



**U.S. DEPARTMENT OF TRANSPORTATION**  
**FEDERAL AVIATION ADMINISTRATION**  
Air Traffic Organization Policy

**ORDER**  
**JO 8020.16C**

Effective Date:  
12/14/2018

**SUBJ:** Air Traffic Organization Aircraft Accident and Aircraft Incident Notification, Investigation, and Reporting

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This order prescribes Federal Aviation Administration (FAA) Air Traffic Organization (ATO) procedures and responsibilities for aircraft accident and aircraft incident notification, investigation, and reporting. It provides direction and guidance to ATO service units, service centers, service areas, offices, and facilities when they are called upon to perform aircraft accident investigations. All concerned personnel must familiarize themselves with the provisions of this order that pertain to their responsibilities and exercise their best judgment if they encounter situations not covered by the order.

This order cancels FAA Order JO 8020.16B, dated December 31, 2014.

This is an ATO order that has been written in coordination with FAA Order 8020.11 and describes specifically the ATO's roles and responsibilities in aircraft accidents, aircraft incidents, and occurrences as they pertain to notification, reporting, and data retention.

A handwritten signature in black ink, reading "Teri L. Bristol", is positioned above the printed name and title.

Teri L. Bristol  
Chief Operating Officer  
Air Traffic Organization

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## Chapter 1. General

- 1. Purpose of This Order.** This order establishes Federal Aviation Administration (FAA) Air Traffic Organization (ATO) procedures and responsibilities for aircraft accident and incident notification, investigation, and reporting.
- 2. Audience.** This order is intended for all ATO employees and anyone using ATO directives supporting activities associated with aircraft accident and incident notification, investigation, and reporting.
- 3. Where Can I Find This Order?** This order is available on the MyFAA employee website at [https://employees.faa.gov/tools\\_resources/orders\\_notices/](https://employees.faa.gov/tools_resources/orders_notices/) and on the air traffic publications website at [http://www.faa.gov/air\\_traffic/publications/](http://www.faa.gov/air_traffic/publications/).
- 4. What This Order Cancels.** FAA Order JO 8020.16B, *Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting*, dated December 31, 2014, including all associated notices, are canceled.
- 5. Explanation of Changes.** This revision:
  - a. Incorporates editorial changes to include rearranging chapters and paragraphs to follow the flow of the aircraft accident reporting, investigation, file, and package process.
  - b. Adds a new chapter with definitions and terms used in this order.
  - c. Adds a requirement for the Quality Control Group (QCG) at the service center to initiate the aircraft accident package for both holding and supporting facilities in the Aircraft Accident Package Generator (APG).
  - d. Reflects a change from facilities creating "formal" and "informal" aircraft accident files. Facilities now create an "Aircraft Accident File" and an "Aircraft Accident Package".
  - e. Changes the retention requirement for copies of the Aircraft Accident Package to five years.
  - f. Changes the exchange of data requirements in an aircraft accident package/file between FAA and Federal Contract Facilities (FCFs) as well as between different vendors of contract facilities.
  - g. Removes the requirement for partial transcripts to be included in an aircraft accident package unless requested.
  - h. Updates ATO procedures related to the collection of documents and other items associated with an aircraft accident or incident.
  - i. Updates FAA Form 8020-3 to allow additional lines to be inserted as needed.
- 6. Authority to Change This Order.** Authority for future revisions to this order is delegated to the Vice President for Safety and Technical Training, (AJI-0). Submit proposed changes or additions to the ATO Litigation Support Group (LSG), (AJI-17). Supplemental changes and requests for waivers

to programs and policies transmitted by this order must receive prior approval through written requests to ATO Safety and Technical Training.

**7. Terms and Definitions.** See [Chapter 4](#), Terms and Definitions, for a complete list of terms and definitions used in this order.

**8. Related Publications.** The following publications are the primary references to be used in coordination with provisions of this order:

- a. FAA Order 8020.11, *Aircraft Accident and Incident Notification, Investigation, and Reporting*
- b. FAA Order JO 7210.3, *Facility Operation and Administration*
- c. FAA Order JO 7210.632, *Air Traffic Organization Occurrence Reporting*
- d. FAA Order JO 7210.633, *Air Traffic Organization Quality Assurance Program*
- e. FAA Order JO 1030.3, *Initial Event Response*
- f. FAA Order JO 7110.65, *Air Traffic Control*
- g. FAA Order JO 7110.10, *Flight Services*

**9. Forms and Reports.** Forms used by air traffic facilities for aircraft accident and incident notification, investigation, and reporting are in [Appendix A](#), *Forms Used by Air Traffic*. Selected, completed examples of these forms are in [Appendix B](#), *Example of Aircraft Accident Package*.

**10. Safety Risk Management Analysis.** This order has no operational effect on the national airspace system (NAS).

**11. Distribution.** Electronic Distribution.

## **Chapter 2. ATO Elements Involved in Notification, Investigation, and Reporting**

Operations centers alert appropriate offices and assist in the notification process for aircraft accidents and aircraft incidents. When requested, a center establishes communication conferences to obtain, analyze, and disseminate information on aircraft accidents and aircraft incidents so that all FAA levels are informed and decision-making can proceed in a timely manner. Refer to FAA Order JO 1030.3 for appropriate notification procedures.

**1. Safety and Technical Training, Compliance Services Group (CSG).** The ATO participates in the investigation of aircraft accidents and aircraft incidents when FAA air traffic control or aeronautical communications facilities are involved. For all significant aircraft accidents and aircraft incidents, the ATO Safety (CSG) serves as the lead ATO representative and is responsible for ensuring aircraft accidents and aircraft incidents involving ATO facilities or functions are investigated and reported in a timely manner. The 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.

**2. Safety and Technical Training, Service Center, Quality Assurance Group (QAG).** The QAG reviews Mandatory Occurrence Reports (MORs) and determines if events qualify as possible pilot deviations. If the QAG determines there is a possible pilot deviation the event is forwarded for processing.

**3. Safety and Technical Training, Litigation Support Group, (LSG).** The LSG directs data collection and retention for aircraft accidents and aircraft incidents in the ATO. The LSG orchestrates and communicates requirements with Air Traffic Services, ATO Safety and Technical Training, and other offices within and outside the ATO. This order recognizes the priority of ongoing air traffic services, overlapping requirements of participants during investigations, and the need for collaboration. In situations not addressed by this order, the LSG provides direction.

**4. Mission Support Services, Service Center, Quality Control Group (QCG).** The QCG directs data collection and retention for aircraft accidents and aircraft incidents in local facilities. The QCG initiates, reviews, and processes aircraft accident packages in accordance with this order. Air traffic packages are submitted to the LSG for final review and release.

**5. Technical Operations.** Technical Operations' responsibilities and actions following an aircraft accident or incident are to ensure the continued safe operation of the NAS, investigate potentially involved facilities in a timely manner, restore operations of facilities removed from service, and provide appropriate aircraft accident-related facility documentation.

**6. Flight Inspection.** Flight Inspection is responsible for scheduling a flight inspection of facilities after an aircraft accident or aircraft incident when requested by the National Technical Operations Aircraft Accident Representative (NTOAAR) or Technical Operations Aircraft Accident Representative (TOAAR). Flight inspection results are provided to the FAA Investigator-in-Charge (IIC) or TOAAR.

### Chapter 3. Initial Notification and Reporting Responsibilities

**1. General.** In order to provide authorities in the FAA, National Transportation Safety Board (NTSB), or military services with information on aircraft accidents and aircraft incidents, follow notification procedures as outlined in this chapter.

**a.** Any FAA or FCF employee who becomes aware of an aircraft accident or aircraft incident must report the facts immediately to the nearest FAA air traffic facility (en route, terminal facility, or flight service station) or Regional Operations Center (ROC).

**b.** To report an aircraft accident or aircraft incident when you do not have access to an FAA air traffic facility or ROC, as in the case of international events, use established channels such as the Department of State, the FAA Aeronautical Fixed Telecommunications Network, or by any expeditious means appropriate to the aircraft accident or aircraft incident circumstances.

**c.** Report and make notifications for aircraft accidents and aircraft incidents involving Unmanned Aerial Systems (UAS) or spacecraft in the same manner as other aircraft accidents and aircraft incidents.

**d.** Use FAA Form 8020-3, *Facility Aircraft Accident/Incident Notification Record*, and FAA Form 8020-9, *Aircraft Accident/Incident Preliminary Notice*, to initiate preliminary notification of aircraft accidents and aircraft incidents. If requested by the Flight Standards District Office (FSDO), LSG, QCG, Flight Service Directorate, or CSG, complete FAA Form 8020-11, *Incident Report*, for selected aircraft incidents.

**2. Federal Contract Facilities.** (FAA Contract Tower (FCT), Non-Federal Contract Tower (NFCT) and Federally Contracted Flight Service Station (FCFSS) facilities). FCFs must follow the same procedures as those outlined for FAA air traffic facilities unless an exception to the requirement is made in this order or when specifically directed by the FAA Accident Investigation Division (AVP-100), FAA IIC, or LSG. This includes the preparation and retention of an aircraft accident file/package. The FCFs must not forward their aircraft accident file, documents, information, notes, recordings, and/or copies of voice data, etc. concerning an aircraft accident or incident to the FAA, except as outlined in FAA Order JO 7210.633, FAA Order JO 1030.3, and [Chapter 6, paragraph 5](#), of this order.

Throughout this order, if "FAA" precedes the type of facility, the requirement applies to FAA facilities only. If the acronym "FAA" is not present, the requirement applies to all facilities (that is, FAA facilities and FCFs).

**NOTE:** A FCT is considered a FCF and not a FAA facility.

**EXAMPLES:**

*"...the FAA air traffic facility with jurisdiction over the flight when the aircraft accident occurred."*  
(This guidance would apply to FAA facilities only).

*“The air traffic facility first receiving notification of a known aircraft accident or a suspected aircraft accident must make and record initial notification using FAA Form 8020-3.” (This guidance would apply to both FAA facilities and FCFs).*

**3. Operations Center.** When a notification of an aircraft accident or aircraft incident is received from any source, the Washington Operations Center (WOC) or Regional Operations Center (ROC) must contact the appropriate offices and representatives for conferences or briefings as necessary. Notifications are completed in accordance with FAA Order JO 1030.3, Initial Event Response.

**a.** When the reported aircraft accident/incident is one that requires regional or Washington Operations Office notification in accordance with [Chapter 3, paragraph 4](#), the ROC officer must set up a telephone conference between the appropriate offices and the notifying party.

**b.** When telephone notification of an aircraft accident/incident indicates that the use of a navigational aid may have been involved, the ROC officer must confer with Flight Program Operations and the TOAAR located at the appropriate Operations Control Center (OCC). When the aircraft accident/incident report indicates an FAA aircraft involved, Flight Program Operations must be included in the conference call.

**c.** Upon receiving a report of a fatal aircraft accident or an in-flight medical incapacitation of a cockpit crewmember, the ROC must immediately notify the appropriate Office of Aerospace Medicine.

**d.** The ROC must assist the FAA IIC in establishing conference calls to include the WOC, NTSB, manufacturers, CSG, TOAAR, Office of Airport Safety and Standards, Civil Aerospace Medical Institute, Aircraft Certification Directorates, and FAA William J. Hughes Technical Center, as necessary.

**e.** The ROC must immediately notify the appropriate Regional Airports Division of aircraft accidents and aircraft incidents in their region.

**f.** The WOC must notify the Environment, Energy, and Employee Safety Division within eight hours of all aircraft incidents covered by Occupational Safety and Health Administration reporting requirements when a fatality is involved.

**4. Notification of Other Operations Centers.** When events in a ROC’s area of responsibility may be of concern to other regions or centers, the ROC officer must provide information to other ROCs and/or the WOC. These events include:

**a.** Aircraft accidents or aircraft incidents in which the aircraft operators’ operating certificate is held by another region or in which another region has the certification responsibility for that aircraft.

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

**c.** Aircraft accidents involving injuries or death of FAA personnel from another region.

d. Any other aircraft accident or aircraft incident, which, in the opinion of the Regional or Washington Operations Officer, is of official interest.

**5. Aircraft Accident and Aircraft Incident Notification and Reporting.** This paragraph is divided into three categories for aircraft accidents and aircraft incidents: what to report, how to report, and when to report. The definition of an aircraft accident and aircraft incident can be found in [Chapter 4, paragraph 2](#).

**a. What to Report.** Air traffic facilities must report:

(1) All known and suspected aircraft accidents (including UAS, spacecraft, or military). An example of a suspected aircraft accident is the simultaneous unexplained loss of voice communications and radar contact with an aircraft.

(2) Aircraft 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. If the aircraft accident occurs within the jurisdiction of the United States or while receiving services from an air traffic facility, prepare an aircraft accident package and file as outlined in this order.

(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 aircraft incident that threatened or caused damage or injury to property, aircraft, or persons.

(4) The following special-emphasis aircraft accidents/incidents:

(a) Aircraft accidents/incidents involving Presidential or Vice Presidential aircraft, members of Congress, or well-known people. Use secure communications in reporting when the President or Vice President is on board the aircraft.

(b) Aircraft accidents/incidents in which hazardous materials are being transported.

(c) Aircraft accidents/incidents involving United States manufactured aircraft of foreign registry that occur outside the United States, its territories, and its possessions.

(d) Other aircraft accidents/incidents that the reporting facility or FSDO personnel believe warrant telephone notification to the ROC. The ROC in turn will notify the ATO QCG, WOC, ATO CSG, and the Flight Service Directorate.

(5) Overdue and missing aircraft when:

(a) Neither voice/data communication nor radar contact can be established, and 30 minutes have passed since the estimated time of arrival over a specified or compulsory reporting point or at a clearance limit in your area, or the clearance void time. If you have reason to believe that an aircraft is overdue before 30 minutes have passed, take the appropriate action immediately.

(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.** Facilities first receiving notification of a known or suspected aircraft accident/incident must:

(1) *ROC*. Notify the FAA air traffic facility having radar services responsibility for the area in which the aircraft accident occurred. If the facility is closed, contact the FAA facility with jurisdiction over the closed facility.

(2) *FAA Air Traffic Facilities and FCFs*.

(a) Notify the ROC.

(b) Record notifications on FAA Form 8020-3 and include handwritten notifications not listed on FAA Form 8020-3 (see [Chapter 7, paragraph 1.b.](#)). There may be more than one FAA Form 8020-3 for an aircraft accident/incident. The air traffic facility having jurisdiction over the aircraft accident site, if different from the facility receiving initial notification, must also complete FAA Form 8020-3.

(c) Complete and transmit FAA Form 8020-9 (see [Chapter 7, paragraph 1.](#)).

(d) Make an entry on FAA Form 7230-4 via the Comprehensive Electronic Data Analysis and Reporting (CEDAR) program or other means. Include a reference to any associated MORs.

(e) Immediately notify ATO Safety CSG and the WOC through the ROC by telephone, in accordance with FAA Order JO 1030.3, if the incident is noteworthy or significant.

(f) Notify the National Weather Service (NWS) if known or suspected aircraft accidents resulted (or are likely to have resulted) in serious injury or death to persons or substantial damage to aircraft/property (see [FAA Form 8020-3](#) in Appendix A for numbers). Base the initial notification on preliminary information.

(g) Instruct Technical Operations or other appropriate personnel to retain pertinent data having a retention cycle of fewer than 15 days (e.g., EnRoute Automation Modernization (ERAM) workstation playback files must be retained within 24 hours).

**c. When to Report.**

(1) Overdue and missing aircraft.

(a) Air traffic facilities must immediately notify the ROC by telephone in accordance with FAA Order JO 1030.3. The ROC in turn notifies the WOC, CSG, QCG, and Flight Service Directorate.

(b) Issue an alert notice (ALNOT) in accordance with FAA Order JO 7110.65.

(2) Air traffic facilities must immediately notify the ROC by telephone of any of the following:

(a) Known and suspected aircraft accidents/incidents involving air carrier, air taxi, or commuter aircraft, and/or involving aircraft operating under instrument flight rules (IFR) or special visual flight rules (SVFR).

(b) Criminal acts reported to or by law enforcement agencies.

(c) Emergency evacuations of aircraft.

(d) Major in-flight component failure.

(e) Aircraft accidents/incidents involving Presidential or Vice-Presidential aircraft. (Use secure communications in reporting.)

(f) Members of Congress or other well-known people. (Use secure communications in reporting when members of Congress are on board the aircraft.)

(g) Aircraft accidents/incidents in which hazardous materials are being transported.

(3) All other aircraft accidents/incidents must be reported to the ROC as soon as possible.



## Chapter 4. Terms and Definitions

### 1. Terms Used in the This Order

**a. Aircraft Accident Package Generator (APG).** An automated and enterprise-based system that assists in aircraft accident package creation and form filling and improves package turnaround time, reduces the rate of errors, allows for data sharing, and provides a method of package data and process tracking.

**b. Alert Notice (ALNOT).** A request originated by a flight service station (FSS) or an air route traffic control center (ARTCC) for an extensive communication search for overdue, unreported, or missing aircraft.

**c. Aircraft Accident File.** An aircraft accident file is completed by both holding and supporting facilities. The aircraft accident file contains all documents, records and reports relating to the aircraft accident. The holding facility aircraft accident file will contain the aircraft accident package.

**d. Aircraft Accident Package.** The aircraft accident package provides an overview of the aircraft accident, the events prior to the aircraft accident, the current environment at the time of the aircraft accident, and the operating environment from the air traffic perspective. The aircraft accident package contains documents from both the holding facility and supporting facilities. The final released aircraft accident package is retained at the holding facility.

**e. Digital Signature.** A digital signature is a technology-specific process used to authenticate identity and verify the integrity of signed electronic records. When used as a signature documenting the signer's intent, it provides evidence that a specific individual signed the electronic record and that the electronic record was not altered after being signed.

(1) *FAA Employees/Contract Employees.* Digital signatures are accomplished through the use of the Personal Identity Verification (PIV) card for all FAA employees and contract employees that have been assigned a PIV card.

(2) *Contract Employees/Contractors.* Digital signatures are accomplished through the use of an Adobe product with digital signature/certificate capability or equipment software for contract employees and/or employees working for contractors doing business with the FAA.

**NOTE:** *A scanned representation of a written signature by itself is not an accepted form of a digital signature.*

**f. Extracted Radar Data.** Data taken from the retained data (e.g., extracting a Plot Playback File from the retained data in Standard Terminal Automated Replacement System (STARS)).

**g. Holding Facility.** The air traffic facility that is responsible for the final aircraft accident package.

**h. Pertinent Services.** Services that take place after air traffic becomes aware of, or is notified of an unusual, urgent, or emergency situation by the flight crew or other sources, and/or services that may be relevant to the unusual, urgent, or emergency situation.

**i. Retained Radar Data.** Data that remains as close to the original state as possible. Retained data gives the ATO the ability to produce litigation/enforcement replays after the normal retention time for the data has passed.

**j. Review of Services Memorandum.** A memorandum from the manager of the holding or supporting facility certifying data in the aircraft accident file. The Review of Services Memorandum must indicate the type of service provided (pertinent or routine) and list each item in the aircraft accident file and/or package.

**k. Routine Services.** Services that take place before air traffic becomes aware of, or is notified of an unusual, urgent or emergency situation by the flight crew or other sources.

**l. Supporting Facility.** Any facilities other than the holding facility that provided air traffic services to the aircraft and/or has data (e.g., radar) regarding the aircraft.

## **2. Definitions Used in This Order**

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

**b. Aircraft.** A device that is used or intended to be used for flight in the air. For the purposes of this order, ultralight vehicle accidents and vehicle incidents are not investigated as an aircraft accident/incident.

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

**d. Aircraft Incident.** An occurrence other than an aircraft accident associated with the operation of an aircraft that affects or could affect the safety of operations. Usually associated with events resulting in minor aircraft damage.

**e. Cardinal Minute.** A number denoting each minute (0728:00, 0729:00, 0730:00, etc.).

**f. Federal Contract Facility (FCF).** FAA Contract Towers (FCTs), Non-Federal Contract Towers (NFCT) and Contracted Flight Service Station (FCFSS) facilities.

**g. FAA Investigator-in-Charge (IIC).** FAA personnel assigned to supervise and coordinate all FAA employees participating in an investigation. In each investigation, the FAA IIC is responsible for the management of all FAA resources and for determining whether the facts of the investigation indicate that any of the nine FAA responsibilities were involved in the event. During an NTSB investigation, the FAA IIC serves as the party coordinator for the FAA. During an international investigation, the FAA IIC typically serves as the technical advisor to an NTSB investigator who has been assigned as the United States Accredited Representative to the foreign investigative authority in

accordance with International Civil Aviation Organization (ICAO) Annex 13 protocol. In accordance with FAA Order 8020.11, the FAA IIC must be an Aviation System or Office of Accident Investigation and Prevention (AVP) employee.

**h. Fatal Injury.** Any injury resulting in death within 30 days of the aircraft accident.

**i. Flight Crew Member.** A pilot, flight engineer, flight navigator, or flight attendant assigned to duty in an aircraft during flight time. For UAS, any individual required to support flight operations is considered a crewmember, including visual observers, "internal" and "external" pilots, and sensor operators trained to work as part of an assigned crew.

