorage, AK
Avionics Specialists of Alaska, Inc., Anchorage, AK
B&J Custom Aircraft Cylinders, Inc., Palmer, AK
Baker, David; Anchorage, AK
Bering Air, Inc., Nome, AK
Borer Propellers, Anchorage, AK
Burl's Aircraft Rebuild, Chugiak, AK
C-1 Aero Fuel, Fairbanks, AK
Campbell, John S., Wasilla, AK
Cape Smythe Air Service, Inc., Barrow, Kotzebue, and Nome, AK
Crosswinds STOL, Wasilla, AK
DGA Aviation, Kenai, AK
Dan's Aircraft Repair, Inc., Anchorage, AK
Era Aviation, Inc., Anchorage, AK
Evergreen Helicopters of Alaska, Inc., Anchorage, AK
Everts Air Fuel, Inc., Fairbanks, AK

PART 4. AIRCRAFT CERTIFICATION DIRECTORATES
AND THEIR RESPONSIBILITIES (continued)

Anchorage Aircraft Certification Office, ACE-115N (AAL-ROC) (continued)
F. Atlee Dodge, Inc., Anchorage, AK
F.S. Air Service, Inc., Anchorage, AK
Frontier Flying Service, Inc., Fairbanks, AK
Gavin, Michael D., Fairbanks, AK
Jake's Aircraft Salvage, Wasilla, AK
Johnson, Joe; Kenai, AK
Katmai Air Service, Inc., Anchorage, AK
LMM, Inc., Anchorage, AK
Leading Edge Exhaust Systems, LLC; Anchorage, AK
Lynden Air Cargo, LLC; Anchorage, AK
Mitchell Aircraft Company, Anchorage, AK
North Pacific Welding, Ketchikan, AK
North River Aviation, Inc., Trapper Creek, AK
North Slope Borough Search and Rescue, Barrow, AK
Northern Air Cargo, Inc., Anchorage, AK
Northland Aviation, Inc., Fairbanks, AK
Peninsula Airways, Inc., Anchorage, AK
Reeve Aleutian Airways, Inc., Anchorage, AK
Rust's Flying Service, Inc., Anchorage, AK
Sea Air, Inc., Anchorage, AK
Silver Bay Logging, Inc., Juneau, AK
Take Flight Alaska, inc., Anchorage, AK
Wick Air, Inc., Palmer, AK
Woods Air Service, Inc., Palmer, AK
Yute Air Alaska, Inc., Anchorage and Bethel, AK
Zmuda, Bruce V., Fairbanks, AK

Atlanta Aircraft Certification Office, ACE-115A (ASO-ROC)
AC Fuel Cells, Memphis, TN
Aeromot, Porto Alegre, Brazil
Aeronautical Accessories, Blountville, TN
Air & Space America, Inc., Paducah, KY
Aircraft Modification Design Services, Atlanta, GA
Aircraft modular products, Miami, FL
Alberta Aerospace, Deland, FL
AlliedSignal Commercial Avionics Systems, Ft. Lauderdale, FL
American General Aircraft Corp., Greenville, MS
Atlantic Aero, Greensboro, NC
Avitas, Miami, FL
Ayres, Corp., Albany, GA
B/E Aerospace, Jacksonville, FL; Delray Beach, FL; Winston-Salem, NC
Bonaire, Blountville, TN

PART 4. AIRCRAFT CERTIFICATION DIRECTORATES AND THEIR RESPONSIBILITIES (continued)

Atlanta Aircraft Certification Office, ACE-115A (ASO-ROC) (continued)
Chromalloy, Ft. Walton Beach, FL; Tallahassee, FL; Newnan, GA
Delta Air Lines, Atlanta, GA
East Coast Aerospace Engineering, West Palm Beach, FL
Embraer Aircraft, San Jose dos Campos, Brazil
Federal Express, Memphis, TN
Floats and Fuel Cells, Memphis, TN
Gables Engineering, Inc., Coral Gables, FL
Grumman Aerospace, Melbourne, FL
Gulfstream Aerospace Corporation (DAS), Savannah, GA
Gulfstream Aerospace Corporation (TC), Savannah, GA
Keathley Engineering, Mobile, AL
Kosola and Associates, Albany, GA
L3 Communications, Sarasota, FL
Lockheed AeroMod, Greenville, SC
Lockheed Aeronautical Systems Co., Marietta, GA
Lopresti Speed Merchants, Vero Beach, FL
Maule Air, Inc., Moultrie, GA
MICCO Aircraft Company, Ft. Pierce, FL
Michelin Aircraft Tire Corporation, Greenville, SC
Mlynarczyk, E.J., Crestville, FL
Mod Works, Punta Gorda, FL
Orlando Helicopter Airways, Orlando, FL
Sikorsky Aircraft, West Palm Beach, FL
Sky Cruiser Airship, Elizabeth City, NC
Swift Museum Foundation, Inc., Athens, TN
Teledyne Continental Motors (TCM), Mobile, AL
The Balloon Works, Statesville, NC
The New Piper Aircraft Company, Vero Beach, FL
Thorpe, Louisville, KY
TIMCO (Triad International Maintenance Corporation), Greensboro, NC
Walter Kidde Aerospace, Wilson, NC
Westinghouse Airship, Elizabeth City, NC
Foreign Aircraft and Related Products Certification Responsibility - Caribbean, Central America, and South America

Chicago Aircraft Certification Office, ACE-115C (AGL-ROC)
Aeromed Systems, Fargo, ND
Aerostar International, Inc., Sioux Falls, SD
Aero Ski, Brooten, MN
Airborne Express, Wilmington, OH
Aircraft Braking Systems, Akron, OH
Allied Signal Aerospace Co., (Bendix Wheels and Brakes Division), South Bend, IN

PART 4. AIRCRAFT CERTIFICATION DIRECTORATES
AND THEIR RESPONSIBILITIES (continued)

Chicago Aircraft Certification Office, ACE-115C (AGL-ROC) (continued)
Allison Gas Turbine Operations, Indianapolis, IN
American Champion, Rochester, WI
Bellanca Aircraft, Alexandria, MN
BFGoodrich Aircraft Wheel and Brake Operation, Troy, OH
Cameron Balloons US, Dexter, MI
Cirrus Design Corporation, Duluth, MN
Classic Aircraft, Lansing, MI
Diamond Aircraft, London, Ontario, Canada
Eagle Aircraft, Alexandria, MN
Eagle Balloons, Huntley, IL
Enstrom Helicopter, Menominee, MI
Experimental Aircraft Association, Oshkosh, WI
Goodyear Tire and Rubber Co, Akron, OH
Hartzell Propeller Inc., Piqua, OH
Lindstrand Balloons, Hanover, IL
Lockheed Martin Tactical Defense Systems (Airships), Akron, OH
McCauley Accessory Division, Vandalia, OH
Navion Aircraft Company, Ltd., Bowling Green, OH
Norton Co., Ravenna, OH
OMAC, Norwalk, OH
Parker Hannifan Corporation, Avon, OH
Quicksilver, Temeccula, CA
Rolls-Royce Allison, Indianapolis, IN
Spectrum Aeromed, Wheaton, MN
Unison (Slick Magneto), Rockford, IL
USAF Projects, Wright-Patterson AFB, OH
Williams International, Walled Lake, MI
Wipaire, Inc., Inver Grove Heights, MN
Woodward Governor Co., Rockford, IL
Xenair, Midland, Ontario, Canada

Wichita Aircraft Certification Office, ACE-115W (ACE-ROC)
Allied Signal Avionics, Olathe, KS
Beech Aircraft Co., Wichita, KS
Boeing Commercial Airplane Group, Wichita, KS
Cessna Aircraft Co., Wichita, KS
Collins Division Rockwell International, Cedar Rapids, IA
Garmin Avionics, Olathe, KS
Kings Engineering Fellowship, Orange City, IA
Learjet Inc., Wichita, KS
National Ballooning, Indianola, IA
RANS Aircraft, Hays, KS

PART 4. AIRCRAFT CERTIFICATION DIRECTORATES
AND THEIR RESPONSIBILITIES (continued)

Wichita Aircraft Certification Office, ACE-115W (ACE-ROC) (continued)
Raytheon Aircraft Co. (Beech, Beechjet, Hawker), Wichita, KS
Rockwell Collins Communications and Avionics, Cedar Rapids, IA
Sabreliner, Inc., St. Louis, MO

c. ENGINE AND PROPELLER DIRECTORATE (14 CFR 33 AND 35)

Directorate Headquarters: New England Region, ANE-1
Engine and Propeller Directorate, ANE-100
Engine and Propeller Standards Staff, ANE-110 (ANE-ROC)

Boston Aircraft Certification Office, ANE-150 (ANE-ROC)
Hamilton Standard, Windsor Locks, CT
Kaman, Bloomfield, CT
Revo Inc., Sanford, ME
Sikorsky, Stratford, CT
Foreign Propeller Manufacturer Certification Responsibility

Engine Certification Office, ANE-140 (ANE-ROC)
CFM Company, Phoenix, AZ
CFM International, Cincinnati, OH
General Electric, Cincinnati, OH
General Electric, Lynn, MA
International Aero Engines, Ltd., E. Hartford, CT
Pratt & Whitney Aircraft, E. Hartford, CT
Foreign Engines Certification Responsibility

New York Aircraft Certification Office, ANE-170 (AEA-ROC)
Boeing Helicopter, Philadelphia, PA
Bombardier Canadair, Canada
Bombardier deHavilland, Canada
Grumman, Bethpage, NY
Sensenich Corp., Lancaster, PA
Schweitzer Aircraft Corp., Elmira, NY
Taylorcraft, Lock Haven, PA
Textron Lycoming, Williamsport, PA
Foreign Aircraft Certification Responsibility (except engines and propellers), Canada

PART 4. AIRCRAFT CERTIFICATION DIRECTORATES
AND THEIR RESPONSIBILITIES (continued)

d. ROTORCRAFT DIRECTORATE (14 CFR 27 AND 29)

Directorate Headquarters: Southwest Region, ASW-1
Rotorcraft Directorate, ASW-100
Rotorcraft Standards Staff, ASW-110 (ASW-ROC)
Foreign Rotorcraft

Airplane Certification Office, ASW-150 (ASW-ROC)
Air Tractor, Inc., Olney, TX
Aircraft Parts and Development Corp., Laredo, TX
Commander Aircraft Co., Oklahoma City, OK
DeVore Aviation, Albuquerque, NM
EMAIR, Harlingen, TX
Fairchild Aircraft Corp., San Antonio, TX
Frakes Aviation, Cleburne, TX
Mitsubishi Heavy Industries America, Dallas, TX
Mooney Aircraft Corp, Kerrville, TX
Regal Air Inc., Mount Pleasant, TX
Sino-Swearingen Aircraft Co., San Antonio, TX
Sino-Swearingen Aircraft and Related Product Certification, Mexico

Rotorcraft Certification Office, ASW-170 (ASW-ROC)
Bell Helicopter Textron, Ft. Worth, TX
Brantly Helicopter Industries USA Co., Ltd.; Vernon, TX
Erickson Air-Crane Co., Central Point, OR

Special Certification Office, ASW-190 (ASW-ROC)
Sky Power Balloons, Vadito, NM

e. GEOGRAPHICAL RESPONSIBILITIES FOR CIVIL AERONAUTICAL PRODUCT CERTIFICATION IN FOREIGN COUNTRIES

For all engines and propellers manufactured outside the United States, contact the **Boston ACO** at:

Manager, Boston Aircraft Certification Office, ANE-150
Federal Aviation Administration
12 New England Executive Park
Burlington, MA 01803
Telephone: (617) 272-7118
Telefax: (617) 272-7269

PART 4. AIRCRAFT CERTIFICATION DIRECTORATES
AND THEIR RESPONSIBILITIES (continued)

e. GEOGRAPHICAL RESPONSIBILITIES FOR CIVIL AERONAUTICAL PRODUCT CERTIFICATION IN FOREIGN COUNTRIES (continued)

For aircraft and related products (other than engines and propellers) manufactured in Canada, contact the **New York ACO** at:

Manager, New York Aircraft Certification Office
Federal Aviation Administration
181 South Franklin Avenue, Room 202
Valley Stream, NY 11581
Telephone: (516) 791-6680
Telefax: (516) 791-9024

For aircraft and related products (other than engines and propellers) manufactured in Europe, Africa, and the Middle East (i.e., Austria, Belgium, Czechoslovakia, Denmark, Finland, France, Germany, Israel, Italy, the Netherlands, Norway, Poland, Rumania, South Africa, Spain, Sweden, Switzerland, and the United Kingdom) contact the **Brussels ACO** at:

Manager, Aircraft Certification Staff
Federal Aviation Administration
15 Rue de la Loi (3rd Floor)
B-1040
Brussels, Belgium
Telephone: 011-322-513.38.30 ext. 2710
Telefax: 011-322-230-0534
Telex: 64096 FAA B

Mail address from United States:
c/o American Embassy
APO AE 09724

PART 5. INVESTIGATION EQUIPMENT

The diversity of aircraft accidents makes it difficult to have all the necessary equipment available. Certain items commonly used in every investigation should be kept in readiness. Accidents in remote areas require special consideration of the provision for shelter, food, and water. Remember, the investigator's kit has to be carried. Do not overload it with unnecessary or duplicate items. Many improvisations can be made in the field.

a. Proper clothing should be the first consideration; good serviceable clothing capable of standing rough usage is recommended. Selection should be appropriate to climate and environment:

1. Footwear (steel-toed shoes or boots, rubber overboots, or waterproof boots).

2. Gloves (leather work gloves and disposable rubber or latex gloves).

3. Coveralls and/or hooded sweatshirt and coat or jacket.

4. Headgear (hardhat, stocking cap, and/or FAA hat).

b. Other personal items:

1. Canteen, thermos, and/or sports drinks containing electrolytes needed to maintain good chemical balance in the body and avoid dehydration.

2. Sunglasses and safety goggles.

3. First-aid kit, snakebite kit, and first-aid instructions.

4. Insect repellant, lip protectant, and sunscreen lotion.

5. Candy bars, gum, cookies, or other quick-energy foods.

c. The following items are commonly used in investigations:

1. Magnetic compass, small protractor, and Abney level to measure angles of impact.

2. Measuring tape (50 foot or longer) and 6" ruler to put in camera's view.

3. Magnifying glass (10X or stronger).

4. Marking pens, grease pencils, and chalk sticks.

5. Handtools including screwdrivers, pliers, adjustable wrench, tin snips, vice grip, survival knife, crowbar, hacksaw (with spare blades), diagonal cutters, etc.

PART 5. INVESTIGATION EQUIPMENT (continued)

6. Flashlight, spare batteries, and spare bulb.

7. Camera including film, flash attachment, and spare batteries.

8. Tape recorder, extra blank tapes, and spare batteries.

9. Steno pad, clipboard, ruled paper, graph paper, pencils, and pens.

10. NTSB and FAA accident report forms.

11. Parts tags with string or wire (NTSB Forms 6120.15 and 6120.18 and FAA Form 8020-2).

12. Passenger and Witness Statements (NTSB Forms 6120.9 and 6120.11) for interviews.

13. FAA Order 8020.11B; Title 49 United States Code, and Sections 830 and 831 of NTSB regulations.

14. Grid, county, or state highway maps and sectional (navigational) map.

15. Investigator's checklists.

16. Clean containers for fuel and oil samples.

17. Small amount of wire, tape, string, or nylon cord to tie and/or secure things.

18. Toxicology Mailing Kit (tox box with proper mailing label).

19. Small, handheld mirror to look in small, inaccessible locations.

20. Small wire or stiff-bristled brush.

21. Plastic bags (various sizes for small parts).

22. Biohazard equipment

PART 6. FORM USED BY REGIONAL AIRPORTS DIVISION

FAA Form 8020-25, Investigation of Vehicle or Pedestrian Deviation Report

INVESTIGATION OF VEHICLE OR PEDESTRIAN DEVIATION REPORT

Incident Report Number: V E A T Z Z I 9 9 0 0 1

The Airports Division Office will complete this form after receiving FAA Form 8020-24 vehicle or pedestrian deviation (V/PD) report from air traffic control. Complete and distribute according to the instructions on page 2.

1. Date, Time, and Location of Deviation
   - A. Local Date (M M D D Y Y) 0 7 2 3 9 9
   - B. Local Time 1256
   - C. Airport ID at Surface Incident Location: Z Z I

2. Type of Deviation (*Select one*):
   - A. ☐ Vehicle (excludes bicycles; includes aircraft being repositioned)
   - B. ☒ Pedestrian (includes bicycles)

3. Airport Certificated Under Part 139 of FAA Regulations
   - A. ☐ Yes, *Specify* A1. ☐ Full or A2. ☐ Limited
   - B. ☐ No

4. Deviator Was (*Mark one*):
   - A. ☒ Not Authorized to be on the Airfield (*Skip to Item 8*)
   - B. ☐ Authorized to be on the Airfield, but not on the Movement Area
   - C. ☐ Authorized to be on the Movement Area
   - D. ☐ Unknown (*Skip to Line 10*)

5. Airport Offers Driver Training Program (*Mark one*):
   - A. ☐ Yes
   - B. ☐ No

   Driver Completed Training Program
   - A. ☐ Yes, When _____
   - B. ☐ No
   - C. ☐ Unknown

6. Airport Training or Procedures Contributed to V/PD (*Mark all that apply*):
   - A. ☐ Driver Training Program
   - B. ☐ Driver Familiarization
   - C. ☐ Airport Operational Procedures

7. The Driver or Pedestrian Had Inadequate Knowledge or Experience With (*Mark all that apply*):
   - A. ☐ English Language
   - B. ☐ Airport Layout
   - C. ☐ Signs, Markings, Signals, or Lighting (*Specify*): _____
   - D. ☐ ATC Movement Area Procedures
   - E. ☐ ATC Terminology or Phraseology
   - F. ☐ Unknown
   - G. ☐ Other (*Specify*): _____
   - H. ☐ None of the Above, Driver or Pedestrian Knowledge or Experience Not a Factor

8. Facilities, Construction, or Conditions That Contributed to V/PD (*Mark all that apply*):
   - A. ☒ Unlocked or Open Gates
   - B. ☐ Inadequate Fence, *Specify*: _____
   - C. ☐ Signs, Markings, Signals, or Lighting (*Specify*): _____
   - D. ☐ Conditions Outside Movement Area, *Specify*: (e.g., weather, construction) _____
   - E. ☐ Movement Area Conditions, *Specify*: (e.g., weather, construction) _____
   - F. ☐ Unknown
   - G. ☐ Other, *Specify*: _____
   - H. ☐ None of the Above, Facilities, Construction, or Conditions Not a Factor

9. Investigation Indicates Driver or Pedestrian (*Mark all that apply*):
   - A. ☐ Was Unable to Locate Route
   - B. ☒ Was Disoriented or Lost
   - C. ☐ Did Not Observe Markings, Signals, or Lighting
   - D. ☐ Did Not Follow Movement Area Procedures
   - E. ☐ Did Not Follow Route Assigned by ATC
   - F. ☐ Did Not Follow Other ATC Instructions, *Specify*: _____
   - G. ☐ Took Inadvertent or Unplanned Actions
   - H. ☐ Forgot to Request Clearance
   - I. ☐ Believed He/She Was Cleared
   - J. ☐ Was Distracted, *Specify*: _____
   - K. ☐ Details Not Known to the Inspector
   - L. ☐ Other, *Specify*: _____
   - M. ☐ None of the Above

FAA Form 8020-25 (5-99) Page 1 NSN: 0052-00-922-5000

10. Corrections and Additions to FAA Form 8020-24 (*Specify item number and new information*):

11. Description of V/PD and Comments With Recommendations, *if any*:

12. Attachment(s):
- A. ☒ FAA Form 8020-24 (REQUIRED)
- B. ☐ Other(s), *Specify*:

13. Action(s) Taken or Planed (*Mark all that apply*):
- A. ☐ No Part 139 Violations
- B. ☐ Letter of Investigation, *Specify Date*:
- C. ☐ Enforcement Action by Airport Operator
- D. ☒ Procedural Changes
- E. ☐ Capital Development
- F. ☐ Other, *Specify*:
- G. ☐ None

14. Investigating Airports Division Office:
Routing Symbol | A | E | A | - | 3 | 1 | 1 | D |

15. Inspector Completing Form:
- A. Name Sherry Jacks
- B. Signature Sherry Jacks
- C. Date | 0 | 7 | 2 | 6 | 9 | 9 | (M M D D Y Y)
- D. Phone No. | 2 | 1 | 5 | - | 6 | 8 | 3 | - | 5 | 6 | 3 | 5 |

16. Report Distributed To:
- A. FAA Region: | A | E | A |
  Including Regional Division Offices:
  Airports, Air Traffic, and Flight Standards
  (*Only if 7A on Form 8020-24 is checked*).

  Including:
  Airport Manager, ATP-20, AAS-300,
  ATX-400, and AAT-210.
- B. Other(s), *Specify*:

INSTRUCTIONS

Within 90 calendar days of the receipt of FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report, indicating the occurrence of a V/PD at an airport certificated under 14 CFR 139, FAA Form 8020-25 will be completed. FAA Form 8020-25 must be assigned the same incident report number as the corresponding FAA Form 8020-24. Instructions on distribution of FAA Form 8020-25 are in FAA Order 8020.11, Aircraft Accident and Incident Notification, Investigation, and Reporting.

The inspector completing FAA Form 8020-25 will attempt to ensure that all information reported on FAA Form 8020-24 is complete. If any information on FAA Form 8020-24 is incomplete or inaccurate, the inspector will provide additions or corrections to that information, if it becomes known, in Item 10.

Complete all items. If the categories given are inadequate, complete "Other, Specify." Sign and date the form (Item 15) before distribution.

APPENDIX 2. EXAMPLES OF FORMAL ACCIDENT PACKAGE AND OTHER FORMS USED BY AIR TRAFFIC

PART 1. FORMAL ACCIDENT PACKAGE

PART 2. INCIDENT FORMS

a. Accident Package Labeling.

Assemble package in a top-fastening hard cover binder with a cover label, dividers, and sections. Affix a gummed label (maximum size 3" x 5") to the front cover. The label shall be clearly marked "AIRCRAFT ACCIDENT PACKAGE" with the facility accident number, aircraft registration or flight number, aircraft type, accident UTC date and UTC time, and the UTC date the package is to be destroyed (the original accident package -- 5 years; copies of the original package -- 2½ years).

Example of label on original:

AIRCRAFT ACCIDENT PACKAGE
ARV-ATCT-004
N1234A, BE35
March 9, 2003, 1832 UTC
Destroy: March 9, 2008 UTC

Example of label on copy of the original:

AIRCRAFT ACCIDENT PACKAGE
ARV-ATCT-004
N1234A, BE35
March 9, 2003, 1832 UTC
Destroy: September 9, 2005 UTC

AIRCRAFT ACCIDENT PACKAGE
ARV-ATCT-004
N1234A, BE35
March 9, 2003, 1832 UTC
Destroy: March 9, 2008 UTC

b. Package Divider Sheet.

Insert a sheet of plain bond paper between each section with the section number and title of the section centered on the page. If the information called for by a specific section is unavailable or not pertinent, use that section number for the next required item so that the numbers remain in sequence. All information in each section shall be in the chronological order of flight. Every page shall reference the accident number and aircraft registration or flight number.

Section 1.
Table of Contents

c. Table of Contents.

Select appropriate items necessary for each package and assemble in the order listed. The table of contents included is an example of items for inclusion in a typical accident package. If the documentation dictates more or fewer items be included, adjust the number of the section accordingly (paragraph 72c). The table of contents should list only those items included in the package; i.e., if Section 14 only includes PIREP's, do not list NOTAM's, SIGMET's, and AIRMET's.

The accident package data received from other facilities shall be incorporated behind the appropriate sections; i.e., normal services statement(s), personnel statements, etc. Arrange this material and forms from other facilities under the appropriate section and in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement.

SECTION 1.	Table of Contents
SECTION 2.	FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)
SECTION 3.	Certified Indexes and Normal Service Statement(s)
SECTION 4.	FAA Form 7230-4, Daily Record of Facility Operation
SECTION 5.	Personnel Logs
SECTION 6.	FAA Form 7230-10, Position Logs (*or automated equivalent*)
SECTION 7.	Facility Layout Chart
SECTION 8.	Airport Diagram
SECTION 9.	Flight Progress Strips (*state form numbers and names of each*)
SECTION 10.	Transcriptions of Voice Recordings
SECTION 11.	FAA Form 8020-3, Facility Accident/Incident Notification Record
SECTION 12.	Personnel Statements
SECTION 13.	Weather Products
SECTION 14.	Non-published NOTAM's
SECTION 15.	FAA Form 7233-2, Preflight Briefing Log (*or automated equivalent*)
SECTION 16.	FAA Form 7233-1, Flight Plan, (*or automated equivalent*)
SECTION 17.	Other

TABLE OF CONTENTS

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Section 2.
FAA Form 8020-6, Report of Aircraft Accident,
and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)

d. FAA Form 8020-6, Report of Aircraft Accident.

The form consists of six copies and a cover sheet The cover sheet should be used for the preparation of a draft report by the specialist or supervisor on duty at the time of the accident The report shall be typewritten in clear language Do not use symbols and/or abbreviations The draft shall be destroyed at the time the typewritten FAA Form 8020-6 is signed Since the carbon copies are often difficult to read, the facility may elect to photocopy the original typewritten page

REPORT DATE The date the report is written or rewritten This might not be the date it was typed The report number will be the accident report number as explained in paragraph 68 The name of the reporting facility is listed as done in the example Facility name (three-letter identifier in parenthesis), then the facility type (ATCT, AFSS, etc) Example Airville (ARV) ATCT, Bridgeport (BDR) AFSS

LOCATION OF ACCIDENT (i e , distance to nearest town or airport, distance from runway, location on airport, etc , do not use latitude/longitude)

NATURE OF ACCIDENT A brief statement of the nature of the accident shall be included if known Examples midair or taxiing collisions, landed with gear up, crashed on final approach When the information is not known or can only be surmised, enter "unknown "

TYPE OF FLIGHT State briefly the nature of flight and type of flight plan on which the aircraft was operating Examples local VFR, cross-country, no flight plan, and IFR flight plan

FLIGHTCREW Enter the name of each flight crewmember, his or her position (examples pilot, flight engineer, flight attendant), address (city and State only), and extent of injury Give extent of injuries as known at time of report preparation Do not delay report for later information

PASSENGER DATA Include, if available, names, addresses (city and State only), extent of injuries Do not include flightcrew information (see Item 6) Do not delay report for later information

WEATHER DATA Weather data must be written out in plain language Numbers shall be spelled out The first section shall identify what the actual conditions were at the scene of the accident If conditions/reports are not available at the scene, identify and use the nearest reporting station If available, use pilot reports Section 2 shall state the last reported weather prior to the accident Section 3 shall state the first report subsequent to the accident Some type of weather report must be included in each section The time in the larger boxes ("Conditions in Accident Area at Time of Accident," "Report Just Prior to Accident," and "First Report subsequent to Accident") shall be reported in local time The date and time in the smaller boxes ("Date and Time') shall be UTC date and UTC time The statement "weather not available" or "not applicable" shall not be used if the date, time, or location of the accident are known

AIR TRAFFIC PERSONNEL INVOLVED List the names of personnel involved (described in paragraph 75a) in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement Personnel at facilities providing normal service statements are not listed in this section All personnel listed in this section shall also have a personnel statement in the accident package Indicate the position of operation occupied by each person listed List the facilities involved and if any of the persons listed were accident witnesses If additional space is needed to list personnel, enter them in item 14, FAA Form 8020 6-1 (see Appendix 2) The operating initials for each controller shall be typed to the right of their name and enclosed in parenthesis Type an asterisk to the left of the first set of operating initials and type a notation at the bottom of the name block (see Appendix 2)

SIGNATURE OF AIR TRAFFIC MANAGER The AT manager or the acting AT manager shall sign this block

RIS AT 8020 6

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

REPORT OF AIRCRAFT ACCIDENT

REPORT DATE	REPORT NO
March 10, 2003	ARV-ATCT-004

NAME OF REPORTING FACILITY: Airville (ARV) ATCT

1 AIRCRAFT TYPE AND IDENTIFICATION	2 DATE/TIME OF ACCIDENT (GMT)	3 LOCATION OF ACCIDENT
Beechcraft Bonanza (BE35), N1234A	March 9, 2003, 1832 UTC	Airville Airport, AR , 1500 feet southwest from approach end of runway four

4 NATURE OF ACCIDENT	5 TYPE OF FLIGHT
Crashed on final approach	Cross country - IFR Flight Plan

6 FLIGHT CREW

NAME	POSITION	ADDRESS (CITY AND STATE)	UNINJURED	INJURED	FATALITY
R L Smith	Pilot	Airville, AR		X	

7 PASSENGER DATA (If available list names, addresses, extent of injuries and other information on continuation sheet)	NUMBER ABOARD AIRCRAFT	NUMBER UNINJURED	NUMBER INJURED	NUMBER FATALITIES
	3	1	2	0

8 AIRCRAFT DAMAGE	9 PROPERTY DAMAGE
Destroyed	Utility Power Pole

10 OPERATING STATUS OF NAVIGATIONAL AIDS/LIGHTS/COMMUNICATIONS: Normal

11 WEATHER DATA

CONDITIONS IN ACCIDENT AREA AT TIME OF ACCIDENT:
Airville Special - 1220 CST: wind zero degrees at seven knots, visibility one statute mile, light snow, ceiling one thousand overcast, altimeter three zero zero seven

REPORT JUST PRIOR TO ACCIDENT	DATE/TIME
Airville Special - 1220 CST: wind zero three zero degrees at seven knots, visibility one statute mile, light snow, ceiling one thousand overcast, altimeter three zero zero seven	03/09/03 1820 UTC
FIRST REPORT SUBSEQUENT TO ACCIDENT	**DATE/TIME**
Airville Special - 1237 CST: wind zero three zero degrees at seven knots, visibility one statute mile, light snow, ceiling nine hundred broken, temperature one, dew point zero, altimeter three zero zero seven	03/09/03 1837 UTC

12 ATS PERSONNEL INVOLVED

NAME	FACILITY	OPERATING POSITION	CHECK IF EYEWITNESS
Fred R Folum *(KO)	ARV ATCT	Approach Control	
Archie Who (WO)	ARV ATCT	Local Control	X
*Operating Initials			

13 SIGNATURE OF FACILITY CHIEF
E Ketchok
E Ketchok

FAA Form 8020 6 (7 70) Formerly FAA Form 2452 PAGE 1 of 2 PAGES

e. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet).

