

ORDER

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
GREAT LAKES REGION

GL AT 1900.22A

11/27/90

SUBJ: AT DIVISION AIRCRAFT ACCIDENT/INCIDENT CONTINGENCY PLAN

1. PURPOSE. This Order defines and assigns specific responsibilities for Air Traffic Division personnel to insure prompt and coordinated action in handling aviation incidents, accidents, and disasters.
2. DISTRIBUTION. This Order is distributed to Branch Managers and above in the Air Traffic Division; Regional Counsel, AGL-7; Aviation Information Division, AGL-5; and Flight Standards Division, AGL-200.
3. CANCELLATIONS. GL Order 1900.22 dated January 15, 1988.
4. BACKGROUND. Major aircraft accidents and incidents, aviation disasters, and all accidents/incidents involving provisions of air traffic services require coordination responses by the Division for several reasons. Included are support for the AT facility involved; the Division Manager; the Regional Administrator; the Public Affairs Office for response to media inquiries; the FAA Air Traffic Accident Representative; the FAA Accident Coordinator; and, in some cases, the National Transportation Safety Board Investigator in Charge (IIC). This Order formalizes present accepted practices and documents procedural information in a ready reference format so key division personnel are functioning under the same guidelines.
5. DEFINITIONS.
 - a. Division Accident Specialist. The System Effectiveness Specialist assigned to investigate air traffic involvement in the event.
 - b. Air Traffic Accident Representative. The individual designated by Washington Headquarters or the Regional Air Traffic Division Manager to assist the FAA Accident Coordinator in the investigation of the event. This will normally be the facility manager of the facility responsible for the accident package unless otherwise notified by the Division Manager. (Reference Order 8020.11, paragraph 129).
 - c. FAA Investigator In Charge (FAA IIC). The individual responsible for direction and control of all FAA activities related to the investigation of the event. In nearly all cases, this will be an individual from Office of Accident Investigation (AAI) or Flight Standards. All information provided to the NTSB shall be cleared through or released by the FAA Accident Coordinator.

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Initiated By: AGL-542

d. FAA Participant. An individual assigned to assist the FAA Accident Coordinator in the investigation of the event. This person may be assigned to a particular working group to examine in detail one aspect of the total investigation, (i.e., the Air Traffic working group, etc.).

e. Investigator in Charge (IIC). The NTSB person assigned to conduct the accident/incident investigation in accordance with appropriate NTSB regulations. In situations described in Public Notice 1 (CFR 49 Part 800) this investigation may be conducted by the FAA Accident Coordinator.

f. AX-1/AX-2. The AGL-542 specialists assigned standby duty. Primary assignment is AX-1. The backup specialist is designated AX-2.

7. ACTION. The level of activity generated will vary according to the magnitude of the event. The appendices to this Order describe required action at these various levels. Appropriate reference material from related documents are included. These appendices are:

Appendix 1 - Activation of the Regional Aviation Disaster Team

Appendix 2 - Other Accidents/Incidents

Appendix 3 - Division Accident Specialist Responsibilities

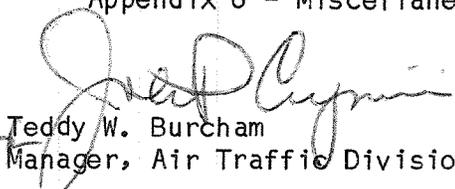
Appendix 4 - Release of Information

Appendix 5 - AT Personnel Interviews

Appendix 6 - FAA Participants Responsibilities

Appendix 7 - Functioning of Mini Command Post

Appendix 8 - Miscellaneous


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APPENDIX 1. ACTIVATION OF REGIONAL AVIATION DISASTER TEAM

Order GL 1900.17A, Appendix 9, outlines procedures for the activation of the Regional Aviation Disaster Team. When the team is activated, the AT Division Manager will normally report to the Regional Headquarters Telephone Conference Room. When the team is activated, the Assistant Division Managers shall establish a mini-command post in the office of AGL-500 as follows:

I. Administrative Hours.

During administrative hours, the Division Branch/Staff Managers shall report to the AGL-500 office. Other division personnel shall remain on duty until resource needs are assessed and tasks assigned. Release at the end of the scheduled duty day will be given by the individual's branch manager. At least one System Effectiveness Specialist (normally AX-1) will be dispatched to the field facility by the first available transportation.

II. Non-Administrative Hours.

During non-administrative hours, after consultation with the Division Manager, AGL-542 shall notify the Assistant Division Manager and the Branch Managers. The mini-command post shall be staffed at the direction of the Division Manager. Normal initial staffing will be the System Effectiveness Section Manager, the Facility Operations Branch Manager, and AX-2. A System Effectiveness Specialist (normally AX-1) will be dispatched to the field facility by the first available transportation.

III. Mini-Command Post Responsibilities.

When staffed, the mini-command post shall be responsible for analysis of data provided by the facility, the Division Accident Specialist after he arrives at the facility, and other reliable sources (see Appendix 7). Full information exchange shall occur with the Division Manager so the Disaster Team can be kept fully apprised of AT aspects of the event. Complete support for the facility shall be arranged as deemed necessary by the post and/or requested by the facility and the Division Accident Specialist.