**j. Mandatory Occurrence Report (MOR).** An occurrence involving air traffic services, for which the collection of associated safety-related data and conditions is mandatory.

**k. Navigational Aid.** Any visual or electronic device, airborne or on the surface that provides point-to-point guidance information or position data to aircraft in flight.

**l. Occurrence.** An abnormal event, other than an aircraft accident/incident.

(1) Any occurrence that meets the definition of a MOR; or

(2) An Electronic Occurrence Report (EOR): Any automatically detected safety event.

**m. Operation of Aircraft.** The use of aircraft for the purpose of air navigation, including 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, must be deemed to be engaged in the operation of aircraft within the meaning of Title 49 United States Code.

**n. Pilot Deviation.** An action of a pilot that results in the violation of a Federal Aviation Regulation or a North American Aerospace Defense Command (Air Defense Identification Zone) tolerance.

**o. Serious Injury.** Any injury associated with an aircraft accident that:

(1) Requires hospitalization for more than 48 hours, commencing within seven 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.

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

**p. 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 cowlings, 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."

**q. Unmanned Aircraft System (UAS).** A system that includes an unmanned aircraft, control station, and various mission elements used, or intended to be used, for flight. This includes all classes of airplanes, helicopters, airships, and translational lift aircraft that have no onboard pilot. The term UAS includes the airframe and all associated support elements, including the control station, communication links, equipment, and personnel necessary to conduct operations.

**r. Unmanned Aircraft System Accident (FAA Definition).** Any operation of a small unmanned aircraft (excluding model aircraft) involving at least:

- (1) Serious injury to any person or any loss of consciousness; or
- (2) Damage to any property, other than the small unmanned aircraft, unless one of the following conditions is satisfied:
  - (a) The cost of repair (including materials and labor) does not exceed \$500; or
  - (b) The fair market value of the property does not exceed \$500 in the event of total loss.

## Chapter 5. Aircraft Accident File/Package Process

**1. Aircraft Accident File/Package Determination.** The LSG directs air traffic facilities to produce aircraft accident files and packages. The QCG or Flight Service Directorate will typically communicate the work assignment. For FAA facilities the QCG will notify all holding and supporting facilities with a link to the APG in order to complete their portion of the accident package. Data collection may vary between FAA and FCFs if directed by the QCG or Flight Service Directorate after coordination with the LSG. For some aircraft accidents, the LSG may communicate directly with air traffic facilities after notifying the QCG/Flight Service Directorate.

***NOTE:** The determination and contents of the aircraft accident file/package may vary based on the type of event including turbulence, in-flight safety incidents/accidents, etc. The determination will be made by the QCG, Flight Service Directorate, and/or LSG.*

When an aircraft accident occurs, base the aircraft accident file/package determination on the level of air traffic service provided to the aircraft, including weather-related aircraft accidents when a weather briefing was provided within 24 hours of the aircraft accident. For UAS the determination for an aircraft accident file/package must also meet the definition of an Unmanned Aircraft Accident in [Chapter 4, paragraph 2](#). The phrase "level of air traffic service" denotes the amount and complexity of service provided by air traffic to the accident aircraft. The LSG is responsible for determining the level of air traffic service. The determination process normally flows through the QCG, FAA Control Tower Quality Assurance Group, or Flight Service Directorate. Routinely, the QCG/Flight Service Directorate will consult with the facilities and the QCG/Flight Service Directorate may consult with the LSG.

If a subsequent determination is made by the QCG that the event does not meet the definition of an aircraft accident, then retain data used in the investigation in accordance with [Chapter 10, paragraph 2](#); i.e., for 45 days.

In cases where no air traffic service was provided to the accident aircraft, yet air traffic became aware of the aircraft accident (from police or similar sources), then air traffic must report the aircraft accident in accordance with [Chapter 3, paragraph 5](#). Retain notification forms and documentation in accordance with [Chapter 10](#).

### 2. Determination of Air Traffic Facility Responsible for Final Data Collection

**a.** The air traffic facility that meets the following criteria will be responsible for the final aircraft accident file/package (this includes aircraft accident files/packages created for turbulence events). This facility is the "holding" facility (see [Figure 5-2-1, Determination of Air Traffic Facility Responsible for Final Data Collection](#)).

(1) *Aircraft on IFR flight plans under the control of an FAA-staffed facility* - the FAA air traffic facility with jurisdiction over (i.e., authority for and/or working) the flight when the aircraft accident occurred.

(2) *Aircraft on IFR flight plans under the control of a military-staffed facility* - the ARTCC in whose area the aircraft accident occurred. The ARTCC will cooperate with the military by furnishing the required information to the assigned investigator through the air traffic representative. The

ARTCC must obtain permission to release documents from the ATO LSG through the appropriate service center QCG.

(3) *Aircraft not on an IFR flight plan but in communication with an FAA facility* - the FAA facility having communication with the aircraft when the aircraft accident occurred.

(4) *Aircraft not in communication with an FAA facility at the time of the aircraft accident* - the last FAA facility having communication with the aircraft.

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

(5) *Other Aircraft* - the FAA air traffic facility having radar services responsibility for the area in which the aircraft accident occurred.

(6) *Aircraft that have not communicated with an FAA facility; but have communicated exclusively with an FCF* - The last FCF having communication with the aircraft for the flight. If more than one vendor is involved, the last FCF having communication with the aircraft for each vendor.

(7) *Aircraft that have communicated with both an FAA facility and an FCF and/or different vendor FCFs.*

(a) The last FAA facility having communication with the aircraft for the flight will conduct the final collection of all aircraft accident information involving FAA facilities. No information from a FCF will be included in the FAA aircraft accident file/package.

(b) The last FCF facility that communicated with the aircraft will conduct the final collection of all aircraft accident/incident information involving FCFs of the same vendor. If more than one vendor is involved, the last FCF that communicated with the aircraft for each vendor will conduct a final collection. There is no exchange of data between FAA and FCFs or different vendor FCFs.

**NOTE:** *When both FAA and FCFs have created an aircraft accident file/package, two separate aircraft accident file numbers must be used: an FAA facility number and an FCF number.*

**b.** The ATO does not establish an aircraft accident file/package for agricultural, ultralight, balloon, and/or industrial aircraft accidents unless requested by AVP-100, or the FAA IIC, LSG, QCG, or Flight Service Directorate.

**FIGURE 5-2-1*****Determination of Air Traffic Facility Responsible for Final Data Collection***

<i>Type Aircraft Accident</i>	<i>Responsible Facility</i>	<i>Reference</i>
Aircraft on IFR flight plan under the control of FAA facility	FAA facility with jurisdiction over the flight	Para 5-2a(1)
Aircraft on IFR flight plan under the control of a military staffed facility	ARTCC in whose area the aircraft accident occurred	Para 5-2a(2)
Aircraft not on an IFR flight plan but in communication with an FAA facility	FAA facility having communication with the aircraft when the aircraft accident occurred	Para 5-2a(3)
Aircraft not in communication with an FAA facility; at the time of the aircraft accident	Last FAA facility having communication with the aircraft	Para 5-2a(4)
Other Aircraft	FAA air traffic facility with radar responsibility for the area in which the aircraft accident occurred	Para 5-2a(5)
Aircraft that have not communicated with an FAA facility, but have communicated exclusively with an FCF	The last FCF having communication with the aircraft. If more than one vendor is involved, the last FCF having communication with the aircraft for each vendor.	Para 5-2a(6)
Aircraft that have communicated with both an FAA facility and an FCF	Multiple facilities will be responsible for the final data collection. See para 5-2a(7) (a) for FAA facility requirements. See para 5-2a(7)( b) for FCF facility requirements	Para 5-2a(7)

**3. Holding and Supporting Facilities.** The holding facility is responsible for final data collection. Supporting facilities are air traffic facilities that provided services for, or had communication/contact regarding the accident aircraft.

**a. Holding Facilities:**

(1) Generally have pertinent services (those services that take place after air traffic becomes aware of or is notified of an unusual, urgent, or emergency situation by the flight crew or other sources). A holding facility may only provide routine services and/or have data (e.g., radar data) but still be responsible for the aircraft accident package (e.g., an IFR aircraft switched to the common traffic advisory frequency at an uncontrolled airport receives substantial damage during the landing, an FAA radar facility retaining radar data for a FCF package).

***NOTE:** The QCG will notify the holding facility with a link to the APG in order to complete their portion of the package.*

(2) Required to gather information from all same type (e.g., FAA facilities, same vendor FCFs) facilities along the route of flight (see [Chapter 5, paragraph 4](#)). This requirement is most often communicated to supporting facilities by the QCG (see [Chapter 5, paragraph 2](#)).

***NOTE:** FAA facilities do not support FCFs, and FCFs do not support FAA facilities or other vendor FCFs. In situations where FAA facilities and FCFs were involved in the same aircraft accident, the FAA facility and each FCF vendor prepares a package as the holding facility using an aircraft accident package number appropriate for their facility.*

**b. Supporting Facilities:** May have pertinent services, routine services, or may not have provided services to the accident aircraft but have data (e.g., radar) regarding the aircraft (see [Chapter 4, paragraph 1](#)). The QCG, Flight Service Directorate/AFSIAG or the LSG may change a facility's designation to having provided routine services to pertinent services. Supporting facilities must forward data to the holding facility as described in [Chapter 5, paragraph 4](#).

***NOTE:** The QCG will notify all supporting facilities with a link to the APG in order to complete their portion of the package.*

**4. Data Flow between Involved Facilities.** Determine the amount of data forwarded to the holding facility by the type of services provided (routine or pertinent) and by the type of agencies involved (FAA, FCF, or military). Forward data electronically when able. FAA facilities DO NOT submit data to FCFs. FCFs DO NOT submit data to FAA facilities or other vendor FCFs.

**a. Supporting Facility with Routine Services** (*Data submitted by FAA supporting facilities with FAA holding facility or FCF vendor supporting facilities with same-vendor holding facility*). Supporting facilities that provided routine services must submit their Review of Services Memorandum (see [Chapter 5, paragraph 5](#)) and FAA Form 8020-6-1, *Report of Aircraft Accident (Continuation Sheet)* as described in [Chapter 7, paragraph 2](#) to the holding facility within eight administrative days of notification of the aircraft accident. Forward the original Review of Services Memorandum and retain a copy. Retain air traffic data of the services provided to (or about) the accident aircraft in the aircraft accident file using the holding facility's aircraft accident file/package number.



**b. Supporting Facility with Pertinent Services** (*Data submitted by FAA supporting facilities with FAA holding facility or FCF vendor supporting facilities with same-vendor holding facility*). Supporting facilities that provided pertinent services must submit their Review of Services Memorandum (see [Chapter 5, paragraph 5](#)) and FAA Form 8020-6-1, *Report of Aircraft Accident (Continuation Sheet)*, as described in [Chapter 7, paragraph 2](#). As applicable, forward copies of all data as required in [Chapter 6, paragraph 3](#), to the holding facility within eight administrative days of notification of the aircraft accident. Forward the original Review of Services Memorandum and retain a copy. Retain air traffic data of the services provided to (or about) the accident aircraft in the aircraft accident file using the holding facility's aircraft accident file/package number.

**c. FAA Supporting Facilities that did not provide services but have pertinent data.** Send the FAA holding facility FAA Form 8020-6-1, *Report of Aircraft Accident (Continuation Sheet)*, a Review of Services Memorandum and a copy of pertinent data within eight administrative days of notification of the aircraft accident.

**5. Review of Services and the Review of Services Memorandum.** Air traffic facilities along the route of flight (both holding and supporting facilities) must conduct a review of service to assess and gather data. Retain all data pertaining to the handling of the accident aircraft. Conduct the review within two administrative days of notification of an aircraft accident. Notify the holding facility of your services status (routine, pertinent, or no services but have data) by completing a Review of Services Memorandum. The memorandum certifies the data retained by involved facilities. The memorandum must list each item retained in the aircraft accident file/package regardless of whether the document is individually certified or not. The facility manager or acting facility manager must sign the memorandum using the following format:

*"I certify that the following originals/digital copies of the original are on file in this office."*

The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier. The signature must be over the certifier's typed name, and title, and the name of facility. Digital signatures may be used. Supporting facilities send the original Review of Services Memorandum to the holding facility and keep a copy of the memorandum in the supporting facility's aircraft accident file. Provide the holding facility with a Review of Services Memorandum, FAA Form 8020-6-1, and copies of all required data within eight administrative days of notification of the aircraft accident.

Examples of documentation that must be reviewed are listed below. Retention requirements are detailed in [Chapter 10, paragraph 2](#).

- a.** FAA Form 8020-3, *Facility Aircraft Accident/Incident Notification Record*.
- b.** FAA Form 8020-9, *Aircraft Accident/Incident Preliminary Notice*.
- c.** FAA Form 7230-4, *Daily Record of Facility Operation*.
- d.** Personnel logs.
- e.** FAA Form 7230-10, *Position Log*, or automated equivalent.

- f. Facility layout charts.
- g. Flight progress information and strips if printed.
- h. Radar data.
- i. Pilot reports (PIREP) and weather data (if available, Center Weather Advisories, Weather System Wide Access Capability, Terminal Area Forecasts (TAFs), etc.).
- j. Significant Meteorological Information (SIGMET).
- k. Airmen's Meteorological Information (AIRMET).
- l. Notice to Airmen (NOTAM) and non-published NOTAMs.
- m. FAA Form 7233-1, *Flight Plan*.
- n. Video maps.
- o. Copies of procedures (Standard Instrument Departures (SIDs)/STARs) that the aircraft was flying or assigned at the time of the aircraft accident.
- p. Copies of operations letters, letters of agreement, and facility memoranda.

#### **6. Additional Data Collection and Certification Information.**

- a. **AFSIAG.** The FSS in whose flight plan area the aircraft accident occurs must query the FCFSS.
- b. **Contract Flight Service Station (FCFSS).** Information regarding possible services provided by a FCFSS will be coordinated through the Flight Service Directorate as follows:
  - (1) The reporting facility can obtain information about FCFSS services through notification of the ROC.
  - (2) The ROC will notify the Central Region ROC of the aircraft accident.
  - (3) The Central Region ROC will contact the Flight Service Directorate.
- c. **Military Facilities** - Request information from military air traffic facilities that provided services and/or have data on the accident aircraft through the service center military air traffic representative.
- d. **FAA FSS Facilities and FCFSS Facilities.**
  - (1) FAA FSS and FCFSS facilities will, at times, be either the holding facility or supporting facility. In either case, the following applies.

(a) For data required by an FAA FSS/FCFSS for inclusion in an aircraft accident package or file, or for use in an aircraft accident investigation, the facility must obtain an Event Reconstruction (EVR) or Contact History and Briefing History printout from its operating system.

(b) The facility must retain all pertinent EVR/Contact History and Briefing History data.

(c) The data may be retained electronically.

(2) Retain separately in the aircraft accident file, but not as part of the actual aircraft accident package, any information that may have been pertinent to the flight.

(3) Certify data. See [Chapter 9](#) and [Appendix B](#), *Review of Services Memorandum*, for examples.

**e. Facilities Not Providing Air Traffic Control (ATC) Services.** When requested by the FAA IIC, AVP-100, LSG, CSG, QCG, Flight Service Directorate, or the air traffic facility responsible for final data collection (see [Chapter 5, paragraph 1](#)), any air traffic facility having any pertinent documentation (e.g., audio, radar data), in support of an aircraft accident investigation will retain the documentation in accordance with [Chapter 10](#). This only applies to air traffic facilities that provided no direct or indirect air traffic services to the aircraft in question (i.e., facilities that did not provide air traffic service but did have radar data). Although the air traffic facility will maintain an aircraft accident file, most other documentation outlined in [Chapter 6, paragraph 2](#) will not be required. The data must be certified (see [Chapter 9, paragraph 2](#) and [Appendix B](#), *Review of Services Memorandum* for examples).

**f. Air Traffic Control System Command Center (ATCSCC).** When the FAA IIC, LSG, CSG, QCG, or Flight Service Directorate determines that the ATCSCC may have information pertinent to an aircraft accident, the ATCSCC will be requested to retain data, documentation, and/or copies of recordings in accordance with this order and local directives.

(1) The ATCSCC must provide data, documentation, and/or copies of recordings as outlined in this order.

(2) Certify data. See [Chapter 9, paragraph 2](#) and [Appendix B](#), *Review of Services Memorandum* for examples.

(3) Retain an aircraft accident file (see [Chapter 6, paragraph 3](#)).

**g. Domestic Events Network (DEN).** When the FAA IIC, LSG, CSG, QCG, or Flight Service Directorate, determines that the DEN may have information pertinent to an aircraft accident, the DEN will be requested to retain data, documentation, and/or copies of recordings when coordinated with the ATO LSG.

(1) The DEN must provide data, documentation, and/or copies of recordings as outlined in this order.

(2) Certify data. [Chapter 9, paragraph 2](#) and [Appendix B](#), *Review of Services Memorandum* for examples.

- (3) Retain an aircraft accident file (see [Chapter 6, paragraph 3](#)).

**7. Data Collection Memorandum.** When it is discovered that data has not been collected and/or is no longer available in accordance with this order, a memorandum must be prepared and signed to explain what was discovered and why it happened. Insert this memorandum in the aircraft accident file.

## Chapter 6. Aircraft Accident File/Package

### 1. Numbering of Aircraft Accident File/Package.

**a.** The Aircraft Accident Package Generator (APG) application will automatically generate a number for an aircraft accident file/package. Aircraft accident files/packages begin with the year (last two numbers of the calendar year), followed by the aircraft accident file/package number (three-digits), and then the identifier for the facility (e.g., ZDV). If the facility is an FCF, the aircraft accident file/package number will end with the appropriate contract type (FCT, NFCT, or FCFSS). Separate each element with a hyphen.

#### **EXAMPLES:**

<i>Third aircraft accident file/package for Denver ARTCC in 2020</i>	<i>20-003-ZDV</i>
<i>First aircraft accident file/package for Front Range FCT in 2019</i>	<i>19-001-FTG-FCT</i>
<i>Fourth aircraft accident file/package for Atlanta TRACON in 2021</i>	<i>21-004-A80</i>
<i>Second aircraft accident file/package for Prescott FCFSS in 2022</i>	<i>22-002-PRC-FCFSS</i>
<i>First aircraft accident file/package for Mohave NFCT in 2020</i>	<i>20-001-MHV-NFCT</i>

**b.** Supporting FAA facilities retaining information in a FAA aircraft accident file must use the same aircraft accident number used by the holding facility preparing the aircraft accident file/package (see [Chapter 5, paragraph 3](#)).

**c.** Supporting same-vendor FCFs retaining information in an aircraft accident file must use the same aircraft accident number used by the holding FCF preparing the aircraft accident file/package (see [Chapter 5, paragraph 3](#)).

**d.** When both FAA and FCFs have created an aircraft accident file/package, two separate aircraft accident file numbers must be used, an FAA facility number and an FCF number.

**e.** When different FCF vendors have each created an aircraft accident file/package, then the different vendors will use their own aircraft accident file/package number. Different vendors will not share the same aircraft accident file/package number.

**2. Content and Assembly of the Aircraft Accident File.** The holding and supporting facility's aircraft accident file must be labeled as described in [Chapter 6, paragraph 3](#).

**a.** The holding facility's aircraft accident file must contain:

- (1) An electronic or hard copy of the aircraft accident package.
- (2) Voice and data recordings and copies made in accordance with [Chapter 8, paragraph 1](#).
- (3) Radar data and computer data (see [Chapter 9](#)). When available, radar and audio start/stop timeframes must match.

(4) FAA Form 8020-9 and all other pertinent documents and material gathered or created as part of, or subsequent to, the initial investigation unless specifically excluded by FAA Order JO 8020.16 or written direction from the LSG. Pertinent information in addition to the items required in the aircraft accident package, may include:

- (a) Charts (e.g., minimum vector altitude (MVA) maps, approach plates).
- (b) MORs.
- (c) Covered Event Review.
- (d) Letters of agreement.
- (e) Facility directives.

(f) Email or other communications containing exchanges of information relevant to the facts of the aircraft accident.

**b.** The supporting facility's aircraft accident file must contain, as applicable:

- (1) Supporting facility with pertinent services.
  - (a) Voice recordings and copies (see [Chapter 8, paragraph 1](#)).
  - (b) Radar data and computer data (see [Chapter 9](#)).
  - (c) FAA Form 8020-6-1.
  - (d) Review of Services Memorandum.
  - (e) Transcription of voice recording(s) when requested.
  - (f) FAA Form 7230-4.
  - (g) Personnel log(s).
  - (h) FAA Form(s) 7230-10.
  - (i) Flight Progress Strip(s) and/or In-Flight Contact Record(S).
  - (j) Weather products.
  - (k) Additional information, may include:
    - i) Charts (e.g., minimum vector altitude (MVA) maps, approach plates).
    - ii) MORs.
    - iii) Covered Event Review.

iv) Letters of Agreement.

v) Facility directives.

vi) Email or other communications containing exchanges of information relevant to the facts of the aircraft accident.

(2) Supporting facility with routine services.

(a) Voice recordings and copies (see [Chapter 8, paragraph 1](#)).

(b) Radar data and computer data (see [Chapter 9](#)).

(c) FAA Form 8020-6-1.

(d) Review of Services Memorandum.