A complete summary of the entire flight shall describe all pertinent communications, emergency assistance, and other AT services provided to the aircraft. Each facility having "worked" or having "contact" with the subject aircraft shall submit FAA Form 8020-6-1.
These forms shall be placed in Section 2 and in the chronological order of flight.

At the beginning of the chronology, type the UTC date of the aircraft accident, then two lines below the date center the statement "**ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED.**"

Use the continuation sheets to list any information for which insufficient space is provided on the first page of the form. Items continued from page 1 shall be numbered, captioned, and marked "continued" to correspond with the continued item. Example: "8. Aircraft Damage, Continued."

This page does not have a signature block at the bottom.

At the end of the written report, type an underscore line completely across the page and directly under this type, "No more follows" (paragraph 74b(11)). Example:

No More Follows

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT (Continuation Sheet)	REPORT DATE March 10, 2003	REPORT NO ARV-ATCT-004
	NAME OF REPORTING FACILITY Flyway (FLY) FSS	

14. CHRONOLOGICAL SUMMARY OF FLIGHT

March 9, 2003

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

1610 The pilot of N1234A called the Flyway FSS by telephone, obtained a preflight pilot brief for an IFR flight from Flyway, OK, via V999 to Airville, AR, and filed an IFR flight plan.

1628 The pilot of N1234A called the Flyway FSS by radio requesting airport advisory service and IFR clearance was issued by the Fort Worth ARTCC, Flyway V999 Airville, maintain 7,000.

1630 N1234A departed Flyway airport and the pilot left Flyway FSS frequency to establish radio contact with Fort Worth ARTCC.

No More Follows

FAA Form 8020-6-1 Page 1 of 1 Pages

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DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT (Continuation Sheet)	REPORT DATE March 10, 2003	REPORT NO ARV-ATCT-004
	NAME OF REPORTING FACILITY Fort Worth ARTCC (ZFW)	

14. CHRONOLOGICAL SUMMARY OF FLIGHT

March 9, 2003

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

1628 The pilot of N1234A called the Flyway FSS by radio requesting airport advisory service and IFR clearance was issued by the Fort Worth ARTCC, Flyway V999 Airville, maintain 7,000.

1630 N1234A departed Flyway airport and the pilot established radio contact with Fort Worth ARTCC.

1631 N1234A climbed to 7,000 feet and proceeded to fly V999 level at 7,000 feet without incident or comment from the pilot.

1755 N1234A was handed off from Fort Worth ARTCC to the Memphis ARTCC.

No More Follows

FAA Form 8020-6-1 Page 1 of 1 Pages

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DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT (Continuation Sheet)	REPORT DATE March 10, 2003	REPORT NO ARV-ATCT-004
	NAME OF REPORTING FACILITY Memphis ARTCC (ZME)	

14 CHRONOLOGICAL SUMMARY OF FLIGHT

March 9, 2003

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

1755 N1234A was handed off from Fort Worth ARTCC to the Memphis ARTCC.

1756 N1234A proceeded to fly V999 level at 7,000 feet without incident or comment from the pilot.

1820 N1234A was handed off from the Memphis ARTCC to the Airville Approach Control.

No More Follows

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DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT (Continuation Sheet)	REPORT DATE March 10, 2003	REPORT NO. ARV-ATCT-004
	NAME OF REPORTING FACILITY Airville (ARV) ATCT	

14. CHRONOLOGICAL SUMMARY OF FLIGHT

March 9, 2003

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

1820 N1234A was handed off from the Memphis ARTCC to the Airville Approach Control and was vectored for an ILS approach. A clearance to descend to 3,000 was issued.

1821 N1234A reported leaving 7,000.

1827 N1234A was cleared for ILS approach to runway 4.

1829 N1234A reported over the outer marker. N1234A was then cleared to land and given the weather. N1234A acknowledged the information. No further communications were received.

1832 N1234A crashed 1,500 feet from the approach end of runway 4 after striking a utility power pole.

6. Flight Crew, Continued.
Pilot. minor injury

7. Passenger Data. Continued.
Mary Carmichael, Airville, AR., serious
John Jones, Airville, AR., broken leg, face lacerations
Betty Jones, Airville, AR., none

No More Follows

FAA Form 8020-6-1 Page 2 of 2 Pages

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ARV-ATCT-004
N1234A

Section 3.
Certified Indexes and Normal Service Statements

f. Certified Indexes.

The certified index shall list each item that is retained in its original form in the facility files or package. This shall also include computer data and voice recordings and/or re-recordings being retained as a result of the accident. Certified indexes must be dated.

A certified index on plain bond paper listing each document being held by the facility to support a normal service statement (paragraph 69). Using the following format:

"I hereby certify that the following originals are on file in this office."

The facility manager (or the manager's designee) shall certify all copies of original records. This means the signature must match the underlying typed name; i.e., the assistant manager cannot sign for the air traffic manager. The signature shall be over his/her typed name, title, and name of facility as shown in the example (paragraph 72c(5)).

The certification may be accomplished by preparing a certified index listing each document or by certifying each document.

The statement: "I hereby certify that the following copies of records are true copies of originals which are on file in this office" is used when other than a normal service statement was provided by the facility.

ARV-ATCT-004
N1234A

CERTIFIED INDEX

March 10, 2003

I hereby certify that the following copies of records are true copies of originals which are on file in this office.

FAA Form 8020-9
FAA Form 8020-6
FAA Form 8020-6-1
FAA Form 7230-4
Personnel Logs
FAA Form 7230-10
FAA Form 7230-8
FAA Form 8020-3
Facility Layout Chart
Airport Diagram
Personnel Statements
Original Voice Recording(s)

Evan Ketchock

Evan Ketchock
Air Traffic Manager
Airville ATCT

g. Normal Service Statement(s).

Facilities that provided normal services to the subject aircraft and did not either: have control over the aircraft just prior to or at the time of the accident; and/or have pertinent transmissions, may, after coordination with the facility responsible for preparing the AT accident file (paragraph 67), submit a normal service statement.

A NORMAL SERVICE CERTIFICATION REQUIRES THREE SEPARATE DOCUMENTS.

1. Memorandum;
2. Certified Index; and
3. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)

Those facilities providing normal services must provide a memorandum (Order 1360.16, FAA Correspondence Manual) certified by the facility manager (or manager's designee) that:

"All services provided by (name of facility) were normal, and there were no pertinent transmissions."

NOTE: The memorandum that is sent to the responsible facility will have an ORIGINAL SIGNATURE on it. This is one of those rare occasions in which an original document will leave your facility regarding an aircraft accident. Remember to make a photocopy of the original memorandum for your accident file.

Personnel at facilities providing normal service certifications do not need to provide personnel statements to the responsible facility. Personnel statements from the air traffic control specialist(s) involved shall be prepared and kept in the facility's file.

ARV-ATCT-004
N1234A

U S. Department
of Transportation
Federal Aviation
Administration

Memorandum

Subject: **INFORMATION:** Normal Service Statement; Reference Aircraft Accident; N1234A; Airville, AR; March 9, 2003

Date: March 11, 2003

From: Manager, Flyway FSS, FYY-1

Reply to
Attn. of:

To: Airville ATCT

All services provided by Flyway FSS were normal, and there were no pertinent transmissions.

Bobby R. Norris

Bobby R. Norris

2 Attachments
Certified Index
FAA Form 8020-6-1

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ARV-ATCT-004
N1234A

CERTIFIED INDEX

March 10, 2003

I hereby certify that the following originals are on file in this office.

FAA Form 7230-4
FAA Form 7230-10
FAA Form 7233-1
FAA Form 7233-2
FAA Form 8020-6-1
Personnel Statements
Personnel Log
Original Voice Recording(s)
Certified Cassette Re-recording(s)

Bobby R. Norris

Bobby R. Norris
Air Traffic Manager
Flyway FSS

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ARV-ATCT-004
N1234A

U.S. Department
of Transportation
Federal Aviation
Administration

Memorandum

Subject: **INFORMATION:** Normal Service Statement; Reference Aircraft Accident; N1234A; Airville, AR; March 9, 2003

Date: March 11, 2003

From: Manager, Fort Worth ARTCC, ZFW-1

Reply to
Attn. of:

To: Airville ATCT

All services provided by Fort Worth ARTCC were normal, and there were no pertinent transmissions.

Leonard Davis

Leonard Davis

2 Attachments
Certified Index
FAA Form 8020-6-1

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ARV-ATCT-004
N1234A

CERTIFIED INDEX

March 10. 2003

I hereby certify that the following originals are on file in this office.

FAA Form 7230-4
FAA Form 7230-10
Personnel Logs
FAA Form 8020-6-1
Flight Progress Strips
Personnel Statements
Original Voice Recording(s)
Certified Cassette Re-recording(s)

Leonard Davis

Leonard Davis
Air Traffic Manager
Fort Worth ARTCC

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ARV-ATCT-004
N1234A

U.S. Department
of Transportation
Federal Aviation
Administration

Memorandum

Subject: INFORMATION: Normal Service Statement; Reference Aircraft Accident; N1234A; Airville, AR; March 9, 2003

Date: March 11, 2003

From: Manager, Memphis ARTCC, ZME-1

Reply to
Attn. of:

To: Airville ATCT

All services provided by Memphis ARTCC were normal, and there were no pertinent transmissions.

Carole J. Biggio

Carole J. Biggio

2 Attachments
Certified Index
FAA Form 8020-6-1

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ARV-ATCT-004
N1234A

CERTIFIED INDEX

March 10, 2003

I hereby certify that the following originals are on file in this office.

FAA Form 7230-4
FAA Form 7230-10
FAA Form 8020-6-1
Flight Progress Strips
Personnel Logs
Personnel Statements
Original Voice Recording(s)
Certified Cassette Re-recording(s)

Carole J. Biggio

Carole J. Biggio
Air Traffic Manager
Memphis ARTCC

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Section 4.
FAA Form 7230-4, Daily Record of Facility Operation

h. FAA Form 7230-4, Daily Record of Facility Operation.

Include a copy of FAA Form 7230-4, Daily Record of Facility Operation. Ensure that all required information is filled in correctly as described in Order 7210.3, paragraph 4-6-4. The facility manager or designee shall initial the form in the space provided. Do not correct any mistakes on the form.

If there are any equipment outages listed that may relate to the accident, be sure they are included on FAA Form 8020-6, Item 10.

The aircraft accident shall be annotated in the remarks section by the facility receiving initial notification of an accident.

Facilities shall compare the accuracy of the automated radar terminal system (ARTS) clock with its time source and also compare the voice recorder equipment clock with the ARTS clock. The results of these findings shall be noted on FAA Form 7230-4, Daily Record of Facility Operation.

ARV-ATCT-004
N1234A

PAGE NO 1

DAILY RECORD OF FACILITY OPERATION

DATE 03/09/03

LOCATION	IDENTIFICATION	TYPE FACILITY	OPERATING POSITION	CHECKED BY	CHIEF
Airville, Arkansas	ARV	ATCT	Area Manager	TR	EX

	TIME (GMT)	REMARKS
	0600	CS on. Previous 7230-4 data noted. WCLC.
E	0710	Frequency 124.1 weak, both receivers.
	1400	IW on.
	1415	WCLC.
E	1645	Line GS-471 inop. Telco. adzd.
E	1659	Line GS-471 ok.
Q	1832	Aircraft accident N1234A Beechcraft Bonanza.
	1833	ARTS clock checked. Voice recorder checked. ARTS clock found to be 2 seconds slower than voice recorder
	2200	TR on.
	2240	WCLC.
	2258	LOC ok.
	0106	DF net check - all ok.
	0559	COB.

I CERTIFY that entries above are correct, that all scheduled operations have been accomplished except as noted, and that all abnormal occurrences and conditions have been recorded

SIGNATURE OF WATCH SUPERVISOR(S)

Chris Soucy Ivon S. Way

John Beeler

FAA Form 7230-4 (4-82) Supersedes previous edition

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Section 5.
Personnel Logs

i. Personnel Logs.

Include the facilities sign in/out personnel logs or the automated equivalent.

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N1234A

PERSONNEL LOG	1 REGION			2 IDENT			3 FACILITY NAME							4 DATE		
	A	S	W	A	R	V	A	R	V		A	T	C	T	03	09	03

5 NAME	6 CODE	7 INITIALS	8 TIME ON	9 TIME OFF	10 HRS + MIN ON DUTY	11 HRS + MIN LEAVE	12 HRS + MIN NON POS DUTIES	13 REMARKS	14 REMARKS
Chris Soucy Chris Soucy	S	CS	0600	1400	08+00			DESK	Lunch
Ivon Way Ivon S. Way	S	IW	1400	2200	08+00		03+50	DESK	Lunch
Fred Woods S Fred Woods	S	SW	0748	1600	08+20		02+20	DESK	Lunch
John Beeler John Beeler	S	TR	2200	0600	08+00		01+50	DESK	Lunch
Mary Adams Mary Adams	C	MA	2250	0700	08+10		00+50	ALL	Lunch
Heather Biblow Heather J Biblow	C	HB	1600	0000	08+00		00+50	GC	Lunch
Mary Bradley Mary Bradley	C	MB	1600	0000	08+00		01+60	GC	Lunch
Sharisse Crawley Sharisse Crawley	C	SC	0750	1500	08+10		00+50	LC	Lunch
M Durham Mike Durham	C	MD	1300	2100	08+00		00+60	DEPT	Lunch
Fred Folum Fred R. Folum	C	KO	1345	2200	08+20		00+50	ARR	Lunch
Don Gray Don Gray	C	DC	0750	1600	08+10		00+50	DEPT	Lunch
Tony Mello Tony Mello	C	TM	0750	1550	08+00		00+50	ARR	Lunch
Stephanie Myers Stephanie R. Myers	C	IN	1000	1600	06+00	02+00	02+30	ALL	Lunch
Brenda Pitts Brenda Pitts	C	BP				08+00			
Joe Terry Joe Terry	C	DF	1545	0000	08+20		01+10	CD	Lunch
Gina Vicic Gina Vicic	C	RV	0700	1500	08+00		00+50	DEPT	Lunch
D. B Widdowfield Donald B. Widdow-field	C	DW	1200	1600	04+00	04+00		ALL	Lunch
Archie Who Archie Who	C	WO	1245	2200	08+00		00+50	LC	Lunch

ARV ATCT Form 7230-4

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N1234A

Section 6.
FAA Form 7230-10, Position Logs

j. FAA Form 7230-10, Position Logs *(or automated equivalent).*

Include only pertinent forms.

Attach to plain bond paper to reproduce.

Arrange forms in the order of participation.

Be sure that the facility name and date are filled in at the top of the form.

If an automated form is used, a current and valid copy of the waiver must be on file at the facility.

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N1234A

POSITION LOG

1 FACILITY ID	2 POSITION IDENTIFIER	3 POS TYPE	4 DATE
A R V		L C	0 3 0 9 0 3

5 TIME ON	6 INITIALS	7 TIME OFF	8 CODE	WHERE COMBINED 9 POSITION IDENTIFIER	WHERE COMBINED 10 POSITION TYPE
0 6 0 0	M A	1 3 5 5	C		
1 3 5 6	S C	1 6 0 5	C		
1 6 0 6	I N	1 8 0 1	C		
1 8 0 2	W O	1 8 4 0	C		
1 8 4 1	S C	2 0 5 0	C		
2 0 5 1	D W	2 2 0 0	C		
2 2 0 1	W O	0 1 1 6	C		
0 1 1 7	D W	0 2 2 2	C		
0 2 2 3	I W	0 4 0 9	C		
0 4 1 0	G S	0 4 5 9	C		
0 5 5 0	D B	0 5 5 9	C		

CODE	C = ATCS or FDS is responsible for position S = Supervisor, staff specialist, manager is responsible for position T = Person signed on is receiving OJT

FAA Form 7230-10 (8-83) Page 1

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N1234A

POSITION LOG

1 FACILITY ID	2 POSITION IDENTIFIER	3 POS TYPE	4 DATE
A R V		A C	0 3 0 9 0 3

5 TIME ON	6 INITIALS	7 TIME OFF	8 CODE	WHERE COMBINED 9 POSITION IDENTIFIER	WHERE COMBINED 10 POSITION TYPE
0 6 0 0		1 3 5 5	C	L C	
1 3 5 6	K O	1 5 3 0	C		
1 5 3 1	M D	1 7 3 9	C		
1 7 4 0	K O	1 8 4 0	C		
1 8 4 1	D F	2 0 0 1	C		
2 0 0 2	K O	2 1 4 5	C		
2 1 4 6	H B	2 3 3 3	C		
2 3 3 4	M B	0 0 0 0	C		
0 0 0 1	T R	0 1 5 5	C		
0 1 5 6	M B	0 5 5 9	C		

CODE
C = ATCS or FDS is responsible for position
S = *Supervisor, staff specialist, manager is responsible for position*
T = Person signed on is receiving OJT

FAA Form 7230-10 (8-83) Page 1

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Section 7.
Facility Layout Chart

k. Facility Layout Chart.

Mandatory for ATCT's, TRACON's, and ARTCC's. Include a facility layout chart in the accident package. Examples of situations in which a facility layout chart may be warranted:

The placement of equipment in the control area affects a certain operation involved in the accident.

An obstruction to vision in the control area was a factor in the accident.

If you are unsure about the requirement to include a facility layout chart, contact your regional specialist.

ARV-ATCT-004
N1234A

INSERT
FACILITY LAYOUT
CHART HERE

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Section 8.
Airport Diagram

l. Airport Diagram.

An airport diagram is for airport surface accidents only (paragraph 72c(8).

The airport diagram shall include the name of the airport.

If the diagram is not to scale, include the statement: "This diagram is not to scale."

ARV-ATCT-004
N1234A

INSERT
AIRPORT DIAGRAM
HERE

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Section 9.
Flight Progress Strips, FAA Form 7230-8, Terminal Cut

m. Flight Progress Strips *(state form numbers and names of each)* and/or In-flight Contact Record.

Attach flight progress strips to plain bond paper for reproducing (paragraph 72c(9)).

Arrange pages in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement.

If an In-flight Contact Record was used, ensure that the facility name and date are completed at the top of the form.

List the forms attached, by name and number, as described below, in the index.

FAA Forms 7230-7.1, Terminal-Continuous With Center Perforation; 7230-7.2, Terminal Continuous Without Center Perforation; 7230-8, Terminal-Cut; 7230-19, ARTCC (Marginally Punched Continuous Strip); 7230-21, FSS; and 7233-5, In-flight Contact Record.

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N1234A

N1234A BE35		1825	BO ARV	R		
	HZ					

FAA FORM 7230-8(5-88)

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Section 10.
Transcriptions of Voice Recordings

n. Transcriptions of Voice Recordings.

Transcripts should be inserted in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement The first page of the transcription shall be on FAA memorandum (Order 1360 16) and be prepared as follows

Subject line should read
INFORMATION (Full/Partial) Transcript
Aircraft Accident, (aircraft identification)
(accident location city state), (UTC date)

Date line shall have the date the transcription was certified and signed

From line shall have the name of the facility preparing the transcription, not the manager s name and title

To line shall state Aircraft Accident File (file/report number)

For the first line of the body of the memorandum type This transcription covers the (facility) (operational position) position for the time period from (UTC date and UTC time) to (UTC date and UTC time)

List the facilities, aircraft and position(s) making transmissions and the standard abbreviation for each Facilities shall be abbreviated by using their three character identifier followed by the appropriate abbreviation (ATCT, AFSS, etc) Air carriers shall be indicated by the company designator and the flight number Agencies making calls are listed in order of involvement When the source of a call is unknown use Unknown' in the body of the transcript and include ' Unknown as an agency in the list Certification by the person making the transcription (not the AT manager unless he or she prepared the transcription) is shown on the sample

The transcription shall be single-spaced Each contact shall be separated by triple spacing If a cardinal minute is indicated between contacts it shall represent one of the triple spaces and one blank line shall be added (either prior to or after the cardinal minute) to meet the triple spacing requirement If two or more cardinal minutes are indicated, the triple spacing requirement is met and no blank lines are required If breaks occur during any contact, indicate by three dashes A transmission beginning with or extending through a cardinal minute in which case the next cardinal minute shall be indicated (paragraph 77d(3)(b)) An example of when NOT to place the cardinal minute is the 1820 58 transmission in the first example transcript

If four or more cardinal minutes have passed without any transmissions, a grouping of the times is permitted (optional) However, if used they shall be indicated as follows The minutes being grouped shall be in parentheses and separated by a single dash Example (1708 1720) The grouped minutes shall have a single cardinal minute on the line immediately above and below the grouped minutes

Transcriptions shall be lower case and verbatim Abbreviations and extensive punctuation shall not be used For spoken numbers spell the numbers out exactly as spoken If recording is unintelligible insert unintelligible in parentheses in the proper location When an interpretation of a garbled word or portion of a word is required the interpretation shall be enclosed by parentheses and preceded by an asterisk An asterisked footnote following the transcription shall read

' This portion of the re recording is not entirely clear but this represents the best interpretation possible under the circumstances

Center at the end of the transcript End of Transcript

Additional pages should have the accident number and aircraft call sign or registration number in the upper left corner with page (#) of (#) two lines below that

ARV-ATCT-004
N1234A

Memorandum

U.S. Department
of Transportation
Federal Aviation
Administration

DATE TRANSCRIPTION WAS SIGNED

Subject: **INFORMATION**: Partial Transcript; Aircraft Accident; N1234A; Airville, AR; March 9, 2003

Date: March 11, 2003

From: Airville ATCT

Reply to Attn. of:

To: Aircraft Accident File ARV-ATCT-004

This transcription covers the Airville ATCT Approach Control position for the time period from March 9, 2003, 1815 UTC, to March 9, 2003, 1835 UTC.

Agencies Making Transmissions	Abbreviations
Beechcraft Bonanza N1234A	N1234A
Airville Approach Control, Arrival	A/C
Airville ATCT, Local Control	LC

I hereby certify that the following is a true transcription of the recorded conversations pertaining to the subject aircraft accident involving N1234A:

Archie Who

PERSON MAKING TRANSCRIPTION

Archie Who
Support Specialist
Airville ATCT

1815
(1816-1819)
1820
1820:58 N1234A approach control november one two three four alpha level at seven thousand feet requesting lower

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ARV-ATCT-004
N1234A

Section 11.
FAA Form 8020-3, Facility Accident/Incident Notification Record

o. FAA Form 8020-3, Facility Accident/Incident Notification Record.

The aircraft call sign and the date of the accident must be completed in the upper right hand corner. Be sure the facility name is indicated on the form.

Include attached telephone number listings, if any. If more than one FAA Form 8020-3 was used at the time of the accident, include all copies in the package.

Unless requested by AAT-20, the regional AT divisions, or the FAA IIC, all home, cellular, and pager telephone numbers of FAA, airport, military, and emergency personnel/offices shall be obliterated or sanitized from all copies of FAA Form 8020-3. Only the original AT accident file and package and originating AT facility, if different from the facility assembling the file and package, will retain these numbers on the original document.

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N1234A

Section 12.
Personnel Statements

p. Personnel Statements.

Statements shall be hand written on plain bond paper in the format shown on sample pages.

The date on the statement shall be the date the written original was actually signed.

Each statement shall include the person's:

Name
The operating initials (in parenthesis immediately following the name)
Occupation
Location of employment

Statements shall be printed in clear language and avoid the use of all but well-known acronyms. While preparing the personnel statement, if it becomes necessary to make a correction (due to a misspelled word or other editorial change), the person preparing the statement shall place a single line through the error and initial (actual initials, not operating initials), and date the change to the text. Editorial changes made after the personnel statement has been signed shall be treated as described above. However, any substantial changes or changes that may alter the meaning and/or context shall be treated as an amended personnel statement and attached to the original document. Amended statements are prepared as described throughout paragraph 75 and shall be clearly marked "Amended Personnel Statement." Also, write out location identifiers before using the three letter identifiers. Direct quotations should be used sparingly. When used, be sure to verify the statement with the tape to preclude confliction. The order provides that the statement shall include only facts and be devoid of opinion, conclusion, or other extraneous information.

The statement shall include the operational equipment configuration. The use of checklists, drawings, or narrative formats for documenting equipment configuration is acceptable. If an attachment is used, the word "Attachment" shall be placed two lines under the signature block.

Statements that do not contain equipment criteria should have a single sentence stating such. This will allow for the reader to understand that the omission was not an oversight. The reader of the Personnel Statement should be able to determine why the equipment configuration has not been included with the Personnel Statement. Sentences such as "Equipment configuration is not included" do nothing to assist the reader.

Verify the time on and off position and the time on and off duty in the statement with position logs, personnel logs, and transcriptions. The times must match.

Place the statements in the package in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement.

Facilities providing normal service statements do not need to forward personnel statements to the facility responsible for final data collection; however, they do need to have the personnel statement in the facility's file.

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N1234A

SAMPLE PERSONNEL STATEMENT BY THE ARRIVAL CONTROLLER

PERSONNEL STATEMENT
FEDERAL AVIATION ADMINISTRATION
AIRVILLE AIRPORT TRAFFIC CONTROL TOWER

ACTION: Complete in accordance with FAA Order 8020.11, paragraph 75, Personnel Statements.

BACKGROUND: Much of the information concerning the circumstances surrounding this accident/incident can be retrieved via some type of recorded data source. However, some of the facts concerning what you saw and what you did may not have been completely captured. The purpose of this statement is to provide any facts within your personal knowledge that you believe will provide a more complete understanding of the circumstances surrounding this accident/ incident. Therefore, speculations, hearsay, opinions, conclusions, and/or other extraneous data are not to be included in this statement. Additionally, this statement may be released to the public through FOIA or litigation activities including pretrial discovery, depositions, and actual court testimony.

INSTRUCTIONS: This statement is to be printed and signed by you, and your signature below certifies the accuracy of this statement. It will neither be edited nor typed and, once signed, will constitute your original statement.

This statement concerns the accident involving N1234A at Airville, AR, at March 9, 2003 1832 UTC. My name is Fred R. Folum (KO). I am employed as an air traffic control specialist by the FAA at the Airville Airport Traffic Control Tower, Airville, Arkansas. I was working the Approach Control position from 1740 UTC to 1840 UTC.

Text of statement:

I received a hand off on N1234A from the Memphis ARTCC. I issued the pilot of N1234A a descent clearance to 3,000 feet and vectored the aircraft for an ILS approach to runway 4. I cleared the pilot of N1234A for an ILS approach to runway 4, then gave the pilot instructions to contact the local controller. I do not remember what the various settings of the operational equipment were at the time of the accident.

I certify, to the best of my knowledge and recollection, the above statement is correct.

Fred R. Folum March 16, 2003
Signature Date

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ARV-ATCT-004
N1234A

SAMPLE PERSONNEL STATEMENT BY THE LOCAL CONTROLLER

PERSONNEL STATEMENT
FEDERAL AVIATION ADMINISTRATION
AIRVILLE AIRPORT TRAFFIC CONTROL TOWER

ACTION: Complete in accordance with FAA Order 8020.11, paragraph 75, Personnel Statements.

BACKGROUND: Much of the information concerning the circumstances surrounding this accident/incident can be retrieved via some type of recorded data source. However, some of the facts concerning what you saw and what you did may not have been completely captured. The purpose of this statement is to provide any facts within your personal knowledge that you believe will provide a more complete understanding of the circumstances surrounding this accident/ incident. Therefore, speculations, hearsay, opinions, conclusions, and/or other extraneous data are not to be included in this statement. Additionally, this statement may be released to the public through FOIA or litigation activities including pretrial discovery, depositions, and actual court testimony.

INSTRUCTIONS: This statement is to be **printed and signed by you**, and your signature below certifies the accuracy of this statement. It will neither be edited nor typed and, once signed, will constitute your original statement.

This statement concerns the accident involving N1234A at Airville, AR, at March 9, 2003, 1832 UTC. My name is Archie Who (WO). I am employed as an air traffic control specialist by the FAA at the Airville Airport Traffic Control Tower, Airville, Arkansas. I was working the Local Control position from 1802 UTC to 1840 UTC.

Text of statement:

Radar approach control coordinated with me on the arrival of N1234A I was given the information that N1234A was a Beechcraft Bonanza and would be on an ILS approach and that the aircraft would be over the outer marker at about 1830 UTC. At 1829 UTC, N1234A called me over the outer marker, and I issued the 1220 CST special weather and cleared N1234A to land. I was looking toward the final approach course when I saw a bright flash, and I could then see the aircraft hit the ground I saw flames appear where the aircraft hit. I alerted the emergency equipment and notified the area manager I also notified the weather service and facility manager

To the best of my knowledge the operational equipment configuration at the time of the accident/ incident was as indicated on the attached diagram.

I certify, to the best of my knowledge and recollection, the above statement is correct.

Archie Who March 16, 2003
Signature Date

Attachment

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ARV-ATCT-004
N1234A

INDIVIDUAL DISPLAY/SYSTEM STATUS CHECKLIST

INDIVIDUAL DISPLAY:

Position: Local Control Date: 03/09/03 Time: 1832 UTC

	Circle One		Setting
MTI/Normal Gate	(ON)	OFF	
Background Video Gain	~~ON~~	(OFF)	
Beacon Video Gain	(ON)	~~OFF~~	
MTI/Normal Video Gain	(ON)	OFF	
Range Marks	(ON)	OFF	
Sweep Decenter	(ON)	OFF	Offset Point: 10W
Sweep Range	Distance 40		

DISPLAY VIDEO CONTROL PANEL:

Discrete/Sum Button:	DIS	(SUM)	
MAP/COR/COR-UNCOR Buttons:	(MAP)	~~COR~~	COR/UNCOR
WX Levels Available:	0		
WX Levels Selected:	2-4		

SYSTEM CONTROL PANEL:

DSP/RX/TX Channel	(A)	B	
POLARIZATION	(AUTO)	MANUAL	
SCIP Switch	(A)	B	
RADAR SOURCE CONTROL	(AUTO)	~~MANUAL~~	
WEATHER CONTROL	~~2-Level~~	(6-Level)	

Date: 03/09/03 Time: 1845 UTC

ARV FORM 7210-1

Completed by: Archie Who

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Section 13.
Weather Products

q. Weather Products.

There are several potential means of obtaining the information required for this section. You may require information from one or more sources depending on the circumstances.

Weather that was pertinent and available to the controller (regardless if issued to the flightcrew) and the source of the weather. This includes but is not limited to PIREP's, SIGMET's, AIRMET's, and weather-related NOTAM's.

AIS, Model 1 AWP Event Reconstruction (EVR), or copies of weather observation forms. Observation forms must be individually certified by the Air Traffic facility responsible for initiating the record.