Workload on other Great Lakes Regional offices shall also be considered and support provided if possible, (i.e., Aviation Information to answer telephone; Logistics to drive automobiles, etc). This should normally be coordinated by the Disaster Team but post members may use their initiative with due care.

Once staffed, the mini-command post shall be deactivated only at direction of the Division Manager.

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APPENDIX 2. OTHER ACCIDENTS/INCIDENTS

A System Effectiveness Specialist (normally AX-1) shall be dispatched to field facilities involved in aviation events where significant AT involvement and/or widespread publicity and public interest may exist. This will be at the direction of AGL-500 and/or AGL-542.

In situations where the Regional Aviation Disaster Team is not activated, AGL-542 shall be the focal point for AT data collection and analysis. AGL-542 shall be responsible for keeping the Division Manager fully informed of developments. Additionally, AGL-542 shall identify resource requirements involving other divisions and AT branches. Those involving other divisions shall be coordinated through the Division Manager's office. Those involving other AT branches shall be coordinated directly with the appropriate branch by AGL-542.

APPENDIX 3. DIVISION ACCIDENT SPECIALIST RESPONSIBILITIES

A System Effectiveness Specialist shall be dispatched to certain aviation events as described in previous appendices. The specialist shall be responsible for complete investigation of the AT services provided. The Specialist is also responsible for the timely reporting of analysis of the situation.

I. Initial Actions. On arrival at the field facility involved, the Division accident specialist shall insure the following actions are taken;

a. Assure that proper action has been taken if any navigation facilities are involved, i.e., NOTAMed out of commission until appropriate checks and maintenance has been performed, proper notification of A.T., etc.

b. Conduct such investigation as may be required to satisfy the adequacy of performance of duties by AT field personnel involved. Promptly advise the Air Traffic Division of any deficiencies noted and any recommended corrective action.

c. Review the facility documentation of the accident for completeness and accuracy, and assist in completing any such documentation, as required. The following data should be collected and reviewed:

1. Controllers statements. (Controllers should be encouraged to write their statement in draft form. Having done this, they should be encouraged to make any correction or additions they believe necessary. After statement is typed and signed, any draft statements should be destroyed.)
2. Tapes - interphone, air/ground, and ATIS.
3. Flight Progress Strips.
4. Weather Bureau information at time of accident.
5. Radar track analysis data (CDR, NTAP, etc.).
6. Settings of scope, (including operational configuration of NAVAIDS which the controller can adjust or align; such as PAR, ASR, ARSR, radar channel selection, scope adjustment, ALS, VASI brilliance, etc.).
7. Letters of agreement or oral amendments, etc.
8. Approach procedures.
9. Navigational aids and flight checking.
10. Airway Facilities logs relating to equipment outages, etc.
11. GENOTs, RENOTs, etc.
12. Staffing.

13. Training records.

14. Have all regulations, etc., updated and current for NTSB investigator.

d. Ensure that the handling of voice recordings is accomplished in accordance with instructions in Order 8020.11, and when requested make arrangements to provide NTSB, military, or FAA investigators additional playbacks of original voice recordings, if required.

e. Ensure all copies of the documentation required for the investigation of the accident are available and secure.

f. In coordination with the FAA AT Accident Representative, establish contact with the FAA Accident Coordinator and furnish him with the documentation. Promptly advise the FAA Accident Coordinator of deficiencies which may have a bearing on the accident.

g. Make arrangements to secure any additional documentation or information that may be required by the FAA Accident Coordinator.

h. Although a copy of the tape recording may be provided to the FAA Accident Coordinator or NTSB investigator, the Regional Accident Specialist or the AT accident representative shall obtain Air Traffic Division approval for prior to release of specific documents such as copies of personnel statements, FAA Form 8020-6, etc.

i. In the absence of FAA legal counsel, brief AT personnel on their responsibilities and actions during questioning.

j. Attend interviews of AT personnel.

II. Required Reports. The Division Accident Specialist shall maintain a chronological summary of his activities on site including times and dates. The following items are the minimum requirement:

a. Facility location.

b. Authority for participation.

c. Time of departure; mode of transportation; time of arrival.

d. Personnel/organization in charge and/or contacted.

e. Resume of accident/incident (route of flight, clearance, weather, summary of occurrence, etc.).

f. Probable or suspected causes, if known, based on factual data (mechanical, weather flight crew, AT suspected, etc.).

g. Detailed resume of suspected AT involvement (controller actions, procedures, clearances, NAVAID use, communications, etc.).

- h. Recommendations based on known facts.
- i. Attempt to identify areas of AT procedures, clearances, controller actions; etc., that may require further explanation, justification, or authority source reference (handbook, order, AIM, etc.).
- j. Assistance provided to the NTSB, legal, or field personnel.