(e) Flight Progress Strip(s) and/or In-Flight Contact Record(s).

(f) Email or other communications containing exchanges of information relevant to the facts of the aircraft accident.

(3) Supporting facility with no services but did have data.

(a) All pertinent data, documentation, and information (e.g., radar).

(b) FAA Form 8020-6-1.

(c) Review of Services Memorandum.

(d) Email or other communications containing exchanges of information relevant to the facts of the aircraft accident.

**3. Content, General Instructions, and Assembly of the Aircraft Accident Package.** Both holding and supporting facilities will use the data/documents/records from their aircraft accident file to assemble an aircraft accident package that will become a part of the aircraft accident file.

**a. Content.**

(1) From the holding facilities aircraft accident file, all records described in paragraph 3-c below.

(2) From supporting facilities with pertinent services, all records described in paragraph 3-c below.

(3) From supporting facilities with routine services, the aircraft accident package will normally only contain FAA Form 8020-6-1 and the Review of Services Memorandum (see [Chapter 5, paragraph 3](#)).

(4) From military facilities with routine or pertinent services, the aircraft accident package will contain applicable equivalent documents when supplied by the military.

(5) All classified or security sensitive information and/or documentation and information protected under the Privacy Act (e.g., home, cellular, airport, military, and emergency personnel/offices) must be redacted or blacked out from all copies unless requested by AVP, the LSG, or other competent authority. When redacting, do not "white out." It must be obvious to the reader that the document has been altered.

(6) Only the original aircraft accident file and/or package at the originating air traffic facility will retain the original information and/or documentation.

**b. General Instructions.** Facilities are required to use the APG to assemble aircraft accident packages (the respective Service Center QCG is responsible for initiating the package in APG and notifying both the holding and support facilities). The facility must retain an electronic copy of the aircraft accident package. Retain any original paper components used to produce the electronic package in the aircraft accident file. General instructions for the assembly of the aircraft accident package include:

(1) Include a table of contents page that lists each section's number and content.

(2) Insert a sheet of plain paper between each section with the section number and title of the section centered on the page.

(3) 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.

(4) All information in each section must be in the chronological order beginning with the first facility having contact with the aircraft and then in order of involvement.

(5) All information must match and be consistent throughout the package. If a discrepancy exists, include a memorandum of explanation in the affected section of the aircraft accident package.

(a) Personnel listed in Section 2, FAA Form 8020-6 (Box 12) must match those in Section 5, Personnel Logs.

(b) Positions of operation in Section 6, FAA Form 7230-10 must match positions transcribed in Section 10, Transcription of Voice Recordings, if transcripts are requested.

(c) Weather data entered on FAA Form 8020-6 must match weather listed in Section 12, Weather Products.

(6) Every page, including the section divider sheets, must reference the aircraft accident number and aircraft registration(s) or flight number(s). The aircraft accident number and registration(s) or flight number(s) must be in the lower left-hand footer.

(7) Use only one side of the paper when assembling the paper copy of the aircraft accident package.



**c. Assembly.** Assemble the package in the following order:

- (1) *Cover Page.* The cover page must be clearly marked with the following:
  - (a) First Line. "Original" or "Copy"
  - (b) Second Line. Aircraft accident package
  - (c) Third Line. Aircraft accident number.
  - (d) Fourth Line. Aircraft registration(s)/flight number(s) and aircraft type(s). List aircraft types based on the following order of priority:
    - i) The flight progress strip/inflight contact form.
    - ii) FAA Order JO 7360.1, *Aircraft Type Designators*.
    - iii) The FAA aircraft registry site.
    - iv) The ICAO aircraft registry site.
  - (e) Fifth Line. Accident Coordinated Universal Time (UTC) date and UTC time.
  - (f) Sixth Line. UTC date that the package is to be destroyed (five years for both originals and copies of the aircraft accident package).

**EXAMPLE:**

*Original  
Aircraft Accident Package  
18-002-ARV  
N56341, BE36  
February 5, 2018, 0233 UTC  
Destroy: February 5, 2023*

- (2) *Section 1. Table of Contents* (list each section's number and content).
- (3) *Section 2. FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)* (see [Chapter 7, paragraph 2](#)). Only the holding facility completes FAA Form 8020-6. Each facility having provided air traffic services or having communication with or contact regarding the subject aircraft must submit FAA Form 8020-6-1. Place FAA Forms 8020-6-1 in chronological order.
- (4) *Section 3. Review of Services Memoranda* (see [Chapter 5, paragraph 5](#)). The certification signature must be the same as the typed name of the facility manager or acting facility manager. Do not use initials. Do not use "for" to sign as the certifier. Digital signatures may be used.

(5) *Section 4. FAA Form(s) 7230-4, Daily Record of Facility Operation.* Include FAA Form 7230-4 from all pertinent dates. For example, the date on which the service was provided, the date of the aircraft accident, and the date on which it was reported.

(6) *Section 5. Personnel Log(s).* Include personnel logs from all areas of specialization in the facility. Use of the ATO Portal is recommended; however, facilities utilizing Cru-ART are required to include a memorandum listing those employees on regular days off (RDO) (see [Appendix B](#)). Redact any type of leave taken only on copies of the personnel logs.

(7) *Section 6. FAA Form(s) 7230-10, Position Log(s), or automated equivalent.*

(a) Towers or combined tower/Terminal Radar Approach Control (TRACON) and FSS. Include all positions regardless of whether they are staffed or not.

(b) TRACON, FCF, and ARTCC facilities. Include all positions regardless of whether they are staffed or not. If the facility has more than one area of specialization, then include all positions of every area of specialization having contact with the aircraft.

(8) *Section 7. Facility Layout Chart(s).* Identify the facility being depicted on each chart. If positions of operation are identified by something other than traditional abbreviations, include a legend.

(9) *Section 8. Airport Diagram.* For all aircraft accidents on or within one mile of the airport property, provide an airport diagram current at the time of the aircraft accident. The airport diagram must include the name of the airport and the statement "this diagram not to scale". If able, use FAA-produced diagrams. The APG has the ability to automatically load the appropriate airport diagram for aircraft accident s within one mile of the airport when available.

**NOTE:** *FAA diagrams are available at ([http://www.faa.gov/airports/runway\\_safety/diagrams/](http://www.faa.gov/airports/runway_safety/diagrams/))*

(10) *Section 9. Flight Progress Strip(s) and/or In-Flight Contact Record(s).* Indicate the name of the facility and the UTC date(s) on the page displaying the flight progress strips or contact records.

(11) *Section 10. Transcription of Voice Recording(s)* (see [Chapter 8, paragraph 2](#)).

(12) *Section 11. FAA Form 8020-3(s), Facility Aircraft Accident/Incident Notification Record,* (see [Chapter 7, paragraph 1](#)).

(a) Only the original aircraft accident file/package at the holding/supporting air traffic facility will retain the un-redacted information.

(b) Redact or black out all classified or sensitive security information from all copies. Generally this includes home, cellular and unpublished numbers of FAA, airport, military, and emergency personnel/offices.

(13) *Section 12. Weather Products.* Weather that was pertinent to the aircraft accident/incident and/or available to the facility (regardless of whether it was issued to the flight crew) and the source of the weather. This includes weather entered on FAA Form 8020-6, including

remarks. PIREPs, SIGMETs, AIRMETs, TAFs, weather-related NOTAMs, and other weather information should also be included.

(14) *Section 13. NOTAMs.* Non-published NOTAMs are of a temporary nature, like Temporary Flight Restrictions (TFRs). NOTAMs or aeronautical information of an extended nature are published in the Notices to Airmen Publication (NTAP).

(15) *Section 14. FAA Form(s) 7233-2, Preflight Briefing Log, or automated equivalent.*

(16) *Section 15. FAA Form(s) 7233-1, Flight Plan, or automated equivalent.*

(17) *Section 16. Other.* Include any other materials deemed pertinent. The APG will automatically generate a UTC conversion chart for insertion in this section.

#### **4. Certification of the Aircraft Accident Package.**

**a.** An Information Memorandum addressed to the service center director or the Flight Service Directorate from the facility manager or acting facility manager of the data collection facility must be prepared. The certification signature must be the same as the typed name. Do not use initials. Do not use "for" to sign as the certifier. Digital signatures may be used. This memorandum will certify that the facility manager or acting facility manager is attesting to the completeness of the entire aircraft accident package. The memorandum will provide the following certification:

*"I certify that aircraft accident package, [aircraft accident package number], has been reviewed and is complete."*

**b.** Forward a copy of the Information Memorandum with the completed aircraft accident package to the QCG or Flight Service Directorate (see [Appendix B](#)). The certification memorandum is not part of the aircraft accident package. Retain the certification memorandum in the aircraft accident file. Do not distribute the Information Memorandum to the FAA IIC.

#### **5. Distribution.**

The facility preparing the aircraft accident package must retain the package with original documentation in the facility files. Original documents (recorded or written) must not be released from the air traffic facility's custody (see [Chapter 10, paragraph 1](#)). Facilities must distribute the copies of the package as follows:

**a.** *FAA, FCT, and NFCT facilities, with the exception of FAA FSS facilities.*

(1) One complete package to the appropriate service center QCG within 30 calendar days of the aircraft accident. After review, the service center QCG will forward one copy of the package to the LSG within 45 calendar days of the aircraft accident.

(2) After the LSG has reviewed and released the package, send a COPY to the FAA IIC (the FAA Accident Investigation Division (AVP-100) or FSDO, as appropriate).

(3) The FAA IIC must forward one COPY to the NTSB within 60 calendar days of the aircraft accident.

**b. *FAA FSS facilities.***

(1) One complete package to the AFSIAG within 30 calendar days of the aircraft accident. After review, the AFSIAG will forward one copy of the package to the LSG within 45 calendar days of the aircraft accident.

(2) After the LSG has reviewed and released the package, the FAA FSS must send a COPY to the FAA IIC, AVP-100, or FSDO, as appropriate.

(3) The FAA IIC must forward one COPY to the NTSB within 60 calendar days of the aircraft accident.

**c. *FCFSS facilities.***

(1) After review for compliance with applicable FAA orders and directives, the Flight Service Directorate will forward one copy of a package to the LSG on a quarterly review basis. The Flight Service Directorate will forward three FCFSS DRAFTS to the LSG per quarter by the 20th of the last month of the quarter. Quarterly review periods are January through March, April through June, July through September and October through December.

(2) After the LSG has reviewed and released the package, or if the package is not part of the Quarterly Review process, the facility must forward one COPY to the FAA IIC, AVP-100, or FSDO, as appropriate.

(3) The FAA IIC must forward one COPY to the NTSB within 60 calendar days of the aircraft accident.

**d.** Facilities that prepare an aircraft accident package as a result of an aircraft accident involving military aircraft must distribute the package as described in [Chapter 6, paragraph 5](#).

**6. Review of Aircraft Accident Files.** The LSG or its designee has the authority to direct facilities to add to or reduce the content of the aircraft accident file/package. This direction must be in written form, either via email or memorandum. Additionally, the LSG may review file content and format at its discretion.

**7. Changes to the Aircraft Accident Package After the Package Was Released.** Should corrections to the FAA or FCF aircraft accident package become necessary, all changes must be distributed in the same manner as outlined in [Chapter 6, paragraph 5](#). A memorandum from the facility manager or acting manager must accompany any change(s) with a complete explanation of the change(s).

## **Chapter 7. FAA Forms 8020-3, 8020-6, 8020-9, 8020-11, and 8020-26**

**1. FAA Form 8020-3, *Facility Aircraft Accident/Incident Notification Record*.** This form may be developed electronically and is NOT generated by the APG.

### **a. General.**

(1) All air traffic facilities (except FSSs) with geographical jurisdiction over an airport that is supported by an air traffic facility (including private airports) must develop and maintain a current FAA Form 8020-3 for each airport.

**NOTE:** *Facilities may develop a generic FAA Form 8020-3 that may be used for turbulence events, in-flight safety events, etc. that are not associated with a specific airport.*

(2) Facilities with part-time jurisdiction over airspace designated to another facility must develop a separate FAA Form 8020-3 for each airport supported by the part-time facility.

(3) FAA Form 8020-3 must be updated annually or more frequently as information changes.

(4) The air traffic facility first receiving notification of a known aircraft accident or a suspected aircraft accident must make and record the notification on FAA Form 8020-3.

(5) There may be more than one FAA Form 8020-3 for an aircraft accident/incident. The air traffic facility having jurisdiction over the aircraft accident site, if different from the facility receiving initial notification, must also complete FAA Form 8020-3.

(6) Indicate the facility name on the form.

(7) If more than one FAA Form 8020-3 was used at the time of the aircraft accident, include all copies in the aircraft accident file/package.

(8) The order of contacts must not be changed, but additional lines may be inserted as needed. If the form does not have enough lines for contact numbers, a second page continuing the contact numbers may be attached.

### **b. Form Instructions.**

(1) Enter the aircraft callsign and date of the aircraft accident in the upper right hand corner.

(2) Enter the airport name for the location on FAA Form 8020-3.

(3) Include attached telephone number listings and handwritten notifications not listed on the form.

**2. FAA Form 8020-6, *Report of Aircraft Accident*.** This form is completed through the APG.

**a. General.**

(1) FAA Form 8020-6 is used to record and report information about aircraft accidents. Only holding facilities complete this form.

(2) The report must be written in clear language. Destroy any drafts at the time that FAA Form 8020-6 is physically or digitally signed.

(3) For any information that is unknown at the time this form is prepared, enter "unknown."

**b. Form Instructions.**

(1) *Report Number.* Reports must be numbered as described in [Chapter 6, paragraph 1](#).

(2) *Block 1. Aircraft identification and type.* If more than one aircraft is involved, list one aircraft identification and type in Block 1. List each additional aircraft's information on FAA Form 8020-6-1. List aircraft types based on the following order of priority:

(a) The flight progress strip/inflight contact form.

(b) FAA Order JO 7360.1, *Aircraft Type Designators*.

(c) The FAA aircraft registry site.

(d) The ICAO aircraft registry site.

(3) *Block 2. Date/Time of Accident (UTC).*

(4) *Block 3. Location of Accident (required).* List the city, state, and latitude/longitude (if known). Use standard latitude/longitude DD MM SS format when latitude/longitude. The APG Software will use latitude/longitude to automatically find the nearest weather reporting stations.

(5) *Block 4. Nature of Accident.* A brief factual statement of the aircraft accident must be included if known. Do not use language that suggests the cause of the aircraft accident (the NTSB determines the cause of the aircraft accident). Some examples of factual statements would be taxiing collision, landed with gear up, landed off-airport, and crashed on final approach. When the information is not known or can only be surmised, enter "unknown."

**NOTE:** The block for the factual statement will only accept 175 characters.

(6) *Block 5. Type of Flight.* State the type of flight plan on which the aircraft was operating (VFR, IFR, SVFR, defense visual flight rules, and no flight plan).

(7) *Block 6. Flight Crew.* Enter the name of each flight crew member and flight attendants, his or her position, and the extent of his or her injuries (uninjured, injured, fatality or unknown). Give the extent of the injuries as known at the time of report preparation. When the information is not known, enter "unknown."

(8) *Block 7. Passenger Data*. Include number aboard aircraft, number uninjured, number injured and number of fatalities. Do not include passengers' name, addresses, and/or extent of injuries, or flight crew information (see Block 6). When the information is not known or can only be surmised, enter "unknown."

(9) *Block 8. Aircraft Damage*. (Obtained from FSDO.)

(10) *Block 9. Property Damage*. (Obtained from FSDO.)

(11) *Block 10. Operational Status of Navigational Aids/Lights/Communication*.

(12) *Block 11. Weather Data*. Write weather data in plain language. Spell numbers out. Use UTC date and UTC time for each weather report. Do not use the statement "weather not available" or "not applicable" if the date, time and location of the aircraft accident are known. PIREPs are not appropriate in Block 11 but should be included in the weather products section.

(a) Time: Enter the last reported weather observation at or prior to the time of the aircraft accident. In the next block enter the first reported weather observation subsequent to the aircraft accident.

(b) Location: If conditions/reports are not available at the scene, identify and use the nearest reporting station. If this is an international weather station, use the ICAO state.

(13) *Block 12. Air Traffic Personnel Involved*.

(a) List the names of personnel involved (first name, middle name or initial, last name) in chronological order (from both holding and supporting facilities) of any person that provided pertinent services or was an eyewitness to the aircraft accident. This may include, for example, an Operations Manager (OM), Front Line Manager (FLM), and/or Controller-In-Charge (CIC) not signed on a control position or someone that responded to a point out request. Do not list personnel that provided routine services (holding or supporting facility) in this block. There are two exceptions to this requirement:

i) FCF holding facilities do not list FAA or other-vendor supporting facility personnel.

ii) FAA holding facilities do not list FCF supporting facility personnel.

(b) Place the operating initials for each controller to the right of their name and enclosed in parenthesis (see [Appendix B](#)).

(c) List the facility involved.

(d) Indicate the position of operation occupied by each person.

(e) Check if the person listed was an eyewitness to the aircraft accident.

(14) *Block 13. Signature of Facility Manager.* The facility manager or the acting facility manager must sign this block. Type the facility manager or the acting facility manager's name in this item. The signature must be the same as the typed name. Do not use initials. Digital signatures may be used.

(15) *Block 14. Chronological Summary of Flight (FAA Form 8020-6-1).* All involved air traffic facilities that provided pertinent or routine services, or that provided no services but has data must complete Block 14. This provides a complete chronological summary of the flight that describes all pertinent communications, emergency assistance, and other air traffic services provided to the aircraft.

(a) Combine entries if they occurred in the same minute.

(b) Identify abbreviations prior to use (i.e., Dothan Airport (DHN) or Local Control (LC)).

(c) If there is insufficient space on the first page of the form, use the continuation sheets to list any additional information.

(d) Type the aircraft accident date accompanied by the statement, "ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED."

(e) If the chronological summary involves more than one date, then type subsequent dates.

(f) At the end of the written report, type an underscore line completely across the page and type, "No More Follows" (see [Appendix B](#)) under the line.

**3. FAA Form 8020-9, *Aircraft Accident/Incident Preliminary Notice.*** Immediately after completing telephone notification using FAA Form 8020-3, the reporting air traffic facility must complete and distribute FAA Form 8020-9. This form is NOT generated by the APG.

**a. General Instructions**

(1) The facility/office distributing the form enters the following information on the top of each page that will be distributed:

(a) The facility/office name of the facility preparing the form in the box labeled "FROM."

(b) The name of the facility/office receiving the form in the box labeled "TO."

(c) Date (UTC).

(d) Time (UTC).

(2) FAA Form 8020-9, Part 1. Complete for all known or suspected aircraft accidents/incidents.



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

(4) Enter "unknown" for any item unavailable when the form is prepared.

**b. Aircraft Accident/Incident Preliminary Notice – Part 1**

(1) CODE A. Enter the name of the facility/office preparing the form.

(2) CODE B. AIRCRAFT INFORMATION

(a) *Box 1*. Enter the aircraft registration number.

(b) *Box 2*. Enter the make and model.

(c) *Box 3*. Enter the name of the operator. Include "FAA" in Code B3, *OPERATOR OF AIRCRAFT*, if the aircraft is owned or operated by the FAA, flown by FAA personnel on official duty, or utilized by FAA inspectors performing flight tests.

(d) *Box 4*. Enter the type of activity (air taxi, instruction, pleasure, etc.).

(e) *Box 5*. Provide a brief description of the circumstances surrounding the occurrence.

(f) *Box 6*. Enter the weather at the time of the occurrence.

(g) *Box 7*. Check the appropriate box describing the damage to the aircraft.

(3) CODE C. OCCUPANTS – INDICATE INJURIES: FATAL, SERIOUS, MINOR, NONE.

(a) *Box 1*. Enter the name and address of the pilot and the category of injury.

(b) *Box 2*. Enter the name of crewmembers and the category of injury.

(c) *Box 3*. Enter the number of passengers and the category of injury.

(4) CODE D. Enter the location of the occurrence.

(5) CODE E. Enter the UTC date and time of the occurrence.

(6) CODE F. Enter the name of the FAA IIC if known. Indicate the office notified (i.e., SW-FSDO-65) if the name is unknown.

(7) CODE G. FAA AIR TRAFFIC SERVICE SUMMARY OF FLIGHT HANDLING.

(a) *Box 1a*. Enter the last departure point for the flight.

- (b) *Box 1b*. Enter the UTC date and time the aircraft departed.
- (c) *Box 1c*. Enter the intended destination.
- (d) *Box 2*. Enter the position of the last radio or radar contact with the aircraft.
- (e) *Box 3*. Enter the last air traffic control clearance issued.
- (f) *Box 4*. Check the appropriate box for the type of flight.
- (g) *Box 5*. Check the appropriate box for a pilot briefing.
- (h) *Box 6*. Enter any additional pertinent information.
- (8) RECEIVED AT. Enter the name of the facility/office receiving the initial report.
- (9) DELIVERED TO. Enter the name of the facility/office the initial information was distributed to.
- (10) TIME. Enter the UTC time.
- (11) RECEIVED VIA. Check the appropriate box (in person, radio, or telephone).
- (12) RECEIVED BY. Signature of the name of the person receiving the information and their title.
- (13) NOTE: Part 2. Check the appropriate box to describe the status of FAA Form 8020-9, Part 2 (on the other side, on separate form, or not required).