The AT certification shall read:

"I certify that this is a true copy of the original which was used by the controller."

The certification for Air Traffic facilities taking weather observations shall read:

"I certify that this is a true copy of the original which has been forwarded to the National Weather Service Records Center."

En route facilities shall obtain pertinent weather information from the center weather service unit. Data must be certified by Air Traffic. Air Traffic facilities that take weather observations shall certify the observation form for inclusion in the Air Traffic accident package. Air Traffic facilities that do not take weather observations shall contact the associated AFSS and request weather information needed. The AFSS will coordinate with the FSDPS to obtain the weather information. The AFSS will provide a certified copy of the weather to the requesting facility.

Include the facility name and date on each page.

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FLYWAY FSS 02/09/95

METAR KFYY 191555Z 32010KT 7SM OVC020 03/M01 A2995 RMK SLP142 VIS SE15

METAR KOKC 191555Z 31010KT 4SM –SHSN BR SCT000 BKN007 02/00 A2996 RMK SLP145 SCT000 –SHSN BR

METAR KMLC 191555Z 35008KT 3/4SM –SHSN VV004 01/M02 A2997 RMK SLP148

METAR KARV 191555Z 34008KT 3SM –SHSN BKN012 01/M02 A2996

SPECI KARV 191620Z 03007KT 1SM –SN OVC010 A3007

SPECI KARV 191637Z 03007KT 1SM –SN BKN009 01/00 A3007

ARV 091010 C5 BKN 2SW -CHC C2X 1/2SW. 14Z C15 BKN 80 OVC OCNL C8 OVC 1SW-. 20Z C35 BKN CHC SW-. 04Z VFR.

I certify that this is a true copy of the original which has been forwarded to the National Weather Service Records Center.

Bobby R. Norris

Bobby R. Norris
Air Traffic Manager
Flyway FSS

NOTE: These items have not been included in this sample. However, if appropriate, include the data or information as outlined in paragraph 72c and place in the appropriate "section" in the accident package.

Section 14.
Non-published NOTAM's

r. Non-published NOTAM's.

Include all non-published applicable NOTAM's.

Section 15.
FAA Form 7233-2, Preflight Briefing Log

s. FAA Form 7233-2, Preflight Briefing Log *(or automated equivalent).*

Include only information given to the pilot during the briefing. If pertinent flight route information was omitted, retain that information in the facility accident file.

Section 16.
FAA Form 7233-1, Flight Plan

t. FAA Form 7233-1, Flight Plan *(or automated equivalent).*

If included, type the facility name and date on each page.

If included, enter the name of the facility that accepted the FAA Form 7233-1 at the tip of the page.

Ensure that the date the flight plan was filed is entered.

If utilizing a copy of a stored flight plan, include the facility name and date on the page.

Section 17.
Other.

u. Other.

Include in this section any pertinent data, in any form, that may be deemed pertinent.

PART 2. INCIDENT FORMS

a FAA Form 8020-21, Preliminary Near Midair Collision Report

PRELIMINARY NEAR MIDAIR COLLISION REPORT

Incident Report Number: N | N M | T | A P A | 9 5 | 0 0 1

Complete and distribute according to instructions on page 3 Complete all items Rptg refers to the aircraft that reports the near midair collision (NMAC) first "Other refers to the other aircraft Complete the form by hand or typewriter

1 Date, Time and Location of NMAC
Date (Coordinated Universal Time UTC)
A 0 1 1 7 9 3 (M M D D Y Y)
UTC Time / Local Time
B 0 1 3 6 C 1 8 3 6
D Nearest City or Town and State
Englewood, CO

2 Fix or Facility Nearest NMAC *(complete one)*
A ____ VOR, TACAN, OR NDB ID
B A P A Airport ID
C ____ Airway Intersection ID
D ☐ Oceanic airspace or Area Navigation (GPS Loran etc)

3 NMAC Location in Respect to Item 2
(complete A & B or C & D)
A 0 0 1 Miles (nautical)
B 2 3 0 Degrees (magnetic)
For Oceanic Airspace or Area Navigation Only
C ___ ° ___ Latitude
D ___ ° ___ Longitude

4 Reporting Aircraft (Rptg) Information
A Pilot Name and Address
Jane Doe
Name (first middle last)
123 Main Street
Address
Denver CO 80000
City State ZIP
B Pilot Home Base APA
C Pilot Daytime Telephone No
3 0 3 2 2 2 2 2 2 2
D Pilot Certificate No (or enter MILITARY)
5 5 8 6 0 3 5 6
E Aircraft Registration (N) No N 9 1 6 2 T
F Flight No or Call Sign (if applicable)
G Aircraft Make Cessna
H Aircraft Model 172

5 Other Aircraft (Other) Information *(complete or mark box)* ☐ All Information Unknown
A Pilot Name and Address
John Doe
Name (first middle last)
456 Main Street
Address
Denver CO 80000
City State ZIP
B Pilot Home Base APA
C Pilot Daytime Telephone No
3 0 3 - 2 6 8 - 7 8 7 5
D Pilot Certificate No (or enter MILITARY)
5 2 2 0 4 7 3 6 6
E Aircraft Registration (N) No N 3 6 0 D A
F Flight No or Call Sign (if applicable)
G Aircraft Make Citation
H Aircraft Model C500
I Did Pilot Report NMAC?
(1) ☐ Yes (2) ☒ No (3) ☐ Unknown

6 Type of Operation During NMAC *(mark one per aircraft)*

	Rptg	Other	
A	☐	☐	U S Air Carrier (14 CFR 121 or 125)
B	☐	☐	Foreign Air Carrier (14 CFR 129)
C	☐	☐	Commuter (14 CFR 135)
D	☐	☐	Air Taxi (14 CFR 135)
E	☒	☒	General Aviation (14 CFR 91)
F	☐	☐	Public (governmental)
G	☐	☐	U S Military Specify Service
H	☐	☐	Unknown
I	☐	☐	Other Specify

7 Type of Flight Rules During NMAC *(mark one per aircraft)*

	Rptg	Other	
A	☐	☒	Instrument Flight Rules (IFR)
B	☒	☐	Visual Flight Rules (VFR)
C	☐	☐	Special VFR
D	☐	☐	Defense VFR
E	☐	☐	Unknown

8 Phase(s) of Flight During NMAC *(mark appropriate boxes)*

	Rptg	Other	
A	☐	☐	Takeoff
B	☒	☒	Climb
C	☐	☐	Level Flight or Cruise
D	☐	☐	Turning or Maneuvering
E	☐	☐	Descent
F	☐	☐	Approach
G	☐	☐	Landing
H	☐	☐	Unknown
I	☐	☐	Other, Specify

9 Location in Traffic Pattern During NMAC *(mark one per aircraft)*

	Rptg	Other	
A	☐	☐	Upwind Leg
B	☒	☐	Crosswind Leg
C	☐	☐	Downwind Leg
D	☐	☐	Base Leg
E	☐	☐	Final Approach
F	☐	☒	Departure Leg or Exit
G	☐	☐	Not in Traffic Pattern
H	☐	☐	Unknown
I	☐	☐	Other Specify

10 Aircraft Altitude During NMAC
A Rptg 1 6 5 0 0 Feet msl or ☐ Unknown
B Other 1 6 6 5 0 Feet msl or ☐ Unknown

11 Approximate Aircraft Heading Before NMAC
A Rptg 2 6 0 Degrees (magnetic) or ☐ Unknown
B Other 2 3 0 Degrees (magnetic) or ☐ Unknown

12 Transponder *(mark one per aircraft)*

	Rptg	Other	
A	☒	☒	Operating With Altitude Reporting
B	☐	☐	Operating Without Altitude Reporting
C	☐	☐	Not Functioning (broken or off)
D	☐	☐	No Transponder
E	☐	☐	Unknown

FAA Form 8020-21 (Revised 05/2003) Supersedes Previous Edition Page 1

a. FAA Form 8020-21 (continued)

13 TCAS Status

	Rptg Yes	Rptg No	Rptg Unk	Other Yes	Other No	Other Unk
A Was the Aircraft Equipped With TCAS?	☐	☒	☐	☐	☒	☐
B If Yes Was TCAS Operating During NMAC?	☐	☐	☐	☐	☐	☐
C If Yes Was TCAS Involved in NMAC?	☐	☐	☐	☐	☐	☐

D If Yes Describe Involvement _____

14 Evasive Action(s) Taken (*mark appropriate boxes*)

	Rptg	Other		Rptg	Other	
A	☐	☐	Right Turn	G	☐	☐	Accelerate
B	☐	☐	Left Turn	H	☐	☐	None
C	☐	☐	Climb	I	☐	☐	Unknown
D	☐	☐	Descend	J	☐	☐	Other Specify _____
E	☐	☐	Level Off				
F	☐	☐	Decelerate				

15 Time Aircraft in Sight Before Closest Separation

			Unknown
A Rptg	0 1	Seconds	or ☐
B Other	0 1	Seconds	or ☒

16 Closest Proximity

A ☐ 5 0 Feet Vertical
or ☐ Unknown

B ☐ 0 Feet Horizontal
or Miles (nautical)
☐ ☐ Horizontal
or ☐ Unknown

C ☐ ☐ Minutes Longitudinal
or ☐ Unknown

17 Operational Control Area of Reporting Aircraft During NMAC (*mark a maximum of three*)

A	☐	Class A Airspace
B	☐	Class B Airspace
C	☐	Class C Airspace
D	☒	Class D Airspace
E	☐	Class E Airspace
F	☐	Class G Airspace
G	☐	Special Use Airspace Specify _____
H	☐	Within Terminal Radar Service Area
I	☐	Towered Airport
J	☐	Nontowered Airport
K	☐	Unknown
L	☐	Other Specify _____

18 Location ID of Facility(ies) Providing Air Traffic Service during NMAC (*complete appropriate boxes*)

A	☐ ☐ ☐	☐ ☐ ☐	ARTCC
B	☐ ☐ ☐	☐ ☐ ☐	TRACON
C	☐ ☐ ☐	☐ ☐ ☐	RAPCON RATCF or ARAC
D	A P A	A P A	ATCT
E	☐ ☐ ☐	☐ ☐ ☐	AFSS or FSS
F	☐	☐	None
G	☐	☐	Unknown
H	☐	☐	Other Specify

19 Immediately Before NMAC Air Traffic Control (*mark appropriate boxes*)

	Rptg	Other	
A	☐	☐	Experienced Radar Outage or Other Problems
B	☐	☐	Experienced Communication Outage or Other Problems
C	☒	☐	Observed Traffic in Vicinity of Aircraft
D	☐	☒	Issued a Traffic Advisory
E	☐	☐	Issued a Safety Alert
F	☐	☐	Not in Contact With Aircraft
G	☐	☐	Unknown
H	☐	☐	None of the Above

20 Other Report(s) or To Be Filed by Air Traffic (*mark appropriate boxes and complete list HATR's etc under Item 22*)

A ☐ Incident Report (FAA Form 8020-11) Specify No(s) _____

B ☒ Preliminary Pilot Deviation Report (FAA Form 8020-17) Specify No(s)
PNMTAPA95007

C ☐ Preliminary Operational Error/Deviation Report (FAA Form 7210-2-1) Specify No(s) _____

D ☐ Other (including TCAS) Specify _____

E ☐ None

21 Brief Description of NMAC and Comments (*comments optional*)

Aircraft #1 had been operating in right closed pattern for runway 17R. Just prior to the incident aircraft #1 was instructed to start a right turn onto the crosswind leg of the traffic pattern. Aircraft #1 then heard aircraft #2 being asked whether he had aircraft #1 in sight. Aircraft #2 replied that he did. Aircraft #2 was then told to make a right turn on course southwest bound. Shortly thereafter, aircraft #2 flew over aircraft #1.

FAA Form 8020-21 (Revised 05/2003) Supersedes Previous Edition Page 2

a FAA Form 8020-21 (continued)

PRELIMINARY NEAR MIDAIR COLLISION REPORT	Incident Report Number
	N | N | M | T | A | P | A | 9 | 5 | 0 | 0 | 1

22 Attachments (*specify e g pilot statement or flight progress strip or mark box*) ☐ No Attachments

23 Reporting Facility

A |A|N|M| FAA Region
B |A|P|A| Location ID
C |3|0|3| |7|9|0| |2|4|4|9| Telephone Number

24 Name of Individual Completing Form

Jane Smith
(*Type or Print*)

25 Facility Manager Approving Form

A Signature John Smith
B Name (*Type or Print*) John Smith
C Date |0|8|2|7|9|5|
M M D D Y Y

26 Report Distributed to

A FAA Region |A|N|M| Flight Standards ID |0|3|

B Others Specify ANM 700, ANM 500, ATX 400

INSTRUCTIONS

I General

The incident report number and Items 1 2 3 4E and/or F 4G 5E and/or F 5G 7 10 and 21 of FAA Form 8020 21 must be completed and the information transmitted or arrangements made to transmit it in numerical order within 3 hours of the NMAC notification by (1) telephone facsimile or in accordance with a regional agreement to the FSDO with jurisdiction over the area in which the pilot deviation occurred and (2) by National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence to FAA headquarters and others If the NMAC is significant the above information should be communicated immediately by telephone to FAA headquarters The remainder of the form must be completed and mailed by first class mail within 10 calendar days of the notification of a NMAC The definition of a NMAC and instructions on distribution of FAA Form 8020 21 are in FAA Order 8020 11 Aircraft Accident and Incident Notification Investigation and Reporting

If both aircraft involved in the NMAC report the event designate the first reporting aircraft as Rptg and the second as Other If more than two aircraft are involved (except for formations when one form should be completed for the entire formation) complete an additional form(s) and assign the form(s) the same incident report number as the primary form Report the number of forms and which form is the primary form in Item 21

Complete all items If the categories given are inadequate complete Other Specify If data for both the reporting and other aircraft appear under Other Specify provide the reporting aircraft data first followed by the other aircraft data Provide comments in Item 21 not the margins Sign and date the form (Item 25) before distribution

II Incident Report Number

Each facility completing FAA Form 8020 21 is responsible for assigning a unique 12 character number to each reported NMAC The first character is N for NMAC The second and third characters are the abbreviation of the FAA region in which the incident occurred

AL	Alaskan	NE	New England
CE	Central	NM	Northwest Mountain
EA	Eastern	SO	Southern
GL	Great Lakes	SW	Southwest
WP	Western Pacific		

The fourth character identifies the type of facility completing the form

C	ARTCC	**R**	TRACON
F	AFSS or FSS	**T**	ATCT
Z	FSDO or Other		

For combined TRACON and ATCT operations use the character for the TRACON or ATCT reporting the pilot deviation

The fifth through seventh characters are the facility location identifier (see FAA Order 7350 6) e g **ZNY** or FSDO ID e g **025** The eighth and ninth characters are the calendar year in which the incident occurred e g **95** for 1995

The last three characters are the sequential incident report number for the year by reporting facility and type of incident (e g pilot deviations would be numbered **001** to **999** in 1995 at a given facility)

III Abbreviations

The following abbreviations are used

AFSS	*Automated Flight Service Station*
ARAC	Army Radar Approach Control
ARTCC	Air Route Traffic Control Center
ATCT	Airport Traffic Control Tower
CFR	Code of Federal Regulations
FSDO	Flight Standards District Office
FSS	Flight Service Station
GPS	Global Positioning System
HATR	Hazardous Air Traffic Report
MSL	Mean Sea Level
NDB	Nondirectional Beacon
RAPCON	Radar Approach Control
RATCF	Radar Air Traffic Control Facility
TACAN	Tactical Air Navigation
TCAS	*Traffic Alert and Collision Avoidance System*
TRACON	Terminal Radar Approach Control
VOR	Very High Frequency Omnidirectional Range Station

FAA Form 8020 21 (Revised 05/2003) Supersedes Previous Edition Page 1

b. FAA Form 8020-17, Preliminary Pilot Deviation Report

PRELIMINARY PILOT DEVIATION REPORT

Incident Report Number: P S W C Z H U 9 5 0 0 2

Complete and distribute according to instructions on page 3. Complete Items 1 to 9 and 27 to 33 for all deviations. If surface deviation also complete Items 10 to 14. If air deviation also complete items 15 to 26. Complete the form by hand or typewriter.

1 Date, Time, and Location of Deviation

A Date (Coordinated Universal Time-UTC): 0 2 2 5 9 5 (M M D D Y Y)

B UTC Time: 1 4 2 0

C Local Time: 0 8 2 0

D Nearest City or Town and State: Lufkin, TX

2 Pilot Information (*complete or mark box*) ☒ All Information Unknown

A Name and Address

Name (*first middle last*)

Address

City State or County Zip

B Daytime Telephone Number

C Pilot Certificate No (or enter MILITARY)

3 Deviation First Detected by (*mark one*)

A ☐ Error Detection Program (EDP)
B ☐ Radar Observation (excludes EDP)
C ☐ Visual Observation (tower)
D ☐ AFSS or FSS
E ☒ Public Including Pilots
F ☐ Other, Specify

4 Aircraft Information (*complete or mark box*) ☐ All Information Unknown

A Registration (N) No: N 4 7 4 2 6
B Flight No or Call Sign (*if applicable*)
C Make: Piper
D Model: PA28

5 Type of Operation at Time of Deviation (*mark one*)

A ☐ U S Air Carrier (14 CFR 121 or 125)
B ☐ Foreign Air Carrier (14 CFR 129)
C ☐ Commuter (14 CFR 135)
D ☐ Air Taxi (14 CFR 135)
E ☒ General Aviation (14 CFR 91)
F ☐ Public (governmental)
G ☐ U S Military Specify Service
H ☐ Unknown
I ☐ Other Specify

6 Type of Flight Rules at Time of Deviation (*mark one*)

A ☒ Instrument Flight Rules (IFR)
B ☐ Visual Flight Rules (VFR)
C ☐ Special VFR
D ☐ Defense VFR
E ☐ Unknown

7 Phase(s) of Flight When Deviation Occurred (*mark appropriate boxes*)

A ☐ Taxi
B ☐ Takeoff
C ☐ Climb
D ☐ Level Flight or Cruise
E ☐ Turning or Maneuvering
F ☐ Descent
G ☒ Approach
H ☐ Landing
I ☐ Unknown
J ☐ Other Specify

8 Number of Aircraft Involved (*provide data on any aircraft not listed in Item 4*)

A ☐ One
B ☒ Two
C ☐ Three
D ☐ Four or More
E ☐ Unknown

	Aircraft N No	Flight No or Call Sign (*if applicable*)	Make	Model
F	N 2 9 9 F P		N/A	N/A
G				
H				
I				

9 Type of Deviation(s) (*mark appropriate boxes*)

A ☐ Surface (*complete items 10 to 14 and 27 to 33*)
B ☒ Air (*complete items 15 to 33*)

10 Type of Control at Surface Deviation Location (*mark one*)

A ☐ Operating Control Tower
B ☐ Nonoperating Control Tower
C ☐ None Nontowered Public Airport
D ☐ None Private Airport
E ☐ Unknown

11 Airport ID at Surface Deviation Location

12 Surface Deviation Type(s) (*mark appropriate boxes*)

A ☐ Takeoff Without Clearance
B ☐ Takeoff on Wrong Runway or Taxiway
C ☐ Landed Without Clearance
D ☐ Landed or Takeoff Below Weather Minimums
E ☐ Landed on Wrong Runway Taxiway or Airport
F ☐ Entered Runway or Taxiway Without Clearance
G ☐ Careless or Reckless Aircraft Operation
H ☐ Did Not Close Flight Plan
I ☐ Other Specify

13 Loss of Separation With (*mark appropriate boxes*)

A ☐ Ground Vehicle
B ☐ Personnel
C ☐ Another Aircraft on Ground
D ☐ Another Aircraft in Air
E ☐ Obstruction
F ☐ Not Applicable
G ☐ Unknown

14 Closest Proximity Was (*mark one*)

A ☐ Under 100 Feet
B ☐ 100-499 Feet
C ☐ 500 1 000 Feet
D ☐ Over 1 000 Feet
E ☐ Not applicable
F ☐ Unknown

If Surface Deviation Only Skip to Item 27

15 Location in Traffic Pattern During Deviation (*mark one*)

A ☐ Upwind
B ☐ Crosswind
C ☐ Entry or Downwind Leg
D ☐ Base Leg
E ☒ Final Approach
F ☐ Departure Leg or Exit
G ☐ Not in Traffic Pattern
H ☐ Unknown
I ☐ Other Specify

FAA Form 8020-17 (Revised 05/2003) Supersedes Previous Edition Page 1

b. FAA Form 8020-17 (continued)

16 Aircraft Altitude When Deviation Detected
A [ ] , [ ] [ ] [ ] Feet msl
B [X] Unknown

17 Transponder (*mark one*)
A ☐ Operating, With Altitude Reporting
B ☐ Operating Without Altitude Reporting
C ☐ Not Functioning (broken or off)
D ☐ No Transponder
E [X] Unknown

18 Was the Aircraft Equipped with TCAS?
A (1) ☐ Yes (2) [X] No (3) ☐ Unknown
B If Yes was TCAS Operating During Deviation?
(1) ☐ Yes (2) ☐ No (3) ☐ Unknown
C If Yes, was TCAS Involved in Deviation?
(1) ☐ Yes (2) ☐ No (3) ☐ Unknown
D If Yes, Describe Involvement _____

19 Fix or Facility Nearest Deviation (*complete one*)
A [ ] [ ] [ ] VOR, TACAN or NBD ID
B [L][F][K] Airport ID
C [ ] [ ] [ ] [ ] [ ] Airway Intersection ID
D ☐ Oceanic Airspace or Area Navigation (GPS Loran etc.)

20 Deviation Location in Respect to Item 19
(*complete A & B or C & D*)
A [0][0][5] Miles (nautical)
B [3][3][0] Degrees (magnetic)
For Oceanic Airspace and Area Navigation Only
C [ ] [ ] ° [ ] [ ] Latitude
D [ ] [ ] [ ] ° [ ] [ ] Longitude

21 Operational Control Area of Aircraft
(*mark a maximum of three*)
A ☐ Class A Airspace
B ☐ Class B Airspace
C ☐ Class C Airspace
D [X] Class D Airspace
E ☐ Class E Airspace
F ☐ Class G Airspace
G ☐ Special Use Airspace Specify _____
H ☐ Within Terminal Radar Service Area
I [X] Towered Airport
J ☐ Nontowered Airport
K ☐ Unknown
L ☐ Other, Specify _____

22 Location ID of Facility(ies) Providing Air Traffic Service During Deviation (*complete appropriate boxes*)
A [Z][H][U] ARTCC
B [ ] [ ] [ ] TRACON
C [ ] [ ] [ ] RAPCON RATCF, or ARAC
D [ ] [ ] [ ] ATCT
E [ ] [ ] [ ] [ ] AFSS or FSS
F ☐ None
G ☐ Unknown
H ☐ Other Specify _____

23 Primary Information Indicates the Air Deviation Type Was (*mark appropriate boxes*)
A ☐ ATC Altitude Clearance Deviation
B ☐ ATC Course Clearance Deviation
C ☐ Airspeed Clearance Violation
D [X] Airspace Clearance Violation
E [X] Flying VFR when IFR Required
F ☐ Pilot Unqualified for Aircraft or Conditions
G ☐ Required Aircraft Equipment Not Operating
H ☐ Careless or Reckless Aircraft Operation
I ☐ Unauthorized Low Level Flying
J ☐ Missed Compulsory Reporting Point
K ☐ Noncompliance with Other Regulations (*specify FAR number(s)*)
(1) [ ] [ ] [ ] • [ ] [ ] [ ] ([ ]) (2) [ ] [ ] [ ] • [ ] [ ] [ ] ([ ])

24 Preliminary Information Indicates the Airspace Violation Was of (*mark one*)
A ☐ Class A Airspace
B ☐ Class B Airspace
C ☐ Class C Airspace
D [X] Class D Airspace
E ☐ Class E Airspace
F ☐ Special Use Airspace Specify _____
G ☐ None
H ☐ Unknown
I ☐ Other, Specify _____

25 If ATC Altitude or Course Clearance Deviation Maximum Deviation Was
[X] No Clearance Deviation
A [ ] [ ] , [ ] [ ] [ ] Feet Vertical or ☐ Unknown
B [ ] [ ] , [ ] [ ] [ ] Feet Horizontal
or [ ] [ ] • [ ] [ ] Miles (nautical) Horizontal or ☐ Unknown

26 If There Was Loss of Separation Closest Proximity Was
[X] No Loss of Separation
A [ ] [ ] , [ ] [ ] [ ] Feet, Vertical or ☐ Unknown
B [ ] [ ] , [ ] [ ] [ ] Feet, Horizontal
or [ ] [ ] • [ ] [ ] Miles (nautical) Horizontal or ☐ Unknown
C [ ] [ ] Minutes Longitudinal or ☐ Unknown

27 Other Reports Filed or to be Filed (*mark appropriate boxes and complete*)
A ☐ Incident Report (FAA Form 8020-11) Specify No(s) _____
B ☐ Preliminary Near Midair Collision Report (FAA Form 8020-21) Specify No(s) _____
C ☐ Preliminary Operational Error/Deviation Report (FAA Form 7210-2-1) Specify No(s) _____
D ☐ Other (including TCAS) Specify _____
E [X] None

28 Brief Description of Deviation and Comments (*comments optional*)
N299FP on ground at LFK, departing on an IFR clearance. The pilot requested information from ZHU concerning aircraft operating in area in IFR conditions. The aircraft (N47426 PA28) was over Lufkin VOR inbound. Flight was conducted in a Class D airspace when weather minimums were below VFR without clearance.

FAA Form 8020-17 (Revised 05/2003) Supersedes Previous Edition Page 2

b. FAA Form 8020-17 (continued)

PRELIMINARY
PILOT DEVIATION REPORT (continued)

Incident Report Number: P S W C Z H U 9 5 0 0 2

28 Brief Description of Deviation and Comments (*continued*)

29 Attachments (*specify e g pilot statement or flight progress strip or mark box*) ☒ No Attachments

30 Reporting Office
A |A|S|W| FAA Region
B |Z|H|U| Location ID
C |2|1|4| - |2|4|8| - |3|9|0|0| Telephone No

31 Name of Individual Completing Form
C Buckner
Type or Print

32 Facility Manager Approving Form
A Signature John T Adams
B Name John T Adams
Type or Print
C Date |0|2|0|2|9|5|
M M D D Y Y

33 Report Distributed to
A FAA Region |A|S|W| Flight Standards ID |6|4|
B Others Specify ASW 200
ASW 500
ATX-400

INSTRUCTIONS

I General

The incident report number and Items 1 4 6 16 and 28 of FAA Form 8020 17 must be completed and the information transmitted or arrangements made to transmit it in numerical order within 3 hours of the detection of a pilot deviation by (1) telephone facsimile or in accordance with a regional agreement to the FSDO with jurisdiction over the area in which the pilot deviation occurred and (2) by National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence to FAA headquarters and others If the pilot deviation is significant the above information should be communicated immediately by telephone to FAA headquarters The remainder of the form must be completed and mailed by first class mail within 10 calendar days of the pilot deviation The definition of a pilot deviation and instructions on distribution of FAA Form 8020 17 are in FAA Order 8010 11 Aircraft Accident and Incident Notification Investigation and Reporting

If a pilot deviation resulted in a near midair collision FAA Form 8020 17 and FAA Form 8020 21 Preliminary Near Midair Collision Report, both must be completed and distributed Assign the two reports different incident report numbers

Complete Items 1 to 9 and 27 to 33 for all deviations, if surface deviation also complete Items 10 to 14 if air deviation also complete Items 15 to 26 If the categories given are inadequate, complete Other Specify Provide comments in Item 28 not the margins Sign and date the form (Item 32) before distribution

II Incident Report Number

Each facility completing FAA Form 8020 17 is responsible for assigning a unique 12 character number to each reported pilot deviation The first character is **P** for Pilot Deviation The second and third characters are the abbreviation of the FAA region in which the deviation occurred

AL	Alaskan	NE	New England
CE	Central	NM	Northwest Mountain
EA	Eastern	SO	Southern
GL	Great Lakes	SW	Southwest
WP	Western Pacific		

The fourth character identifies the type of facility completing the form

C -	ARTCC	**R**	TRACON
F	*AFSS or FSS*	**T**	*ATCT*
Z	FSDO or Other		

For combined TRACON and ATCT operations use the character for the TRACON or ATCT reporting the pilot deviation

The fifth through seventh characters are the facility location identifier (see FAA Order 7350 6) e g **ZNY** or FSDO ID e g **025** The eighth and ninth characters are the calendar year in which the incident occurred e g **95** for 1995

The last three characters are the sequential incident report number for the year, by reporting facility and type of incident (e g pilot deviations would be numbered **001** to **999** in 1995 at a given facility)

III Abbreviations

The following abbreviations are used

AFSS	Automated Flight Service Station
ARAC	Army Radar Approach Control
ARTCC	Air Route Traffic Control Center
ATCT	Airport Traffic Control Tower
CFR	Code of Federal Regulations
FSDO	Flight Standards District Office
FSS	- Flight Service Station
GPS	Global Positioning System
HATR	Hazardous Air Traffic Report
MSL	Mean Sea Level
NDB	Nondirectional Beacon
RAPCON	Radar Approach Control
RATCF	Radar Air Traffic Control Facility
TACAN	Tactical Air Navigation
TCAS	Traffic Alert and Collision Avoidance System
TRACON	Terminal Radar Approach Control
VOR	Very High Frequency Omnidirectional Range Station

FAA Form 8020 17 (Revised 05/2003) Supersedes Previous Edition Page 3

c. FAA Form 8020-19, Reclassification of Aviation Incident Report

RECLASSIFICATION OF AVIATION INCIDENT REPORT

Complete this form to reclassify a preliminary incident report (FAA Forms 8020-17 or 8020-21) or to correct a report number on those forms Complete all items and forward in accordance with the instructions below and in FAA Order 8020 11, Aircraft Accident and Incident Notification, Investigation and Reporting " Complete the form by hand or typewriter

1 Original Incident Report Number From FAA Forms 8020 17 or 8020-21

|N|N|M|T|A|P|A|9|5|0|0|1|

2 Date and Time of Incident

A Date (Coordinated Universal Time-UTC)
|0|1|1|9|9|5|
M M D D Y Y

B UTC Time
|0|1|3|6|

C Local Time
|1|8|3|6|

D Nearest City or Town and State
Englewood, CO

3 Reclassifying Facility or Office

A FAA Region |A|N|M|

B Location ID (*complete one*)