III. Situation summary reports covering these items shall be telephoned to the AGL-500 mini-command post or AGL-542 as appropriate:

- a. Immediately when information indicates any function of air traffic services is suspected.
- b. In any case, an initial report shall be made within two hours of arrival at the facility.
- c. At 1500 Central Time to provide current status of the investigation.
- d. A briefing will be provided to AGL-500 and AGL-542 upon return to the Regional Office. A Situation Summary Report of factual data will be formalized and provided to AGL-542 as soon as possible after return from the field facility.

APPENDIX 4 . RELEASE OF INFORMATION

I. Release to NTSB. - Our policy is to fully cooperate with the NTSB in all their investigations. The principal FAA representative in these investigations is the FAA Accident Coordinator. Therefore, all data concerning AT activities shall be coordinated with the FAA Accident Coordinator prior to release to the NTSB. Occasionally, the Accident Coordinator will give blanket permission to the Air Traffic Representative to furnish NTSB with any requested documents. When this occurs, a list of all documents provided to the NTSB shall be maintained.

II. Release to the Public. - Release of information to the public is described in Order 8020.11, Chapter 10 and handbook 1200.2A. All or any part of the following information may be released at the facility or regional level as soon as the information is available.

a. Identification information such as aircraft make, model, and registration number.

b. Nature of the flights, such as flight plan information, route of flights, destination, etc.

c. Contents of pertinent recorded weather observations.

When such a release is made by other than an FAA employee assigned to The Regional Aviation Information Division Office, the contents of the release shall be brought to the attention of the Aviation Information Division Officer, or Duty Officer, as soon as practicable, and made known to the accident coordinator or investigator as soon as local contact with that party is made.

No other information is to be released without specific approval of the FAA Accident Coordinator or the NTSB.

APPENDIX 5. AT PERSONNEL INTERVIEWS

The Division Accident Specialist shall ensure that the involved AT personnel are interviewed by Legal (AGL-7) and/or the specialist and the Air Traffic Representative prior to any discussions or interviews with outside agencies (NTSB, etc.). The following guidelines shall be reviewed with the AT personnel prior to the interviews:

- a. Have a brief statement or be prepared to outline qualifications, duties, and capacity of employment with the FAA. This should include;
 1. Full name.
 2. Address.
 3. Years of aviation experience.
 4. Type of experience.
 5. When employed by FAA.
 6. Outline of major duties.
 7. Additional qualifications.
 8. FAA certificates held.
- b. Consult the applicable source material in advance when you anticipate that you will be questioned concerning Federal Aviation Regulations, operations specifications, rules or regulations of the Administrator, instrument approach procedures, etc. Have the material available for reference and for quoting when testifying.
- c. Take your time.
- d. Make sure the question is complete before answering. Do not anticipate portions of the question.
- e. Be sure you fully understand the question before answering.
- f. Ask for re-reading or rephrasing, if the question is not understood.
- g. Answer all questions directly and concisely.
- h. Confine your answers specifically to the questions asked.
- i. Be brief.
- j. Answer questions with which you are not directly familiar by stating that you have no knowledge regarding the question.

- k. Answer questions with a yes or no when possible.
- l. Don't conjecture or give your personal opinion.
- m. Advise the FAA spokesman privately as soon as possible when you have additional information concerning a matter covered by specific questioning.
- n. Don't guess, say you don't know the answer when you don't know it.

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APPENDIX 6. FAA PARTICIPANT RESPONSIBILITIES

During many investigations, working groups will be assigned for particular aspects of the event (i.e., powerplants, human factors, air traffic, etc.). Normally, one person will be designated to the Air Traffic Working Group. When this occurs the Air Traffic Group representative should be the Air Traffic Manager of the most involved Air Traffic facility or his designee. When two members are authorized by the Accident Coordinator, the Division Accident Specialist should participate.

FAA Participant responsibilities are outlined in Order 8020.11, paragraph 90.

APPENDIX 7. FUNCTIONING OF MINI COMMAND POST

At the activation of the mini command post, AGL-501 shall direct the activities and ensure that personnel identified in Appendix 1 are present. One telephone line shall be used to establish continuous open communication with the affected facility. AGL-501 and AGL-542 shall remain in the mini command post as much as possible to ensure that a continuous picture of the event is maintained. AGL-542 shall be responsible for communication with appropriate headquarters air traffic elements.

For accidents, the following coordination shall be completed as soon as possible:

1. Get a complete briefing from the facility on the facts and circumstances as they know them at that time. All participants should be in attendance for this briefing. AGL-501 shall make task assignments after this briefing.
2. The facility shall be directed to reproduce all voice tapes from first transmission to the aircraft to the last transmission and play those tapes over the speaker phone for reproduction in the region. Rough draft transcripts should also be requested as soon as possible.
3. Coordination shall be done by AGL-540 with the facility and AGL-11 for Employee Assistance Program participation.
4. After AGL-500 makes the drug testing determinations, AGL-540 shall coordinate with AGL-11 and the facility, if necessary.

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APPENDIX 8. MISCELLANEOUS

This section is reserved for any additional data which the holder deems necessary for ready reference. Update is the responsibility of the holder.