**c. Aircraft Accident/Incident Preliminary Notice – Part 2**

- (1) CODE H. AIRCRAFT INFORMATION
  - (a) *Box 1*. Enter the aircraft registration number.
  - (b) *Box 2*. Enter the make and model.
  - (c) *Box 3*. Enter UTC date and UTC time of the incident.
- (2) CODE I. STATUS OF POTENTIALLY INVOLVED AIRWAYS FACILITIES.
  - (a) *Box 1*. Enter the facility type.
  - (b) *Box 2*. Enter the identifier of the facility/runway.
  - (c) *Box 3*. Indicate the status of the facility just prior to the occurrence.
  - (d) *Box 4*. Indicate the status of the facility at the time of the occurrence.

(e) *Box 5.* Indicate the status of flight inspections conducted.

(f) *Box 6.* In the remarks section, explain briefly any entry that is marked as abnormal or out of service.

(3) CODE J. STATUS REPORT RECEIVED FROM PILOTS OR OTHERS.

(a) *Box 1.* Enter the facility type.

(b) *Box 2.* Enter the identifier of the location/runway.

(c) *Box 3.* Enter the identification number of the aircraft and name of the person providing the report.

(d) *Box 4.* Enter the status of the facility.

(e) *Box 5.* Enter the UTC time of the observation.

(4) RECEIVED AT. Enter the name of the facility/office receiving the initial report.

(5) DELIVERED TO. Enter the name of the facility/office that the initial information was distributed to.

(6) TIME. Enter the UTC time.

(7) RECEIVED VIA. Check the appropriate box (in person, radio, or telephone).

(8) RECEIVED BY. Signature of the name of the person receiving the information and their title.

(9) NOTE: Part 1. Check the appropriate box to describe the status of FAA Form 8020-9, Part 1 (on the other side or on separate form).

**d. Distributing Form and Data (Preliminary Message).**

(1) The air traffic facility must distribute FAA Form 8020-9, Parts 1 and 2, as appropriate, to the ROC via fax or email within three hours of the detection of the known or suspected aircraft accident/incident. Suspected aircraft accidents/incidents include the abandonment of a search for an overdue/missing aircraft that cannot be located. The form will then be forwarded, as necessary, to:

(a) FAA, Washington Operations Center, Washington, D.C. The WOC will ensure timely notification to the CSG on-call investigator.

(b) NTSB, Washington, DC.

(c) FAA Service Center QCG with jurisdiction over the area in which the aircraft accident/incident occurred. If the aircraft was under the control of any facility in another service center, other applicable service center(s) must be addressed.

- (d) The Flight Service Directorate or AFSIAG, as appropriate.
  - (e) Aerospace Medical Research Division, AAM-600, Mike Monroney Aeronautical Center.
  - (f) United States Air Force Rescue Coordination Center, 650 Florida Avenue, Tyndall Air Force Base, Florida, 32403-5017.
  - (g) El Paso Intelligence Center, Texas.
  - (h) The appropriate civil aeronautical authority, in accordance with ICAO Annex 13, for aircraft accidents involving aircraft of Canadian or Mexican registry.
- (2) Immediately transmit by facsimile, email, or telephone any significant aircraft accidents/incidents (e.g., involving air carriers, air taxis, commuters, media interest, or prominent persons) to the ROC. The message must follow the format of FAA Form 8020-9, Parts 1 and 2, as appropriate. Also distribute using this format when:
- (a) An air traffic facility receives initial notification more than 24 hours after the aircraft accident/incident.
  - (b) There is an aerial application (agricultural) or industrial aircraft accident/incident.
- (3) FSDO and NTSB notification is accomplished by the ROC.
- (4) When the facility originating the message is at the same location as one or more of the above offices, immediately arrange delivery of a copy of FAA Form 8020-9 in accordance with local agreements.
- (5) The facility originating the message, if not the facility responsible for preparing the aircraft accident file as determined in [Chapter 5, paragraph 4](#), must forward a copy of FAA Form 8020-9 to the responsible facility. If the responsible facility cannot be determined, the QCG must make the determinations; notify the responsible facility, and furnish essential information.
- (6) Provide the originating facility with a copy of FAA Form 8020-9 when a separate facility distributes the form.

**e. Distributing Updates/Amendments.**

- (1) Update FAA Form 8020-9 as new and/or amended information is available. For example, send a subsequent message upon locating aircraft wreckage to revise the original message or to downgrade the aircraft accident to an aircraft incident. Use any of the following methods when updating FAA Form 8020-9.
- (a) Place a single line through the updated or erroneous information and enter the new data.
  - (b) Write "Supplemental" at the top of the form.

(c) Enter the new information on a new FAA Form 8020-9. Include the aircraft identification, aircraft accident/incident date, and Item F information.

(2) Fax or email the updated information to the ROC, who will then forward to all recipients of the original message.

**4. FAA Form 8020-11, *Incident Report*.** This form is NOT generated by the APG.

**a.** If requested by the FSDO, LSG, QCG, Flight Service Directorate, or CSG, complete FAA Form 8020-11, *Incident Report*, for selected aircraft incidents.

**b. Form Instructions.**

- (1) *TO*. The name of the facility/office receiving the form.
- (2) *FROM*. The name of the facility/office preparing the form.
- (3) *TYPE OF INCIDENT*. Enter the type of incident (e.g., Emergency Evacuation, parachute jumping).
- (4) *DATE*. Enter the date of the incident.
- (5) *DAY or NIGHT*. Check the appropriate box.
- (6) *INCIDENT NO*. If FAA Form 8020-11 is being completed to support a MOR, pilot deviation, etc. use the incident number of the incident being supported. If FAA Form 8020-11 is being used to support an independent event number, document the event as described below:
  - (a) Begin with the identifier of the facility.
  - (b) Followed by the year (last two numbers of the calendar year).
  - (c) Ending with the incident number (two-digits).

***EXAMPLES:***

*Third independent FAA Form 8020-11 for Denver ARTCC in 2020* *ZDV-20-03*

*First independent FAA Form 8020-11 Atlanta TRACON in 2021* *A80-21-01*

- (7) *AGENCY/AIRCRAFT IDENTIFICATION*. Enter the aircraft identification number.
- (8) *NAME OF PERSONNEL OR PILOT*. Enter the name of the pilot.
- (9) *SUMMARY OF INCIDENT*. Summarize the incident in complete form with enough details to permit a complete understanding. If appropriate, show the chronological order of events by citing the specific UTC time.

(10) *REMARKS*. List any records on file at the facility such as radar data, voice recordings, or any other records pertaining to the incident.

(11) *ATTACHMENTS*. List copies of any records forwarded with the report.

(12) *DATE*. Enter the date that the form is forwarded.

(13) *SIGNATURE OF FACILITY MANAGER*. The signature must be the facility manager or acting facility manager.

**5. FAA Form 8020-26, *Personnel Statements*.** This form is completed through the APG.

**a.** Complete personnel statements at Airport Traffic Control Towers (ATCTs) (tower cab positions) when the QAG categorizes the event as a pilot deviation. If requested by Flight Standards, personnel statements are required for facilities utilizing surveillance-based ATC. Personnel statements are not required for aircraft accidents. If any personnel statements are completed for aircraft accidents, place them in the section titled "Other".

**b. General.**

(1) FAA Form 8020-26 is prepared and used to provide information concerning the circumstances that cannot be retrieved via some type of recorded data source. Facts concerning what was observed and what actions were taken may not have been completely captured. The purpose of the personnel statement is to provide any facts within your personal knowledge that will provide a complete understanding of the circumstances surrounding the aircraft accident/incident. Speculations, hearsay, opinions, conclusions, and/or other extraneous data are not to be included in the personnel statement. The statement may be released to the public through the Freedom of Information Act (FOIA) or litigation activities including pretrial discovery, depositions, and actual court testimony.

(2) The text of the statement (Block 10) may be hand printed in blue or black ink or entered via keyboard. The accuracy of the statement is certified by the signature of the employee completing the form (Block 6). The personnel statement must not be edited. If additional space is needed, do not write on the back of the form. At the end of Block 10, write/type "page 1 of 2." Attach a second FAA Form 8020-26 and write "continued from page 1" at the top. Sign and date the second form.

**c.** Prior to completing a personnel statement, the employee completing the statement must:

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

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

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

(b) Factual information regarding the occurrence. Opinions, conclusions, or other extraneous data must not be included.

**d. Form Instructions.**

(1) *Block 1. Name of Reporting Facility.*

(2) *Block 2. Report Number.* Number reports as described in appropriate paragraphs for the type of aircraft accidents/incident, MOR, or pilot deviation number.

(3) *Block 3. Aircraft Identification and Type.*

(4) *Block 4. Location of Occurrence (city and state).*

(5) *Block 5. Date/Time of Occurrence (UTC).*

(6) *Block 6. Name.* Name of the employee completing the statement (i.e., first name, middle name or initial, last name) and, in parentheses, his or her operating initials used on personnel logs and/or position logs.

(7) *Block 7. Title.* Title of the employee completing the statement (ATCS, FLM, OM, etc.).

(8) *Block 8. Position and Time (UTC).* The identifier of the operational position worked at the time of the occurrence and the times logged on and off (must match FAA Form 7230-10 or automated equivalent.)

**NOTE:** *The facility may elect to have items 1 through 8 completed prior to providing FAA Form 8020-26 to the employee for completion. If the facility elects to complete the form in advance, review the items with the employee prior to the employee signing the form.*

(9) *Block 9. Instructions.* Ensure that this information is read and understood before completing the form.

(10) *Block 10. Text of Statement.* Indicate if the personnel statement is the original or a supplemental statement.

(11) *Block 11. Signature.* Once signed, the signature will certify the accuracy of the statement. Digital signatures are approved.

(12) *Block 12. Date of Signature.* The date that the original or supplemental statement was actually signed.

**e.** If it becomes necessary to make a correction when preparing a written personnel statement (due to a misspelled word or other editorial change), the employee preparing the statement must place a single line through the error and initial (actual initials, not operating initials) and date the change to the text. (In this case, the date will be the same date as Block 12's "Date of Signature"). Treat editorial changes made after the personnel statement has been signed, as described above. However, any substantial changes or changes that may alter the meaning and/or context, or personnel statements that have been digitally signed must be treated as a supplemental personnel statement and attached to the original document.

**f.** Supplemental statements are prepared as described throughout this paragraph and must be marked as supplemental in Block 10. Attach supplemental statements to the original statement.



## Chapter 8. Voice Recordings and Transcripts

**1. Copies of Voice Recordings.** Facilities use a variety of voice recording systems. When the recording system records voice data into its mechanism (hard drive, tape), this order refers to the voice data as the "recording." The first copy of the recording is defined as the "Original Copy;" and any subsequent copies are referred to as the "Working Copy."

**a. General Instructions.** The term "contact" (as used in this paragraph) is defined as communication and/or coordination with or about the subject aircraft. Therefore, retained voice data must include all communications and/or coordination pertaining to the subject aircraft even if a transmission is not completed or acknowledged. This definition may be extended to include transmissions and/or coordination involving search and rescue efforts, crash-fire rescue, "attention all aircraft" broadcasts, weather advisories, recorded phone lines, and all Automatic Terminal Information Service (ATIS)/Automatic Flight Information Service (AFIS) recordings made during the time that the subject aircraft was under air traffic control.

(1) Determine all recorded contact(s) regarding the subject aircraft. Protect the recording(s) from being altered, damaged, or lost.

(2) Produce and certify the original copy and working copies. Mark the first copy as "Original Copy" and the second copy as "Working Copy." Make additional copies from the "Working Copy."

(3) Certified copies of the recording must include all communications, including time track, pertinent to the aircraft accident from the period beginning 30 minutes before the initial contact and ending 30 minutes after last contact (FCFSS facilities do not need to include any time before initial contact or after last contact).

**NOTE:** For pilot deviations/occurrences facilities, record voice data from 15 minutes before the pilot deviation/occurrence until 15 minutes after the pilot deviation/occurrence.

(4) Compressed digital formats (MP3, AAC, WMA, etc.) for certified copies of original voice data are not permitted.

(5) Check all certified copies for adequate time and quality of voice.

(6) Certify each position of operation separate and independent of other positions.

(7) A voice announcement preceding the original or working copies of the recording must be made using the following format as necessary to certify the copy:

*"This copy is being prepared by [facility]. The subject concerns [type of aircraft accident, aircraft incident, occurrence] involving [aircraft identification] on [date, UTC] at approximately [time, UTC]. The agencies/facilities involved in this [type of aircraft accident, aircraft incident, occurrence] are [agency/facilities name; do not use abbreviations]. The position of operation being copied is/are [position, for example, local control, ground control, R34R, etc.]."*

*“I certify that the following is a true copy of the original recorded transmissions pertaining to the [type of aircraft accident, aircraft incident or occurrence]. My name is [name]. I am employed as [title] at [facility].”*

(8) The copy of each position of operation will be preceded by a certification statement naming the position and the UTC start and stop times of the copy as follows:

*“This portion of the copy concerns communications at the [position] during the period of [time, UTC] to [time, UTC] on [date, UTC].”*

(9) Conclude the copy of each position with the following statement:

*“This is the end of the [position] copy concerning the [type of incident] involving [aircraft identification].”*

(10) All the storage media on which the original or working copies are made (CD-R, DVD, etc.) must be marked properly with the aircraft accident, incident, or occurrence number; the aircraft identification; UTC date of the occurrence; facility name; and position with the UTC times encompassing each copy.

#### **b. Digital Audio Legal Recorder (DALR).**

(1) Air traffic facilities using DALR must export the Organizer Incident containing the proprietary- *.incident* and *.NMF* files. Additionally, air traffic facilities must produce and label an original copy and any working copies. Hold the original copy in a folder containing the *.htm* file, *.xml* file, and *.jpg* file, which accompany and authenticate the *.wav* file. The working copy need only contain the *.wav* file. To ensure that audio quality is sufficient to fulfill the requirements of this order, sampling rates must not be lower than 8 kHz and resolution must not be lower than 16 bits. Part-time facilities should not turn off the DALR system when the facilities close; however, air traffic managers should develop procedures to ensure that frequencies are not recorded when facilities are officially closed.

(2) The *.wav* file must include two channels (time in IRIG-B format on the right channel and voice on the left channel).

**NOTE:** *The certification statements and other required verbal statements remain the same and must be a part of the .wav file.*

**c. Cassette Tape.** When creating certified copies on cassette tapes, ensure that the copy includes a time track/channel. Make the recording with stereo equipment. Do not use the speaker-to-microphone method. Record time on the right channel and data on the left track. When naming copies, ensure that the *.wav* files are in chronological sequence of flight if more than one *.wav* file is included on the storage media (see [Appendix C](#)).

**d. Direction for Release of Voice Data in Specific Situations.**

(1) When voice data is released for time periods other than those described in [Chapter 8, paragraph 1](#), the facility must also retain a copy of the released copy and keep a record of to whom it was released and by what authority.

(2) Coordination for release of ATC voice communications to Public Affairs must be accomplished through the ATO LSG and Service Center QCGs or the Flight Service Directorate as appropriate.

(3) When copies of recordings are altered for training purposes, retain an unaltered copy and label the altered copy "Modified for Training Purposes Only."

**2. Transcription of Voice Recordings.**

**a.** Prepare partial/full transcriptions when requested by the FAA IIC, LSG, QCG, Office of Chief Counsel, or Flight Service Directorate. Transcripts should be completed using the APG.

**b.** Transcribe each operational position (e.g., ground control, local control, radar, radar associate) separately. Do not integrate different operational positions into the transcription unless requested by AVP-100, the LSG, the QCG, or the Flight Service Directorate. Transcriptions are made of the position, not of the individual controller or frequency.

**c.** Do not transcribe ATIS/AFIS recordings unless specifically requested.

**d.** When a transcript is requested before the transcript has been certified, ensure that the transcript is watermarked "DRAFT." Retain a record of these releases. Do not release transcripts until complete and vetted by the QCG in coordination with the LSG.

**NOTE:** For situations where an aircraft entered and exited a sector more than once or a direct flight had a stop at an intermediary airport, contact the LSG.

**e.** A full transcript must contain all recorded communications at the specific position regardless of source. Unless directed otherwise, full transcripts will span from five minutes before initial contact until five minutes after the last contact with the subject aircraft.

**f.** A partial transcript must contain all recorded communication about the subject aircraft. Unless advised otherwise, partial transcripts include 30 minutes before initial contact until 30 minutes after the last contact (see [Chapter 8, paragraph 1](#)).

**g.** The transcription will be prepared as follows:

(1) The first page must be an FAA memorandum and contain the following information (FCFs use company letterhead):

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

(b) For "To," type "Aircraft Accident File [aircraft accident file number]."

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

(d) For "Subject," type "INFORMATION: [Full/Partial] Transcript

[type of aircraft accident, aircraft incident, occurrence]; [aircraft identification]

[nearest city, state, of the aircraft accident location], [UTC date]."

(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) Certification by the person making the transcription is as follows:

*"I 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 (do not use initials)

*Matthew Chance*

Name

Matthew Chance

Title

Air Traffic Manager

Facility/Organization of person preparing the transcript

Airville ATCT

**NOTE:** *Digital signatures may be used.*

(g) List facilities, position, and/or aircraft making transmissions, using the standard abbreviation for each. Spell out facilities indicated in the transcription using the facility name, followed by the appropriate abbreviation: (ARTCC, ATCT, CCF, FCT, NFCT, FCFSS, CERAP, FSS, IATSC, RAPCON, RATCF, or TRACON). Indicate air carriers by the appropriate company designator from the latest edition of FAA Order 7340.2, *Contractions*. Indicate air carrier flights by the company designator and the flight number. List in chronological order. Aircraft type (e.g., "BE35") is optional.

(2) The transcription text must be single-spaced. Separate each contact by triple spacing. If a cardinal minute is indicated between contacts, it must represent one of the triple spaces and one blank line must 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. Preface each transmission by the transmitting agency abbreviation if transmissions of more than one agency/facility (center, tower, FSS, aircraft operations office, etc.) are recorded. If breaks occur during any contact, indicate with three dashes.

(a) Enter time entries at the beginning of each transmission if time-announce systems are present. When time-announce systems are not present, enter a remark in the certification regarding the timing method used.

(b) Enter time entries, including seconds to the left of each transmission, if electronically digital time systems are present.

(3) All cardinal minutes must be indicated unless:

(a) A transmission begins with or extends through a cardinal minute. Indicate the next cardinal minute (see [Appendix B](#)).

(b) Four or more cardinal minutes have passed without any transmissions. In this case, the grouping of the times is optional. If grouped, indicate time as follows:

i) The minutes grouped must be in parentheses and separated by a single dash (i.e., 1708-1720).

ii) The grouped minutes must have a single cardinal minute on the line immediately above and below the grouped minutes.

(4) The transcription must be lower case and verbatim. Do not use abbreviations (unless on the recording) or punctuation (commas, periods, etc.). An apostrophe must be used to indicate contractions and possession (i've, i'm, i'll, pilot's, etc.). For spoken numbers, spell the numbers out exactly as spoken. If the recording is unintelligible, insert unintelligible in parentheses (e.g., (unintelligible)) in the proper location. When an interpretation of a garbled word or portion of a word is required, the interpretation must be enclosed in parentheses and preceded by an asterisk. An asterisked (\*) footnote following the transcription must read:

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

**NOTE:** The transcription must be verbatim. If questionable language or other improper verbiage is used, it is mandatory that the transcript accurately reflect the voice recording. If necessary, and only after obtaining permission from AVP-100 or the LSG, the language may be redacted from copies but not originals.

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

**h.** Coordinate release of transcripts of voice recordings to Public Affairs through the LSG and QCGs or the Flight Service Directorate as appropriate.

**i.** FAA Order JO 1030.3 requires a "draft transcript" within 48 hours of a significant or noteworthy event if requested by the Event Investigation Manager or AJI on-call representative. A draft transcript may be a handwritten timeline and need not follow the requirements of a certified transcript

## Chapter 9. Radar Data Collection, Radar/Computer/Weather Certification, and Radar Replay

### 1. Radar Data Collection.

a. For aircraft accidents, suspected aircraft accidents, pilot deviations, or occurrences, transfer retained and extracted data onto an electronic storage media (e.g., CD+R, DVD). Review the data to ensure the completeness and accuracy of the transferred data onto the electronic storage media.

(1) For aircraft accidents, radar and audio data start/stop timeframes must match.

(2) For pilot deviations and occurrences, see [Chapter 12, paragraph 3](#).

b. To preserve original computer data from possible damage, arrangements must be made to protect, copy, or reproduce all pertinent data as soon as possible after an aircraft accident. Copied and/or reproduced data must reflect the same time period as all copies of recordings pertinent to the aircraft accident, pilot deviation, or occurrence and/or pertinent captured data of the aircraft accident, pilot deviation, or occurrence.

c. Retain radar and automation data necessary to recreate the event on the automation platform that recorded the data. Facilities must retain data as follows:

(1) *Standard Terminal Automation Replacement System (STARS)* – Request a "COPY" of the unfiltered radar data for the aircraft accident, pilot deviation, or occurrence. Do not select any filters (e.g., data classes, controller symbols, beacon codes). The file created will have a ".cdr" extension, unless it has been compressed, then it will be a ".gz" file. Retain the adaptation file in use at the time of the aircraft accident, pilot deviation, or occurrence. Keep a report/memorandum listing software build and adaptation version in use when the CDR data was recorded.