(1) Air Traffic Control (e g ZNY) |A|P|A|

(2) Flight Standards (e g 25) | | |

4 Incident Reclassified as (*mark one*)

A ☐ Operational Error or Deviation (*complete Item 5A*)
B ☐ Pilot Deviation (*complete Item 5B*)
C ☒ Report Number Correction (*complete Item 5B*)
D ☐ Insufficient Evidence to Investigate (*complete Item 5C*)
E ☐ No Incident (*complete Item 5D*)
F ☐ Other, Specify

5 New Incident Report Number (*complete one*)

A Operational Error or Deviation
| | | | | | | | | | | | |

B Pilot Deviation or Near Midair Collision
|N|N|M|T|A|P|A|9|5|0|0|2|

C ☐ Reclassified as Insufficient Evidence to Investigate
D ☐ Reclassified as No Incident
E ☐ Not Applicable

6 Reclassification Reason and Comments (*comments optional*)

Number assigned previously

7 Facility Manager or Inspector Approving Form

A Signature John Smith

B Name (Type or Print) John Smith

C Date |0|3|1|3|9|5|
M M D D Y Y

8 Report Distributed to

A ATX-400

B Others List
ANM-03
ANM-200
ANM 500

INSTRUCTIONS

Reclassification of an incident should be based on new or additional information that was not available when the preliminary report was filed Air Traffic Control will only use this form to correct a report number An investigative report does not have to be completed for an incident that is reclassified as "Insufficient Evidence to Investigate" or 'No Incident "

The distribution of the completed FAA Form 8020 19 should be the same as for the corresponding preliminary incident report Forward copies to the organization responsible for the incident investigation and to the organizations that received the preliminary report, including ATX 400 Sign and date the form (Item 7) before distribution

FAA Form 8020 19 (3-95) Supersedes Previous Edition NSN 0052 00 899 2001

d FAA Form 8020-11, Incident Report

U S DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
INCIDENT REPORT

TO FLIGHT STANDARDS DISTRICT OFFICE	FROM MILLVILLE AUTOMATED FLIGHT SERVICE STATION
FEDERAL AVIATION ADMINISTRATION SCOTT PLAZA #2 4TH FLOOR PHILADELPHIA PA 19113	FEDERAL AVIATION ADMINISTRATION BUILDING #100 MUNICIPAL AIRPORT MILLVILLE NJ 08332 4881

The following is a description of a deviation/incident It appeared advisable to prepare a formal record and a copy is being forwarded to acquaint you with its particulars It is requested that, as necessary, these details be brought to the attention of the pilot or other individuals involved We hope that through review, recommendations leading toward action to prevent recurrence of incidents of this type will be obtained No reply is required, however the undersigned will be glad to answer any questions at your convenience Any action you can take to assist the Air Traffic Service to provide more efficient service will be appreciated

TYPE OF INCIDENT	TIME OF INCIDENT		INCIDENT NO
STUCK MIKE	Date MARCH 4 1990	☒ DAY ☐ NIGHT	MIV-AFSS 1

AGENCY/AIRCRAFT IDENTIFICATION
N25301

NAME(S) OF PERSONNEL OR PILOT
PILOT UNKNOWN, IN-FLIGHT SPECIALIST BERRY, RUSS & FRANSKO, EDWARD

SUMMARY 0F INCIDENT

AT 1335Z AN UNKNOWN RADIO SIGNAL BLOCKED COMMUNICATIONS ON FREQUENCY 123 65 I WAS ADVISED OF THE SITUATION BY THE IN FLIGHT SPECIALIST HE REQUESTED ALL AIRCRAFT ON THE AFFECTED FREQUENCY SWITCH TO 122 65 I CONTACTED RAINBOW AVIATION AND REQUESTED THEY CHECK WITH AIRCRAFT AT THEIR OPERATION FOR A STUCK MIKE AT 1345Z THE IN-FLIGHT SPECIALIST DETERMINED THE STUCK MIKE WAS N25301 WHO WAS DOING TOUCH AND GO'S AT MILLVILLE AFTER REPEATED TRANSMISSIONS, HE WAS ABLE TO GET THE PILOT TO UNSTICK THE MIKE THEREBY CLEARING THE FREQUENCY

SINCE THIS INCIDENT CREATED A POTENTIALLY HAZARDOUS SITUATION BY BLOCKING A BUSY FREQUENCY, I FEEL IT SHOULD BE BROUGHT TO THE ATTENTION OF THE AIRCRAFT OPERATOR (RAINBOW AVIATION) AND THE AIRCRAFT CHECKED AND REPAIRED TO AVOID A RECURRENCE

1350Z STUCK MIKE CLEARED

REMARKS

PERTINENT AUDIO TAPES AND FACILITY LOGS ARE ON FILE AT MILLVILLE AFSS

cc RAINBOW AVIATION MIV ARPT & PILOT COPY AEA 542

ATTACHMENTS	FORWARDED	
	DATE	SIGNATURE OF FACILITY CHIEF
NONE	3/6/90	Charles Butler

FAA Form 8020 11 (9 76)

e FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report

PRELIMINARY VEHICLE OR PEDESTRIAN DEVIATION REPORT

Incident Report Number: V | E | A | T | Z | Z | I | 9 | 9 | 0 | 0 | 1

This form should be completed by air traffic control after observing a vehicle or pedestrian deviation (V/PD) or receiving a report of one. Complete and distribute according to the instructions on the back of page 3.

1 Date, Time, and Location of Deviation
- A Local Date | 0 | 7 | 2 | 3 | 9 | 9 | (M M D D Y Y)
- B UTC Time _____
- C Local Time _____
- D Airport ID at Surface Incident Location | Z | Z | I | | |
- E Nearest City or Town & State Hollidaysburg, PA

2 Type of Deviation (*Select one*)
- A Vehicle (excludes bicycles, includes aircraft being repositioned, *Complete remainder of form EXCEPT Item 6*)
- B ☒ Pedestrian (includes bicycles, *Skip to Item 6 and complete remainder of form*)

3 Vehicle Information (*Report bicycles in Item 6*)
- A Type (*Select one*)
  - 1 Tug
  - 2 Baggage or Cargo Truck
  - 3 Fuel Truck
  - 4 Aircraft Being Relocated by Non pilot
  - 5 Snow Removal Equipment
  - 6 Mower
  - 7 Construction Equipment
  - 8 Motorcycle
  - 9 Car (includes sport-utility vehicles)
  - 10 Other Trucks (includes buses, vans, etc.)
  - 11 Other, *Specify* _____
- B License/Tail No _____
- C State of License _____
- D Call Sign *if Applicable* _____
- E If Vehicle Was Escorted, *Specify* _____

4 Vehicle Equipment and Communication with ATC (*Select one*)
- A No Communication Equipment
- B Two-way Radio Used
- C Telephone Used
- D Headlights Flashed
- E Flashing Lights Operating on Vehicle
- F Flag Flown
- G Equipment Not Operational, *Specify Equipment* _____
- H Vehicle's Equipment Unknown
- I Communication Difficulty With ATC, *Specify* _____
- J Unable to Start Vehicle
- K Other, *Specify* _____

5 Driver Information
- A Name _____
- B Employed By
  - 1 Airline
  - 2 Airport Employee 3 Tenant 4 Contractor
  - 5 FAA
  - 6 Military Branch
  - 7 Other Government
  - 8 Airline Passenger
  - 9 Airport Visitor
  - 10 Taxi/Limo Service
  - 11 General Aviation Pilot
  - 12 Unknown
  - 13 Other *Specify* _____
- C Employer Name and Address *if Applicable* _____

6 Pedestrian Information (includes bicycles)
- A Name Unknown
- B Employed By
  - 1 Airline
  - 2 Airport Employee 3 Tenant 4 Contractor
  - 5 FAA
  - 6 Military Branch
  - 7 Other Government
  - 8 Airline Passenger
  - 9 Airport Visitor
  - 10 Taxi/Limo Service
  - 11 General Aviation Pilot
  - 12 ☒ Unknown
  - 13 Other, *Specify* _____
- C Employer Name and Address, *if Applicable* _____
- D Bicycle Used

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e FAA Form 8020-24 (continued)

7 A Piloted Aircraft Was Operating on the Runway When the V/PD Occurred (*Complete all that apply*)
- A ☒ Yes (*Complete Items 7C through 7H*)
- B No (*Skip to Item 8*)
- C Make Cessna
- D Model 172
- E Flight No /Call Sign, *if applicable* _____
- F Tail No |N|2|1|3|1|Y| |
- G Pilot s Name Steven Knight
- H Pilot Accepted LAHSO Clearance

8 Environmental Conditions (*Complete all that apply*)
- A ☒ Bright Day
- B Cloudy Day
- C Bright Night
- D Dark Night
- E Rain ( ) Light/Moderate ( ) Heavy
- F Thunderstorm
- G Snowing ( ) Light/Moderate ( ) Heavy
- H Freezing Rain
- I Fog
- J Snow on Pavement
- K Slush
- L Other, *Specify* _____
- M ☒ Prevailing Visibility 20 statute miles
  Runway Visual Range _____ feet
  Runway Visibility Value ____ statute miles
- N ☒ Temperature, *Specify* 78 Fahrenheit
- O ☒ Ceiling, *Specify* 5000 feet

9 Deviation First Detected By (*Select one*)
- A Tower Personnel Observation of
  - 1) ☒ Movement Area
  - 2) Airport Surface Detection Equipment (ASDE)
- B ASDE with Airport Movement Area Safety System (AMASS)
- C Airport Security
- D Public, Including Pilot
- E Other, *Specify* _____

10 Surface Detection Equipment
- A ☒ No Surface Detection Equipment at the Airport (*Skip to Item 11*)
- B Equipment Was Operational (*Select one*)
  Yes No Unknown
- C Equipment Was On (*Select one*)
  Yes No Unknown
- D Movement Was Detected by Equipment (*Select one*)
  Yes No Unknown

FOR ASDE/AMASS ONLY
- E There Was an Alert (*Select one*)
  Yes No Unknown
- F There Was a Response to Alert (*Select one*)
  Yes No Unknown

11 Deviation Occurred on the Following Movement Area(s) (*Mark all that apply Describe pertinent non-movement areas in Item 19*)
- A ☒ Runway, *Specify No* 14
- B ☒ Taxiway, *Specify I D* E
- C Intersection, *Specify I D* _____
- D Other Areas, *Specify* _____

12 Movement Area Had (*Mark all that apply*)
- A Recent Runway or Taxiway Configuration Changes
- B Construction Activity
- C Portion Closed by Notice to Airmen, *Specify closed area* _____
- D Other, *Specify* _____
- E ☒ None of the Above

13 Deviation Area Was Visible From the Tower (Mark one)
- ☒ Yes
- No
- Partially, *Specify* _____

14 A Clearance Was Issued or Amended to Preclude a Loss of Separation or Collision Hazard (*Select one*)
- ☒ Yes *Specify* Takeoff clearance canceled
- No

15 Did Pilot Driver, or Pedestrian Take or Request an Evasive Action to Avoid a Collision Hazard (*Select one*)?
- ☒ Yes
- No
- Unknown

16 Was There a Loss of Separation (*Select one*)?
- ☒ Yes
- No

17 For Loss of Separation, the Closest Proximity Was
- A Horizontal 2000 feet
- B Vertical 0 feet

18 Airport Management Notified of V/PD
- A Name (Airport Mgr Jennifer King
- B Local Date |0|7|2|3|9|9| (M M D D Y Y)
- C Local Time 1300

e. FAA Form 8020-24 (continued)

19. Description of V/PD:

Local control had just issued takeoff clearance to N2131Y when the tower supervisor noticed a person leaving the Northwest ramp on a bicycle. The bicycle proceeded onto taxiway "E" and onto runway 14.

Local canceled N2131Y's clearance as soon as possible, but the aircraft had already takeoff roll.

The distance from the aircraft to the point at which the bicycle entered the runway is approximately 2000 feet.

The bicycle exited the airport before security was able to apprehend.

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e FAA Form 8020-24 (continued)

20 Attachment(s) A ☒ Airport Diagram (REQUIRED) B Other, *Specify* _____	21 Individual Completing Form A Name Susan Shaffer (TYPE or PRINT) B Telephone No (718) 226 - 7689
22 Facility Manager Approving Form A Signature Sarah Meadows B Name Sarah Meadows (TYPE or PRINT) C Date 7-23-99	23 Report Distributed to A FAA Region | A | E | A | B Division Offices ☒ Airports ☒ Air Traffic ☒ Flight Standards (*only if 7A is checked*) C Others ☒ Airport Manager ATX 400 AAS-300 AAT-210

INSTRUCTIONS

I. General

The incident report number and Items 1, 2, 3A if applicable, 10, 11, 16, and 19 of FAA Form 8020-24 *must be completed and information transmitted or arrangements* made to transmit it in numerical order within 3 hours of the detection of a V/PD Transmit by (1) telephone, facsimile, or in accordance with regional agreement to the Airports division office with jurisdiction over the area in which the V/PD occurred, and (2) by National Airspace Data Interchange Network *(NADIN) message using immediate (DD) precedence* to FAA headquarters and others If the V/PD is significant (e g , involving air carriers, air taxis, or prominent persons), the above information should be communicated immediately by telephone to FAA headquarters The form must be completed and mailed by first-class mail within 10 calendar days of the V/PD The definition of a *V/PD and instructions on distribution* of FAA Form 8020-24 are in FAA Order 8020 11, Aircraft Accident and Incident Notification Investi-gation, and Reporting A V/PD that leads to an accident should also be reported as a V/PD using this form If more than one vehicle or pedestrian was involved, file a single report based on the first vehicle or pedestrian involved in the deviation *Describe the other participants in Item 19*

If the categories given are inadequate. complete "Other, Specify Sign and date the form (Item 22) before distribution

II. Incident Report Number

Each facility completing FAA Form 8020-24 is responsible for assigning a unique 12-character number to each reported V/PD The first character is **V**, for V/PD The second and third characters are the abbreviation of the FAA region in which the deviation occurred

AL - Alaskan	**GL** - Great Lakes	**SO** - Southern
CE - Central	**NE** - New England	**SW** - Southwest
EA - Eastern	**NM** - Northwest Mountain	**WP** - Western-Pacific

The fourth character identifies the type of facility completing the form

C - ARTCC	**R** TRACON	**Z** - FSDO or Other
F - AFSS or FSS	**T** - ATCT	

For combined TRACON or ATCT operations, use the character for the TRACON or ATCT reporting the V/PD

The fifth through seventh characters are the facility location identifier (e g ZNY) See the latest edition of Order 7350 6

The eighth and ninth characters are the calendar year in which the V/PD occurred, e g , 00 for 2000

The last three characters are the sequential V/PD number for the year by reporting facility, e g , V/PD s would be numbered 001 to 999 in 2000 at a given facility

III. Abbreviations

The following abbreviations are used

AFSS	- Automated Flight Service Station
ARTCC	Air Route Traffic Control Center
ATCT	- Airport Traffic Control Center
FSDO	- Flight Standards District Office
FSS	- *Flight Service Station*
TRACON	Terminal Radar Approach Control

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APPENDIX 3. EXAMPLES OF FORMS AND PROCEDURES USED BY FLIGHT STANDARDS SERVICE

[1] See Appendix 2 for an example of FAA Form 8020-19, Reclassification of Aviation Incident Report

APPENDIX 3. EXAMPLES OF FORMS AND PROCEDURES USED BY FLIGHT STANDARDS SERVICE

PART 1. ACCIDENT OR INCIDENT REPORT

a. NTSB Form 6120.1/2, Pilot/Operator Aircraft Accident Report

FORM APPROVED FOR USE THROUGH 11/30/90 BY OMB NO. 3147-0001.

NATIONAL TRANSPORTATION SAFETY BOARD
PILOT/OPERATOR AIRCRAFT ACCIDENT REPORT
This Form To Be Used For Reporting Civil Aircraft Accidents
Involving Commercial And General Aviation Aircraft

Location

Nearest City/Place, State, Zip Code	Date Of Accident	Local Time (24 HOUR CLOCK)	Zone	Elevation At Accident Site
Airville, AR	02-09-88	1232	CST	735 Feet MSL ____ Feet MSL

If The Accident Occurred On Approach, Takeoff, Or Within 3 Miles Of An Airport, Complete The Following Information

Proximity To Airport

1. ☒ On Airport 3. ☐ Within ½ Mile 5. ☐ Within 1 Mile 7. ☐ Within 3 Miles
2. ☐ Within ¼ Mile 4. ☐ Within ¾ Mile 6. ☐ Within 2 Miles 8. ☐ Beyond 3 Miles

Airport Name	Airport Ident	Runway/Landing Surface And Conditions
Airville Airport	32A	1. Direction. Right 3 Width 75 FT 2. Length: 3600 FT 4 Surface Asphalt 5. Condition: Damp

Phase Of Operation

1. ☐ Standing 3. ☐ Takeoff 5. ☐ Cruise 7. ☐ Approach 9. ☐ Hover/Maneuver
2. ☐ Taxi 4. ☐ Climb 6. ☐ Descent 8. ☒ Landing 10. ☐ Altitude Of In-Flight Occurrence ____ Feet MSL

Aircraft Information

Registration Mark	Aircraft Manufacturer	Aircraft Type/Model	Serial Number	Cert Max Gross WT
N1234A	Beechcraft	S35	AC172	3650

Type Of Aircraft

1. ☒ Airplane 5. ☐ Blimp/Dirigible
2. ☐ Helicopter 6. ☐ Ultralight
3. ☐ Glider 7. ☐ Gyroplane
4. ☐ Balloon 8. Specify_____

Type Of Airworthiness Certificate

1. ☒ Normal 5. ☐ Restricted
2. ☐ Utility 6. ☐ Limited
3. ☐ Acrobatic 7. ☐ Experimental
4. ☐ Transport 8. Specify_____

Amateur Built

1. ☐ Yes
2. ☒ No

Landing Gear

1. ☒ Tricycle--Fixed 4. ☐ Tailwheel--Retractable 7. ☐ Skid
2. ☐ Tricycle--Retractable 5. ☐ Tailwheel--Retractable Mains 8. ☐ Ski/Wheel
3. ☐ Tailwheel--Fixed 6. ☐ Amphibian 9. Specify_____

No Of Seats Flight/Cabin
Crew 1
Pax 5

Stall Warning System Installed	IFR Equipped	Engine Type
1. ☒ Yes 2. ☐ No	1. ☒ Yes 2. ☐ No	1. ☐ Reciprocating--Carburetor 3. ☐ Turbo Prop 5. ☐ Turbo Fan 2. ☒ Reciprocating--Fuel Injected 4. ☐ Turbo Jet 6. ☐ Turbo Shaft

Engine Manufacturer	Engine Model/Series	Engine Rated Power	Type Of Fire Extinguishing System Used
Continental	IO-550-B	1. 300 Horsepower 2. ____ Lbs. Thrust	1. ☒ None 2. ☐ Specify_____

Engine(s)	Date Of Mfg.	Mfg. Serial No.	Total Time	Time Since Inspection	Time Since Overhaul
Engine No. 1	5-12-85	S123456	425 Hours	125 Hours	N/A Hours
Engine No. 2			Hours	Hours	Hours
Engine No. 3			Hours	Hours	Hours
Engine No. 4			Hours	Hours	Hours

Type Of Maintenance Program	Type Of Last Inspection	Date Last Inspection Performed
1. ☒ Annual	1. ☒ Annual	9-5-87 (M/D/Y)
2. ☐ Manufacturer's Inspection Program	2. ☐ 100 Hour	Time Since Last Inspection
3. ☐ Other Approved Inspection Program	3. ☐ AAIP	125 Hours
4. ☐ Continuous Airworthiness	4. ☐ Continuous Airworthiness	Airframe Total Time
5. Specify_____		425 Hours

Emergency Locator Transmitter (ELT)	ELT Manufacturer	Model/Series	Serial Number	Battery Date (m/d/y)
	NARCO	ELT-10	N123456	5/10/98

Switch	Operated	Aided In Accident Location
1. ☐ On 2. ☐ Off 3. ☒ Armed	1. ☒ Yes 2. ☐ No	1. ☐ Yes 2. ☒ No

Registered Aircraft Owner	Address
Smith Construction Company	124 Commerce Parkway Airville, AR 79012

Operator Of Aircraft	Address
1 ☒ Same As Registered Owner 2 Name 3. DBS:	1. ☒ Same As Registered Owner 2. _____

NTSB Form 6120.1/2 (11/97) This form replaces NTSB Forms 6120.1 (Rev 10/77) and 6120.2 (Rev. 10/77) Page 1

PART 1. ACCIDENT OR INCIDENT REPORT (continued)

a. NTSB Form 6120.1/2, Pilot/Operator Aircraft Accident Report (continued)

Owner/Operator Information (cont.)

Operator (Certificate Number)	Operator Designator (4 Letter Designator)
N/A	N/A

Purpose Of Flight And Type Of Operation

Regulation Flight Conducted Under
1. ☒ FAR 91 (only) 4. ☐ FAR 121 7. ☐ FAR 133
2. ☐ FAR 91D 5. ☐ FAR 125 8. ☐ FAR 135
3. ☐ FAR 103 6. ☐ FAR 129 9. ☐ FAR 137

Purpose Of Flight
1. ☐ Personal 6. ☐ Aerial Observation
2. ☒ Business 7. ☐ Other Work Use
3. ☐ Instructional 8. ☐ Public Use
4. ☐ Executive/Corporate 9. ☐ Ferry
5. ☐ Aerial Application 10. ☐ Positioning

Operator Authority
FAR 121
1. ☐ Domestic
2. ☐ Flag
3. ☐ Supplemental

FAR 135
4. ☐ On Demand
5. ☐ Commuter

FAR 133
6. ☐ Rotorcraft External Load

FAR 125
7. ☐ Large Aircraft

FAR 129
8. ☐ Foreign

FAR 121, 125, 127, 129, 135 Revenue Operations
1. ☐ Scheduled
2. ☐ Non Scheduled
3. ☐ Domestic
4. ☐ International
5. ☐ Passenger
6. ☐ Cargo
7. Specify

Pilot Information

Pilot Name	Pilot Certificate No	Address	Nationality
R. L. Smith	237091468	RFD 4 Airville, AR	U.S.

Certificate(s)
1. ☐ Student 3. ☒ Commercial 5. ☐ Flight Instructor 7. ☐ Military 9. ☐ None
2. ☐ Private 4. ☐ Airline Transport 6. ☐ Flight Engineer 8. ☐ Foreign 10. Specify

Rating(s)
1. ☐ None 6. ☐ Helicopter
2. ☒ Single Engine Land 7. ☐ Glider
3. ☐ Single Engine Sea 8. ☐ Free Balloon
4. ☐ Multiengine Land 9. ☐ Airship
5. ☐ Multiengine Sea 10. ☐ Gyroplane

Instrument Rating(s)
1. ☐ None
2. ☒ Airplane
3. ☐ Helicopter

Instructor Rating(s)
1. ☒ None 6. ☐ Instrument Airplane
2. ☐ Airplane S.E. 7. ☐ Instrument Helicopter
3. ☐ Airplane M.E. 8. ☐ Ground Instructor
4. ☐ Helicopter 9. Specify
5. ☐ Glider

Type Ratings/Student Endorsements	Date Of Biennial Flight Review Or Equivalent (M/D/Y)	BFR Aircraft
	8/13/86	1. Make Beechcraft 2. Model S35

Medical Certificate	Date Of Last Medical	Limitations	Waivers	Date Of Birth 9M/D/Y)
1. ☐ None 3. ☒ Class 2 2. ☐ Class 1 4. ☐ Class 3	7/25/87	None	None	5/12/58

Degree Of Injury
1. ☐ None
2. ☒ Minor
3. ☐ Serious
4. ☐ Fatal

Seat Occupied
1. ☒ Left 4. ☐ Front
2. ☐ Right 5. ☐ Rear
3. ☐ Center

Person At Controls At Time Of Accident
1. ☒ Pilot in Command 3. ☐ Front 5. ☐ No One
2. ☐ Second Pilot 4. ☐ Rear

Seat Belt Available
1. ☒ Yes
2. ☐ No

Seat Belt Used
1. ☒ Yes
2. ☐ No

Shoulder Harness Available
1. ☒ Yes
2. ☐ No

Shoulder Harness Used
1. ☒ Yes
2. ☐ No

Source Of Pilot Flight Time Information
1. ☒ Pilot Logbook 4. ☐ Company
2. ☐ Operators Estimate 5. Specify
3. ☐ FAA Records

Flight Time	All A/C	This Make & Model	Airplane Single Engine	Airplane Multiengine	Night	Instrument Actual	Instrument Simulated	Rotorcraft	Glider	Lighter Than Air
Total Time	1268	530	1268		125	256	135			
Pilot In Command (PIC)	1022	475	1022		125	256	135			
Instructor										
This Make/Model										
Last 90 Days	25	25	25		5	7	0			
Last 30 Days	8	8	8		2	4	0			
Last 24 Hours	2	2	2			1	0			

Second Pilot Information

Second Pilot Responsibilities At The Time Of Accident
1. ☐ Co-Pilot 2. ☐ Dual Student 3. ☐ Safety Pilot 4. ☐ Check Pilot 5. ☒ None (Pilot-Rated Passenger)

Pilot Name	Pilot Certificate No.	Address	Nationality
N/A			

Certificate(s)
1. ☐ Student 3. ☐ Commercial 5. ☐ Flight Instructor 7. ☐ Military 9. None
2. ☐ Private 4. ☐ Airline Transport 6. ☐ Flight Engineer 8. ☐ Foreign 10. Specify

Page 2

PART 1. ACCIDENT OR INCIDENT REPORT (continued)

a. NTSB Form 6120.1/2, Pilot/Operator Aircraft Accident Report (continued)

SECOND PILOT INFORMATION (cont.)

Ratings	Instrument Rating(s)	Instructor Rating(s)
1. ☐ None 6. ☐ Helicopter	1. ☐ None	1 ☐ None 6. ☐ Instrument Airplane
2. ☐ Single Engine Land 7. ☐ Glider	2. ☐ Airplane	2. ☐ Airplane S.E. 7. ☐ Instrument Helicopter
3. ☐ Single Engine Sea 8 ☐ Free Balloon	3. ☐ Helicopter	3. ☐ Airplane M.E. 8. ☐ Ground Instructor
4. ☐ Multiengine Land 9. ☐ Airship		4 ☐ Helicopter 9. Specify
5. ☐ Multiengine Sea 10. ☐ Gyroplane		5 ☐ Glider

Type Ratings/Student Endorsements	Date Of Biennial Flight Review Or Equivalent (M/D/Y)	BFR Aircraft
N/A		1. Make 2 Model

Medical Certificate	Date Of Last Medical (M/D/Y)	Limitations	Date Of Birth
1. ☐ None 3. ☐ Class 2 2. ☐ Class 1 4. ☐ Class 3		Waivers	

Degree Of Injury	Seat Occupied	Seat Belt Available
1. ☐ None 3. ☐ Serious 2. ☐ Minor 4. ☐ Fatal	1. ☐ Left 3. ☐ Center 5. ☐ Rear 2. ☐ Right 4. ☐ Front	1. ☐ Yes 2. ☐ No

Seat Belt Used	Shoulder Harness Available	Shoulder Harness Used	Source Of Pilot Flight Time Information
1. ☐ Yes 2. ☐ No	1. ☐ Yes 2. ☐ No	1. ☐ Yes 2. ☐ No	1. ☐ Pilot Logbook 4. ☐ Company 2. ☐ Operators Estimate 5. Specify 3. ☐ FAA Records

Flight Time	All A/C	This Make & Model	Airplane Single Engine	Airplane Multiengine	Night	Instrument Actual	Instrument Simulated	Rotorcraft	Glider	Lighter Than Air
Total Time										
Pilot In Command (PIC)										
Instructor										
This Make/Model										
Last 90 Days										
Last 30 Days										
Last 24 Hours										

Other Personnel

Name	Seat	Address (City & State)	Crew	Passenger Non-Revenue	Passenger Revenue	Non-Occupant	FAA	Degree Of Injury Fatal	Serious	Minor	None
1.											
2.											
3.											
4.											
5.											
6.											

Flight Itinerary Information

Last Departure Point	Time Of Departure	Destination	Flight Plan Filed
1. Airport ID 47F 2. City/Place Flyway 3. State OK	1. Time 1630 2. Time Zone Central	1. Airport ID 32A 2. City/Place Airville 3. State AR	1. ☐ None 4. ☐ VFR/IFR 2. ☐ VFR 5. ☐ Company (V FR) 3. ☒ IFR 6. ☐ Military (VFR)

If Weather Was Involved, State If Weather Briefing Was Obtained Or If Weather Reports Were Checked And How It Was Accomplished

N/A

Fuel On Board At Last Takeoff	Fuel Type
75 Gallons or _____ Pounds	1. ☐ 80/87 4. ☐ 115/145 7. Specify 2. ☐ 100 Low Lead 5. ☐ Jet A 3. ☒ 100/130 6. ☐ Automotive

Other Services, If Any, Prior To Departure

N/A

Weather Information At The Accident Site

Source Of Weather Information (Pilot/Operator, Weather Observation)	Light Condition	Visibility	Temp(°F)
Pilot	1. ☐ Dawn 3. ☐ Dusk 5. ☐ Dark Night 2. ☒ Daylight 4. ☐ Bright Night	1 Miles	33

Page 3

PART 1. ACCIDENT OR INCIDENT REPORT (continued)

a. NTSB Form 6120.1/2, Pilot/Operator Aircraft Accident Report (continued)

Weather Information At The Accident Site (cont.)

Dew Point	Altimeter Setting	Sky/Lowest Cloud Condition
28 (°F)	30.07 "Hg	1. ☐ Clear 2. ☐ Scattered_____Feet AGL 3. ☐ Broken _____Feet AGL 4. ☒ Overcast_1000_Feet AGL 5. ☐ Partial Obscuration 6. ☐ Obscured

Wind Information	Restriction To Visibility	Type Precipitation	Intensity Of Precipitation
1. Direction 030 degrees 2. Velocity 9 KTS 3. Gusts _____KTS	1 mile	Snow	1. ☒ Light 3. ☐ In-Flight 2. ☐ Moderate 4. Specify_____

Turbulence (Multiple Entry)
1. ☒ None 2. ☐ Light 3. ☐ Moderate 4. ☐ Severe 5. ☐ Extreme 6. ☐ Clear Air 7. ☐ In Clouds

Damage To Aircraft And Other Property

Degree Of Aircraft Damage	Fire
1. ☐ None 2. ☐ Minor 3. ☐ Substantial 4. ☒ Destroyed	1. ☒ Yes 3. ☐ In-Flight 2 ☐ No 4. ☐ On Ground

Description Of Damage To Aircraft And Other Property

Aircraft destroyed by post-impact fire. Aircraft struck light pole on airport premises, which was severely damaged.

Mechanical Malfunction Failure

1. ☐ No
2. ☒ Yes List The Name Of The Part, Manufacturer, Part No., Serial No., And Describe The Failure

Still investigating.

Total Time	
On Part	At Overhaul
___Hours	___Hours

Collision Accident

If Collision Accident Occurred, Complete The Information For Other Aircraft

Registration Mark	Aircraft Manufacturer	Aircraft Type/Model	Degree Of Aircraft Damage
N/A			1. ☐ Destroyed 3. ☐ Minor 2. ☐ Substantial 4. ☐ None

Registered Aircraft Owner	Address

Pilot Name	Address	Pilot Certificate No.

Evacuation Of Aircraft

Assistance Received
1. ☒ Outside Person(s) 3. ☐ Slide 5. ☐ Ladder
2. ☐ Auxiliary Lighting 4. ☐ Rope 6. Specify_____

Method Of Exit (State Approximate Number Of Persons Using Each Of The Following)
1. Main Door 4 2. Auxiliary Door_____ 3. Emergency Exit_____

Recommendation (How Could This Accident Have Been Prevented)

Operator/Owner Safety Recommendation (Optional Entry)

Page 4

PART 1. ACCIDENT OR INCIDENT REPORT (continued)

a. NTSB Form 6120.1/2, Pilot/Operator Aircraft Accident Report (continued)

Additional Flight Crewmembers

For Each Additional Flight Crewmember, Exclusive Of Cabin Attendants, Complete The Following Information:

Name	FAA Certificate No.	Address	Title

Certificate(s)
1. ☐ Student 3. ☐ Commercial 5. ☐ Flight Instructor 7. ☐ Foreign
2. ☐ Private 4. ☐ Airline Transport 6. ☐ Flight Engineer 8 Specify_____

Ratings/Endorsements	Total Flight Time	Flight Time This Accident

Name	FAA Certificate No.	Address	Title

Certificate(s)
1. ☐ Student 3. ☐ Commercial 5. ☐ Flight Instructor 7. ☐ Foreign
2. ☐ Private 4. ☐ Airline Transport 6. ☐ Flight Engineer 8. Specify_____

Ratings/Endorsements	Total Flight Time	Flight Time This Accident

Name	FAA Certificate No.	Address	Title

Certificate(s)
1. ☐ Student 3. ☐ Commercial 5. ☐ Flight Instructor 7. ☐ Foreign
2. ☐ Private 4. ☐ Airline Transport 6. ☐ Flight Engineer 8. Specify_____

Ratings/Endorsements	Total Flight Time	Flight Time This Accident

Page 5

PART 1. ACCIDENT OR INCIDENT REPORT (continued)

a. NTSB Form 6120.1/2, Pilot/Operator Aircraft Accident Report (continued)

Narrative History Of Flight

Describe What Occurred in Chronological Order, The Circumstances Leading To The Accident And The Nature Of The Accident, Describe The Terrain And Include A Sketch Of Wreckage Distribution If Pertinent. Attach Extra Sheets If More Space Is Needed State Point Of Departure, Time Of Departure, Intended Destination And Services Obtained.

The group left the airport in Flyway heading for Airville. The pilot, Mr. Smith, said that something seemed strange with the controls. He said he had difficulty maintaining control of the airplane. This was the second such incident that Mr. Smith had experienced. He asked his mechanic, Mr. Jones, to accompany him on this flight to check the problem. The mechanic planned to do an overhaul soon after they landed the plane.

The aircraft crashed on landing 1,500 feet from the approach end of the runway after striking a power pole.

I Hereby Certify That The Above Information Is Complete And Accurate To The Best Of My Knowledge

Date Of This Report	Signature Of Pilot/Operator
2/10/88	R. L. Smith

Signature Of Person Filing Report Other Than Pilot/Operator

1 Signature _____

2 Type Or Print Name _____

3. Title _____

For NTSB Use Only

NTSB Accident No.	Reviewed By NTSB Office Located At	Name Of Investigator	Date Report Received

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PART 1. ACCIDENT OR INCIDENT REPORT (continued)

a. NTSB Form 6120.1/2, Pilot/Operator Aircraft Accident Report (continued)

National Transportation Safety Board
NTSB Form 6120 1/2

PILOT/OPERATOR AIRCRAFT ACCIDENT REPORT

Forms may be obtained from the National Transportation Safety Board Field Offices and the Federal Aviation Administration Flight Standards District Offices

Rules pertaining to aircraft accidents, incidents, overdue aircraft, and safety investigation are contained in Part 830 of the National Transportation Safety Board's Regulations, 49 CFR These rules state the authority of the Board, define accidents, injuries, and other terms, and provide procedures for initial and immediate notification by aircraft pilots/operators

A APPLICABILITY

The pilot/operator of an aircraft shall file a report with the Field Office of the National Transportation Safety Board nearest the accident or incident The report shall be filed within ten (10) days after an accident for which notification is required by Section 830 5 or when after seven (7) days an overdue aircraft is still missing

The Pilot/Operator Aircraft Accident Report Form is used in determining the facts, conditions, and circumstances for aircraft accident prevention activities and for statistical purposes It is necessary that ALL questions be answered completely and accurately to serve the above purposes

B DEFINITIONS

1 "Aircraft Accident" means an occurrence associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight until such time as all such persons have disembarked, and in which any person suffers death, or serious injury as a result of being in or upon the aircraft or by direct contact with the aircraft or anything attached thereto, or in which the aircraft receives substantial damage

2 "Substantial Damage" means damage or structural 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 **NOTE** Engine failure (damage limited to an engine), bent fairing or cowling, dented skin, small punctured holes in the skin or fabric, ground damage to rotor or propeller blades, damage to landing gear, wheels, tires, flaps, engine accessories, brakes, or wing tips are not considered "substantial damage" for purposes of this report

3 "Demolished" indicates destruction by fire

4 "Operator" means any person who causes or authorizes the operation of an aircraft, such as the owner, lessee, or bailee of an aircraft

5 "Fatal Injury" means any injury which results in death within thirty (30) days of the accident

6 "Serious Injury" means any injury which (1) requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received, (2) results in a fracture of any bone (except simple fracture of fingers, toes, or nose), (3) involves lacerations which cause severe hemorrhages, nerve, muscle, or tendon damage, (4) involves injury to any internal organ, or (5) involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface

INSTRUCTIONS TO PILOTS/OPERATORS FOR COMPLETING THIS FORM
It is necessary that ALL questions on this report be answered completely and accurately.

Item 1 Location Use the name of the nearest community that has a Post Office in the state where the accident occurred
Date & Time Indicate if daylight saving or standard time
Elevation Provide elevation of the accident site
Airport Identification Provide 3 or 4 character identifier
Runway Direction--heading being used, Surface--composition, i e , concrete asphalt, grass, etc , Condition--wet, slick, soft, etc
Phase of Operation During what Phase of Operation did the accident occur **NOTE** If the accident occurred inflight, state the altitude of the occurrence

Item 2 Aircraft Data Make and Model--enter as shown on aircraft registration certificate, Engine--enter make and model as shown on engine nameplate
Certificated Max Gross Weight--Indicate the certificated max gross weight for the aircraft involved in the occurrence
Type of Fire Extinguishing System--Include hand type extinguishers, if fire was involved and extinguisher was used

Item 3 Purpose of Flight and Type of Operation More than one selection may be made to indicate the type of operation that was being conducted at the time of the occurrence

Item 4 Pilot Information -- Pilot-in-Command (PIC) includes solo flight time Instructor--indicates all dual flight instructor given

Item 5 Second Pilot Information Indicate the capacity in which the second pilot was acting at the time of the accident

Item 6 Self-Explanatory
Item 7 Self- Explanatory
Item 8 Weather Information at the Accident Site Indicate the weather conditions at the accident site at the time of occurrence
Sky/Lowest Cloud Condition If cloud condition was scattered, broken or overcast, include height of clouds above ground level
Restriction to Visibility Haze, dust, smoke, fog etc
Type Precipitation Rain, show, hail, etc
Item 9 Collision Accident This includes collision with parked aircraft
Item 10-14 Are self-explanatory
Item 15 Additional Flight Crew Members This page shou'd be completed if there are more than two required flight crew members on the aircraft This also includes a check airman performing official duties For aircraft requiring two flight crew members or less, and there were not other required flight crew members involved, separate this page

Page 7

PART 1. ACCIDENT OR INCIDENT REPORT (continued)

Follow Addressing Instructions Below

When reporting an aircraft accident/incident, MAIL THIS FORM TO THE NATIONAL TRANSPORTATION SAFETY BOARD (NTSB) FIELD OFFICE NEAREST THE SCENE OF THE ACCIDENT. NTSB Field Offices are located in the following cities:

Anchorage, AK	Los Angeles, CA
Atlanta, GA	Miami, FL
Chicago, IL	New York, NY
Denver, CO	Seattle, WA
Fort Worth, TX	Washington, DC
Kansas City, MO	

The complete mailing address of NTSB Field Offices are listed under "U.S. GOVERNMENT" in the telephone directories of the opposite listed cities. However, if a complete mailing address is not available, address the form as follows:

NATIONAL TRANSPORTATION SAFETY BOARD
Bureau of Accident Investigation

_____
(Enter city and State of Nearest Field Office)

FOLD HERE THEN STAPLE BEFORE MAILING

NATIONAL TRANSPORTATION SAFETY BOARD
WASHINGTON, D C 20594

POSTAGE AND FEES PAID
NATIONAL TRANSPORTATION
SAFETY BOARD

OFFICIAL BUSINESS
PENALTY FOR PRIVATE USE, $300

PART 1. ACCIDENT OR INCIDENT REPORT (continued)

b. NTSB Form 6120.9, Passenger Statement

FORM APPROVED-OMB No. 994-R-5002

NATIONAL TRANSPORTATION SAFETY BOARD
Washington, D.C. 20594

PASSENGER STATEMENT

The National Transportation Safety Board, a Federal agency, is charged by an Act of Congress with the investigation of transportation accidents. The Safety Board issues reports and makes recommendations to other federal and local agencies and to the industry to prevent future accidents and to prevent unnecessary injuries caused by such accidents.

We would appreciate very much your assistance in giving us the benefit of your personal observations and comments regarding this accident so that we may better evaluate the facts, conditions, and circumstances surrounding this accident. Your observations also could assist us greatly in our evaluation of the cause of injuries as well as the adequacy of equipment and procedures affecting your survival and escape.

In addition to completing the following specific information, please feel free to comment on any aspect, before, during, or after the accident, that you believe may have had a bearing on the accident cause or on subsequent events.

STATEMENT

Name: Mary Carmichael Age: 42 Height: 5'4" Weight: 135

Address: 2527 Roundtree Road; Airville, AR

Occupation: Lawyer Telephone: 517-265-4123

Injuries: I sustained serious injuries to my back and bruises to my face and upper body.

If you sustained injuries and were treated, provide name and address of doctor or treatment facility:

Westman Memorial Hospital, 1 Center Road, Airville, AR

Are you handicapped (through vision, missing limbs, spinal problems, etc., which may affect your movements.) Please specify:

N/A

Seat Location: If you do not recall your seat number, please specify your position as on the left or right, aisle or window location, number of rows from the front or back, near a specific door or any other method which will assist in locating your position.

I sat in the back, last row, on the left-hand side.

NTSB Form 6120.9 (Rev. 10/77)

PART 1. ACCIDENT OR INCIDENT REPORT (continued)

b. NTSB Form 6120.9, Passenger Statement (continued)

A. MY OBSERVATIONS BEFORE THE ACCIDENT

Describe your observations before the accident happened such as the weather conditions, the lighting conditions, whether or not you have a seatbelt fastened, your outside observations, etc.

The weather was cold and snowing. I had my seatbelt fastened. I really wasn't paying too much attention to what was going on before we hit because I was thinking about the meeting. I do remember that Mr. Jones seemed worried during the last part of the flight before we hit the ground.

B. MY OBSERVATIONS DURING THE ACCIDENT

Describe the accident circumstances considering such things as any unusual occurrences during the accident, the presence of fire or smoke, the direction in which you were thrown. the severity of the impact, etc.

I remember a flash and a bump, and then another bigger bump. We stopped skidding on the ground, and I knew that we were not on the runway, which seemed strange. Anyway, I couldn't move around much because my back and face were hurting terribly.

PART 1. ACCIDENT OR INCIDENT REPORT (continued)

b. NTSB Form 6120.9, Passenger Statement (continued)

C. MY OBSERVATIONS AFTER THE ACCIDENT

Describe your method of escape and any difficulties encountered with your seat, seatbelt, debris, etc.; the reaction and behavior of other passengers; your observations of any outside rescue attempts; any occurrence which seemed unusual to you; etc.

After what seemed like a long time, some firemen pulled me out of the airplane. I later found out that it wasn't so long at all, it just seemed that way. They then carried me to the hospital in an ambulance.

D. OTHER GENERAL OBSERVATIONS

You may use this space to comment on any other aspect of the accident or you may sketch the general accident scene as you observed it, your escape method, or the location of fire, etc.

While waiting to get out, I heard Mr. Jones moaning and knew that he had been hurt seriously, and then I heard Mr. Smith moaning also. I really got scared.

Mary Carmichael
(Signature)

PART 1. ACCIDENT OR INCIDENT REPORT (continued)

c. NTSB Form 6120.11, Statement of Witness

FORM APPROVED-OMB No. 004-R-5713

NATIONAL TRANSPORTATION SAFETY BOARD
WASHINGTON, D.C. 20594

STATEMENT OF WITNESS

The purpose of this statement is intended solely for use in determining the facts, conditions and circumstances, and the probable cause of the subject accident.

Date 2-15-88

1. Place of accident Airville, AR Date 2-9-88 Hour 1232 CST
2. Type of vehicle Beechcraft S35
3. Identification of vehicle N1234A
4. What is your name Robert Billings Age 37
5. Address 1710 Crosscreek Drive, Airville, AR
6. Occupation Mechanic By whom employed Travel Express Airlines
7. Where were you at the time of the accident In a hangar working on a plane
8. Tell in your own words what you saw or heard before and at the time the accident occurred.

I was standing in the hangar when I heard a loud bump as a small plane was landing. I looked up and saw the plane skidding down the runway after it struck a light pole. It made a rough abrupt stop on the ground at the end of the runway. I then saw some people from the airport running toward the plane.

Robert Billings
(Signature)

NTSB Form 8120.11 (Rev. 10/77) (Use reverse side of sheet for diagram and additional statement)

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT

a. NTSB Form, Preliminary Report Aviation

National Transportation Safety Board **PRELIMINARY REPORT AVIATION**	NTSB ID:	Most Critical Injury:
	Occurrence Date:	Investigated By:
	Occurrence Type:	ICAO Report Submitted

Location/Time

Nearest City/Place	State	Zip Code	Local Time	Time Zone	

Aircraft Information

Registration Number	Aircraft Manufacturer	Model/Series Number

Type of Aircraft		Homebuilt Aircraft?		
Injury Summary:	Fatal	Serious	Minor	None

Sightseeing Flight: **Air Medical Transport Flight:**

Narrative

Brief narrative statement of facts, conditions, and circumstances pertinent to the accident/incident:

PRELIMINARY INFORMATION - SUBJECT TO CHANGE Page 1

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

a. NTSB Form, Preliminary Report Aviation (continued)

National Transportation Safety Board **PRELIMINARY REPORT AVIATION**	NTSB ID:	
	Occurrence Date:	
	Occurrence Type:	

Other Aircraft Involved

Registration Number	Aircraft Manufacturer	Model/Series Number

Accident Information

Aircraft Damage:	Accident Occurred During:
Property Damage:	

Crew	Name	Certificate No.	Injury
Pilot			
2			
3			
4			
5			
6			

Operator Information

Name	Operator Designator Code	Doing Business As

Street Address	City	State	Zip Code

Type of Certificate(s) Held

Air Carrier Operating Certificate:			
Operating Certificate:	Operator Certificate:		
Regulation Flight Conducted Under:			
Type of Flight Operation Conducted:			

Flight Plan/Itinerary

Type of Flight Plan Filed:

Last Departure Point	State	Airport Identifier	
Destination	State	Airport Identifier	

Weather Information

Investigator's Source:	Facility ID:	Observation Time (Local):
Sky/Lowest Cloud Condition: Ft. AGL		Precipitation:
Lowest Ceiling: Ft. AGL	Visibility: SM	Altimeter: "Hg

PRELIMINARY INFORMATION - SUBJECT TO CHANGE Page 2

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

a. NTSB Form, Preliminary Report Aviation (continued)

National Transportation Safety Board **PRELIMINARY REPORT AVIATION**	NTSB ID:	
	Occurrence Date:	
	Occurrence Type:	

Weather Information (Continued from Page 2)

Temperature: F	Dew Point: F	Wind Direction:
Wind Speed: Kts.	Gusts: Kts.	Weather Conditions at Accident Site:

Administrative Data

Notification From	Date	Local Time	Time Zone

FAA District Office/Coordinator	Investigator-In-Charge (IIC)

PRELIMINARY INFORMATION - SUBJECT TO CHANGE Page 3

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

b. NTSB Factual Report Aviation

National Transportation Safety Board **FACTUAL REPORT AVIATION**	NTSB ID:	Aircraft Registration Number:
	Occurrence Date:	Most Critical Injury:
	Occurrence Type:	Investigated By:

Location/Time

Nearest City/Place	State	Zip Code	Local Time	Time Zone	

Airport Proximity	Distance From Landing Facility	Direction From Airport

Aircraft Information Summary

Aircraft Manufacturer	Model/Series	Type of Aircraft

Sightseeing Flight: **Air Medical Transport Flight:**

Narrative

Brief narrative statement of facts, conditions, and circumstances pertinent to the accident/incident:

FACTUAL REPORT - AVIATION Page 1

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

b. NTSB Factual Report Aviation (continued)

National Transportation Safety Board **FACTUAL REPORT AVIATION**	NTSB ID:	
	Occurrence Date:	
	Occurrence Type:	

Landing Facility/Approach Information

Airport Name	Airport ID	Airport Elevation Ft. MSL	Runway Used	Runway Length	Runway Width

Runway Surface Type:				
Runway Surface Condition:				
Type Instrument Approach:				
VFR Approach/Landing				

Aircraft Information

Aircraft Manufacturer	Model/Series	Serial Number

Airworthiness Certificate:				
Landing Gear Type:				
Homebuilt Aircraft?	Number of Seats:	Certified Max Gross Wt. LBS	Number of Engines	
Stall Warning System Installed?				

Engine Type	Engine Manufacturer	Model/Series	Rated Power

Aircraft Inspection Information

Type of Last Inspection	Date of Last Inspection	Time Since Last Inspection Hours	Airframe Total Time Hours

Emergency Locator Transmitter (ELT) Information

ELT Installed?	ELT Operated?	ELT Aided in Locating Accident Site?

Owner/Operator Information

Registered Aircraft Owner	Street Address		
	City	State	Zip Code
Operator of Aircraft	Street Address		
	City	State	Zip Code

Operator Does Business As:	Operator Designator Code:

Type of Certificate(s) Held

Air Carrier Operating Certificate:			
Operating Certificate:	Operator Certificate:		
Regulation Flight Conducted Under:			
Type of Flight Operation Conducted:			

FACTUAL REPORT - AVIATION Page 2

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

b. NTSB Factual Report Aviation (continued)

National Transportation Safety Board **FACTUAL REPORT AVIATION**	NTSB ID:	
	Occurrence Date:	
	Occurrence Type:	

First Pilot Information

Name	City	State	Date of Birth	Age

Sex:	Seat Occupied:	Principal Profession:	Certificate Number:

Certificate(s):				
Airplane Rating(s):				
Rotorcraft/Glider/LTA:				
Instrument Rating(s):				
Instructor Rating(s)				

Type Rating Endorsement for Accident/Incident Aircraft?	Current Biennial Flight Review?	

Months Since Last BFR	BFR Aircraft Make	BFR Aircraft Model	Medical Certificate:
			Date of Last Medical Exam:

Medical Certificate Status:	
Source of Pilot Flight Time Information:	

Flight Time Matrix	All A/C	This Make and Model	Airplane Single Engine	Airplane Multi-Engine	Night	Instrument Actual	Instrument Simulated	Rotorcraft	Glider	Lighter Than Air
Total Time										
Pilot in Command										
Instructor										
Last 90 Days										
Last 30 Days										
Last 24 Hours										

Seatbelt Used?	Shoulder Harness Used?	Autopsy Performed?	Toxicology Performed?
Person at Controls of Aircraft at Time of Accident/Incident:			Second Pilot?

Flight Plan/Itinerary

Type of Flight Plan Filed:				
Departure Point	State	Airport Identifier	Departure Time	Time Zone
Destination	State	Airport Identifier		

Type of Clearance:			
Type of Airspace:			

Weather Information

Source of Briefing:				
Method of Briefing:				

FACTUAL REPORT - AVIATION Page 3

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

b. NTSB Factual Report Aviation (continued)

National Transportation Safety Board **FACTUAL REPORT AVIATION**	NTSB ID:	
	Occurrence Date:	
	Occurrence Type:	

Weather Information

WOF ID	Observation Time	Time Zone	WOF Elevation Ft. MSL	WOF Distance From Accident Site NM	Direction From Accident Site Deg. Mag.

Sky/Lowest Cloud Condition: Ft. AGL		Condition of Light:	
Lowest Ceiling: Ft. AGL	Visibility: SM	Altimeter "Hg	
Temperature: F	Dew Point: F	Wind Direction:	Density Altitude Ft.
Wind Speed:	Gusts:	Weather Conditions at Accident Site:	
Visibility (RVR): Ft.	Visibility (RVV): SM	Intensity of Precipitation:	
Restrictions to Visibility:			
Type of Precipitation:			

Accident Information

Aircraft Damage:	Aircraft Fire:	Aircraft Explosion:
Classification:		

Injury Summary Matrix	Fatal	Serious	Minor	None	TOTAL	
First Pilot						
Second Pilot						
Dual Student						
Check Pilot						
Flight Engineer						
Cabin Attendants						
Other Crew						
Passengers						
TOTAL ABOARD						
Other Aircraft						
Other Ground						
GRAND TOTAL						

FACTUAL REPORT - AVIATION Page 4

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

b. NTSB Factual Report Aviation (continued)

National Transportation Safety Board **FACTUAL REPORT AVIATION**	NTSB ID:
	Occurrence Date:
	Occurrence Type:

Administrative Information

Investigator-in-Charge (IIC)

Additional Persons Participating in This Accident/Incident Investigation:

FACTUAL REPORT - AVIATION Page 5

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

c. NTSB Form 6120.18, Part Tag

NTSB Form 6120.18

PART TAG

TAG No._____

ACCIDENT AID 88 PA 371

PART DESCRIPTION PA-28
Fuel pump

GRID LOCATION:

N/A

REASON FOR HOLDING PART
Test/disassemble

INVESTIGATOR AFFIXING TAG TO PART: GRID AREA No. N/A
D.C. Maddox

WARNING WRECKAGE MUST NOT BE DISTURBED OR REMOVED UNLESS AUTHORIZED BY GROUP CHAIRMAN

OFFICIAL BUSINESS

UNITED STATES GOVERNMENT

NATIONAL TRANSPORTATION

SAFETY BOARD

ACCIDENT INVESTIGATION

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

d. FAA Form 8020-2, Aircraft/Parts Identification and Release

U S Department of Transportation
Federal Aviation Administration
AIRCRAFT/PARTS IDENTIFICATION AND RELEASE
NTSB ACCIDENT OR OFFICE CONTROL No NYC88FA060

SECTION 1 -- Aircraft/Part Identification

N- 89765	Make/Model C-172F	Serial No 9136756
Part Name Landing gear	Part No 21543	Serial No 222111

Nature of Defect/Difficulty

Fractured mounting holes

Hours of Service 1400	Since Overhaul	Since Last Inspection 1357

Type of Investigation (Check One)

☐ *Accident* ☒ *Incident* ☐ *Malfunction or Defect*

SECTION II -- Owner Release of Aircraft Part

A ☒ **Release of Aircraft Part**--The attached aircraft part is released to the Federal Aviation Administration for use in an official investigation I request that *(Check One)*

1 ☐ Tests be made as necessary even though they may result in damage to the part, and the part returned to me

2 ☒ You may make necessary tests and dispose of the part

Owner or Authorized Signature *Frank Mader*	Date 9/28/88

Address *(Number and Street, City State and Zip Code)*
123 High Street
Warwick, RI 03103

Owners Phone # 214-565-3313

B ☐ Receipt for Aircraft Part Returned by FAA

Owner or Authorized Signature	Date

SECTION III--FAA Receipt/Release of Aircraft Part

Signature of FAA Inspector	Date
Region	District Office

SECTION IV -- Notice

NOTICE: ☐ Notify the local FAA Inspector before the attached part is unpackaged disassembled, tested or inspected

Witness of disassembly, test or inspection

Signature of FAA Inspector	Date

FAA Form 8020 2 Attach Hard Copy to Aircraft/Part

FUNCTIONS OF THE AIRCRAFT/PART IDENTIFICATION AND RELEASE TAG

1 Section II A provides owner with a receipt for aircraft part released to the FAA for official investigation,

2 Section II A items 1 and 2 provide instructions to the recipient of a part when an FAA inspector is to witness disassembly, inspection, or test,

3 Section II B provides the FAA with a receipt when an aircraft part is released to the owner or his authorized representative (i e , insurance company) after the investigation is complete,

4 Section III provides the FAA with a receipt when an aircraft is released to the owner or his authorized representative (i e , insurance company) after the investigation is complete,

5 Section IV provides a block for the FAA inspector to certify that he has witnessed unpacking, disassembly, inspection, or test of the part

INSTRUCTION FOR COMPLETION

Always
1 Check type of investigation,
2 Complete Section 1 (self-explanatory),
3 Obtain owner or authorized representative's signature, phone number and address under Section II,
4 Complete Section III for "release" of aircraft

Upon receipt of aircraft part Section II A
1 Check box A, "Release of Aircraft Part "
2 Check box indicating owner's requested disposition of aircraft part, box 1 or 2,
3 When the aircraft part is to be shipped to the manufacturer or repair facility for disassembly, check "NOTICE" block in Section IV at bottom of form

When an aircraft part is released to the owner
1 Obtain owner's or his authorized representative's signature and address (Section II A),
2 Check box, Section II B, "Receipt for Aircraft Part Returned by FAA" and obtain owner or authorized representative's signature

After the FAA Inspector has witnessed disassembly, inspection, or test of the aircraft part, he will sign at the bottom of the 'hard' copy (Section IV)

ROUTING

Original - given to owner or authorized person

Copy - retained by the issuing FAA inspector

"Hard Copy" - attached to the aircraft/part

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

e. NTSB Form 6120.15, Release of Aircraft Wreckage and Receipt of Aircraft Parts

NATIONAL TRANSPORTATION SAFETY BOARD RELEASE OF AIRCRAFT WRECKAGE		Accident Identification Number DCA88-146-003
PART 1--RELEASE OF AIRCRAFT WRECKAGE		
REGISTERED OWNER (name and address) JOHN WILLIAMS 8821 WYNN STREET ANNANDALE, VA 22003		REGISTRATION NUMBER--N N8899Y MAKE CESSNA
MODEL 172F	DATE OF ACCIDENT 12-22-88	LOCATION CULPEPPER, VA

The National Transportation Safety board has ☐ has not ☒ completed its investigation of the aircraft wreckage described above All wreckage except that listed on the reverse side is hereby released to the registered *owner*, or owner's representative, for appropriate disposition (If no parts are retained, insert NONE)

SIGNATURE OF NTSB REPRESENTATIVE	TITLE	DATE
Kenneth Francis	AIR SAFETY INVESTIGATOR	12-24-88

(This section may be signed by a person, not the owner or owner's representative, who has knowledge of the disposition of the aircraft wreckage and its parts Such signature does not place a responsibility for disposition of the wreckage upon that person)

I HEREBY ACKNOWLEDGE

☐ Receipt of the above described aircraft wreckage

☒ Removal of the parts, if any, listed on the reverse side of this form

SIGNATURE	TITLE	DATE
David Winkell	INSURANCE INVESTIGATOR SMITH UNDERWRITERS	12-24-88

REMARKS

NTSB FORM 6120 15 (REV 5/79)

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

e. NTSB Form 6120.15, Release of Aircraft Wreckage and Receipt of Aircraft Parts (continued)

NATIONAL TRANSPORTATION SAFETY BOARD RECEIPT OF AIRCRAFT PARTS	ACCIDENT IDENTIFICATION NUMBER DCA88-146-003

PART II - RELEASE OF AIRCRAFT PARTS

REGISTRATION NUMBER	MAKE	MODEL
N8899Y	CESSNA	172F

DATE OF ACCIDENT	LOCATION
12-22-88	CULPEPPER AIRPORT CULPEPPER, VA

The National Transportation Safety Board has retained, for further examination, those parts, pieces, or components listed below. When the examination is complete, they will be returned to

OWNER OR OWNER'S REPRESENTATIVE -

ADDRESS
DAVID WINKELL
SMITH UNDERWRITERS
1020 MORRIS ROAD
ARLINGTON, VA 22133

PARTS, PIECES, OR COMPONENTS RETAINED:

NOSE LANDING GEAR ASSEMBLY

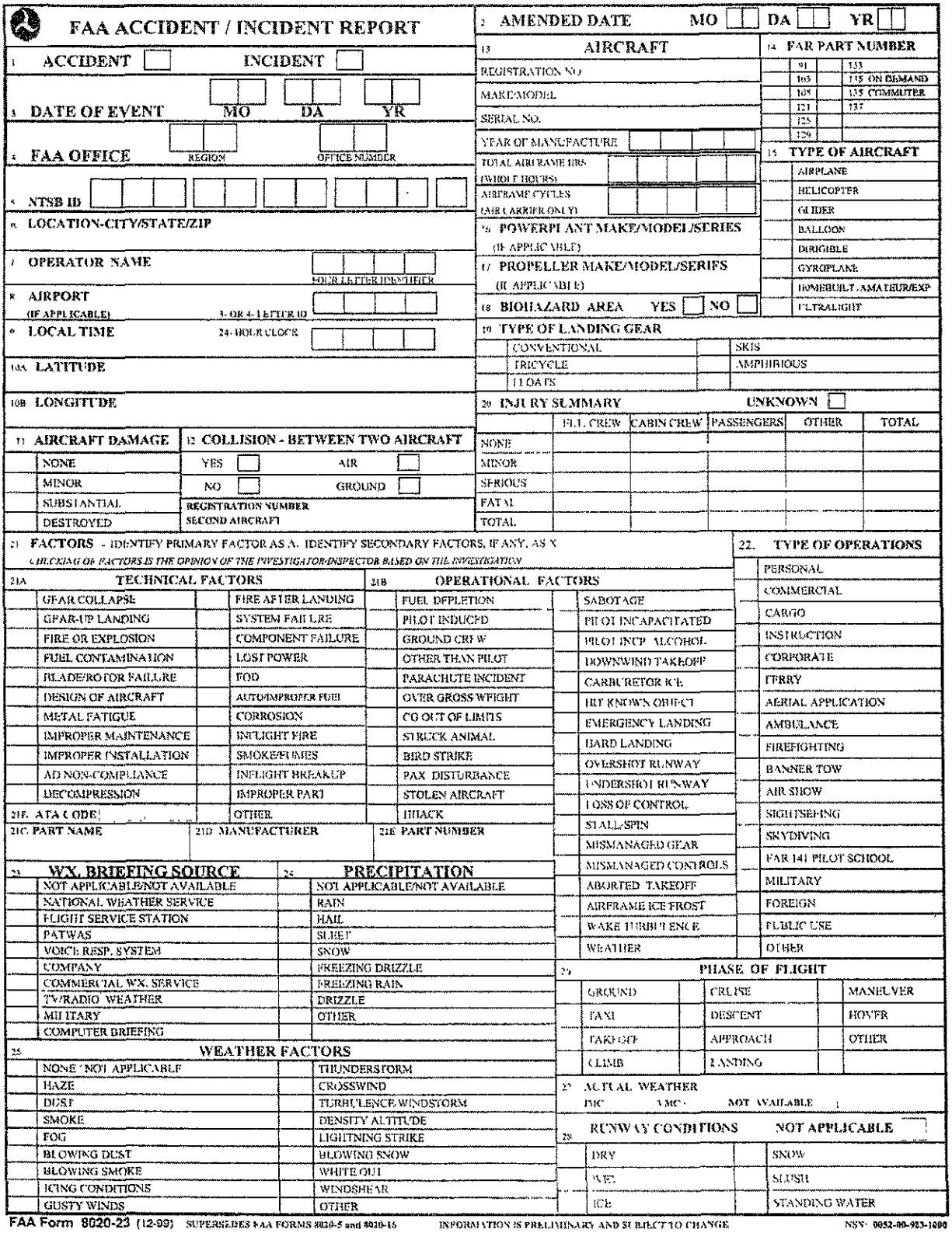
SIGNATURE OF NTSB REPRESENTATIVE	TITLE	DATE
Kenneth Francus	AIR SAFETY INVESTIGATOR	12-24-88

The registered owner or owner's representative will acknowledge receipt of the materials by signing this form in the spaces designated below.