(2) *Common Automated Radar Terminal System (CARTS)* – Retain the CDR Time Selected Output (CDTSO) and the adaptation file in use at the time of the aircraft accident, pilot deviation, or occurrence so that the data can be replayed on the CARTS RETRACK system. Keep a report/memorandum listing the software build and adaptation version in use when the CDR data was recorded. If necessary for a replay, extract a CDR Extraction with the following data classes: Tracking Associated (TA), Tracking Unassociated (TU), Target Reports (TG), and CDR Recorded Dump (CR) for the same time period associated with the aircraft accident, pilot deviation, or occurrence.

(3) *FUSION* – Retain data in accordance with the paragraph for CARTS or STARS depending on your facility automation system.

(4) *En Route Automation Modernization (ERAM)* – Retain the adaptation file in use at the time of the aircraft accident, pilot deviation, or occurrence; SAR files; and if possible, Playback Workstation files for positions having pertinent services (Playback Workstation files must be extracted within 24 hours of the aircraft accident/incident). Keep a report/memorandum listing the local and national release information associated with the SAR files. If necessary for a replay, extract the files required to prepare a Systematic Air Traffic Operations Research Initiative (SATORI) for the same time period associated with the aircraft accident, pilot deviation, or incident.

(5) *Micro En Route Automated Tracking System (MEARTS)* – Retain the adaptation file in use at the time of the aircraft accident, pilot deviation, or occurrence and a CDR Time Selected Output (CDTSO) so that the data can be replayed on the MEARTS RETRACK system. Keep a report/memorandum listing the software build and adaptation version in use when the CDR data was recorded. If necessary for a replay, extract a CDR Extraction with the following data classes: Tracking Data (TD), Beacon Targets (BT), Radar Targets (RT), Reinforced Targets (RB), System Scan (SC), MSAW Alerts (MA), and Conflict Alerts (CA) for the same time period associated with the aircraft accident, pilot deviation, or occurrence.

(6) *Airport Surface Detection Equipment (ASDE), Airport Movement Area Safety System (AMASS), Terminal Automation Interface Unit (TAIU) data, and Safety Logic Systems* – The facility must coordinate with the Surface Surveillance Systems Team to have data saved prior to the 45-day data retention from the data of the aircraft accident/incident. Facilities must advise the Surface Surveillance Systems Team what to name the data.

(a) ASDE-X – Save both the legal recording and SGF (engineering files) data and applicable radar map(s) current at the time of the aircraft accident or occurrence.

(b) AMASS – Extract AMASS logs and TAIU log(s) and retain applicable radar map(s) current at the time of the aircraft accident or occurrence.

(c) Contact Technical Operations' Surface Surveillance Systems Team at [9-AMC-ATOW-ASDES@FAA.GOV](mailto:9-AMC-ATOW-ASDES@FAA.GOV) to request assistance.

d. Data that is preserved in any other equipment not listed above and that contributes to a more complete understanding of the aircraft accident, pilot deviation, or occurrence needs to be retained (e.g., low-level windshear systems, pre-departure clearance messages, status information displays) if the capability exists.

e. Refer to [Appendix C](#), *Cassette Tape, Compact Disk Recordable (CDR), and Digital Versatile Disc (DVD)*, for labeling examples.

**2. Radar, Weather, and Computer Data Certification.** All requests to the system maintenance organization manager for data will be through the air traffic facility manager or designee. Radar, weather, and computer data require authentication. Ensure that radar, weather, and computer data is certified. The Review of Services Memorandum (see [Appendix B](#)) lists what is retained, whereas, certification memoranda/statements give more details about the retained and/or extracted data.

**a. Radar and Computer Data**

(1) *Retained Radar and Computer Data.* In a memorandum to the file list what is retained, by whom, and how it is labeled (see definition of retained radar and computer data in [Chapter 4, paragraph 1](#)).

(2) *Extracted Radar and Computer Data.* In a memorandum to the file list what was produced from the retained radar or computer data, by whom, and how it is labeled (see definition of extracted radar and computer data in [Chapter 4, paragraph 1](#)).

(3) On the following page is an example of acceptable language for certification memoranda (the memorandum should be signed by the employee certifying the data).

**RETAINED RADAR DATA****STARS COMPUTER FILE CERTIFICATION**

March 1, 2018

I certify that the RADAR data (.cdr) is derived from the STARS computer recordings from April 28, 2018, 0030 UTC to April 28, 2018, 0315 UTC.

*Mitchell Ray Palmer  
Staff Support Specialist, Quality Control  
Airville ATCT*

**EXTRACTED RADAR DATA****STARS COMPUTER FILE CERTIFICATION**

March 1, 2018

I certify that the Plot Playback Data (.ppb) is derived from the RADAR data (.cdr) from April 28, 2018, 0030 UTC to April 28, 2018, 0315 UTC.

*Mitchell Ray Palmer  
Staff Support Specialist, Quality Control  
Airville ATCT*

(4) The following statement is signed by the manager or acting manager of the en Route facility when recorded en route ERAM computer data is transferred to a diskette or CD-R for distribution outside of the agency (e.g., FOIA request, NTSB request, data produced during litigation discovery):

*“Please note that the program we used to transfer this data in the ERAM computer may utilize 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.”*

**b. Weather Data.** National Climatic Data Center (NCDC) blue ribbon certified weather does not need an additional certification statement. NCDC weather is no longer recommended for Meteorological Terminal Aviation Routine Weather Reports (METARs) due to the conversions required by the person entering weather into the aircraft accident package. Other NCDC products like TAFs, AIRMETs and SIGMETs do not require conversion.

Non-blue ribbon weather needs a certification statement.

(1) Air traffic facilities that do not take weather observations must include weather data in the weather products section. Air traffic facilities may obtain weather from various sources such as the Center Weather Service Unit, NWS, and NCDC. Additionally, the APG may be used to obtain archived METARs.

*“I certify that the attached copy of the [weather product(s)] originated from the [source] (e.g., "APG-link to archived weather" or "National Weather Service" or "National Climatic Data Center") and is an accurate copy of the original.”*

(2) Aeronautical Information System Replacement (AIS-R) or Operation and Supportability Information System (OASIS) Event Reconstruction Requirements (EVR), or copies of weather observation forms must be individually certified by the facility responsible for initiating the record. The air traffic certification must read:

*“I certify that the attached copy of the [weather product(s)] originated from [source] and is an accurate copy of the original.”*

(3) The certification for air traffic facilities taking weather observations must read:

*“I certify that this is an accurate copy of the original which has been forwarded to the National Weather Service Records Center.”*

(4) En route facilities may also obtain pertinent weather information from the Center Weather Service Unit which must be certified.

*“I certify that the attached copy of the [weather product] originated from the [source] (e.g., "Memphis Center Weather Service Unit") and is an accurate copy of the original.”*

(5) Next Generation Weather Radar (NEXRAD) or similar weather presentations.

*“I certify that the attached chart is an accurate reproduction of NEXRAD information displayed on [type of equipment or display] at the [facility] on 07/08/17.”*

**3. Litigation/Enforcement Replays.** Litigation/Enforcement replays from retained/extracted data are generally made if the need arises (e.g., for investigations, litigation), rather than producing litigation/enforcement replays for every aircraft accident/occurrence. Litigation/Enforcement replays and other productions must be documented in accordance with [Chapter 9, paragraph 4](#).

**a.** Litigation/Enforcement replays should only be made for the time period of five minutes before the aircraft accident/occurrence to five minutes after the aircraft accident/occurrence. If it subsequently comes to light that exculpatory evidence exists outside that time period, then the LSG, AGC, QCG or AFS may require the facility to produce replay data outside that time period.

**b.** Unless otherwise coordinated, litigation/enforcement replays must utilize radar target data and track data (versus. only track data). Replay tools that use radar target data include ERAM workstation replay and SATORI or other products approved by the LSG. Filters must be set to ensure that radar (primary and/or secondary) data is used in building the replay.

**c.** Retain radar data used to create litigation/enforcement replays in the aircraft accident/occurrence file along with the output recording (.avi, .wmv, etc.). Keep a record of the extracted radar data and filter settings, who created the radar replay, what program was used, the map used, and the date it was produced. This certification record should be added to the replay like the label that is on the beginning of a Camtasia recording (see [Chapter 9, paragraph 4](#)).

**d.** If the litigation/enforcement replay is not outputted in a self-playing format, the replay must be recorded by screen and audio capturing software and output set to a .wmv file or other file extension playable by most computers. Some file extensions produced by capture/recording software can only be viewed if certain CODEC (data conversion equipment) reside on the viewer's computer.

**e.** The ATO does not release FAA proprietary software (e.g., SATORI) to the public. Individual files, however, may be released (e.g., "\_\_\_\_.satori"). Because these individual files cannot be viewed by the public without the proprietary software, replays provide the public a vehicle by which to view the files. Make replays with "Camtasia" or other off the shelf screen capture software.

**f.** Plots must utilize the data extracted from the automation system. Do not use NAS Offload Processor (NOP) data. Retain radar data used to create plots in the facility file along with the output. Keep a record of the extracted radar data and filter settings, who created the radar plot, what program was used, the map used, and the date it was produced. Add the certification record to the plot as a "label" that is attached to or on the plot. Plots must be output to a commonly accepted format.

**4. Production Credits.** When a presentation is produced from raw data, such as a "SATORI" file from SAR tapes, accompany the presentation with the name of the producer, the date made, the raw data used, the software and the version used. These production credits may be listed in the presentation itself or placed on the label of the storage media (e.g., on the label of the CD-R.) Any subsequent modifications, such as recording the SATORI presentation with Camtasia, also require production credits.

## Chapter 10. Retention of Aircraft Accident Files

**1. Security of Original Records.** The proper security, retention, and disposal of aircraft accident files/packages are the responsibility of the facility manager. Keep the file and any original documents it contains secure. Document the removal, destruction, and/or transfer of any documents or other data contained within the original aircraft accident file/package. The facility must obtain written instructions from the ATO LSG (i.e., chain-of-custody) before the release or destruction of any original document contained within the file unless the file is being destroyed, based on normal retention requirements. The chain-of-custody, at a minimum, will contain the name, title, position, telephone number, date, and signature of the person releasing custody and the name, title, position, telephone number, date, and signature of the person accepting custody of the documents, etc. (see [Appendix D, Original Documentation Transfer](#)). Retain the original chain-of-custody document in the aircraft accident file. When transferring custody, it is best to do this in person; however, when impracticable, use an approved overnight delivery service requiring the signature of the person accepting delivery.

**2. Retention and Disposal of Aircraft Accident Records.** Retain aircraft accident records as follows:

**a. Aircraft Accident File Containing Original Documents and Facility Aircraft Accident Package.** Keep the file and any original documents/data it contains secure. If components of the file, such as DALR files or ASDE-X data, are kept in a separate secure area then make note of the alternate storage site in the aircraft accident file. If the file is held for litigation, FOIA, or other reasons, it must be clearly marked as such and the date to be destroyed must be obliterated. Destroy aircraft accident files five years after the aircraft accident date except in litigation cases when they must be held until a written notification is received from the LSG stating that all litigation has been completed. Destroy the file upon receipt of the LSG memorandum. In the event that such notification is received prior to five years after the aircraft accident, retention requirements revert to the provisions of the latest FAA record retention schedule.

**b. Retention Requirements.**

(1) *Aircraft accident file/package* - Five years from the date of the accident for both holding and supporting facilities.

(2) *Events that the QCG or the LSG determined did not meet the definition of an aircraft accident* - 45 days from the date of the event.

(3) *FOIA Requests Related to Aircraft Accidents* - Retain in the facility's aircraft accident file all FOIA files relating to the aircraft accident. FOIA files related to the aircraft accident are retained for the life of the aircraft accident file or six years from the date of the FOIA response, whichever is later. Additionally, Service Center FOIA Offices must keep in their files, a copy of the responsive records and those records that were released with the response for each FOIA request that they answer.

(4) *Aircraft Accident/Incident records released outside the agency that are not a part of the FOIA process* – Two and a half years from the date that the request was received.

(5) *FSSs* - FSSs must retain the certified original computer data reduction for five years from the date of the event.

(6) *FAA Forms 8020-3 and 8020-9* - Must be retained for two and a half years when no aircraft accident file/package is required.

(a) Facility requests to reduce the two and a half year retention to a 45-day hold may be granted by the QCG or Flight Service Directorate after approval from the LSG.

(b) File naming and numbering is at the facility's discretion.

**3. Holds Placed on Records.** Holds may be placed by the LSG, CSG, QCG, Office of Chief Counsel, Flight Service Directorate or FOIA request. In these cases, records must be clearly marked with "Hold," the reason (FOIA, litigation, etc.), the aircraft registration or flight number, and the aircraft accident UTC date. When records are being held for FOIA requests, obtain a release from the LSG after the FOIA hold has expired. This is to ensure that the Office of Chief Counsel, Litigation Division, is aware of FOIA activity. Coordinate the release of records to Public Affairs through the LSG and the QCGs or the Flight Service Directorate as appropriate. When facilities, QCGs, or the Flight Service Directorate receive notification to hold records for litigation they must search email records and impound all electronic communications regarding the litigation records. At a minimum, the search of email (folders, archives) must include the aircraft accident package number and aircraft identification.

## Chapter 11. Reporting and Notification Responsibilities for Pilot Deviations

### 1. General.

**a. Reporting.** Any employee providing air traffic services who determines that a pilot's actions may have violated the Code of Federal Regulation, an air traffic control procedure, a North American Aerospace Defense (Command Air Defense Identification Zone) tolerance, or an Air Defense Identification Zone tolerance must report the occurrence.

***NOTE:** Submission of a Voluntary Safety Reporting Program (VSRP) report satisfies non-management employees' requirement to report except when the employee providing air traffic services determines that pilot actions affected the safety of operations (Reference FAA Order JO 7210.632).*

**b. Process.** The QAG examines the occurrence and determines whether to forward it to AFS, Airports, and/or the military via the appropriate process/form. QAG must work with the facility to gather sufficient data for the investigation office to process the occurrence and make a determination of whether data must be retained to support compliance, administrative, or legal enforcement action.

**c. Collaboration.** To properly evaluate whether to pursue legal enforcement action involving occurrences, the Office of Chief Counsel routinely requires evidence of the clearance issued in addition to evidence of the clearance violated. Air traffic facilities, QAG and QCG offices may develop procedures beyond those contained in this chapter to ensure that all air traffic clearances and instructions relevant to the occurrence are retained from involved facilities.

**2. Federal Contract Facilities (FCF).** Unless otherwise indicated in the following paragraphs or specifically directed by the LSG, FCFs must follow the same procedures as those outlined for FAA air traffic facilities. This includes, but is not limited to, the collection and retention of air traffic data.

### 3. Air Traffic Facility Responsibilities.

**a. Notify the Pilot.** Workload permitting, the pilot will be notified using the following phraseology (Brasher Warning):

*“[aircraft identification] possible pilot deviation advise you contact [facility] at [telephone number].”*

When workload or circumstances do not permit the immediate notification to the pilot, alternative actions should be attempted to make sure that the pilot is made aware of the possible deviation. Suggestions include making the notification on the next frequency that the pilot is assigned or possibly contacting the owner of the aircraft as soon as possible. Whatever alternatives are decided upon, the individuals involved will use their best judgment. Alternative actions should be described in the MOR.

**b. Notify the Watch Supervisor or Controller-In-Charge.** The Watch Supervisor/Controller-In-Charge will report the occurrence in accordance with FAA Order JO 7210.632.

**NOTE:** *Submission of a VSRP report satisfies non-management employees' requirement to report except when the employee providing air traffic services determines that pilot actions affected the safety of operations (Reference FAA Order JO 7210.632).*

**c. Record the Conversation.** Make a record of the conversation (and/or retain recorded telephone conversations) when the pilot calls. Gather pertinent information such as the pilot's name, certificate number, and contact information.

**d. Obtain Personnel Statements.** FAA Form 8020-26 (see [Chapter 7, paragraph 3](#)) is required for events at ATCTs with no ground surveillance system (e.g., ASDE-X) and when requested by Flight Standards for facilities utilizing surveillance-based ATC.

#### **4. QAG Responsibilities.**

**a.** Notify the facilities to collect pertinent air traffic data associated with the occurrence.

**b.** Notify other offices as required (e.g., notify the appropriate service center military representative when military aircraft and/or facilities are involved).

**c.** Via CEDAR or other means, retain all pertinent data used in the decision to forward the occurrence.

#### **5. QCG Responsibilities.**

**a.** Assist the facility in determining the complete circumstances surrounding the occurrence, contacting other facilities for data, and collecting data.

**b.** Function as the focal point for data requests from the LSG, AFS and AGC.

**c.** Notify facilities when investigative authorities such as Flight Standards, Airports or the military need data to be retained in accordance with Chapter 12 to support possible enforcement activities.

**d.** Assist facilities in producing litigation/enforcement replays.

**e.** Assist facilities in producing a certified partial or full transcript if requested by the ATO LSG or enforcement counsel. Forward the transcript within 10 administrative days of the request.

**f.** Assist air traffic facilities on occurrences known to air traffic solely through Flight Standard's investigation of an Aviation Safety Action Program filing. Documentation gathered and given to FSDO is categorized as an inquiry occurrence. Retain documentation for two and a half years. Label the file in accordance with [Chapter 10, paragraph 2](#).

## Chapter 12. Data Provided in Support of Pilot Deviations and Air Traffic Occurrences.

**1. General Data Requirements.** When advised by the QAG that data is needed or when notified by the QCG that the investigative office requires data, collect the necessary data to support the investigation. Provide data per QAG/QCG instructions. Each involved facility or office must retain the data that originated from or was produced by that facility/office. The QCG may assist in determining the complete circumstances surrounding the occurrence and subsequent data collection. More than one facility may have relevant data. Distribute copies of data through the Knowledge Sharing Network (KSN).

*NOTE: Ensure that the violation and original clearance/instruction is retained.*

**a.** For occurrences that require pertinent information from a flight service station contact AFSIAG or the Flight Service Directorate to obtain data (e.g., unauthorized flight into TFRs or SFRAs where pilot pre-flight or in-flight briefings must be included). The QCG may assist in contacting AFSIAG or the Flight Service Directorate.

**b.** For occurrences that require pertinent information from a flight planning contractor, contact the FCFSS for web service information (e.g., unauthorized flight into TFRs or SFRAs where flight planning services must be included). The QCG may assist in contacting the FCFSS.

**2. Audio Data.** Determine all pertinent conversations or contacts. Involved facilities record voice data from 15 minutes before the pilot deviation/occurrence until 15 minutes after the pilot deviation/occurrence. Pertinent recorded telephone conversations must also be included. Pertinent non-recorded telephone conversations must be documented and retained (e.g., OMICs, FLMs, and CICs document non-recorded conversations). When speaking with the pilot, verify name, certificate number, two telephone numbers of the pilot in command, and comprehensive flight history. Make voice recordings in accordance with [Chapter 8, paragraph 1](#).

**3. Radar and Computer Data.** Involved facilities retain pertinent radar and computer data from 15 minutes before the pilot deviation/occurrence to 15 minutes after the pilot deviation/occurrence. Radar and computer data should coincide with audio data and communicate the complete circumstances surrounding the occurrence. Retain radar and computer data in accordance with [Chapter 9](#).

**a.** If the radar product does not display boundaries or geographical references, ensure that the file contains any associated data supporting the occurrence (e.g., TFR parameters, airspace boundaries, radar maps).

**b.** Facilities providing radar data, but no voice data, will coordinate for the time period of the radar data. The QCG may assist in this coordination.

**4. Transcripts.** If requested by the ATO LSG, QCG, Flight Service Directorate, or enforcement counsel, prepare and forward a certified partial or full transcript of the recorded communications ([see Chapter 8, paragraph 2](#)).

**5. Replays/Plots.** The facility where the occurrence happened must provide an enforcement replay or plot ([see Chapter 9, paragraph 3](#)) when needed for enforcement court proceedings. Generally, the

QCG or the LSG will notify the facility on behalf of Flight Standards that an enforcement replay or plot is needed.

***NOTE:** The QAG may have already provided AFS with a picture or video of the occurrence. These products from QAG are different from the enforcement replay or plot described in [Chapter 9, paragraph 3](#). The QCG or ATO LSG may assist in producing the enforcement replay or plot.*

**6. Personnel Statements.** FAA Form 8020-26 is required from involved personnel for events at ATCTs with no ground surveillance system (e.g., ASDE-X) and when requested by Flight Standards for facilities utilizing surveillance-based ATC.

**7. Documentation.** Produce a memorandum from the facility manager (or acting manager) regarding the facility's file that lists the data retained by the facility (e.g., "I certify that the following originals are on file in this office"). The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier. The signature must be over his/her typed name, title, and name of facility. Do not use initials. Digital signatures may be used.

**8. Examples of Additional Air Traffic Data.**

**a.** Completed personnel statement (FAA Form 8020-26) containing a factual narrative from those individuals who reported the occurrence or have pertinent information concerning the occurrence.

**b.** Charts (e.g., MVA, approach plates).

**c.** System Service Reviews (SSR).

**d.** Letters of agreement.

**e.** Facility directives.

**f.** Email or other communications containing exchanges of information relevant to the facts of the occurrence.

**g.** FAA Form 7210-13 (MOR) and/or EOR; and FAA Form 8020-17, 8020-21, or 8020-24.

**h.** FCFSS web service information.

**i.** Controller-Pilot Data Link Communications (CPDLC).

**j.** NOTAMs, SIGMETs, AIRMETs, PIREPs, TFRs, SFRAAs.

**k.** Various FAA and Contractor Data such as ADS-B, Systems Information Area, and ARINC Data Network Service (ADNS) data.

**l.** FSS or FCFSS EVR data.



**m.** Any other pertinent documents and material gathered or created as part of, or subsequent to, the initial investigation unless specifically excluded by amended FAA Order JO 8020.16, or via written direction from the ATO LSG.

**9. Retention.**

**a.** Involved facilities retain records and files for two and a half years unless otherwise advised by the ATO LSG, QCG, QAG, AFSIAG, or Flight Service Directorate.

**b.** Affix a label (a maximum size of three inches by five inches) to the file. The label must be clearly marked: occurrence number, aircraft registration or flight number, aircraft type, incident UTC date and UTC time, and the UTC date the file is to be destroyed.

## **Chapter 13. Technical Operations & Flight Program Operations Aircraft Accident Investigation Responsibilities**

**1. General.** The goal of Technical Operations activity is 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 aircraft accident-related facility documentation to appropriate authorities.

**2. Flight Program Operations Responsibilities.** The Flight Program Operations Oklahoma City Service Center is the focal point for post- aircraft accident or aircraft incident flight inspection notifications. Upon receiving notification of an aircraft accident or aircraft incident that may have involved navigation problems or of an aircraft accident related to a navigation or communication facility, the Flight Program Operations duty officer must coordinate with the appropriate Flight Program Operations management personnel or Technical Support Team. The Flight Program Operations facility must:

- a. Conduct a flight inspection as requested by the FAA IIC or TOAAR.
- b. Ensure that the FAA IIC and TOAAR are informed of the facility's operational status after completion of the flight inspection.
- c. Ensure that the inspection and report meet the appropriate standards and notify the FAA IIC.
- d. Ensure that two copies each of the post-aircraft accident or aircraft incident flight inspection report and the last complete periodic flight inspection report are provided to the FAA IIC.

**3. Air Navigation Facilities.** Air navigation facilities include all navigation, communication, and air traffic control facilities and systems as defined in title 49 U.S.C. 40102(a)(4). This includes all federal, non-federal, and contract facilities, regardless of the maintaining organization, for which Technical Operations has any maintenance or oversight responsibility. The requirements of this order apply to all air navigation facilities regardless of type, owner, or operator. The provisions of this order take precedence over the requirements of applicable equipment, subsystem, and system maintenance handbooks.

When a navigational facility was or may have been involved in an aircraft accident or aircraft incident, the FAA IIC actions must be as follows:

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

b. Notify Flight Program Operations if a flight inspection is required.

**4. Overview of Technical Operations Activities.** The TOAAR is responsible for decisions related to the treatment of facilities that may have been involved in an aircraft accident. Upon notification of aircraft accidents not obviously due to aircraft-related reasons (e.g., fuel exhaustion, nose-wheel collapse), the TOAAR and FAA air traffic personnel promptly develop a candidate list of facilities for

consideration. This list is reduced by defined principles, based on the circumstances surrounding the aircraft 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 FAA Air Traffic and Technical Operations decision. The TOAAR determines the activities necessary to return each facility to service – typically certification, flight inspection, or a combination of these and advises the OCC for implementation by field personnel. The OCC provides status of activities to all concerned entities. An aircraft accident package of appropriate facility documentation is assembled and distributed.

## **5. Responsibilities.**

**a.** The Vice President of Technical Operations is responsible for Technical Operations aircraft accident related activities.

**b.** The NAS Security and Enterprise Operations (NASEO) Director is the principle staff element of Technical Operations for oversight of Technical Operations Aircraft Accident policy.

**c.** The National Operations Group is the focal point for all aircraft accident matters for Technical Operations, and functions as the NTOAAR. The NTOAAR is responsible for:

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

(2) Providing a national focal point for service area TOAARs.

(3) Providing upward reporting of information concerning aircraft accidents through the National Operations Control Center.

(4) Implementing a quality control function by a quarterly sampling review of aircraft accident packages and providing written feedback to appropriate offices (e.g., Director of Safety and Operational Support and service area directors). Technical Operations aircraft accident packages are independent of and separate from Air Traffic aircraft accident packages.

(5) Coordinating and processing all requests for documentation, information, and assistance involving aircraft accident investigations, litigation, and operational support as requested.

(6) Providing an annual program review to the NASEO Director, as requested.

**d.** Service area directors or their designees are responsible for:

(1) Designating an adequate number of service area TOAARs to meet operational requirements. TOAAR duties cannot be further delegated beyond those designated. The service area director must publish annually to the NTOAAR, at a minimum, the identity of the TOAARs and their work contact information.

(2) Participating in substantial aircraft accident risk management decisions when requested by the TOAAR.

(3) Submitting proposed service area supplements to amended FAA Order JO 8020.16, to the NTOAAR for formal coordination. This level of oversight is intended to ensure consistent policy interpretation and implementation for Technical Operations Services aircraft accident response.

**e.** The service area TOAARs are responsible for:

(1) Timely tactical decisions related to the treatment of facilities that may have been involved in an aircraft accident/incident in their service area.

(2) Performing the tasks described in [Chapter 13, paragraph 8](#).

(3) Conducting, on at least a semi-annual basis, informal joint critiques of their responses and decisions as TOAARs.

**f.** The service area OCC is responsible for:

(1) Establishing and documenting a procedure between the ROCs and OCC or System Operations Center (SOC) to ensure that service area TOAARs are notified of aircraft accidents/incidents.

(2) Designating TOAAR trained personnel to be a focal point for service area assistance and coordination activities with the NTOAAR.

(3) Providing written notification to the NTOAAR and appropriate Service Center QCG personnel of the names and work contact information of the service area TOAARs.

**g.** The service area control centers are responsible for:

(1) Upward reporting of information concerning aircraft accidents.

(2) Removing the requested potentially suspect facilities from service as directed by the service area TOAAR.

(3) Initiating activities necessary to return each facility to service as directed by the service area TOAAR.

**h.** The Technical Operations District Manager is responsible for facility operation, certification, restoration, and documentation related to aircraft accidents/incidents. This includes:

(1) Ensuring that service area and national documentation on Technical Operations procedures are available to all employees who may have action regarding aircraft accidents.

**NOTE:** See FAA Order 6000.15, *General Maintenance Handbook for NAS Facilities*, for additional guidance and requirements on this subject.

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

i. The System Support Center Manager (SSCM) is responsible for final review and approval of the Technical Operations aircraft accident package.

## 6. Aircraft Accident Representative.

a. For any given aircraft accident, one of the designated TOAARs is the Duty TOAAR. Newly appointed TOAARs must complete the NTOAAR training course (Transportation Safety Institute #00100, *Technical Operations Response to Aircraft Accidents*) as soon as a class becomes available. During the time between appointment and completion of the national course, new TOAARs must not function as the Duty TOAAR until they have participated in at least two critique sessions with their trained peers, as defined in [Chapter 13, paragraph 4](#).

b. The Duty TOAAR must make the decisions described in [Chapter 13, paragraph 8](#), for each aircraft accident requiring notification. The decisions and information required for notification must be recorded on the TOAAR checklist. The completed checklist must be pasted into the aircraft accident log. An example of the TOAAR checklist is in [Figure 13-1](#).

7. **Process.** The Technical Operations 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 flow chart showing the sequence of events is included in [Figure 13-4](#).

a. **Decisions.** Includes notifying the TOAARs, propagating the identity of the Duty TOAAR, determining the scope of NAS equipment and facility involvement, if any, and defining the prudent level of investigative activities (see [Chapter 13, paragraph 8](#)). The Duty TOAAR may contact the service area QCG duty specialist through the reporting ROC to obtain any required information.

b. **Field Work.** 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 [Chapter 13, paragraph 9](#)).

c. **Documentation.** Includes assembly, proofing, authentication, and retention of the official Technical Operations aircraft accident package (see [Chapter 13, paragraph 10](#)).

8. **Decisions.** It is important that decision-making about possible Technical Operations facility and equipment involvement occurs as soon as possible after the aircraft accident, typically within one hour of notifying the TOAAR. There are four major steps to this decision-making:

a. Provide timely notification of the aircraft accident/incident. The OCC must establish a procedure with the ROC to ensure that the TOAARs are notified of the aircraft accident/incident without delay and that the identity of the air traffic manager or representative, FAA IIC, or NTSB IIC is promptly communicated to all concerned parties. The procedure must define a method to ensure that a timely response is received from service area TOAARs. The Duty TOAAR may contact the service area QCG Duty Specialist through the reporting ROC to obtain any required information.

(1) Aircraft accidents/incidents which are clearly related to the aircraft condition or to a failure aboard the aircraft (e.g., nose-wheel collapse during an otherwise normal landing, fuel

exhaustion, ground loops, blown tires, engine failure) may be excluded from this notification procedure if the person or office making this determination has appropriate authority.

(2) All visual meteorological conditions (VMC) aircraft accidents, except landings at runways equipped with visual approach navigation aids, may be excluded from this notification procedure.

(3) Aircraft reported as missing or overdue during en route segments of flight, and which have not been cleared for an approach, may be excluded from this notification procedure. Aircraft reported as missing after having been cleared for an approach must be treated as a known aircraft accident.

(4) Aircraft reported as having no ATC services provided may be excluded from this notification procedure. Air traffic investigative personnel (QCG or CSG) must provide the confirmation that no ATC services were provided. If the information reported by the ROC was provided by either the QCG or CSG, the ROC report may be considered valid for this exclusion.

**NOTE:** *This paragraph does not apply to visual approach navigation aids (e.g., visual approach slope indicator (VASI), precision approach path indicator (PAPI) and their pilot-operated radio control equipment.*

(5) If the accident occurred during the departure phase of flight prior to the accident aircraft entering the Instrument Departure Procedure, Obstacle Departure Procedure or SID, the accident may be excluded from this notification procedure. An archive list (paragraph 13-8b(1)(a)) must be generated for an accident occurring in the departure phase of flight.

(6) When an aircraft accident/incident is excluded from notification by (1), (2), (3), or (4) above, the aircraft accident/incident TOAAR checklist ([Figure 13-1](#)) is not required to be completed. The aircraft accident/incident still requires an administrative log entry in accordance with FAA Order 6000.15 (Chapter 2, Section 3; *Maintenance Logs*). The administrative log entry must clearly state the reason for the exclusion from the notification procedure.

(7) For IFR aircraft accidents not excluded from notification by paragraphs (1), (2), (3) or (4) above, and which involve two service areas (e.g., the crash site is within one service area's boundary, but some or all of the facilities supporting the aircraft accident flight are maintained or overseen by another), the TOAAR to be notified is selected from the service area whose air traffic control facility was handling the accident aircraft at the time of the aircraft accident or disappearance (this step may be ignored if the affected TOAARs agree and very little time is required to obtain the agreement).

(8) For VMC aircraft accidents not excluded from notification by paragraphs (1), (2), (3), or (4) above, and which involve multiple service areas, the TOAAR to be notified is selected from the service area within whose boundary the aircraft accident occurred.

(9) For IFR aircraft accidents not excluded from notification by paragraphs (1), (2), (3), or (4) above, and which occur outside the United States border and involve aircraft under United States air traffic control, the TOAAR to be notified is selected from the service area whose air

traffic control facility was handling the accident aircraft at the time of the aircraft accident or disappearance.

**b.** Define potential Technical Operations Services involvement. When advised of aircraft accidents for which notification is required (see [Chapter 13, paragraph 2](#)), the Duty TOAAR (consulting with air traffic personnel as required) must compile a list of facilities for subsequent Technical Operations Services investigative action. Typically, this is accomplished by generating an initial candidate list and an archive list of facilities potentially in use by the pilot or air traffic personnel handling the accident/incident aircraft. This initial candidate list is then minimized by excluding some facilities from further consideration, using the principles listed in this paragraph. In some cases, these two steps may be combined into a single step.

(1) The Archive and Initial Candidate Lists are composed of:

(a) Archive List: Facilities that provide data that is routinely used for aircraft accident investigation and documentation (e.g., Low-Level Windshear Alert System (LLWAS), Terminal Doppler Weather Radar (TDWR), Integrated Terminal Weather System (ITWS), Weather Display Sub-System (WDS) and Runway Visual Range (RVR); multiple RVR sensors on the same runway must be treated as a single system). These facilities generally do not provide navigation services to pilots or separation services to controllers, but they characterize the aircraft accident environment. Depending on the aircraft accident circumstances, some of these facilities may be considered potentially suspect (see [Chapter 13, paragraph 8](#)). The NWS archives data from other weather facilities such as AWOS/ASOS. Data from communication and automation facilities supporting separation of aircraft is archived at the request of air traffic personnel in accordance with other sections of this order.

(b) Initial Candidate List: Facilities that are potentially suspect in their operation (e.g., all facilities that were or may have been in IFR and/or Instrument Meteorological Conditions (IMC) use by air traffic and/or the subject aircraft).

**NOTE:** *This facility type includes visual aids that are used during the visual phase of an IFR approach.*

(2) Suspect List: The initial candidate list of facilities must be reduced by the Duty TOAAR to a smaller list by applying the exclusion principles listed below. This list is considered the suspect list.

**NOTE:** *Facilities officially out of service at the time of the aircraft accident/incident need not be considered further, but their status (e.g., physically off, radiating in a test status) should be noted. The basis for the decisions must be documented in the TOAAR checklist.*

(a) Communications and surveillance facilities may be excluded from further consideration for all VFR aircraft accidents and for IFR aircraft accidents if they remain in known, continued, and satisfactory use by air traffic personnel.

(b) En Route navigation facilities (e.g., VHF Omnidirectional Range (VOR), distance measuring equipment (DME), non-directional beacon (NDB), tactical air navigation (TACAN), and the Wide Area Augmentation System (WAAS) may be excluded from further consideration

for all VFR aircraft accidents, and for IFR aircraft accidents if their performance is validated by their subsequent use by other aircraft in en route or terminal operations.

**NOTE:** *If the aircraft accident/incident 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 [Chapter 13, paragraph 8](#).*

(c) Terminal navigation facilities (e.g., instrument landing system (ILS)/VOR and their subsystems, approach lighting systems, ground based augmentation systems (GBAS), and en route navigation facilities upon which terminal approaches are based) may be excluded from further consideration for all VFR aircraft accidents, and for IFR aircraft accidents if any of the following three items are true:

1) The accident aircraft is known by a reliable source to have remained outside their service volumes or have passed through the service volumes without incident.

2) The aircraft accident occurs or the aircraft disappears while still in the en route phase of flight (e.g., has not yet been cleared for the approach using the terminal navigation facilities). In rare cases, an aircraft accident may occur in the terminal environment without the aircraft having been cleared (e.g., air traffic could not communicate with the aircraft due to lost communications). If this occurs, the terminal navigation facilities may NOT be excluded from further consideration.

3) Two subsequent aircraft have been cleared to use them in IFR operations, and there have been no pilot-reported abnormalities within the twelve hours preceding the TOAAR's consideration. Document the identification of the subsequent aircraft in the event log. If possible, solicit the PIREPs from aircraft of different airline companies.

(d) Visual approach navigation aids (e.g., VASI, PAPI) and their pilot-operated radio control equipment may be excluded from further consideration unless:

1) The accident aircraft was cleared for a visual approach, or

**NOTE:** *The visual approach referenced in this paragraph is an instrument procedure. See the [Aeronautical Information Manual, section 5-4-23](#), for further information.*

2) The accident aircraft was cleared for an IFR approach during which the aircraft accident occurred below or near the decision height/decision altitude/minimum descent altitude point for that approach (e.g., the pilot could have been transitioning to or likely was using visual navigation). For this decision, "IFR approach" includes non-navigation aid approaches, such as those providing computed vertical navigation (e.g., Flight Management System (FMS) approaches).

(e) General visual aids (e.g., omnidirectional approach lighting system, runway end identifier lights (REIL)) may be excluded from further consideration if the aircraft accident/incident occurred during daylight hours under VMC.



(f) If an aircraft accident/incident occurs while an aircraft is conducting a GPS based approach, advise the Satellite Operations Specialist at 800-272-2989 and request a Signal in Space analysis report. Provide the Satellite Operations Specialist with the location and the time of the aircraft accident. The analysis will be provided to the NTOAAR by the Satellite Operations Group for archiving.

(3) As new facts about the aircraft accident scenario become available, additional facilities may be removed from the list and documented in the TOAAR checklist by re-application of the exclusion principles defined above and returned to service without further action. In some cases, new facilities may need to be added to the list based on newly obtained information.

c. Define the prudent level of investigative action required. The list resulting from [Chapter 13, paragraph 8](#), consists of facilities providing data that is routinely used for aircraft accident investigation and documentation and facilities that are potentially suspect in their operation.

(1) Facilities providing data that is routinely used for aircraft accident investigation and documentation (e.g., ASDE, LLWAS, TDWR, and RVR) must be left in service and their data archived (see [Chapter 13, paragraph 9](#)) for 30 minutes before first contact with the accident aircraft until thirty minutes after the last contact with the accident aircraft.

(2) Potentially suspect facilities, either federally owned or non-federally owned, must remain in the same operational condition as at the time of the aircraft accident/incident and be removed from service with an appropriate NOTAM issued, unless an Air Traffic/Technical Operations Services operational analysis dictates otherwise, until one of the prudent levels of investigative action defined in [Chapter 13, paragraph 8](#), 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 aircraft accident. The Duty TOAAR should consult with the Service Area Director or designee as required. The basis for this decision (e.g., operational conditions or constraints, subsequent users, normal indications, no intermittent anomalies) should be documented in the TOAAR checklist.

(3) The Duty TOAAR must assess the aircraft accident circumstances to define the action required for each potentially suspect facility/service prior to returning it to service.

(a) Confirmation of proper operation, by measurement of key performance parameters, is required for facilities not subject to certification (e.g., REIL). See the certification requirements appendix of FAA Order 6000.15 for a list of facilities normally requiring certification. This post- aircraft accident confirmation must be based only on performance checks that do not require equipment adjustments.

(b) Certification is required for all facilities identified by the TOAAR, other than those identified in [Chapter 13, paragraph 8](#). In addition, flight inspection may be required for some facilities (see [Chapter 13, paragraph 8](#)).

1) Several methods of supporting a certification may be available, as defined by the certification policy in FAA Order 6000.15, and there is no restriction on the method used

unless the restriction is defined by the TOAAR (e.g., a Remote Center Air-Ground facility certification might be accomplished by obtaining user reports). In some cases, a partial certification may be issued to restore a facility or service.

2) A facility certification must be based on a site visit for facilities for which proper functioning in a post- aircraft accident scenario prudently requires assessment of external effects such as ILS critical area encroachments or snow cover.

(c) Depending upon facility type and aircraft accident conditions, an after- aircraft accident flight inspection, followed by a facility certification, may be necessary or appropriate.

**Adjustments must not be made to any facility awaiting post-aircraft accident flight inspection.**

1) An after-aircraft accident flight inspection is necessary when requested by the NTSB or the FAA IIC. The Duty TOAAR should convey all known relevant facts to these requestors to minimize unnecessary flight inspections.

2) An after-aircraft accident flight inspection may be necessary to confirm proper facility operation (e.g., 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).

3) If the circumstances of the aircraft accident warrant, the Duty TOAAR or NTOAAR may request an after-aircraft accident flight inspection. TOAARs and the NTOAAR are authorized to request an after-aircraft accident flight inspection by FAA Order 8240.32.

**d.** The Duty TOAAR must contact the control center to request:

(1) Archiving (see [Chapter 13, paragraph 9](#)) of information produced by facilities providing data that is routinely used for aircraft accident investigation and documentation (per [Chapter 13, paragraph 8](#)).

(2) Immediate removal from service of each potentially suspect facility identified in [Chapter 13, paragraph 8](#). **The suspect facility must remain in the same operational condition as at the time of the aircraft accident.** This is a risk management action and must not involve any manually commanded changes in facility status or operation (e.g., this action should not cause any facility to cease its normal function or cease radiating signals).

(3) Implementation and appropriate reporting of the action determined in [Chapter 13, paragraph 8](#).

**9. Field Work.** In the event that a suspect facility lies within an SOC's area of responsibility, the requirements of [Chapter 13, paragraph 8 and 9](#), also apply to the SOC under the direction of the Duty TOAAR. The field work is composed primarily of actions by the control center and the responding Airway Transportation System Specialist (ATSS):

a. Upon request and as defined by the Duty TOAAR, the control center must promptly initiate the actions required of Technical Operations. These actions may include removal from service, certification, checking of key performance parameters, documentation, and restoration.

(1) Immediately remove the requested potentially suspect facilities from service. This is a risk management action, and must not involve any manually commanded changes in facility status or operation; that is, this action should not cause any facility to cease its normal function or cease radiating signals. Request NOTAMs be published to accurately reflect the interruptions.