SIGNATURE OF OWNER OR OWNER'S REPRESENTATIVE	TITLE	DATE
David Winkell ADDRESS SMITH UNDERWRITERS 1020 MORRIS ROAD ARLINGTON, VA 22133	INSURANCE INVESTIGATOR	12-24-88

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

f. FAA Form 8020-23, FAA Accident/Incident Report



FAA ACCIDENT / INCIDENT REPORT

1 ACCIDENT ☐ INCIDENT ☐

3 DATE OF EVENT MO DA YR

4 FAA OFFICE REGION OFFICE NUMBER

5 NTSB ID

6 LOCATION-CITY/STATE/ZIP

7 OPERATOR NAME FOUR LETTER IDENTIFIER

8 AIRPORT (IF APPLICABLE) 3- OR 4-LETTER ID

9 LOCAL TIME 24-HOUR CLOCK

10A LATITUDE

10B LONGITUDE

11 AIRCRAFT DAMAGE
- ☐ NONE
- ☐ MINOR
- ☐ SUBSTANTIAL
- ☐ DESTROYED

12 COLLISION - BETWEEN TWO AIRCRAFT
YES ☐ AIR ☐
NO ☐ GROUND ☐
REGISTRATION NUMBER SECOND AIRCRAFT

2 AMENDED DATE MO DA YR

13 AIRCRAFT
REGISTRATION NO.
MAKE/MODEL
SERIAL NO.
YEAR OF MANUFACTURE
TOTAL AIRFRAME HRS (WHOLE HOURS)
AIRFRAME CYCLES (AIR CARRIER ONLY)

14a POWERPLANT MAKE/MODEL/SERIES (IF APPLICABLE)

14b PROPELLER MAKE/MODEL/SERIES (IF APPLICABLE)

16 BIOHAZARD AREA YES ☐ NO ☐

14 FAR PART NUMBER
- ☐ 91 ☐ 133
- ☐ 103 ☐ 135 ON DEMAND
- ☐ 105 ☐ 135 COMMUTER
- ☐ 121 ☐ 137
- ☐ 125 ☐
- ☐ 129 ☐

15 TYPE OF AIRCRAFT
- ☐ AIRPLANE
- ☐ HELICOPTER
- ☐ GLIDER
- ☐ BALLOON
- ☐ DIRIGIBLE
- ☐ GYROPLANE
- ☐ HOMEBUILT AMATEUR/EXP
- ☐ ULTRALIGHT

19 TYPE OF LANDING GEAR
- ☐ CONVENTIONAL
- ☐ TRICYCLE
- ☐ FLOATS
- ☐ SKIS
- ☐ AMPHIBIOUS

20 INJURY SUMMARY UNKNOWN ☐

	FLT. CREW	CABIN CREW	PASSENGERS	OTHER	TOTAL
NONE					
MINOR					
SERIOUS					
FATAL					
TOTAL					

21 FACTORS - IDENTIFY PRIMARY FACTOR AS A. IDENTIFY SECONDARY FACTORS, IF ANY, AS X
CHECKING OF FACTORS IS THE OPINION OF THE INVESTIGATOR/INSPECTOR BASED ON THE INVESTIGATION

21A TECHNICAL FACTORS

☐ GEAR COLLAPSE	☐ FIRE AFTER LANDING	☐ FUEL DEPLETION	☐ SABOTAGE
☐ GEAR-UP LANDING	☐ SYSTEM FAILURE	☐ PILOT INDUCED	☐ PILOT INCAPACITATED
☐ FIRE OR EXPLOSION	☐ COMPONENT FAILURE	☐ GROUND CREW	☐ PILOT INCP. ALCOHOL
☐ FUEL CONTAMINATION	☐ LOST POWER	☐ OTHER THAN PILOT	☐ DOWNWIND TAKEOFF
☐ BLADE/ROTOR FAILURE	☐ FOD	☐ PARACHUTE INCIDENT	☐ CARBURETOR ICE
☐ DESIGN OF AIRCRAFT	☐ AUTO/IMPROPER FUEL	☐ OVER GROSS WEIGHT	☐ IRT KNOWN OBJECT
☐ METAL FATIGUE	☐ CORROSION	☐ CG OUT OF LIMITS	☐ EMERGENCY LANDING
☐ IMPROPER MAINTENANCE	☐ INFLIGHT FIRE	☐ STRUCK ANIMAL	☐ HARD LANDING
☐ IMPROPER INSTALLATION	☐ SMOKE/FUMES	☐ BIRD STRIKE	☐ OVERSHOT RUNWAY
☐ AD NON-COMPLIANCE	☐ INFLIGHT BREAKUP	☐ PAX DISTURBANCE	☐ UNDERSHOT RUNWAY
☐ DECOMPRESSION	☐ IMPROPER PART	☐ STOLEN AIRCRAFT	☐ LOSS OF CONTROL
21E ATA CODE	☐ OTHER	☐ HIJACK	☐ STALL/SPIN
			☐ MISMANAGED GEAR
			☐ MISMANAGED CONTROLS
			☐ ABORTED TAKEOFF
			☐ AIRFRAME ICE/FROST
			☐ WAKE TURBULENCE
			☐ WEATHER

21C PART NAME 21D MANUFACTURER 21E PART NUMBER

22. TYPE OF OPERATIONS
- ☐ PERSONAL
- ☐ COMMERCIAL
- ☐ CARGO
- ☐ INSTRUCTION
- ☐ CORPORATE
- ☐ FERRY
- ☐ AERIAL APPLICATION
- ☐ AMBULANCE
- ☐ FIREFIGHTING
- ☐ BANNER TOW
- ☐ AIR SHOW
- ☐ SIGHTSEEING
- ☐ SKYDIVING
- ☐ FAR 141 PILOT SCHOOL
- ☐ MILITARY
- ☐ FOREIGN
- ☐ PUBLIC USE
- ☐ OTHER

23 WX. BRIEFING SOURCE
- ☐ NOT APPLICABLE/NOT AVAILABLE
- ☐ NATIONAL WEATHER SERVICE
- ☐ FLIGHT SERVICE STATION
- ☐ PATWAS
- ☐ VOICE RESP. SYSTEM
- ☐ COMPANY
- ☐ COMMERCIAL WX. SERVICE
- ☐ TV/RADIO WEATHER
- ☐ MILITARY
- ☐ COMPUTER BRIEFING

25 PRECIPITATION
- ☐ NOT APPLICABLE/NOT AVAILABLE
- ☐ RAIN
- ☐ HAIL
- ☐ SLEET
- ☐ SNOW
- ☐ FREEZING DRIZZLE
- ☐ FREEZING RAIN
- ☐ DRIZZLE
- ☐ OTHER

25 WEATHER FACTORS
- ☐ NONE / NOT APPLICABLE
- ☐ HAZE
- ☐ DUST
- ☐ SMOKE
- ☐ FOG
- ☐ BLOWING DUST
- ☐ BLOWING SMOKE
- ☐ ICING CONDITIONS
- ☐ GUSTY WINDS
- ☐ THUNDERSTORM
- ☐ CROSSWIND
- ☐ TURBULENCE/WINDSTORM
- ☐ DENSITY ALTITUDE
- ☐ LIGHTNING STRIKE
- ☐ BLOWING SNOW
- ☐ WHITE OUT
- ☐ WINDSHEAR
- ☐ OTHER

27 PHASE OF FLIGHT

☐ GROUND	☐ CRUISE	☐ MANEUVER
☐ TAXI	☐ DESCENT	☐ HOVER
☐ TAKEOFF	☐ APPROACH	☐ OTHER
☐ CLIMB	☐ LANDING	

27 ACTUAL WEATHER
IMC VMC NOT AVAILABLE

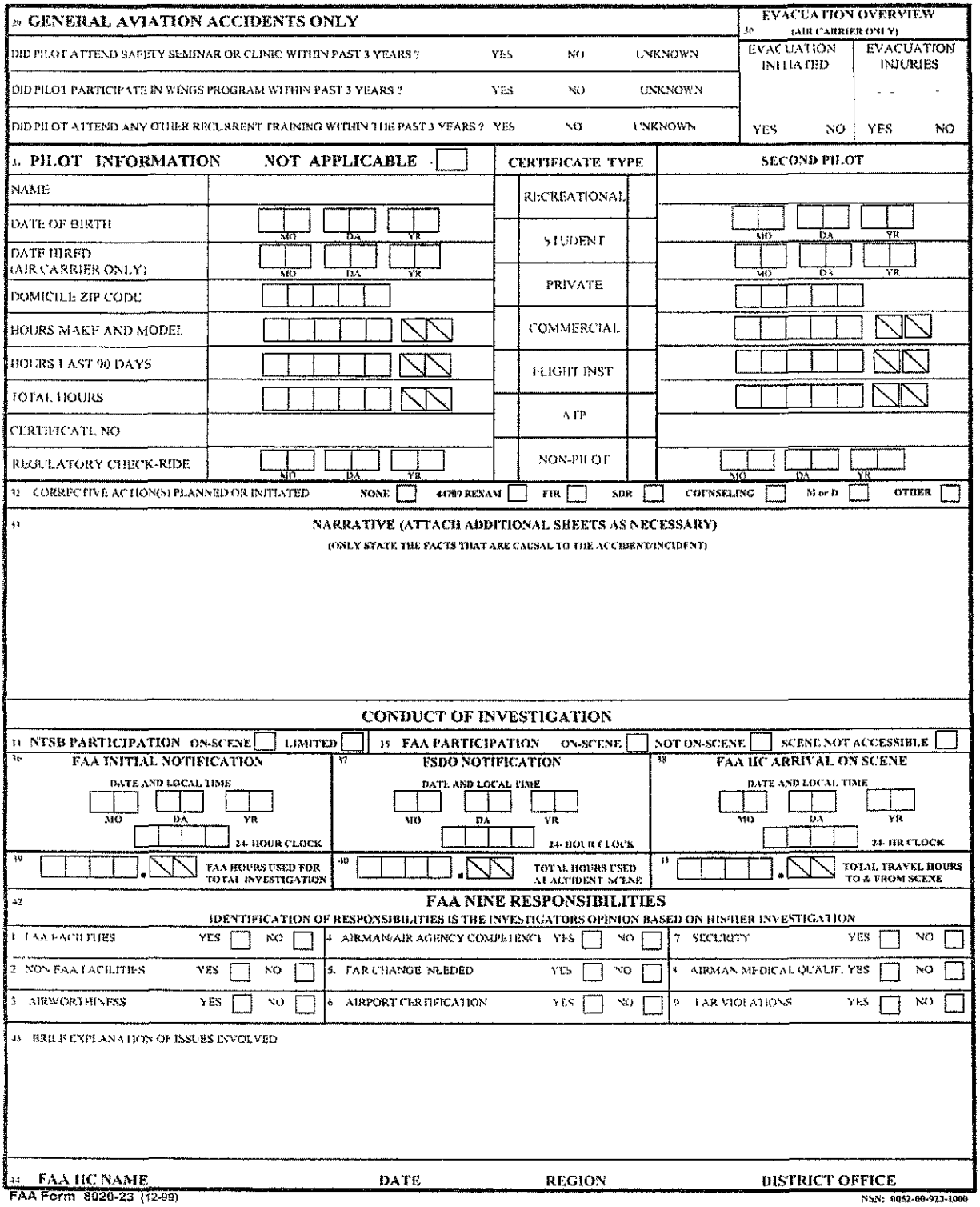
28 RUNWAY CONDITIONS NOT APPLICABLE ☐

☐ DRY	☐ SNOW
☐ WET	☐ SLUSH
☐ ICE	☐ STANDING WATER

FAA Form 8020-23 (12-99) SUPERSEDES FAA FORMS 8020-5 and 8020-15 INFORMATION IS PRELIMINARY AND SUBJECT TO CHANGE NSN: 0052-00-923-1000

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

f. FAA Form 8020-23 (continued)



29 GENERAL AVIATION ACCIDENTS ONLY

DID PILOT ATTEND SAFETY SEMINAR OR CLINIC WITHIN PAST 3 YEARS ?	YES	NO	UNKNOWN
DID PILOT PARTICIPATE IN WINGS PROGRAM WITHIN PAST 3 YEARS ?	YES	NO	UNKNOWN
DID PILOT ATTEND ANY OTHER RECURRENT TRAINING WITHIN THE PAST 3 YEARS ?	YES	NO	UNKNOWN

30 EVACUATION OVERVIEW (AIR CARRIER ONLY)

EVACUATION INITIATED		EVACUATION INJURIES	
YES	NO	YES	NO

31 PILOT INFORMATION NOT APPLICABLE ☐

		CERTIFICATE TYPE		SECOND PILOT
NAME		RECREATIONAL		
DATE OF BIRTH	MO DA YR	STUDENT		MO DA YR
DATE HIRED (AIR CARRIER ONLY)	MO DA YR	PRIVATE		MO DA YR
DOMICILE ZIP CODE		COMMERCIAL		
HOURS MAKE AND MODEL		FLIGHT INST		
HOURS LAST 90 DAYS		ATP		
TOTAL HOURS		NON-PILOT		
CERTIFICATE NO				
REGULATORY CHECK-RIDE	MO DA YR			MO DA YR

32 CORRECTIVE ACTION(S) PLANNED OR INITIATED NONE ☐ 44709 REXAM ☐ FIR ☐ SDR ☐ COUNSELING ☐ M or D ☐ OTHER ☐

33 NARRATIVE (ATTACH ADDITIONAL SHEETS AS NECESSARY)

(ONLY STATE THE FACTS THAT ARE CAUSAL TO THE ACCIDENT/INCIDENT)

CONDUCT OF INVESTIGATION

34 NTSB PARTICIPATION ON-SCENE ☐ LIMITED ☐ 35 FAA PARTICIPATION ON-SCENE ☐ NOT ON-SCENE ☐ SCENE NOT ACCESSIBLE ☐

36 FAA INITIAL NOTIFICATION	37 FSDO NOTIFICATION	38 FAA IIC ARRIVAL ON SCENE
DATE AND LOCAL TIME MO DA YR	DATE AND LOCAL TIME MO DA YR	DATE AND LOCAL TIME MO DA YR
24- HOUR CLOCK	24- HOUR CLOCK	24- HR CLOCK

39	40	41
FAA HOURS USED FOR TOTAL INVESTIGATION	TOTAL HOURS USED AT ACCIDENT SCENE	TOTAL TRAVEL HOURS TO & FROM SCENE

42 FAA NINE RESPONSIBILITIES

IDENTIFICATION OF RESPONSIBILITIES IS THE INVESTIGATORS OPINION BASED ON HIS/HER INVESTIGATION

1 FAA FACILITIES YES ☐ NO ☐	4 AIRMAN/AIR AGENCY COMPETENCY YES ☐ NO ☐	7 SECURITY YES ☐ NO ☐
2 NON-FAA FACILITIES YES ☐ NO ☐	5 FAR CHANGE NEEDED YES ☐ NO ☐	8 AIRMAN MEDICAL QUALIF. YES ☐ NO ☐
3 AIRWORTHINESS YES ☐ NO ☐	6 AIRPORT CERTIFICATION YES ☐ NO ☐	9 FAR VIOLATIONS YES ☐ NO ☐

43 BRIEF EXPLANATION OF ISSUES INVOLVED

44 FAA IIC NAME DATE REGION DISTRICT OFFICE

FAA Form 8020-23 (12-99) NSN: 0052-00-923-1000

PART 2. ACCIDENT INVESTIGATION FORMS THAT ARE NOT INCLUDED IN REPORT (continued)

f. FAA Form 8020-23 (continued)

INSTRUCTIONS FOR ACCIDENT/INCIDENT REPORT

1. OCCURRENCE INFORMATION:
THIS FORM IS TO BE FILLED OUT FOR EACH ACCIDENT/INCIDENT AND FORWARDED TO THE REGIONAL FS DIVISION WITHIN 30 DAYS. REGIONAL FS DIVISION WILL FORWARD ORIGINAL FAA ACCIDENT/ INCIDENT REPORT TO AFS-620 AND A COPY OF ACCIDENT REPORTS ONLY TO AAI-220.

2. AMENDED DATE:
FOR AMENDED REPORTS FILL IN ITEMS 1, 2, 3, 5, AND 13, REGISTRATION NUMBER ONLY, AND NEW OR CHANGED INFORMATION PERTAINING TO ACCIDENT INVESTIGATION.

3. DATE OF THE OCCURRENCE:
MONTH/DAY/YEAR.

4. FAA (INVESTIGATING OFFICE):
THE FIRST TWO BLOCKS ARE THE REGION. THE SECOND TWO BLOCKS ARE THE NUMERICAL I.D. OF THE FSDO, E.G., EA 21.

5. NTSB ID:
FOR ACCIDENTS ONLY AND SUPPLIED BY THE NTSB OFFICE WITH JURISDICTIONAL RESPONSIBILITY.

6. LOCATION :
CITY: NEAREST CITY OR TOWN.
STATE: 2 LETTER IDENTIFIER.
ZIP CODE: SELF- EXPLANATORY.

7. OPERATOR:
FOR AIR CARRIER OCCURRENCES ONLY. PROVIDE THE NAME OF THE OPERATOR THAT HAS OPERATIONAL CONTROL. THE 4-LETTER DESIGNATOR IS FROM FTRS.

8. AIRPORT:
NAME OF AIRPORT IF OCCURRENCE TOOK PLACE ON AN AIRPORT. AIRPORT DESIGNATOR ACCORDING TO ORDER 7310.1.

9. TIME:
LOCAL 24 HOUR CLOCK.

10. LATITUDE / LONGITUDE:
SELF-EXPLANATORY. ALASKA ACCIDENTS ONLY.

11. AIRCRAFT DAMAGE:
CHECK THE MOST SEVERE DAMAGE.

12. COLLISION:
MEANS TWO AIRCRAFT COLLIDED IN THE AIR OR ON THE GROUND. BOTH WERE FLYING OR HAD THE INTENT TO FLY. TWO FORMS REQUIRED IF BOTH AIRCRAFT WERE FLYING OR HAD THE INTENT TO FLY.

13. AIRCRAFT REGISTRATION NUMBER:
E.G. N1234M. MAKE/MODEL: MANUFACTURER/MODEL/SERIES, E.G., DC-9-10. SERIAL NUMBER: SELF EXPLANATORY. YEAR OF MANUFACTURE: E.G., 1994 AIRFRAME CYCLES, AIRFRAME HOURS SELF-EXPLANATORY.

14. FAR PART NUMBER:
CHECK THE REGULATION THAT THE AIRCRAFT WAS OPERATING UNDER. AN AIR CARRIER DOING POSITIONING, TRAINING, ETC., IS PART 91. PART 135 AIR TAXI OR AIR AMBULANCE IS PART 91 UNTIL PASSENGER PICKUP. MEDICAL PERSONNEL ARE CONSIDERED PART OF THE CREW.

15. TYPE OF AIRCRAFT:
SELF- EXPLANATORY (MORE THAN ONE MAY BE CHECKED).

16. POWERPLANT INFORMATION:
(ONLY IF CAUSAL TO THE ACCIDENT/INCIDENT):
LIST MAKE/MODEL/SERIES OF ENGINE.

17. PROPELLER INFORMATION :
(ONLY IF CAUSAL TO THE ACCIDENT/INCIDENT):
LIST MAKE/MODEL/SERIES OF PROPELLER.

18. BIOHAZARD AREA:
CHECK YES IF BODY FLUIDS WERE PRESENT. USE OR NONUSE OF PERSONAL PROTECTIVE EQUIPMENT DOES NOT AFFECT THIS QUESTION.

19. TYPE OF LANDING GEAR:
SELF -EXPLANATORY.

20. INJURY SUMMARY:
ENTER THE NUMBERS INVOLVED AND ACCOUNT FOR ALL ON BOARD THE AIRCRAFT, AND ACCOUNT FOR THE PERSONNEL INJURED THAT WERE NOT ON THE AIRCRAFT.

21. FACTORS:
CHECK THE PRIMARY FACTOR FROM EITHER TECHNICAL OR OPERATIONAL FACTORS BLOCK WHICHEVER IS MOST APPROPRIATE.

21A. TECHNICAL FACTORS:
CHECK APPLICABLE BOXES. MORE THAN ONE MAY BE CHECKED. THIS IS THE INSPECTOR/INVESTIGATOR OPINION BASED ON HIS/HER INVESTIGATION.

21B. OPERATIONAL FACTORS:
SAME AS 21A.

21C. PART NAME:
IDENTIFY THE PART NAME THAT FAILED OR IS SUSPECTED OF FAILURE BY THE PROPER NOMENCLATURE THAT IS DEPICTED IN THE MANUFACTURERS PARTS CATALOGUE

21D. MANUFACTURER:
IDENTIFY THE MANUFACTURER OF THE PART, IF KNOWN.

21E. PART NUMBER:
IDENTIFY THE MANUFACTURER PART NUMBER. THIS WOULD BE THE SAME NUMBER NEEDED TO REQUISITION a REPLACEMENT PART.

21F. ATA CODE:
REFER TO THE CODE TABLE IN THE FLIGHT STANDARDS GUIDE TITLED: JOINT AIRCRAFT SYSTEM AND COMPONENT CODE TABLE AND DEFINITIONS DATED JANUARY 1994.

22. TYPE OF OPERATIONS:
CHECK APPROPRIATE BOXES.

23. WEATHER BRIEFING SOURCE:
SAME AS 21A.

24. PRECIPITATION:
SAME AS 21A.

25. WEATHER FACTORS:
SAME AS 21A.

26. PHASE OF FLIGHT:
WHERE ACCIDENT AND INCIDENT SEQUENCE STARTED.
CHECK APPLICABLE PHASE.

27. ACTUAL WEATHER CONDITIONS:
CHECK APPROPRIATE BOX.

28. RUNWAY CONDITIONS:
CHECK APPROPRIATE BOX.

29. GENERAL AVIATION ACCIDENTS ONLY:
SELF- EXPLANATORY.

30. EVACUATION OVERVIEW (AIR CARRIER ONLY):
EVACUATION INITIATED YES/NO.
INJURIES: CHECK YES IF INJURIES ATTRIBUTABLE TO EVACUATION.

31. PILOT INFORMATION:
SELF- EXPLANATORY. CHECK THE HIGHEST CERTIFICATE THAT THE PILOT HAS. PIC NAME NOT APPLICABLE IF THE PILOTS ACTIONS OR LACK OF ACTIONS DID NOT CONTRIBUTE TO THE ACCIDENT/INCIDENT. HOWEVER, FOR AIR CARRIER ACCIDENTS, PLEASE PROVIDE PIC DOB, HOURS MAKE AND MODEL, AND TOTAL HOURS.

32. CORRECTIVE ACTION:
SELF- EXPLANATORY.

33. NARRATIVE:
SELF- EXPLANATORY.

34. NTSB PARTICIPATION (ACCIDENT ONLY):
SELF- EXPLANATORY.

35. FAA PARTICIPATION:
SELF- EXPLANATORY. ON-SCENE CAN BE CHECKED IF THE INSPECTOR/ INVESTIGATOR PARTICIPATES IN THE INVESTIGATION BEYOND USE OF THE TELEPHONE, I.E., ENGINE TEARDOWN, INTERVIEW OR WRECKAGE INVESTIGATION NOT AT THE SCENE OF THE ACCIDENT, ETC.

36. FAA INITIAL NOTIFICATION:
THIS IS THE TIME THE FIRST FAA PERSON WHO DISCOVERS OR IS NOTIFIED OF THE OCCURRENCE. THIS IS USUALLY AIR TRAFFIC.

37. FSDO NOTIFICATION:
THIS IS THE FIRST CALL THAT THE FSDO RECEIVES.

38. FAA IIC ARRIVAL ON SCENE:
SELF-EXPLANATORY.

39. FAA HOURS USED FOR TOTAL INVESTIGATION:
INCLUDES ON-SCENE, TRAVEL HOURS, AND NON-SCENE ACTIVITIES. WHOLE HOURS ONLY.

40. TOTAL HOURS USED AT ACCIDENT/INCIDENT SCENE:
WHOLE HOURS ONLY.

41. TOTAL TRAVEL HOURS TO & FROM SCENE
WHOLE HOURS ONLY.

42. FAA NINE RESPONSIBILITIES (ACCIDENT MANDATORY/INCIDENTS OPTIONAL):
CHECK WHICH OF THE AREAS OF RESPONSIBILITY WERE INVOLVED. THE DETERMINATION OF RESPONSIBILITIES IS THE OPINION OF THE INSPECTOR/ INVESTIGATOR BASED ON HIS/HER BACKGROUND, TRAINING, SKILL, AND EXPERIENCE. THE ANNOTATION OF ONE OR MORE RESPONSIBILITIES DOES NOT HAVE TO BE JUSTIFIED OR PROVEN. AN AIRMAN WHO MAKES A MISTAKE WHICH RESULTS IN AN ACCIDENT IS ANNOTATED UNDER AIRMAN/AIR AGENCY COMPETENCE. IT IS NOT NECESSARY TO SUBMIT AN EIR BECAUSE OF ANNOTATION OF VIOLATION.

43. BRIEF EXPLANATION OF ISSUES INVOLVED FOR EACH OF THE NINE RESPONSIBILITIES INVOLVED.
IF NONE INVOLVED, EXPLAIN WHY. SELF-EXPLANATORY.