(2) Contact an ATSS to archive information produced by facilities (identified by the Duty TOAAR) which provide data that is routinely used for aircraft accident investigation and documentation. No observer or certification is required for these facilities. Archive facility data for a minimum period of one hour prior to the accident and one hour after the accident. If the subject equipment archives at hour intervals, archive data for a minimum of three archives prior to the accident and three archives after the accident.

(3) Contact an ATSS to restore, by the method determined by the TOAAR, each facility removed from service.

(a) For federally maintained facilities, the restoring ATSS should not be the ATSS who last certified the facility. If attempts to locate a different ATSS for a federally maintained facility require more than an hour, notify the Duty TOAAR, who may approve using the last certifying ATSS with an observer present.

(b) For non-federal facilities, contact the facility sponsor or the sponsor's designated point of contact (depending on the local Memorandum of Agreement with the sponsor), who in turn must contact the maintaining technician, to effect the as-found documentation and subsequent restoration. Advise the facility sponsor or sponsor's designated point of contact that a NOTAM has been issued to administratively remove the subject facility from service. If a non-federal maintenance technician is not available to document as-found conditions in a timely manner, the OCC or SOC should request that the non-federal sponsor provide immediate facility access, for an FAA ATSS with certification authority on the facility type involved, to accomplish the as-found documentation (but not the restoration).

(4) Locate and dispatch an observer for each potentially suspect facility removed from service, unless waived by the duty TOAAR as described in paragraph [Chapter 13, paragraph 9](#). 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 OCC or SOC must contact the duty TOAAR when a significant delay (typically more than one hour) is experienced in locating an observer.

(a) For all aircraft accident/incident-related restoration site visits to federally maintained facilities, the observer normally will be a technician with certification authority for the type of facility involved. However, if an ATSS with the required credentials is not available, the observer does not need to be technically qualified or be an FAA employee. The observer should be (in decreasing order of preference) an ATSS certified on the facility type, an FAA employee without certification

credentials on the facility type, an emergency services employee (e.g., sheriff or highway patrolman), or an airport employee.

(b) For all aircraft accident/incident related restoration site visits to non-Federally-maintained facilities, the observer must be an FAA ATSS with certification authority on any facility type. The observer is typically from the Technical Operations District or Technical Services Operations Group (TSOG) that has responsibility for annual non-Federal inspection. Where a facility is not inspected annually (e.g., MALSR, PAPI), an inspection process, documentation and personnel are the responsibility of the airport sponsor.

(5) If an observer is not available (due to facility remoteness, etc.), or if an undue delay will result in documenting facility status and restoring service, the TOAAR may waive the requirement for an observer.

(6) Accomplish appropriate logging of events and reporting of interruptions using procedures defined in FAA Order JO 6000.15, *General Maintenance Handbook for NAS facilities*, and in FAA Order 6040.15, *National Airspace Performance Reporting System*.

(7) Promptly notify the TOAAR of the results of all aircraft accident/incident-related restoration activities.

**b.** Upon notification by the control center, the assigned personnel will complete the following tasks:

(1) For federal facilities, ATSSs must:

(a) Promptly archive (that is, download, protect, or retain by the appropriate method) all volatile data from facilities (identified by the Duty TOAAR) which provide data that is routinely used for aircraft accident investigation and documentation. Contact the Duty TOAAR for additional instructions as required and to coordinate release of any such data. Log all activities in accordance with FAA Order 6000.15 (Section 3 and Appendix B) and FAA Order JO 6040.15 (Appendices B and F).

(b) Initiate the necessary restoration activities. Promptly execute the Facility Restoral checklist in Figure 9-3-2 for each facility removed from service as a result of an aircraft accident/incident investigation. Report the findings to the TOAAR prior to any corrective action. Upon certification and TOAAR approval, coordinate return to service with the Control Center. The checklist is complete when the facility has been returned to service.

(2) For non-federal facilities:

(a) For annually inspected non-federal facilities, the non-federal technician must promptly execute the Facility Restoral checklist in the aircraft accident section of the Operations and Maintenance Manual for each facility removed from service for an aircraft accident/incident inspection. Report the inspection findings to the TOAAR prior to any corrective action. Upon completion and documentation of the inspection, the sponsor can return the facility to service. Coordinate with the Control Center when ready to return the facility to service.

(b) For non-federal facilities not inspected annually, the airport sponsor or designated point of contact will verify and document the proper operation of the subject facility in accordance with applicable manufacturer documentation. Upon completion of the inspection, the sponsor can contact the control center to cancel the NOTAM and return the facility to service. Refer the airport sponsor to the current version of AC 150/5340-26, *Maintenance of Airport Visual Aid Facilities*, for specific guidance.

(c) The NOTAM closure is procedural only. The Control Center does not have any restoration or inspection responsibility on any non-federal NAS facility. Any restoration action on a non-federal facility is the responsibility of the airport sponsor or designated point of contact.

(3) If the Duty TOAAR 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 TOAAR must perform the following in the sequence shown:

- (a) Confirm that as-found conditions at the facility are properly documented.
- (b) Notify the FAA IIC, appropriate service area personnel, and NTOAAR.
- (c) Request the Control Center to initiate the necessary restoration activities.

**10. Documentation.** To close out Technical Operations' post-aircraft accident/incident activities, the Technical Operations aircraft accident documentation package must be assembled.

**a.** The package must be assembled by the System Support Center (SSC) performing the technical evaluation and restoration of FAA facilities or responsible for the oversight of non-federal facility verification. If multiple service areas were involved in the activities, the SSC in the service area of the Duty TOAAR is responsible for coordinating with the other SSCs and completing the package. If several SSCs were involved, the Duty TOAAR must assign the SSC responsible for completion of the package based on extent of involvement.

**b.** When printing electronic Technical Performance Records (eTPRs):

- (1) Print the eTPR for only the day of the aircraft accident/incident.
- (2) Prior to printing from Peabody, select the "Include Aircraft Accident Signature Area" checkbox to print the authentication statement on the eTPR.
- (3) Circle to select the appropriate selection (as-found, as-left, or as-found and left) before signing the eTPR.

**c.** The package must be assembled, reviewed, and signed by the SSC manager within 15 working days of the date of the aircraft accident/incident.

**d.** If any of the facilities involved remains 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 must be added to the interim package when available. The final

package must be completed, reviewed, and signed by the SSC manager within 10 working days of the last facility restoration.

e. Originals of facility records, originals of archived data and printouts of electronic data, such as logs and equipment screens, must be taken into custody by the SSC manager as soon as possible. The minimum contents of the package are defined in the package cover sheet/checklist in Figure 9-3-3. The package must be assembled with the completed cover sheet and placed in an envelope labeled with date, time, aircraft accident location, and registration (tail) number of the accident aircraft. A legible copy of the package must be made and compared against the original prior to any release of the original records. After comparison, the original aircraft accident package must be promptly forwarded to the National Operations Group at the following address:

FAA  
National Tactical Operations Team/AJW-620  
3701 Macintosh Drive  
Warrenton, VA 20187  
ATTN: NTOAAR

The copy of the package must be retained in a locked file until confirmation is received that the original package has arrived at the National Operations Group.

**11. Preserving, Copying, and Releasing Reports and Records.** The following requirements apply to the preservation, copying, and release of Technical Operations' records associated with aircraft accidents.

a. The originals of these records are subject to the retention periods described in the latest FAA record retention schedule.

b. The SSC Manager signing the package cover sheet is the (initial) package custodian until confirmation is received from the NTOAAR that the original package has been received. The NTOAAR is the (eventual) custodian for all original aircraft accident packages.

c. The NTOAAR must maintain an accurate and complete list of all original records. If the original aircraft accident records are released or mailed for any reason, a legible electronic or hard copy must be retained until the original is returned.

d. Request for records or technical information relating to or associated with an aircraft accident must be coordinated with the NTOAAR prior to release (see [Chapter 13, paragraph 12](#), for further guidance).

e. When military facilities are involved, liaison must be maintained with the base. All requests for data must be referred to the NTOAAR. Appropriate measures must be taken to safeguard the security of classified data.

**12. Field Response for Post Aircraft Accident Data.** (Reserved for updated guidance)

**13. Practice Aircraft Accident Exercise.** The possibility of an aircraft accident that does require Technical Operation's response is ever present. The infrequency of aircraft accident response events

requires, at a minimum, an annual review of Technical Operations aircraft accident policy and procedures contained in this order.

Practice aircraft accident exercises are intended to be an accurate simulation of an actual aircraft accident. The purpose is for facility specialists to become familiar with Technical Operations aircraft accident procedures and build confidence in the application of those procedures.

**a.** Every year, each OCC must randomly select one third of each district's airports for an unannounced practice aircraft accident exercise. Each subsequent year, the OCC must select different airports in order to ensure that all airports within a district will have participated in a practice aircraft accident exercise at least once every three years. The airports selected for a practice exercise must have a Technical Operations SSC and presence at that airport. A more frequent interval is encouraged. A practice aircraft accident exercise must be conducted at each of the core 30 airports annually.

**b.** The practice exercise must include recording actual as-found readings unintrusively from an operating facility on either a paper Technical Performance Record (TPR) or make an electronic TPR (eTPR) entry noting that the recorded values were as-found and as-left during a practice aircraft accident exercise. The facility used for the practice aircraft accident exercise will not be removed from service and no NOTAM will be issued on the facility. Refer to the practice aircraft accident SOP (see paragraph 13-14) posted on the aircraft accident KSN site for detailed instructions.

**c.** The practice exercise also requires the completion of Simplified Automated Logging (SAL) log entries pertaining to the practice aircraft accident. Refer to FAA Order 6000.15, Appendix I, (SAL SOP) for guidance on aircraft accident SAL logging procedures.

**d.** For the purpose of the practice exercise, the aircraft accident package must be completed as instructed in FAA Order JO 8020.16 as amended, [Chapter 13, paragraph 10](#), [Figure 13-2](#), and [Figure 13-3](#). The practice package must be forwarded to the appropriate OCC for a review and critique of the practice exercise. E-mailing scanned copies of the accident package is acceptable. Practice aircraft accident exercise packages may also be forwarded by the OCC to the NTOAAR for a review to identify any national trends.

**Figure 13-1 (Part 1)**  
**Aircraft Accident/Incident TOAAR Checklist**

TOAAR of Record Location:

Incident/Accident Reported By: (include organization)

Aircraft Registration Number:

Where Accident Occurred: (Airport ID and/or City, State)

Date/Time of Accident/Incident: (UTC only)

Summary of Accident/Incident Report:

Aircraft Damage:

Surrounding Area (ground damage):

Persons on Board (POB):

Fatalities/Injuries:

Flying/Injuries:

Flying Conditions:    ☐ IMC    ☐ VMC

Flight Plan Filed:    ☐ Yes    Type:    ☐ IFR    ☐ VFR  
                                 ☐ No                    ☐ UNKN

Weather Conditions:

ATC Info (last radio contact etc.):

Further TOAAR action required?    ☐ Yes    ☐ No

If yes, continue with checklist.

If no, state the reason why no further TOAAR action is required and paste this completed Checklist Part I into the Aircraft Accident Event Administrative Log and close the log in accordance with locally established procedures.



**Figure 13-1 (Part II)**  
**Aircraft Accident/Incident TOAAR Checklist**

**Archive List**

If the aircraft accident occurred during approach, landing or departure from an airport; list below the available facilities at that airport that provide data that is routinely used for aircraft accident investigation and documentation in accordance with FAA Order JO 8020.16 as amended, [Chapter 13, paragraph 8](#), (e.g., LLWAS, TDWR, RVR, ASDE): Archive the available data or state why the available data was not archived.

***NOTE:** Equipment is not to be removed from service unless required by equipment design to access the data for archival.*

\_\_\_\_\_ Archive List Completed /Verified Archive List does not apply.

\_\_\_\_\_ Available Data Archived (if required)

**Candidate List**

List facilities that are potentially suspected in their operation in accordance with [Chapter 13 paragraph 8](#).

**Removed from Candidate List**

Specific details WHY removed from candidate list (PIREP, voice count etc.).

**Suspect List**

List all facilities that are suspect that could not be removed from the candidate list and require ATSS action in accordance with FAA Order JO 8020.16 as amended, [Chapter 12, paragraph 2.g](#). If there are no facilities on the suspect list, close the Aircraft Accident Administrative Log with the comment "No Tech Ops Involvement."

Equipment to be certified:

Certification Results:

Are all related tickets closed? \_\_\_\_\_

**Figure 13-2**  
**Facility Restoral Checklist for Field Facilities**

Figure 13-2 page one is required for each facility removed from service as identified by the Duty TOAAR.

**NOTE:** The following line will be completed later as required in step 3d.

Log Data Uploaded: Date: \_\_\_\_\_ Time: \_\_\_\_\_ Initials: \_\_\_\_\_

**1. Complete the following initial items:**

**a.** List the facility that has been identified to be returned to service. The restoration can be accomplished via certification and/or operational status check.

**Facility:** \_\_\_\_\_ **Ident:** \_\_\_\_\_

**b.** Identify the ATSS who last certified the facility, and the observer:

(1) Record below the name of the specialist who last certified the facility or equipment. Control point visits or phone calls may be required to learn who last certified. Normally, the person named below should not be responsible for certifying and restoring the facility today, but may be the observer. If you arrive alone and find that you were the last certifying technician, do not proceed, but request that the OCC notify the Duty TOAAR. Based on circumstances and approval from the Duty TOAAR, you may be authorized to proceed.

\_\_\_\_\_  
**Facility**

\_\_\_\_\_  
**ATSS who last certified facility**

(2) An observer will normally be required; however, under certain conditions the observer requirement may be waived by the TOAAR. Has the observer requirement been waived by the TOAAR? Yes\_\_\_\_\_ No\_\_\_\_\_

(3) If the answer to (2) is "No", identify who is to be the observer below:

\_\_\_\_\_  
**Observer Name**

\_\_\_\_\_  
**Observer Title/Phone**

**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 aircraft accident/incident) at facility. This is your "unofficial" observation (see examples below) of the weather conditions upon your arrival.

**EXAMPLES:** *Typical initial log entries (not necessary to use word-for-word):*

2310 *Arrived site to initiate certification and/or restoration 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. Air traffic reported no pilot reports of malfunction of this facility during the last (x) hours (where x = approximate 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 the equipment and MAKE NO ADJUSTMENTS. If the facility fails to restore to normal after resetting, notify the aircraft accident TOAAR 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), MAKING NO ADJUSTMENTS. IF OUT-OF-TOLERANCE CONDITIONS ARE FOUND, notify the aircraft accident TOAAR immediately for further instruction.

c. If a flight inspection has been requested, MAKE NO ADJUSTMENTS prior to commencing the flight inspection, and then make only those adjustments coordinated with flight inspection personnel.

d. Once as-found technical data has 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.

f. An Aircraft Summary Checklist (Figure 13-2a) is provided for SSC personnel to summarize the important things contained in Chapter 13 and Figure 13-2b.

## **3. Documentation of the condition of the facility.**

a. Technical performance parameters must be recorded accurately on the appropriate FAA form, TPR or eTPR. For RMM facilities, all screens required to support a certification judgment must be captured and a hard copy retained. If the equipment involved is operational, a set of "as-found" readings or screens must be recorded prior to any corrective maintenance, followed by recording a set of "as-left" readings or screens.

b. Authentication of technical readings. (The authentication statement is not required on copies of electronic log pages). A sample authenticated TPR (Figure 13-2b) is provided for SSC personnel as an illustration of a completed TPR in accordance with the requirements of this paragraph. An

authentication statement must be entered immediately below each set (as-found, as left) of parameter values, on each TPR or eTPR form, and on each screen printed, identifying whether the values are "as-found" or "as-left."

**c.** If an eTPR is being used, print out a hard copy, selecting only the date of the aircraft accident. Print the authentication statement on the eTPR by selecting the "Include Aircraft Accident Signature Area" checkbox prior to printing. If no adjustment or other maintenance was accomplished, a single statement will suffice. Refer to the eTPR SOP posted on the aircraft accident KSNsn site for further information.

**d.** The authentication statement to be used on each set of readings on each TPR and each page of RMM screens is as follows:

I certify that the above post-aircraft accident/incident data is a true record of the [facility or equipment type] parameter values (screens) [as-found, as-left, or as-found and left] at the date and time indicated.

ATSS:

Observer:

Signature \_\_\_\_\_  
Name \_\_\_\_\_  
Title \_\_\_\_\_

Signature \_\_\_\_\_  
Name \_\_\_\_\_  
Title \_\_\_\_\_

**NOTE:** In the above authentication statement, compose, select, or modify the text in brackets as appropriate.

**EXAMPLE:** I certify that the above is a true record of the **XYZ Localizer** parameter **values as-found** at the date and time indicated.

**e.** Terminate each TPR page that contains aircraft accident/incident data in accordance with FAA Order 6000.15.

**f.** Enter the date and time of uploading automated logs, if any, on the blanks provided on page 1 of this checklist.

#### **4. Completion:**

**a.** Confirm that restoration coordination is complete.

**b.** For each facility certified, attach only page 1 of this facility restoral checklist to the associated logs and TPRs/eTPRs in the Technical Operation Aircraft Accident Package.

**c.** This completes the facility restoral process.

**Figure 13-2a**  
**Aircraft Accident Summary Checklist for SSC Personnel**

This checklist is provided for the use of FAA field personnel responding to an aircraft accident. It is a summary of the main actions required in accordance with [Chapter 13](#) and [Figure 13-2b](#). It does not need to be returned with the Technical Operations aircraft accident package.

- \_\_\_\_\_ Perform only the work specified by the TOAAR
- \_\_\_\_\_ Certifier must be qualified to certify the specified equipment
- \_\_\_\_\_ Certifier cannot be the last certifier on the specified equipment
- \_\_\_\_\_ Observer does not need certification credentials, but must understand their role
- \_\_\_\_\_ Advise the TOAAR of site arrival
- \_\_\_\_\_ Record readings on TPR or eTPR witnessed by the observer
- \_\_\_\_\_ Immediately advise the TOAAR if a parameter is found out of tolerance
- \_\_\_\_\_ TOAAR will advise what the next course of action will be
- \_\_\_\_\_ Advise TOAAR when equipment can be returned to service and ticket closed
- \_\_\_\_\_ Archived data (e.g., RVR, TDWR, LLWAS) was secured along with TPR?

**Figure 13-2b**  
**Sample Technical Performance Record**

**TPR Details Report**

Template PAPI 3NC01 Precision Approach Path Indicator (PAPI)-DME										Sheet LHA'S			
Facility Type	PAPI	Location Ident	CCR	Code	3NC01	Class	D – DME CORPORATIOON FA 24000 NO AVG and NO G/G (24/7)	Location	Concord CA	Airport	Buchanan FIELD (CCR)	Runway	19R

Date	Signed By	Angular Elevation (Deg:Minutes)				Tilt Switch Operation				Remarks
		LHA 1	LHA 2	LHA 3	LHA 4	LHA 1	LHA 2	LHA 3	LHA 4	
		Deg:Min	Deg:Min	Deg:Min	Deg:Min					
Nominal		3:20	3:00	2:40	2:20					6580.5 FA-24000 POC: AJW-143 Lighted NavAids, 405-954-3644
Minimum		3:14	2:54	2:34	2:14					
Maximum		3:28	3:06	2:46	2:26					
7/15/2018 17:09		3:20	3:01	2:42	2:22					As Found

I certify that the above post-accident/incident data is a true record of the CCR-PAPI parameter values (screens [as found] as left or as found and left] at the date and time indicated.

**NOTE:** In the above authentication statement compose, select, or modify the text in brackets as appropriate.

**ATSS:**

**Observer:**

**Signature** \_\_\_\_\_

**Signature** \_\_\_\_\_

**Name** \_\_\_\_\_

**Name** \_\_\_\_\_

**Title** \_\_\_\_\_

**Title** \_\_\_\_\_

Download CSV file

**Two** records were returned for this request.

**Figure 13-3**  
**Aircraft Accident/Incident Package Cover Page**

Minimum package contents:

1. Cover page (this page; use additional copies as required for all signatures).
2. Hardcopy printout of all Technical Operations Services control center (e.g., example, SOC, OCC) aircraft accident/incident LAD screens.
3. Technical data (for each facility removed from service): Initials
  - a. Facility Restoral Checklist, Figure 9-3-2 (page 1 only). \_\_\_\_\_  
Reviewed for completeness? \_\_\_\_\_
  - b. Hard copy printout of all facility log entries, regardless of the logging method used, 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, original set of Technical Performance Record Forms. \_\_\_\_\_  
Data entered per FAA Order 6000.15? \_\_\_\_\_  
Nominal values listed where appropriate? \_\_\_\_\_  
Signed by supervisor (each page, in header)? \_\_\_\_\_  
Authenticated (each page, per paragraph 3b of [Figure 13-2](#))? \_\_\_\_\_
  - d. Any archived original data from the list of facilities developed in [Chapter 13](#). \_\_\_\_\_

ATSS personnel who completed the facility restoral process:

(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)

Service center-named office manager who reviewed this package:

(Signature)	(Date)	(System Support Center Manager)
-------------	--------	---------------------------------

**NOTE:** See [Chapter 12, paragraph 2](#), *Technical Operations Services*, for instructions on custody, retention, release, and other handling instructions for aircraft accident/incident related documents.