44. FAA IIC NAME:
PRINT, SIGN, AND DATE.

FAA Form 8020-23 (12-99) NSN: 0052-00-923-1000

PART 3. INCIDENT INVESTIGATION FORMS

a. FAA Form 8020-15, Investigation of Near Midair Collision Report

INVESTIGATION OF NEAR MIDAIR COLLISION REPORT

Incident Report Number: N | NMT | APA | 91 | 0101

Complete and distribute within 90 days of a reported near midair collision (NMAC) according to instructions on page 3 Complete all items "Rptg" refers to the aircraft that reports the NMAC first "Other" refers to the other aircraft Identify this report with the same incident report number used on the related FAA Form 8020-21, "Preliminary Near Midair Collision Report " Attach FAA Form 8020-21 for the incident to the completed FAA Form 8020-15 Any corrections to FAA Form 8020-21 should be reported in Item 22 of this form Complete the form by hand or typewriter

1 Date, Time, and Location of NMAC

A Date (Coordinated Universal Time - UTC) 01 | 19 | 91 (M D Y)

B UTC Time 0136

C Local Time 1836

D Nearest City or Town and State: ENGLEWOOD, CO

2 Reporting Aircraft ("Rptg") Information

A Pilot Name: JANE DOE (First, Middle Last)

B Pilot Total Flight Time 250 hrs

C Pilot Time in Make and Model 75 hrs

D Operator Name and Address

JANE DOE (Full Name)

123 MAIN STREET (Address)

DENVER (City) CO (State) 80000 (Zip)

3 Other Aircraft ("Other") Information *(check if all information unknown ☐)*

A Pilot Name: JOHN DOE (first, middle last)

B Pilot Total Flight Time 1700 hrs

C Pilot Time in Make and Model 1000 hrs

D Operator Name and Address

JOHN DOE (Full Name)

456 MAIN STREET (Address)

DENVER (City) CO (State) 80000 (Zip)

4 Aircraft Type *(check one per aircraft)*

	Rptg	Other	
A	☒	☐	Single Engine Land
B	☐	☒	Multiengine Land
C	☐	☐	Single Engine Sea
D	☐	☐	Multiengine Sea
E	☐	☐	Helicopter
F	☐	☐	Other, Specify

5 Pilot Certificates *(check appropriate box)*

	Rptg	Other	
A	☐	☐	Student
B	☐	☐	Recreational
C	☒	☐	Private
D	☐	☒	Commercial
E	☐	☐	Airline Transport
F	☐	☐	Flight Instructor
G	☐	☐	Military
H	☐	☐	Glider/Balloon
I	☐	☐	Foreign Pilot
J	☐	☐	None
K	☐	☐	Unknown
L	☐	☐	Other, Specify

6 Pilot Ratings *(check appropriate boxes)*

	Rptg	Other	
A	☒	☐	Single Engine Land
B	☐	☒	Multiengine Land
C	☐	☐	Single Engine Sea
D	☐	☐	Multiengine Sea
E	☐	☐	Helicopter
F	☐	☐	None
G	☐	☐	Unknown
H	☐	☐	Other, Specify

7 Pilots' Instrument Ratings *(check one per aircraft)*

	Rptg	Other	
A	☒	☒	Current
B	☐	☐	Not Current
C	☐	☐	None
D	☐	☐	Unknown

8 Flight Condition(s) During NMAC *(check appropriate boxes)*

A	☐	Dawn	
B	☐	Bright Day	
C	☐	Glaring Sun	
D	☐	Dusk	
E	☒	Bright Night	
F	☐	Black Night	
G	☐	Precipitation	
H	☐	Thunderstorm	
I	☐	Turbulence	
J	☐	Haze	
K	☐	Fog	
L	☐	Icing	
M	☐	Unknown	
N	☐	Other, Specify	

9 Weather During NMAC *(check one)*

A ☒ Visual Meteorological Conditions (VMC)
B ☐ Marginal VMC
C ☐ Instrument Meteorological Conditions
D ☐ Unknown
E ☐ Other Specify

10 Sky Cover at Flight Altitude During NMAC *(check one)*

A ☒ Clear
B ☐ Scattered
C ☐ Broken
D ☐ Overcast
E ☐ Unknown

11 Visibility at Flight Altitude During NMAC in ☒ Nautical or ☐ Statute Miles *(check one)*

A ☐ Less than 1 Mile
B ☐ 1 to 3 Miles
C ☐ 3 to 5 Miles
D ☒ More than 5 Miles
E ☐ Unknown

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PART 3. INCIDENT INVESTIGATION FORMS (continued)

a. FAA Form 8020-15, Investigation of Near Midair Collision Report (continued)

12. Indicated Airspeed Immediately Before NMAC

	Unknown
A. Rptg Pilot	75 knots ☐
B. Other	160 knots ☐

13. Aircraft Orientation at Closest Proximity *(mark appropriate boxes to indicate position of opposing aircraft as viewed by pilots)*

	Rptg Pilot	Other Pilot			Rptg Pilot	Other Pilot	
A.	☒	☐	Above	F	☐	☐	Behind
B	☐	☒	Below	G.	☐	☐	Head On
C	☐	☐	Right	H.	☐	☐	Overtaking, Straight Behind
D	☐	☐	Left	I.	☐	☐	Overtaking, Convergence Angle
E.	☐	☐	In Front	J.	☐	☐	Unknown

14. Was There an Air Traffic Control (ATC) Operational Error or Deviation? *(mark one).*

A. ☐ Yes, Specify Report No(s)._____

B. ☒ No

C. ☐ Unknown

15. Weather Contributed to NMAC *(mark appropriate boxes)*

	Rptg	Other	
A	☐	☐	Pilot Received Inaccurate Weather Data
B	☐	☐	Avoidance of Weather
C.	☐	☐	Flying Visual Flight Rules (VFR) in Instrument Conditions
D.	☐	☐	Unknown
E.	☐	☐	Other, Specify_____
F.	☒	☒	None of the Above, Weather Not a Factor

16. Aircraft Equipment Malfunction(s) Contributed to NMAC *(mark appropriate boxes)*

	Rptg	Other	
A	☐	☐	Communication
B.	☐	☐	Transponder
C	☐	☐	Navigation, Excluding Autopilot
D	☐	☐	Autopilot
E.	☐	☐	Altimeter
F	☐	☐	Unknown
G.	☐	☐	Other, Specify_____
H.	☒	☒	None of the Above, Equipment Malfunction Not a Factor

17. Investigation Indicates the Pilot Lacked or Had Inadequate Knowledge or Experience With *(mark appropriate boxes)*

	Rptg	Other	
A	☐	☐	Aircraft
B.	☐	☐	Avionics
C.	☐	☐	ATC Procedures
D.	☐	☐	ATC Terminology or Phraseology
E	☐	☐	English Language
F.	☐	☐	Preflight Planning
G.	☐	☐	Crew Coordination
H.	☐	☐	Weather
I.	☐	☐	Airport
J.	☐	☐	Current Charts and Approach Plates
K.	☐	☐	Unknown
L.	☐	☐	Other, Specify_____
M.	☒	☒	None of the Above

18. Investigation Indicates the Pilot Was *(mark appropriate boxes)*

	Rptg	Other	
A	☐	☐	Overworked
B	☐	☐	Distracted, Specify_____
C.	☐	☐	Fatigued
D	☐	☐	Actively Scanning
E	☐	☐	Not Actively Scanning
F	☐	☐	Unable to Locate Traffic, Even With Traffic Advisory
G	☐	☐	Disoriented or Lost
H	☐	☐	Sick, Specify_____
I.	☐	☒	Not Following ATC Instructions, Specify Unable to keep ACFT2 in sight
J.	☐	☐	Operating in Class A,B,C, or D Airspace Without Required Communication or Authorization
K	☐	☐	Operating With Transponder Off
L	☐	☐	Responding to TCAS Resolution Advisory
M	☐	☐	Unknown
N	☐	☐	Other, Specify_____
O	☒	☐	None of the Above

19. Air Traffic Control *(mark appropriate boxes)*

	Rptg	Other	
A	☐	☐	Did Not Alert Pilot to Other Aircraft in Timely Manner
B.	☐	☐	Did Not Observe Aircraft
C.	☐	☐	Did Not Coordinate Properly Between Controllers
D.	☐	☐	Unknown
E	☐	☐	Other, Specify_____
F	☒	☒	None of the Above

20. Was There a Pilot Deviation? *(mark one per aircraft)*

	Rptg	Other	
A.	☐	☒	Yes, Specify Report No(s).
			PNMTAP A95007
			P
B	☒	☐	No
C	☐	☐	Other, Specify_____

21. Pilot Statements *(mark one per aircraft)*

	Rptg	Other	
A	☒	☒	Received
B	☐	☐	Requested, But Declined
C	☐	☐	Requested, Not Received
D	☐	☐	Not Requested
E		☐	Aircraft Unknown

22. Corrections and Additions to FAA Form 8020-21 *(specify item number and new information or mark box)* ☒ FAA Form 8020-21 is complete and accurate

FAA Form 8020-15 (3-85) Supersedes Previous Edition Page 2 NSN 0052-00-906-4001

PART 3. INCIDENT INVESTIGATION FORMS (continued)

a. FAA Form 8020-15, Investigation of Near Midair Collision Report (continued)

INVESTIGATION OF NEAR MIDAIR COLLISION REPORT (continued)	Incident Report Number
	N | N | M | T | A | P | A | 9 | 1 | 0 | 0 | 1

23 Description of NMAC and Comments With Recommendations, if any

ACFT1 was on right crosswind, RWY 17R at APA when ACFT2 rolled on RWY 17L. ACFT2 was asked if he had ACFT 1 in the right traffic pattern in sight, and ACFT2 replied in the affirmative. ACFT2 in right turn, now on Denver Departure, passed 100 to 150 feet over ACFT1.

24 Incident Evaluation (*mark A, B or C, see FAA Order 8020 11, Paragraph 260 for criteria*)

A ☐ Critical
B ☒ Potential
C ☐ No Hazard
☐ Mark box and explain in Item 23 if different or additional criteria used

25 Attachment(s)

A ☒ FAA Form 8020-21
B ☐ Others, Specify

26 Investigating Flight Standards Office

A | A | N | M | FAA Region
B | 0 | 3 | ID (e g , 25)
C | 3 | 0 | 3 | - | 2 | 8 | 6 | - | 5 | 4 | 0 | 0 | Telephone No

27 Inspector Completing Form

A Signature Jane Smith
B Name Jane Smith (Type or Print)
C Date | 0 | 2 | 2 | 1 | 9 | 5 | (M M D D Y Y)

28 Report Distributed to

A ATX-400
B Others, Specify ANM-200, ANM-500, APA, ATCT

INSTRUCTIONS

FAA Form 8020-15 must be completed within 90 days of the notification of a NMAC on FAA Form 8020-21, "Preliminary Near Midair Collision Report" FAA Form 8020-15 must be assigned the same incident report number as the corresponding FAA Form 8020-21 Instructions on distribution of FAA Form 8020-15 are in FAA Order 8020 11, "Aircraft Accident and Incident Notification, Investigation, and Reporting"

If both aircraft involved in the NMAC report the event, designate the first reporting aircraft as "Rptg" and the second as "Other" If more than two aircraft are involved (except for formations, when one form should be completed for the entire formation), complete an additional form(s) and assign the form(s) the same incident report number used on FAA Form 8020-21 Report the number of forms and which form is the primary form in Item 23

The inspector completing FAA Form 8020-15 is responsible for ensuring that all information reported on FAA Form 8020-21 is complete and accurate If any information on FAA Form 8020-21 is found to be incomplete or inaccurate, the inspector must provide additions or corrections to that information in Item 22

Complete all items If the categories given are inadequate, complete "Other, Specify" If data for both the reporting and other aircraft appear under "Other, Specify," provide the reporting aircraft data first, followed by the other aircraft data Provide comments in Item 23, not the margins Sign and date the form (Item 27) before distribution

FAA Form 8020-15 (3-85) Supersedes Previous Edition Page 3 NSN 0052-00-906-4001

PART 3. INCIDENT INVESTIGATION FORMS (continued)

b. FAA Form 8020-18, Investigation of Pilot Deviation Report

INVESTIGATION OF PILOT DEVIATION REPORT

Incident Report Number: P | SW | CZHU | 9 5 | 0 0 2

Complete and distribute within 90 days of a reported pilot deviation according to instructions on page 3. Complete all items. Use the same incident report number as on the corresponding FAA Form 8020-17, "Preliminary Pilot Deviation Report." Any corrections to FAA Form 8020-17 should be reported in Item 17 of this form. Complete the form by hand or typewriter.

1 Date, Time, and Location of Deviation
- A Date (Coordinated Universal Time-UTC) 0 1 2 5 9 5 (M M D D Y Y)
- B UTC Time 1 4 2 0
- C Local Time 0 8 2 0
- D Nearest City or Town and State: Lufkin, TX

2 Pilot Information
- A Name and Address: John Addler (Name (first, middle, last)); 1234 Anywhere Road (Address); Dallas TX 75766 (City / State or Country / Zip)
- B Home Base: Dallas, TX
- C Telephone Number: 2 1 4 - 1 2 3 - 4 6 8 2
- D Pilot Certificate No (or enter "MILITARY"): 1 2 3 4 5 6 7 8 9
- E Date of Birth: 1 0 1 9 6 8 (M M D D Y Y)

3 Pilot Hours (*if hour unavailable, estimate*)
- A Total, All Aircraft: 5 2 5 hours
- B Total, Make & Model in Deviation: 1 5 0 hours
- C Last 90 Days, All Aircraft: 5 0 hours
- D Last 90 Days, Make & Model in Deviation: 5 0 hours
- E Duty Time, Last 24 Hours *(including Item 3F)*: 0 3 hours
- F Flight Time, Last 24 Hours: 0 2 hours
- G Flight Time, Leg At Time of Deviation: 1 1 0 hours

4 Pilot and Medical Certificate(s)

A Pilot Certificate(s) *(mark appropriate boxes)*
- (1) ☐ Student
- (2) ☐ Recreational
- (3) ☐ Private
- (4) ☒ Commercial
- (5) ☐ Airline Transport
- (6) ☐ Flight Instructor
- (7) ☐ Military
- (8) ☐ Foreign Pilot
- (9) ☐ None
- (10) ☐ Unknown
- (11) ☐ Other, Specify

B Medical Certificate(s) *(mark appropriate boxes)*
- (1) ☒ First Class
- (2) ☐ Second Class
- (3) ☐ Third Class
- (4) ☐ Special Issuance, Specify Type
- (5) ☐ Self Certification
- (6) ☐ Out of Date
- (7) ☐ Unknown
- (8) ☐ None Required, Specify Reason

C Date of Last Medical: 0 2 0 7 9 4 (M M D D Y Y)

5 Pilot Rating(s) *(mark appropriate boxes)*
- A ☒ Single Engine Land
- B ☒ Multiengine Land
- C ☐ Single Engine Sea
- D ☐ Multiengine Sea
- E ☐ Rotorcraft
- F ☐ Glider
- G ☐ Lighter-than-air
- H ☐ None
- I ☐ Unknown
- J ☐ Other, Specify

6 Pilot Instrument Rating *(mark one)*
- A ☒ Current
- B ☐ Not Current
- C ☐ None
- D ☐ Unknown

7 Prior Enforcement Actions Against Pilot *(mark one)*"
- A ☐ One or More
- B ☐ None
- C ☒ Unknown

8 Date(s) of Pilot Checks and Tests (*specify those within last two years, MM/DD/YY*)
- A Flight Review
- B Proficiency: 1 0 0 3 9 4
- C Competency Flight
- D Simulator
- E Route Check
- F Instrument Currency or Instrument Rating Flight Test
- G Airline Transport Pilot Flight Test
- H Flight Test (private, commercial or flight instruction)
- I Other, Specify

FAA Form 8020-18 (3-95) Supersedes Previous Edition — Page 1 — NSN 0052-00-899-1001

PART 3. INCIDENT INVESTIGATION FORMS (continued)

b. FAA Form 8020-18, Investigation of Pilot Deviation Report (continued)

9 Aircraft Information
A Registration (N) No |N|4|7|4|2|6|
B Flight No or Call Sign (*if applicable*) _____
C Make: Piper
D Model: PA-28
E Aircraft Type (*mark one*)
(1) ☐ Single Engine Land
(2) ☐ Multiengine Land
(3) ☐ Single Engine Sea
(4) ☐ Multiengine Sea
(5) ☐ Rotorcraft
(6) ☐ Other, Specify _____

10 Type of Operation at Time of Deviation (*mark one*)
A ☐ U S Air Carrier (14 CFR 121 or 125)
B ☐ Foreign Air Carrier (14 CFR 129)
C ☐ Commuter (14 CFR 135)
D ☐ Air Taxi (14 CFR 135)
E ☒ General Aviation (14 CFR 91)
F ☐ Public (governmental)
G ☐ U S Military, Specify Service _____
H ☐ Unknown
I ☐ Other, Specify _____

11 Aircraft Operation Information
(*complete or mark box if General Aviation*) ☒ General Aviation
A Name and Address
Full Name _____
Address _____
City _____ State or County _____ Zip _____
B Telephone Number |_|_|_| - |_|_|_| - |_|_|_|_|
C Certification Number |_|_|_|_|_|_|_|_|_|_|

12 Flight Information
A Departure Airport ID |_|J|S|O|
B Destination Airport ID |_|J|S|O|
C Local Flight
(1) ☒ Yes (2) ☐ No (3) ☐ Unknown
D First Flight of Day for Pilot
(1) ☐ Yes (2) ☐ No (3) ☒ Unknown

13 Weather Contributed to Pilot Deviation (*mark appropriate boxes*)
A ☐ Pilot Received Inaccurate Weather Data
B ☐ Avoidance of Weather
C ☒ Flying Visual Flight Rules (VFR) in Instrument Conditions
D ☐ Unknown
E ☐ Other, Specify _____
F ☐ None of the Above, Weather Not a Factor

14 Aircraft Equipment Malfunction(s) Contributed to Pilot Deviation (*mark appropriate boxes*)
A ☐ Communication
B ☐ Transponder
C ☐ Navigation, Excluding Autopilot
D ☐ Autopilot
E ☐ Altimeter
F ☐ Unknown
G ☐ Other, Specify _____
H ☒ None of the Above, Equipment Malfunction Not a Factor

15 Investigation Indicated the Pilot Lacked or Had Inadequate Knowledge or Experience With (*mark appropriate boxes*)
A ☐ Aircraft
B ☐ Avionics
C ☐ ATC Procedures
D ☒ ATC Terminology or Phraseology
E ☐ English Language
F ☒ Preflight Planning
G ☐ Crew Coordination
H ☐ Weather
I ☐ Airport
J ☐ Current Charts and Approach Plates
K ☐ Unknown
L ☐ Other, Specify _____
M ☐ None of the Above

16 Investigation Indicates the Pilot Was (*mark appropriate boxes*)
A ☐ Overworked
B ☐ Distracted, Specify _____
C ☐ Fatigued
D ☐ Actively Scanning
E ☐ Not Actively Scanning
F ☐ Unable to Locate Traffic, Even With Traffic Advisory
G ☐ Disoriented or Lost
H ☐ Sick, Specify _____
I ☐ Not Following ATC Instructions, Specify _____
J ☒ Operating in Class A, B, C, or D Airspace Without Required Communication or Authorization
K ☐ Operating With Transponder Off
L ☐ Responding to TCAS Resolution Advisory
M ☐ Unknown
N ☐ Other, Specify _____
O ☐ None of the Above

17 Corrections and Additions to FAA Form 8020-17 (*specify item number and new information or mark box*) ☐ FAA Form 8020-17 is complete and accurate
N47426 was on a training flight with an instructor. The flight instructor was giving instrument instruction from Jacksonville, TX to Lufkin, TX. Sky conditions were clear, visibility unlimited for the flight. In the vicinity of Lufkin, the instructor saw scattered patches of ground fog. He was not aware of Lufkin's control zone conditions of -X 1/8 mile in fog. He stated that he could see the ground at all times, did not descend below 600 feet (MDA), and did not need to talk to any AT facilities.

FAA Form 8020-18 (3-95) Supersedes Previous Edition Page 2 NSN 0052-00-899-1001

PART 3. INCIDENT INVESTIGATION FORMS (continued)

b. FAA Form 8020-18, Investigation of Pilot Deviation Report (continued)

INVESTIGATION OF PILOT DEVIATION REPORT (continued)

Incident Report Number: P | SW | C | ZHU | 95 | 0002

18 Description of Deviation and Comments With Recommendations, if Any

19 Attachment(s)

A ☒ FAA Form 8020-17
B ☐ Others, Specify

20 Related Reports

A ☒ Enforcement Investigative Report (EIR, specify in Item 21)
B ☐ Other, Specify
C ☐ No Related Reports

21 Status of EIR (*mark one*)

A ☒ EIR Initiated, Specify No 95SW090001 16
B ☐ No EIR Initiated

22 Violation(s) Cited in EIR (*specify FAR Number(s), or mark E if no EIR*)

A 91 - 129 (c)
B 91 - 155 (d)
C ___ - ___ ( )
D ___ - ___ ( )
E ☐ No EIR

23 Investigating Flight Standards Office

A ASW FAA Region
B 09 ID (e g , 25)
C 214 - 248 - 3900 Telephone Number

24 Inspector Completing Form

A Signature Kathleen Buckner
B Name Kathleen Buckner (Type or Print)
C Date 03 12 95 (M M D D Y Y)

25 Report Distributed to

A ATX-400
B Others, Specify ASW-200
ASW-500

INSTRUCTIONS

FAA Form 8020-18 must be completed within 90 days of the notification of a pilot deviation on FAA Form 8020-17, "Preliminary Pilot Deviation Report" FAA Form 8020-18 must be assigned the same incident report number as the corresponding FAA Form 8020-17 Instructions on distribution of FAA Form 8020-18 are in FAA Order 8020-11, "Aircraft Accident and Incident Notification, Investigation, and Reporting"

The inspector completing FAA Form 8020-18 is responsible for ensuring that all information reported on FAA Form 8020-17 is complete and accurate If any information on FAA Form 8020-17 is found to be incomplete or inaccurate, the inspector must provide additions or corrections to that information in Item 17

Complete all items If the categories given are inadequate, complete "Other, Specify" Provide comments in Item 18, not the margins Sign and date the form (Item 24) before distribution

FAA Form 8020-18 (3-85) Supersedes Previous Edition Page 3 NSN 0052-00-899-1001

PART 3. INCIDENT INVESTIGATION FORMS (continued)

c. FAA Form 8020-23, FAA Accident/Incident Report

See Appendix 3, Part 2f, for this form.

PART 4. OTHER PROCEDURES

a. Example of Recommendation for Accident Prevention

U.S. Department
of Transportation
Federal Aviation
Administration

Memorandum

Flight Standards District Office
286 SW 34th Street
Fort Lauderdale, FL 33315

Subject: ACTION: Recommendation for Accident Prevention Order 8020.11

Date: February 10, 1988

From: Airworthiness Inspector

Reply to
Attn. of: FSDO-62

To: Manager, Recommendation and Analysis Division, AAI-200

During an investigation of fire damage that occurred on the #2 right engine of Cloud Airways, Grumman Gill, the following was detected:

> The #4 exhaust stack bracket broke, allowing the exhaust system to fall to the bottom of the engine cowl. The #4 exhaust in this condition produced a blowtorch condition. Behind the #4 exhaust stack in zone #1 is a sheet metal patch painted with intumescent paint. This paint is to act as a heat barrier in the event of a fire. However, with the blowtorch effect on it, the fire burned completely through and into zone #2 causing fire damage to the electrical and accessory section.

The findings show the exhaust system to have an excessively loose fit. The only supports to hold the exhaust system are clamps.

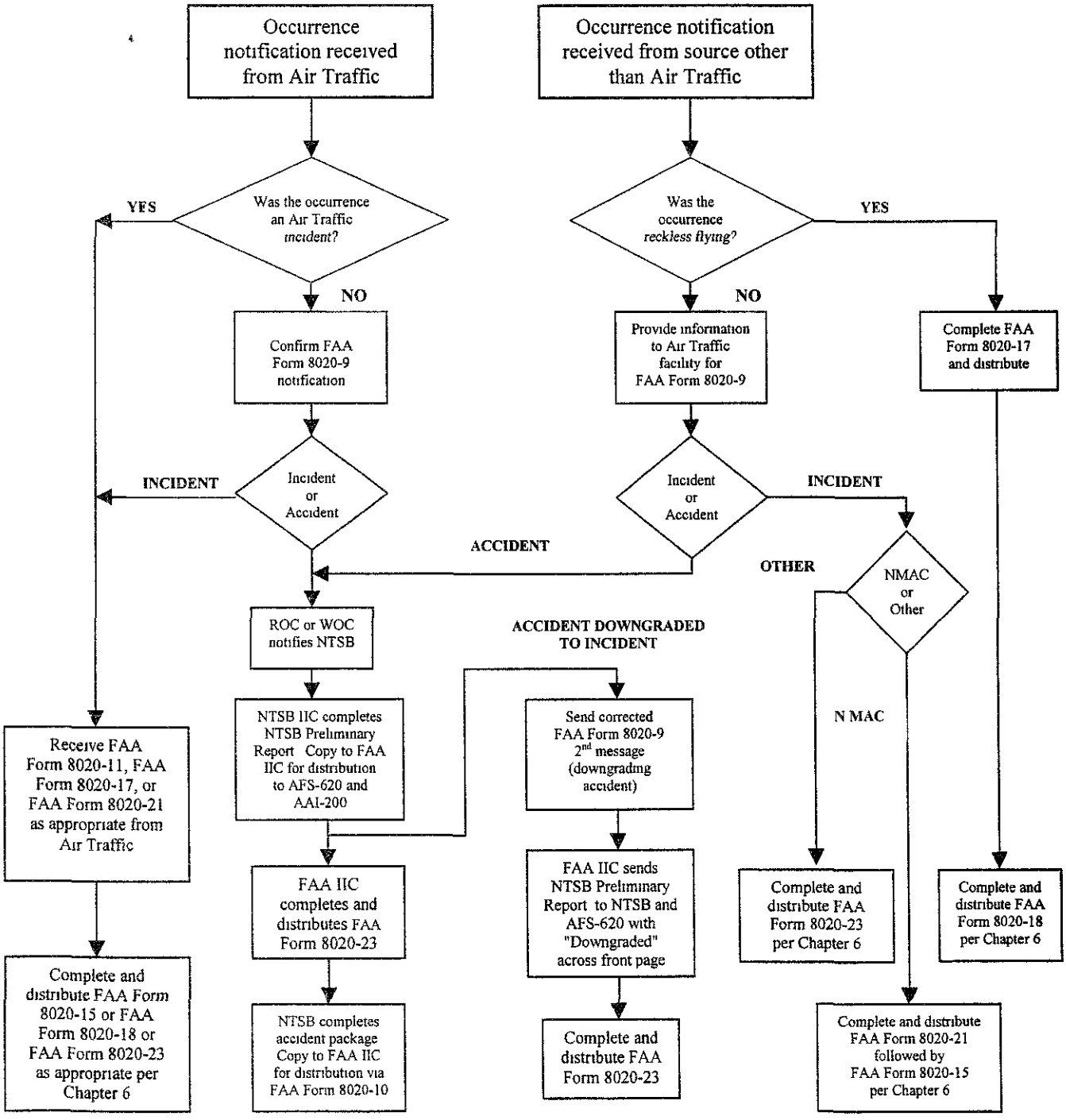
In the interest of public safety, it is recommended that there be some better means to support the exhaust stacks and maintain integrity in the event the exhaust clamp fails, thus preventing the section from falling down. It would also be worthwhile to conduct further tests on the intumescent paint in the affected area since there was evidence of rapid deterioration.

William R. Russell

William R. Russell

PART 4. OTHER PROCEDURES (continued)

b. Accident and Incident Investigation Process for Flight Standards



APPENDIX 4. NTSB REGULATIONS

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APPENDIX 4. NTSB REGULATIONS

PART 1. 49 CFR 800 APPENDIX, REQUEST TO THE SECRETARY OF THE DEPARTMENT OF TRANSPORTATION TO INVESTIGATE CERTAIN AIRCRAFT ACCIDENTS

Appendix to Part 800--Request to the Secretary of the Department of Transportation to Investigate Certain Aircraft Accidents

(a) Acting pursuant to the authority vested in it by Title VII of the Federal Aviation Act of 1958 (49 U.S.C. 1441) and section 304(a)(1) of the Independent Safety Board Act of 1974, the National Transportation Safety Board (Board) hereby requests the Secretary of the Department of Transportation (Secretary) to exercise his authority subject to the terms, conditions, and limitations of Title VII and section 304(a)(1) of the Independent Safety Board Act of 1974, and as set forth below to investigate the facts, conditions, and circumstances surrounding certain fixed-wing and rotorcraft aircraft accidents and to submit a report to the Board from which the Board may make a determination of the probable cause.

(b) The authority to be exercised hereunder shall include the investigation of all civil aircraft accidents involving rotorcraft, serial application, amateur-built aircraft, restricted category aircraft, and all fixed-wing aircraft which have a certificated maximum gross takeoff weight of 12,500 pounds or less except:

(1) Accidents in which fatal injuries have occurred to an occupant of such aircraft, but shall include accidents involving fatalities incurred as a result of aerial application operations, amateur-built aircraft operations, or restricted category aircraft operations.

(2) Accidents involving aircraft operated in accordance with the provisions of Part 135 of the Federal Air Regulations entitled "Air Taxi Operators and Commercial Operators of Small Aircraft."

(3) Accidents involving aircraft operated by an air carrier authorized by certificate of public convenience and necessity to engage in air transportation.

(4) Accidents involving midair collisions.

(c) *Provided*, That the Board may, through the chiefs of its field offices, or their designees who receive the initial notifications, advise the Secretary, through his appropriate designee, that the Board will assume the full responsibility for the investigation of an accident included in this request in the same manner as an accident not so included; and *Provided further*, That the Board, through the chiefs of its field offices, or their designees who receive initial notifications may request the Secretary, through his appropriate designee, to investigate an accident not included in this request, which would normally be investigated by the Board under section (b)(1) through (4) above, and in the same manner as an accident so included.

(d) *Provided*, That this authority shall not be construed to authorize the Secretary to hold public hearings or to determine the probable cause of the accident; and *Provided further*, That the Secretary will report to the Board in a form acceptable to the Board the facts, conditions, and circumstances surrounding each accident from which the Board may determine the probable cause.

(e) *And provided further*, That this request includes authority to conduct autopsies and such other tests of the remains of deceased persons aboard the aircraft at the time of the accident, who die as a result of the accident, necessary to the investigations requested hereunder and such authority may be delegated and redelegated to any official or employee of the Federal Aviation Administration (FAA). For the purpose of this provision, designated aviation examiners are not deemed to be officials or employees of the FAA.

(f) Invoking the provisions of section 701(f) of the Federal Aviation Act of 1958, and section 304(a)(1) of the Independent Safety Board Act of 1974, is necessary inasmuch as sufficient funds have not been made available to the Board to provide adequate facilities and personnel to investigate all accidents involving civil aircraft. This request, therefore, is considered to be temporary in nature and may be modified or terminated by written notice to the Secretary.

PART 2 49 CFR 830, NOTIFICATION AND REPORTING OF AIRCRAFT ACCIDENTS OR INCIDENTS AND OVERDUE AIRCRAFT, AND PRESERVATION OF AIRCRAFT WRECKAGE, MAIL, CARGO, AND RECORDS (Amended June 21, 1989)

PART 830 -- NOTIFICATION AND REPORTING OF AIRCRAFT ACCIDENTS OR *INCIDENTS AND OVERDUE* AIRCRAFT, AND PRESERVATION OF AIRCRAFT WRECKAGE, MAIL, CARGO, AND RECORDS.

Subpart A--General

Subpart B--Initial Notification of Aircraft Accidents, Incidents, and Overdue Aircraft

Subpart C--Preservation of Aircraft Wreckage, Mail, Cargo, and Records

Subpart D--Reporting of Aircraft Accidents, Incidents and Overdue Aircraft

AUTHORITY Federal Aviation Act of 1958 as amended (49 U S C 40101 *et seq*), and the Independent Safety Board Act of 1974, as amended (49 U S C 1101 *et seq*)

SOURCE 53 FR 36982, *Sept* 23, 1988, unless otherwise noted

Subpart A--General

§ 830.1 Applicability

This part contains rules pertaining to

(a) Initial notification and later reporting of aircraft incidents and accidents and certain other occurrences in the operation of aircraft, wherever they occur, when they involve civil aircraft of the United States, when they involve certain public aircraft, as specified in this part, wherever they occur, and when they involve foreign civil aircraft where the events occur in the United States, its territories, or its possessions

(b) Preservation of aircraft wreckage, mail, cargo, and records involving all civil and certain public aircraft accidents, as specified in this part, in the United States and its territories and possessions

[60 FR 40112, Aug 7, 1995]

§ 830.2 Definitions

As used in this part the following words or phrases are defined as follows

Aircraft accident means an occurrence associated with the operation of an aircraft which takes place between the time 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

Civil aircraft means any aircraft other than a public aircraft

Fatal injury means any injury which results in death within 30 days of the accident

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

Operator means any person who causes or authorizes the operation of an aircraft, such as the owner, lessee, or bailee of an aircraft

Public aircraft means an aircraft used only for the United States Government, or an aircraft owned and operated (except for commercial purposes) or exclusively leased for at least 90 continuous days by a government other than the United States Government, including a State, the District of Columbia, a territory or possession of the United States, or a political subdivision of that government "Public aircraft' does not include a government-owned aircraft transporting property for commercial purposes and does not include a government-owned aircraft transporting passengers other than transporting (for other than commercial purposes) crewmembers or other persons aboard the aircraft whose presence is required to perform, or is associated with the performance of, a governmental function such as firefighting, search and rescue, law enforcement, aeronautical research, or biological or geological resource management, or transporting (for other than commercial purposes) persons aboard the aircraft if the aircraft is operated by the Armed Forces or an intelligence agency of the United States Notwithstanding any limitation relating to use of the aircraft for commercial purposes, an aircraft shall be considered to be a public aircraft without regard to whether it is operated by a unit of government on behalf of another unit of government pursuant to a cost reimbursement agreement, if the unit of government on whose behalf the operation is conducted certifies to the Administrator of the Federal Aviation Administration that the operation was necessary to respond to a significant and imminent threat to life or property (including natural resources) and that no service by a private operator was reasonably available to meet the threat

Serious injury means any injury which (1) Requires hospitalization for more than 48 hours, commencing 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 any burns affecting more than 5 percent of the body surface

Substantial damage means 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 Engine failure or damage limited to an engine if only one engine fails or is damaged, bent fairings or cowling, dented skin,

small punctured holes in the skin or fabric, ground damage to rotor or propeller blades, and damage to landing gear, wheels, tires, flaps, engine accessories, brakes, or wingtips are not considered "substantial damage" for the purpose of this part.

[53 FR 36982, Sept 23, 1988, as amended at 60 FR 40112, Aug. 7, 1995]

Subpart B--Initial Notification of Aircraft Accidents, Incidents, and Overdue Aircraft.

§ 830.5 Immediate notification.

The operator of any civil aircraft, or any public aircraft not operated by the Armed Forces or an intelligence agency of the United States, or any foreign aircraft shall immediately, and by the most expeditious means available, notify the nearest National Transportation Safety Board (Board), field office[1] when:

(a) An aircraft accident or any of the following listed incidents occur:

(1) Flight control system malfunction or failure;

(2) Inability of any required flight crewmember to perform normal flight duties as a result of injury or illness;

(3) Failure of structural components of a turbine engine excluding compressor and turbine blades and vanes;

(4) In-flight fire; or

(5) Aircraft collide in flight.

(6) Damage to property, other than the aircraft, estimated to exceed $25,000 for repair (including materials and labor) or fair market value in the event of total loss, whichever is less.

(7) For large multiengine aircraft (more than 12,500 pounds maximum certificated takeoff weight):

(i) In-flight failure of electrical systems which requires the sustained use of an emergency bus powered by a backup source such as a battery, auxiliary power unit, or air-driven generator to retain flight control or essential instruments;

(ii) In-flight failure of hydraulic systems that results in sustained reliance on the sole remaining hydraulic or mechanical system for movement of flight control surfaces;

(iii) Sustained loss of the power or thrust produced by two or more engines; and

(iv) An evacuation of an aircraft in which an emergency egress system is utilized.

(b) An aircraft is overdue and is believed to have been involved in an accident.

[59 FR 36982, Sept. 23, 1988, as amended at 60 FR 40113, Aug. 7, 1995]

§ 830.6 Information to be given in notification.

The notification required in §830.5 shall contain the following information, if available:

(a) Type, nationality, and registration marks of the aircraft;

(b) Name of owner, and operator of the aircraft;

(c) Name of the pilot-in-command;

(d) Date and time of the accident;

(e) Last point of departure and point of intended landing of the aircraft;

(f) Position of the aircraft with reference to some easily defined geographical point;

(g) Number of persons aboard, number killed, and number seriously injured;

(h) Nature of the accident, the weather and the extent of damage to the aircraft, so far as is known; and

(i) A description of any explosives, radioactive materials, or other dangerous articles carried.

Subpart C--Preservation of Aircraft Wreckage, Mail, Cargo, and Records

§ 830.10 Preservation of aircraft wreckage, mail, cargo, and records.

(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 possible any aircraft wreckage, cargo, and mail aboard the aircraft, and all records, including all recording mediums of 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) of this chapter.

(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 the 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 positions 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.

Subpart D--Reporting of Aircraft Accidents, Incidents, and Overdue Aircraft.

§ 830.15 Reports and statements to be filed.

(a) *Reports.* The operator of a civil, public (as specified in §830.5), or foreign aircraft shall file a report on Board Form 6120.1/2 (OMB No. 3147-001)[2] within 10 days after an accident, or after 7 days if an overdue aircraft is still missing A report on an incident for which notification is required by §830.5(a) shall be filed only as requested by an authorized representative of the Board.

[1] The Board field offices are listed under U S Government in the telephone directories of the following cities Anchorage, AK; Atlanta, GA; West Chicago, IL, Denver, CO, Arlington, TX, Kansas City, MO, Gardena (Los Angeles). CA, Miami, FL, Parsippany, NJ (metropolitan New York, NY), Seattle, WA, and Washington, DC

[2] Forms are available from the Board field offices (see footnote 1), from Board headquarters in Washington, DC, and from the Federal Aviation Administration Flight Standards District Offices

(b) *Crewmember statement.* Each crewmember, if physically able at the time the report is submitted, shall attach a statement setting forth the facts, conditions, and circumstances relating to the accident or incident as they appear to him. If the crewmember is incapacitated, he shall submit the statement as soon as he is physically able.

(c) *Where to file the reports.* The operator of an aircraft shall file any report with the field office of the Board nearest the accident or incident.

[53 FR 36982, Sept. 23, 1988, as amended at 60 FR 40113, Aug. 7, 1995]

PART 3 49 CFR 831, ACCIDENT/INCIDENT INVESTIGATION PROCEDURES (Effective June 3, 1988)

Part 831--ACCIDENT/INCIDENT INVESTIGATION PROCEDURES

Sec

AUTHORITY Independent Safety Board Act of 1974, as amended (49 U S C 1101 *et seq*) Federal Aviation Act of 1958 as amended (49 U S C 40101 *et seq*)

SOURCE 53 FR 15847, May 4 1988 unless otherwise noted

§ 831.1 Applicability of part.

Unless otherwise specifically ordered by the National Transportation Safety Board (Board), the provisions of this part shall govern all accident or incident investigations, conducted under the authority of Title VII of the Federal Aviation Act of 1958, as amended, and the Independent Safety Board Act of 1974 Rules applicable to accident hearings and reports are set forth in Part 845

§ 831.2 Responsibility of Board.

(a) *Aviation*

(1) The Board is responsible for the organization, conduct, and control of all accident and incident investigations (see §830 2 of this chapter) within the United States, its territories and possessions, where the accident or incident involves any civil aircraft or certain public aircraft (as specified in §830 5 of this chapter), including an investigation involving civil or public aircraft (as specified in §830 5) on the one hand, and an Armed Forces or intelligence agency aircraft on the other hand It is also responsible for investigating accidents/incidents that occur outside the United States, and which involve civil aircraft and/or certain public aircraft, when the accident/incident is not in the territory of another country (*i e* , in international waters)

(2) Certain aviation field investigations are conducted by the Federal Aviation Administration (FAA), pursuant to a "Request to the Secretary of the Department of Transportation to Investigate Certain Aircraft Accidents," effective February 10, 1977 (the text of the request is contained in the appendix to Part 800 of this chapter), but the Board determines the probable cause of such accidents or incidents [1] Under no circumstances are aviation investigations where the portion of the investigation is so delegated to the FAA by the Board considered to be joint investigations in the sense of sharing responsibility These investigations remain NTSB investigations

(b) *Surface* The Board is responsible for the investigation of railroad accidents in which there is a fatality, substantial property damage, or which involve a passenger train (see Part 840 of this Chapter), major marine casualties and marine accidents involving a public and nonpublic vessel or involving Coast Guard functions (see Part 850 of this Chapter), highway accidents, including railroad grade-crossing accidents which it selects in cooperation with the States, and pipeline accidents in which there is a fatality or substantial property damage

(c) *Other Accidents/Incidents* The Board is also responsible for the investigation of an accident/incident that occurs in connection with the transportation of people or property which, in the judgment of the Board, is catastrophic, involves problems of a recurring character, or would otherwise carry out the policy of the Independent Safety Board Act of 1974 This authority includes, but is not limited to, marine and boating accidents and incidents not covered by Part 850 of this chapter, and accidents/incidents selected by the Board involving transportation and/or release of hazardous materials

[62 FR 3806, Jan 27 1997]

§ 831.3 Authority of Directors

The Director, Office of Aviation Safety, or the Director, Office of Surface Transportation Safety, subject to the provisions of §831 2 and Part 800 of this chapter, may order an investigation into any accident or incident

[62 FR 3806 Jan 27 1997]

§ 831.4 Nature of investigation.

Accident and incident investigations are conducted by the Board to determine the facts, conditions, and circumstances relating to an accident or incident and the probable cause(s) thereof These results are then used to ascertain measures that would best tend to prevent similar accidents or incidents in the future The investigation includes the field investigation (on-scene at the accident, testing, teardown, etc) report preparation, and, where ordered, a public hearing The investigation results in Board conclusions issued in the form of a report or "brief" of the incident or accident Accident/incident investigations are fact-finding proceedings with no formal issues and no adverse parties They are not subject to the provisions of the Administrative Procedure Act (5 U S C 504 et seq), and are not conducted for the purpose of determining the rights or liabilities of any person

[62 FR 3806, Jan 27, 1997]

§ 831.5 Priority of Board investigations.

Any investigation of an accident or incident conducted by the Safety Board directly or pursuant to the appendix to Part 800 of this chapter (except major marine investigations conducted under 49 U S C 1131(a)(1)(E)) has priority over all other investigations of such accident or incident conducted by other

[1] The authority of a representative of the FAA during such investigations is the same as that of a Board investigator under this part

Federal agencies. The Safety Board shall provide for the appropriate participation by other Federal agencies in any such investigation, except that such agencies may not participate in the Safety Board's determination of the probable cause of the accident or incident. Nothing in this section impairs the authority of other Federal agencies to conduct investigations of an accident or incident under applicable provisions of law or to obtain information directly from parties involved in, and witnesses to, the transportation accident or incident, provided they do so without interfering with the Safety Board's investigation. The Safety Board and other Federal agencies shall assure that appropriate information obtained or developed in the course of their investigations is exchanged in a timely manner.

[62 FR 3807, Jan. 27, 1997]

§ 831.6 Request to withhold information.

(a) *Trade Secrets Act (18 U.S.C. 1905), Exemption 4 of the Freedom of Information Act (5 U.S.C. 552) (FOIA), and The Independent Safety Board Act of 1974, as amended.*

(1) *General.* The Trade Secrets Act provides criminal penalties for unauthorized government disclosure of trade secrets and other specified confidential commercial information. The Freedom of Information Act authorizes withholding of such information; however, the Independent Safety Board Act, at 49 U.S.C. 1114(b), provides that the Board may, under certain circumstances, disclose information related to trade secrets.

(2) *Procedures.* Information submitted to the Board that the submitter believes qualifies as a trade secret or confidential commercial information subject either to the Trade Secrets Act or FOIA Exemption 4 shall be so identified by the submitter on each and every page of such document. The Board shall give the submitter of any information so identified, or information the Board has substantial reason to believe qualifies as a trade secret or confidential commercial information subject either to the Trade Secrets Act or FOIA Exemption 4, the opportunity to comment on any contemplated disclosure, pursuant to 49 U.S.C. 1114(b). In all instances where the Board determines to disclose pursuant to 49 U.S.C. 1114(b) and/or 5 U.S.C. 552, at least 10 days' notice will be provided the submitter. Notice may not be provided the submitter when disclosure is required by a law other than FOIA if the information is not identified by the submitter as qualifying for withholding, as is required by this paragraph, unless the Board has substantial reason to believe that disclosure would result in competitive harm.

(3) *Voluntarily-provided Safety Information.* It is the policy of the Safety Board that commercial, safety-related information provided to it voluntarily and not in the context of particular accident/incident investigations will not be disclosed. Reference to such information for the purposes of safety recommendations will be undertaken with consideration for the confidential nature of the underlying database(s).

b. *Other.* Any person may make written objection to the public disclosure of any other information contained in any report or document filed, or otherwise obtained by the Board, stating the grounds for such objection. The Board, on its own initiative or if such objection is made, may order such information withheld from public disclosure when, in its judgment, the information may be withheld under the provisions of an exemption to the Freedom of Information Act (5 U.S.C. 552, see part 801 of this chapter), and its release is found not to be in the public interest.

[62 FR 3807, Jan. 27, 1997]

§ 831.7 Right to representation.

Any person interrogated by an authorized representative of the Board during the investigation, regardless of the form of the interview (sworn, unsworn, transcribed, not transcribed, etc.), has the right to be accompanied, represented, or advised by an attorney or non-attorney representative.

831.8 Investigator-in-charge.

The designated investigator-in-charge organizes, conducts, controls, and manages the field phase of the investigation, regardless of whether a Board Member is also on-scene at the accident or incident site. (The role of the Board member at the scene of an accident investigation is as the official spokesperson for the Safety Board.) The IIC has the responsibility and authority to supervise and coordinate all resources and activities of all personnel, both Board and non-Board, involved in the on-site investigation. The IIC continues to have considerable organizational and management responsibilities throughout later phases of the investigation, up to and including Board consideration and adoption of a report or brief of probable cause(s).

[62 FR 3807, Jan. 27, 1997]

§ 831.9 Authority of Board representatives.

(a) *General.* Any employee of the Board, upon presenting appropriate credentials, is authorized to enter any property where an accident/incident subject to the Board's jurisdiction has occurred, or wreckage from any such accident/incident is located, and do all things considered necessary for proper investigation. Further, upon demand of an authorized representative of the Board and presentation of credentials, any Government agency, or person having possession or control of any transportation vehicle or component thereof, any facility, equipment, process or controls relevant to the investigation, or any pertinent records or memoranda, including all files, hospital records, and correspondence then or thereafter existing, and kept or required to be kept, shall forthwith permit inspection, photographing, or copying thereof by such authorized representative for the purpose of investigating an accident or incident, or preparing a study, or related to any special investigation pertaining to safety or the

prevention of accidents. The Safety Board may issue a subpoena, enforceable in Federal district court, to obtain testimony or other evidence. Authorized representatives of the Board may question any person having knowledge relevant to an accident/incident, study, or special investigation. Authorized representatives of the Board also have exclusive authority, on behalf of the Board, to decide the way in which any testing will be conducted, including decisions on the person that will conduct the test, the type of test that will be conducted, and any individual who will witness the test.

(b) *Aviation.* Any employee of the Board upon presenting appropriate credentials, is authorized to examine and test to the extent necessary any civil or public aircraft (as specified in §830.5), aircraft engine, propeller, appliance, or property aboard such aircraft involved in an accident in air commerce.

(c) *Surface.* (1) Any employee of the Board, upon presenting appropriate credentials, is authorized to test or examine any vehicle, vessel, rolling stock, track, pipeline component, or any part of any such item when such examination or testing is determined to be required for purposes of such investigation.

(2) Any examination or testing shall be conducted in such a manner so as not to interfere with or obstruct unnecessarily the transportation services provided by the owner or operator of such vehicle, vessel, rolling stock, track, or pipeline component, and shall be conducted in such a manner so as to preserve, to the maximum extent feasible, any evidence relating to the transportation accident, consistent with the needs of the investigation and with the cooperation of such owner or operator.

[53 FR 15847, May 4, 1988, as amended at 60 FR 40113, Aug. 7, 1995; 62 FR 3807, Jan. 27, 1997]

§ 831.10 Autopsies.

The Board is authorized to obtain, with or without reimbursement, a copy of the report of autopsy performed by State or local officials on any person who dies as a result of having been involved in a transportation accident within the jurisdiction of the Board. The investigator-in-charge, on behalf of the Board, may order an autopsy or seek other tests of such persons as may be necessary to the investigation, provided that to the extent consistent with the needs of the accident investigation, provisions of local law protecting religious beliefs with respect to autopsies shall be observed.

§ 831.11 Parties to the investigation.

(a) *All investigations, regardless of mode.*

(1) The investigator-in-charge designates parties to participate in the investigation. Parties shall be limited to those persons, government agencies, companies, and associations whose employees, functions, activities, or products were involved in the accident or incident and who can provide suitable qualified technical personnel actively to assist in the investigation. Other than the FAA in aviation cases, no other entity is afforded the right to participate in Board investigations.

(2) Participants in the investigation (*i.e.*, party representatives, party coordinators, and/or the larger party organization) shall be responsive to the direction of Board representatives and may lose party status if they do not comply with their assigned duties, actively proscriptions or instructions, or if they conduct themselves in a manner prejudicial to the investigation.

(3) No party to the investigation shall be represented in any aspect of the NTSB investigation by any person who also represents claimants or insurers. No party representative may occupy a legal position (see §845.13 of this chapter). Failure to comply with these provisions may result in sanctions, including loss of status as a party.

(4) Title 49, United States Code §1132 provides for the appropriate participation of the FAA in Board investigations, and §1131 (a)(2) provides for such participation by other departments, agencies, or instrumentalities. The FAA and those other entities that meet the requirements of paragraph (a)(1) of this section will be parties to the investigation with the same rights and privileges and subject to the same limitations as other parties, provided however that representatives of the FAA need not sign the "Statement of Party Representatives to NTSB Investigation" (see paragraph (b) of this section).

(b) *Aviation investigations.* In addition to compliance with the provisions of paragraph (a) of this section, and to assist in ensuring complete understanding of the requirements and limitations of party status, all party representatives in aviation investigations shall sign "Statement of Party Representatives to NTSB Investigation" immediately upon attaining party representative status. Failure timely to sign that statement may result in sanctions, including loss of status as a party.

[62 FR 3808, Jan. 27, 1997]

§ 831.12 Access to and release of wreckage, records, mail, and cargo.

(a) Only the Board's accident investigation personnel, and persons authorized by the investigator-in-charge to participate in any particular investigation, examination or testing shall be permitted access to wreckage, records, mail, or cargo in the Board's custody.

(b) Wreckage, records, mail, and cargo in the Board's custody shall be released by an authorized representative of the Board when it is determined that the Board has no further need of such wreckage, mail, cargo, or records. When such material is released, Form 6120.15, "Release of Wreckage," will be completed, acknowledging receipt.

§ 831.13 Flow and dissemination of accident or incident information.

(a) Release of information during the field investigation, particularly at the accident scene, shall be limited to factual developments, and shall be made only through the Board Member present at the accident scene, the representative of the Board's Office of Public Affairs, or the investigator-in-charge.

(b) All information concerning the accident or incident obtained by any person or organization participating in the investigation shall be passed to the IIC through appropriate channels before being provided to any individual outside the investigation. Parties to the investigation may relay to their respective organizations information necessary for purposes of prevention or remedial action. However, no information concerning the accident or incident may be released to any person not a party representative to the investigation (including non-party representative employees of the party organization) before initial release by the Safety Board without prior consultation and approval of the IIC.

[53 FR 15847, May 4, 1988, as amended at 62 FR 3808, Jan. 27, 1997]

§ 831.14 Proposed findings.

(a) *General.* Any person, government agency, company, or association whose employees, functions, activities, or products were involved in an accident or incident under investigation may submit to the Board written proposed findings to be drawn from the evidence produced during the course of the investigation, a proposed probable cause, and/or proposed safety recommendation designed to prevent future accidents.

(b) *Timing of submissions.* To be considered, these submissions must be received before the matter is calendared for consideration at a Board meeting. All written submissions are expected to have been presented to staff in advance of the formal scheduling of the meeting. This procedure ensures orderly and thorough consideration of all views.

(c) *Exception.* This limitation does not apply to safety enforcement cases handled by the Board pursuant to Part 821 of this chapter. Separate *ex parte* rules, at Part 821, subpart J, apply to those proceedings.

[62 FR 3808, Jan. 27, 1997]

PART 4 49 CFR 845, RULES OF PRACTICE IN TRANSPORTATION
ACCIDENT/INCIDENT HEARINGS AND REPORTS (Effective March 3, 1986)

PART 845--RULES OF PRACTICE IN TRANSPORTATION: ACCIDENT/ INCIDENT HEARINGS AND REPORTS

AUTHORITY Title VII, Federal Aviation Act of 1958, as amended (49 U S C 1441 *et seq*), and the Independent Safety Board Act of 1974, Pub L 93-633, 88 Stat 2166 (49 U S C 1901 *et seq*)

§ 845.1 Applicability.

Unless otherwise specifically ordered by the National Transportation Safety Board (Board), the provisions of this part shall govern all transportation accident investigation hearings conducted under the authority of section 304(b) of the Independent Safety Board Act of 1974 (49 U S C 1903(b) and accident reports issued by the Board

§ 845.2 Nature of hearing.

Transportation accident hearings are convened to assist the Board in determining cause or probable cause of an accident, in reporting the facts, conditions, and circumstances of the accident, and in ascertaining measures which will tend to prevent accidents and promote transportation safety Such hearings are factfinding proceedings with no formal issues and no adverse parties and are not subject to the provisions of the Administrative Procedure Act (Pub L 89-554, 80 Stat 384 (5 U S C 554))

[44 FR 34419, June 14, 1979, 44 FR 39181, July 5, 1979]

§ 845.3 Sessions open to public.

(a) All hearings shall normally be open to the public (subject to the provision that any person present shall not be allowed at any time to interfere with the proper and orderly functioning of the board of inquiry)

(b) Sessions shall not be open to the public when evidence of a classified nature or which affects national security is to be received

Subpart A--Initial Procedure

§ 845.10 Determination to hold hearing.

The Board may order a public hearing as part of an accident investigation whenever such hearing is deemed necessary in the public interest *Provided* that if a quorum of the Board is not immediately available in the event of a catastrophic accident, the determination to hold a public hearing may be made by the Chairman of the Board

§ 845.11 Board of inquiry.

The board of inquiry shall consist of a Member of the Board who shall be chairman of the board of inquiry, and such other employees as may be designated by the chairman of the board of inquiry Assignment of a Member to serve as the chairman of each board of inquiry shall be determined by the Board The board of inquiry shall examine witnesses and secure, in the form of a public record, all known facts pertaining to the accident or incident and surrounding circumstances and conditions from which cause or probable cause may be determined and recommendations for corrective action may be formulated

[49 FR 32853, Aug 17 1984]

§ 845.12 Notice of hearing.

The chairman of the board of inquiry shall designate a time and place for the hearing which meets the needs of the Board Notice to all known interested persons shall be given

§ 845.13 Designation of parties.

(a) The chairman of the board of inquiry shall designate as parties to the hearing those persons, agencies, companies, and associations whose participation in the hearing is deemed necessary in the public interest and whose special knowledge will contribute to the development of pertinent evidence Parties shall be represented by suitable qualified technical employees or member who do not occupy legal positions

(b) No party shall be represented by any person who also represents claimants or insurers Failure to comply with this provision shall result in loss of status as a party

[44 FR 34419, June 14, 1979, as amended at 41 FR 7278, Mar 3, 1986]

Subpart B--Conduct of Hearing

§ 845.20 Powers of chairman of board of inquiry.

The chairman of the board of inquiry, or his designee, shall have the following powers

(a) To designate parties to the hearing and revoke such designations,

(b) To open, continue, or adjourn the hearing,

(c) To determine the admissibility of and to receive evidence and to regulate the course of the hearing,

(d) To dispose of procedural requests or similar matters, and

(e) To take any other action necessary or incident to the orderly conduct of the hearing

[44 FR 34419 June 14 1979, 44 FR 39181 July 5 1979]

§ 845.21 Hearing officer.

The hearing officer, upon designation by the Chairman of the Board, shall have the following powers:

(a) To give notice concerning the time and place of hearing;

(b) To administer oaths and affirmations to witnesses; and

(c) To issue subpoenas requiring the attendance and testimony of witnesses and production of documents.

§ 845.22 Technical panel.

The Director, Bureau of Accident Investigation, or the Director, Bureau of Field Operations, shall designate members of the Board's technical staff to participate in the hearing and initially develop the testimony of witnesses

[49 FR 32853, Aug. 17, 1984]

§ 845.23 Prehearing conference.

(a) Except as provided in paragraph (d) of this section for expedited hearings, the chairman of the board of inquiry shall hold a prehearing conference with the parties to the hearing at a convenient time and place prior to the hearing. At such prehearing conference, the parties shall be advised of the witnesses to be called at the hearing, the areas in which they will be examined, and the exhibits which will be offered in evidence.

(b) Parties shall submit at the prehearing conference copies of any additional documentary exhibits they desire to offer. (Copies of all exhibits proposed for admission by the board of inquiry and the parties shall be furnished to the board of inquiry and to all parties, insofar as available at that time.)

(c) A party who, at the time of the prehearing conference, fails to advise the chairman of the board of inquiry of additional exhibits he intends to submit, or additional witnesses he desires to examine, shall be precluded from introducing such evidence unless the chairman of the board of inquiry determines for good cause shown that such evidence should be admitted.

(d) *Expedited hearings.* When time permits, the chairman of the board of inquiry may hold a prehearing conference. In the event that an expedited hearing is held, the requirements in paragraphs (b) and (c) of this section concerning the identification of witnesses, exhibits or other evidence may be waived by the chairman of the board of inquiry.

§ 845.24 Right of representation.

Any person who appears to testify at a public hearing shall be accorded the right to be accompanied, represented, or advised by counsel or by any other duly qualified representative.

§ 845.25 Examination of witnesses.

(a) Witnesses shall be initially examined by the board of inquiry or its technical panel. Following such examination, parties to the hearing shall be given the opportunity to examine such witnesses.

(b) Materiality, relevancy, and competency of witness testimony, exhibits, or physical evidence shall not be the subject of objections in the legal sense by a party to the hearing or any other person. Such matters shall be controlled by rulings of the chairman of the board of inquiry on his own motion. If the examination of a witness by a party is interrupted by a ruling of the chairman of the board of inquiry, opportunity shall be given to show materiality, relevancy, or competency of the testimony or evidence sought to be elicited from the witness.

§ 845.26 Evidence.

The chairman of the board of inquiry shall receive all testimony and evidence which may be of aid in determining the cause of accident. He may exclude any testimony or exhibits which are not pertinent to the investigation or are merely cumulative.

§ 845.27 Proposed findings.

Any party may submit proposed findings to be drawn from the testimony and exhibits, a proposed probable cause, and proposed safety recommendations designed to prevent future accidents. The proposals shall be submitted within the time specified by the presiding officer at the close of the hearing, and shall be made a part of the public docket. Parties to the hearing shall serve copies of their proposals on all other parties to the hearing.

§ 845.28 Stenographic transcript.

A verbatim report of the hearing shall be taken. Copies of the transcript may be obtained by any interested person from the Board or from the court reporting firm preparing the transcript upon payment of the fees fixed therefor. (See Part 801, Appendix-Fee Schedule.)

§ 845.29 Payment of witnesses.

Any witness subpoenaed to attend the hearing under this part shall be paid such fees for his travel and attendance as shall be certified by the hearing officer.

Subpart C--Board Reports

§ 845.40 Accident report.

(a) The Board will issue a detailed narrative accident report in connection with the investigation into those accidents which the Board determines to warrant such a report. The report will set forth the facts, conditions and circumstances relating to the accident and the probable cause thereof, along with any appropriate recommendations formulated on the basis of the investigation.

(b) The probable cause and facts, conditions, and circumstances of all other accidents will be reported in a manner and form prescribed by the Board.

§ 845.41 Petitions for reconsideration or modification.

(a) Petitions for reconsideration or modification of the Board's findings and determination of probable cause filed by a party to an investigation or hearing or other person having a direct interest in the accident investigation will be entertained only if based on the discovery of new evidence or on a showing that the Board's findings are erroneous. The petitions shall be in writing. Petitions which are repetitious of proposed findings

submitted pursuant to §845.27, or of positions previously advanced, and petitions filed by a party to the hearing who failed to submit proposed findings pursuant to §845.27 will not be entertained. Petitions based on the discovery of new matter shall: identify the new matter; contain affidavits of prospective witnesses, authenticated documents, or both, or an explanation of why such substantiation is unavailable; and state why the new matter was not available prior to Board's adoption of its findings. Petitions based on a claim of erroneous findings shall set forth in detail the grounds relied upon.

(b) When a petition for reconsideration or modification is filed with the Board, copies of the petition and any supporting documentation shall be served on all other parties to the investigation or hearing and proof of service shall be attached to the petition. The other parties may file comments no later than 90 days after service of the petition.

(c) Oral presentation before the Board normally will not form a part of proceedings under this part. However, the Board may permit oral presentation where a party or interested person makes an affirmative showing that the written petition for reconsideration or modification is an insufficient means to present the party's or person's position to the Board. Where oral presentation is allowed, the Board will specify the issues to be addressed and all parties to the investigation or hearing will be given notice and the opportunity to participate.

[48 FR 52740, Nov. 22, 1983]

Subpart D--Public Record

§ 845.50 Public docket.

(a) The public docket shall include all factual information concerning the accident. Proposed findings submitted pursuant to §831.12 or §845.27 and petitions for reconsideration and modification submitted pursuant to §845.41, comments thereon by other parties, and the Board's rulings, shall also be placed in the public docket.

(b) The docket shall be established as soon as practicable following the accident, and material shall be added thereto as it becomes available. Where a hearing is held, the exhibits will be introduced into the record at the hearing.

(c) A copy of the docket shall be made available to any person for review at the Washington office of the Board. Copies of the material in the docket may be obtained, upon payment of the cost of reproduction, from the Public Inquiries Section, Bureau of Administration, National Transportation Safety Board, Washington, DC 20594.

[44 FR 34419, June 14, 1979, as amended at 48 FR 52740, Nov 22, 1983]

§ 845.51 Investigation to remain open.

Accident investigations are never officially closed but are kept open for the submission of new and pertinent evidence by any interested person. If the Board finds that such evidence is relevant and probative, it shall be made a part of the docket and, where appropriate, parties will be given an opportunity to examine such evidence and to comment thereon.