## **Chapter 14. FOIA Request for Aircraft Accident/Incident and Occurrence Documents**

This chapter applies to FOIA (5 U.S.C. 552) requests for records that were created or obtained by FAA facilities or personnel and under agency control at the time of the FOIA request. Process FOIA requests seeking air traffic data through the Service Center FOIA program office having jurisdictional oversight. These offices can be found at: <http://www.faa.gov/foia/>.

### **1. Records Search.**

**a.** The agency has a duty to conduct a reasonable search for responsive records and documents that were created by the FAA, originated with the FAA, or were in agency control. In coordination with the Service Center FOIA program office, the responsive records must be gathered and reviewed by the facility in order to make a disclosure determination. The FOIA makes no distinction between "official" and "unofficial" agency records.

**b.** For the purposes of responding to a FOIA request, the agency has no obligation either to create records or go outside the agency to obtain them. When conducting a search, even if no responsive records can be located, the program office should document the name of the person(s) who conducted the search, the files that were searched, and the identity of any other offices that might have the requested records.

### **2. Disclosure Determination.**

**a.** Once responsive records have been gathered, a disclosure determination must be made.

**b.** The disclosure determination must be made in accordance with the FOIA exemptions set forth in 5 U.S.C. 552(b). Any information that appears sensitive, preliminary, or proprietary should be identified but not excluded or redacted (except as permitted on FAA Form 8020-3, see [Appendix B](#)). Reasonably segregable information that can be released will be provided from records that contain information that may be withheld. The use of exemption 7(a) may be appropriate if the responsive records pertain to an ongoing FAA enforcement investigation. However, before exemption 7(a) is applied, the Service Center FOIA program office must consult with the investigating Flight Standards office to determine if the release of the responsive records could reasonably be expected to interfere with its ongoing enforcement investigation.

### **3. Release of Records.**

**a.** Prior to the release of any records under FOIA regarding aircraft accidents or aircraft incidents where an FAA safety investigation is still on-going, the Service Center FOIA Specialist must coordinate with the FAA IIC. If the request is from the media, the FOIA Specialist must also coordinate with the regional Public Affairs Office.

**b.** Release of any responsive records (excluding voice and radar) that are part of an aircraft accident file/package must be coordinated with the Service Center QCG, the ATO LSG, or Flight Service Directorate prior to release under the FOIA.

**c.** When the ATO has possession of responsive records that were created by another federal agency or organization (e.g., NTSB, FSDO or the military) the FAA must refer those records to the



originating agency or office for a disclosure determination. The referral package must include a copy of the incoming request and the responsive records. The referral letter will advise the originating agency to provide the FAA with a copy of its response to the requester.

**d.** If a FOIA request seeks records that are likely in the possession of a FCF or other contractor, then the FAA's response letter will advise the requester that the ATO does not have those records. However, when the ATO has possession of these records at the time the FOIA request is received, they are considered agency records, and are therefore subject to FOIA. As a result, the ATO will review those records, make the appropriate disclosure determination, and respond accordingly.

**4. Retention of Records.** Retention of the official FOIA files must be kept by the respective Service Center FOIA program office for six years from the date of the FOIA response. The files must include a copy of the responsive records and those records that were released with the FOIA.

**Appendix A. Forms Used By Air Traffic**

<b>Number</b>	<b>Name</b>	<b>Page</b>
<b>A-1</b>	FAA Form 8020-3, Facility Aircraft Accident/Incident Notification Record	<a href="#">A-2</a>
<b>A-2</b>	FAA Form 8020-6, Report of Aircraft Accident	<a href="#">A-3</a>
<b>A-3</b>	FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)	<a href="#">A-4</a>
<b>A-4</b>	FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice	<a href="#">A-5</a>
<b>A-5</b>	FAA Form 8020-11, Incident Report	<a href="#">A-7</a>
<b>A-6</b>	FAA Form 8020-26, Personnel Statement	<a href="#">A-8</a>

The forms that follow are samples. Actual pdf fillable forms are located at:  
[https://employees.faa.gov/tools\\_resources/forms/](https://employees.faa.gov/tools_resources/forms/)


[illegible]

**A-2. FAA Form 8020-6, Report of Aircraft Accident**

## FAA Form 8020-6, Report of Aircraft Accident

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION <b>REPORT OF AIRCRAFT ACCIDENT</b>				REPORT DATE		REPORT NO.	
				NAME OF REPORTING FACILITY			
1. AIRCRAFT IDENTIFICATION AND TYPE		2. DATE/TIME OF ACCIDENT (UTC)		3. LOCATION OF ACCIDENT: CITY, STATE (MAND)			
4. NATURE OF ACCIDENT				LATITUDE/LONGITUDE (OPTL)			
				5. TYPE OF FLIGHT			
6. FLIGHT CREW	NAME	POSITION	ADDRESS (CITY AND STATE)	UNINJURED	INJURED	FATALITY	UNKNOWN
7. PASSENGER DATA		NUMBER ABOARD AIRCRAFT	NUMBER UNINJURED	NUMBER INJURED	NUMBER FATALITIES		
8. AIRCRAFT DAMAGE			9. PROPERTY DAMAGE				
10. OPERATING STATUS OF NAVIGATIONAL AIDS/LIGHTS/COMMUNICATIONS							
11. WEATHER DATA (USE UTC DATE/TIME)	REPORT JUST PRIOR TO ACCIDENT						
	FIRST REPORT SUBSEQUENT TO ACCIDENT						
12. ATO PERSONNEL INVOLVED	NAME	FACILITY	OPERATING POSITION			CHECK IF EYEWITNESS	
*OPERATING INITIALS							
13. SIGNATURE OF FACILITY MANAGER							
FAA Form 8020-6 (12-18) Supersedes Previous Edition							
Electronic Version							

**A-3. FAA Form 8020-6-1, Report of Aircraft Accident**

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION <b>REPORT OF AIRCRAFT ACCIDENT</b> (Continuation Sheet)	REPORT DATE	REPORT NO.
	NAME OF REPORTING FACILITY	
14. CHRONOLOGICAL SUMMARY OF FLIGHT		
<h1>SAMPLE</h1>		


FAA Form 8020-6-1 (12-18) Supersedes Previous Edition

**A-4. FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice**

<b>AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE</b>			
FROM ( <i>Office of origin</i> ):		TO:	DATE ( <i>UTC</i> ):
			TIME ( <i>UTC</i> ):
<b>CODE</b>	( <i>First words of text</i> ) <b>AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE-Part 1</b>		
<b>A</b>	1. INFORMATION FROM:		
<b>B</b>	<div style="display: flex; justify-content: space-between;"> <div style="width: 30%;">1. REGISTRATION NO:</div> <div style="width: 30%;">2. MAKE AND MODEL:</div> <div style="width: 30%;">3. OPERATOR OF AIRCRAFT:</div> </div>		
	4. TYPE OF ACTIVITY ( <i>Air taxi, instruction, pleasure, aerial appl., business, executive, sightseeing, etc.</i> ) IF KNOWN:		
	5. BRIEF DESCRIPTION OF CIRCUMSTANCES SURROUNDING OCCURRENCE:		
	<b>SAMPLE</b>		
	6. WEATHER DATA:		
	7. AIRCRAFT DAMAGE:    A <input type="checkbox"/> DESTROYED    B <input type="checkbox"/> SUBSTANTIAL    C <input type="checkbox"/> MINOR    D <input type="checkbox"/> FIRE    E <input type="checkbox"/> NONE    F <input type="checkbox"/> UNKNOWN		
<b>C</b>	<b>OCCUPANTS    INDICATE INJURIES: FATAL, SERIOUS, MINOR, NONE</b>		
	1. NAME AND ADDRESS OF PILOT/INJURY:	2. NAMES OF CREW/INJURIES:	3. NO. OF PASSENGERS/INJURIES:
<b>D</b>	1. LOCATION OF OCCURRENCE ( <i>Nearest city, town, and state</i> ) ( <i>Give route if overdue or missing</i> ):		
<b>E</b>	1. UTC DATE AND UTC TIME OF OCCURRENCE:		
<b>F</b>	1. INFORMATION ON COVERAGE OF OCCURRENCE BY FAA, NTSB, OTHER:		
<b>G</b>	FAA AIR TRAFFIC SERVICES SUMMARY OF FLIGHT HANDLING		
	1A. LAST DEPARTURE POINT:	1B. UTC DATE AND UTC TIME:	1C. INTENDED DESTINATION:
	2. LAST RADIO CONTACT/POSITION AND/OR RADAR POSITION:		
	3. LAST ATC CONTROL CLEARANCE:		
	4. FLIGHT PLAN:		
	A <input type="checkbox"/> IFR      B <input type="checkbox"/> VFR      C <input type="checkbox"/> NONE      D <input type="checkbox"/> UNKNOWN		
	5. PILOT BRIEFING:		
	A <input type="checkbox"/> YES      B <input type="checkbox"/> NO      C <input type="checkbox"/> UNKNOWN		
	6. OTHER:		
RECEIVED AT:		DELIVERED TO:	TIME:
RECEIVED VIA:		RECEIVED BY ( <i>Signature and Title</i> ):	
A <input type="checkbox"/> IN PERSON    B <input type="checkbox"/> RADIO    C <input type="checkbox"/> TELEPHONE			
NOTE: Part 2			
A <input type="checkbox"/> ON OTHER SIDE    B <input type="checkbox"/> ON SEPARATE FORM    C <input type="checkbox"/> NOT REQUIRED			

<b>AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE</b>									
FROM ( <i>Office of origin</i> ):			TO:			DATE (UTC):		TIME (UTC):	
CODE	(First words of text) <b>AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE-Part 2</b>								
<b>H</b>	1. REGISTRATION NO:		2. MAKE AND MODEL:			3. UTC DATE OF ACCIDENT/INCIDENT:			
<b>I</b>	STATUS OF POTENTIALLY INVOLVED AIRWAY FACILITIES (CHECK [✓] MARK STATUS AS INDICATED BY MONITOR OR REPORTED BY A.F. TECHNICIAN)								
1. FACILITY TYPE:		2. LOCATION RUNWAY IDENTIFIER:		3. JUST PRIOR TO OCCURRENCE:		4. AT TIME OF OCCURRENCE:		5. FLIGHT INSPECTION:	
				A NORMAL	B ABNORMAL OR OUT OF SERVICE	A NORMAL	B ABNORMAL OR OUT OF SERVICE	CON- DUCTED	SATIS- FACTORY
								A YES	B NO
								C YES	D NO
6. REMARKS ( <i>Explain briefly any entry above that is check marked as abnormal, or out of service</i> ):									
<b>J</b>	STATUS REPORT RECEIVED FROM PILOTS OR OTHERS List below any facilities reported by pilots or other persons as either operating normally, abnormally, or out of service just prior to, at the time of, or immediately following the time of the accident.								
1. FACILITY TYPE:		2. LOCATION/ RUNWAY IDENTIFIER:		3. IDENTIFICATION NO. OF AIRCRAFT AND NAME OF PERSON FROM WHOM REPORT WAS RECEIVED:			4. STATUS REPORT ( <i>Normal, abnormal, out of service, etc.</i> ):		5. TIME OBSERVATION (UTC):
6. REMARKS ( <i>Briefly describe the nature of any reported abnormality, reason for being out of service, etc.</i> ):									
RECEIVED AT:			DELIVERED TO:			TIME:			
RECEIVED VIA:					RECEIVED BY ( <i>Signature and Title</i> ):				
A <input type="checkbox"/> IN PERSON    B <input type="checkbox"/> RADIO    C <input type="checkbox"/> TELEPHONE									
NOTE: Part 1									
A <input type="checkbox"/> ON OTHER SIDE					B <input type="checkbox"/> ON SEPARATE FORM				

**A-5. FAA Form 8020-11, Incident Report**

 <div style="text-align: center;"> <b>U.S. DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION INCIDENT REPORT</b> </div>		
TO:		FROM:
<p>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.</p>		
TYPE OF INCIDENT:	TIME OF INCIDENT DATE: <input type="checkbox"/> Day <input type="checkbox"/> Night	INCIDENT NO:
AGENCY/AIRCRAFT IDENTIFICATION:		
NAME(S) OF PERSONNEL OR PILOT:		
SUMMARY OF INCIDENT:		
<h1>SAMPLE</h1>		
REMARKS:		
ATTACHMENTS:	FORWARDED DATE: _____ SIGNATURE OF FACILITY MANAGER: _____	



**A-6. FAA Form 8020-26, Personnel Statement**

## FAA Form 8020-26, Personnel Statement

<b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION PERSONNEL STATEMENT</b>		1. Name of Reporting Facility:	2. Report Number:
		3. Aircraft Identification and Type:	
4. Location of Occurrence:		5. Date & Time of Occurrence (UTC):	
6. Name (Operating Initials):	7. Title:	8. Position and Time (UTC):	
<p>9. Complete in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, Paragraph 91, FAA Form 8020-26, Personnel Statements. The personnel statement is prepared and used to provide information concerning the circumstances that cannot be retrieved via some type of recorded data source. Facts concerning what was observed and what actions were taken may not have been completely captured. Use this statement to provide any facts within your personal knowledge that will provide a complete understanding of the circumstances surrounding this occurrence. Speculations, hearsay, opinions, conclusions, and/or other extraneous data are not to be included in this statement. This statement may be released to the public through The Freedom of Information Act or litigation activities including pretrial discovery, depositions, and actual court testimony. This statement is to be signed by you, and your signature below certifies the accuracy of this statement. The statement will not be edited and once signed, will constitute your original statement.</p>			
10. Text of Statement:		<input type="checkbox"/> ORIGINAL <input type="checkbox"/> SUPPLEMENTAL	
<h1>SAMPLE</h1>			
11. Signature:		12. Date of Signature:	

FAA Form 8020-26 (12-18) Supersedes Previous Edition

Electronic Version

### **Appendix B. Example of Aircraft Accident Package**

<b>Number</b>	<b>Name</b>	<b>Page</b>
<b>B-1</b>	Certification of the Aircraft Accident Package	B-2
<b>B-2</b>	Aircraft Accident Package Labeling	B-4
<b>B-3</b>	Package Divider Sheets	B-7
<b>B-4</b>	Table of Contents	B-8
<b>B-5</b>	FAA Form 8020-6, Report of Aircraft Accident	B-10
<b>B-6</b>	FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)	B-11
<b>B-7</b>	Review of Services and the Review of Services Memoranda,	B-16
<b>B-8</b>	FAA Form(s) 7230-4, Daily Record of Facility Operation	B-23
<b>B-9</b>	Personnel Log(s)	B-26
<b>B-10</b>	FAA Form(s) 7230-10, Position Log(s), or Automated Equivalent	B-32
<b>B-11</b>	Facility Layout Chart(s)	B-33
<b>B-12</b>	Airport Diagram	B-36
<b>B-13</b>	Flight Progress Strip(s) and/or In-Flight Contact Record(s)	B-37
<b>B-14</b>	Transcription of Voice Recording(s)s	B-39
<b>B-15</b>	FAA Form(s) 8020-3, Facility Accident/Incident Notification Record	B-45
<b>B-16</b>	Weather Products	B-47
<b>B-17</b>	Non-published applicable NOTAMs	B-50
<b>B-18</b>	FAA Form(s) 7233-2, Preflight Briefing Log, or automated equivalent	B-50
<b>B-19</b>	FAA Form(s) 7233-1, Flight Plan, or automated equivalent	B-50
<b>B-20</b>	Other	B-50

**B-1. Certification of the Aircraft Accident Package (Chapter 6, paragraph 4)**

An Information Memorandum addressed to the service center director or the Flight Service Directorate Manager from the facility manager, or acting facility manager of the data collection facility must be prepared. The certification signature must be the same as the typed name. Do not use initials. Do not use "for" to sign as the certifier. Digital signatures may be used. This memorandum will certify that the facility manager or acting facility manager is attesting to the completeness of the entire aircraft accident package. The memorandum will provide the following certification:

*“I certify that aircraft accident package, [aircraft accident package number], has been reviewed and is complete.”*

Forward a copy of the Information Memorandum with the completed aircraft accident package to the QCG or Flight Service Directorate. The certification memorandum is not part of the aircraft accident package. Retain the certifications memorandum in the aircraft accident file. Do not distribute the Information Memorandum to the FAA IIC.



## Federal Aviation Administration

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### Memorandum

Date: August 23, 2018

To: Clark Desing, Director, Western Service Center

*Matthew Chance*

From: Matthew Chance, Manager, Airville Airport Traffic Control  
Tower

Subject: **INFORMATION:** Certification Statement  
Aircraft Accident, N56341  
Airville, AK, August 05, 2018

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I certify that aircraft accident package, 18-002-ARV, has been  
reviewed and is complete.

18-002-ARV  
N56341

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**B-2. Aircraft Accident Package Labeling (Chapter 6, paragraph 3)**

*Cover Page.* The cover page must be clearly marked with the following:

*First Line* – "Original" or "Copy"

*Second Line* - Aircraft Accident Package

*Third Line* - Aircraft accident number.

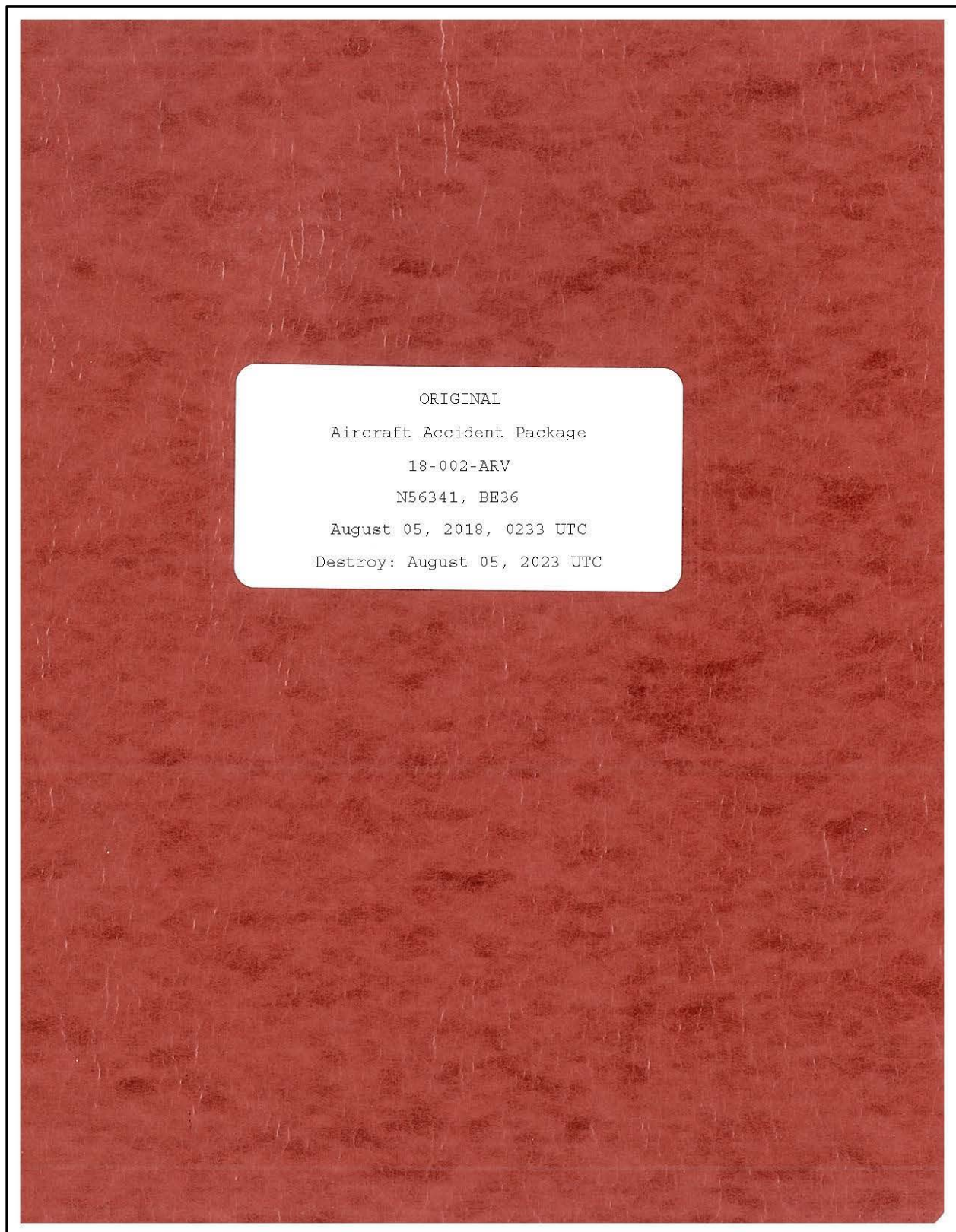
*Fourth Line* - Aircraft registration/flight number, aircraft type. List aircraft types based on the following order of priority:

- The flight progress strip/inflight contact form
- The 7360.1, *Aircraft Type Designators*
- The FAA aircraft registry site
- The ICAO aircraft registry site

*Fifth Line* – Aircraft Accident UTC date and UTC time.

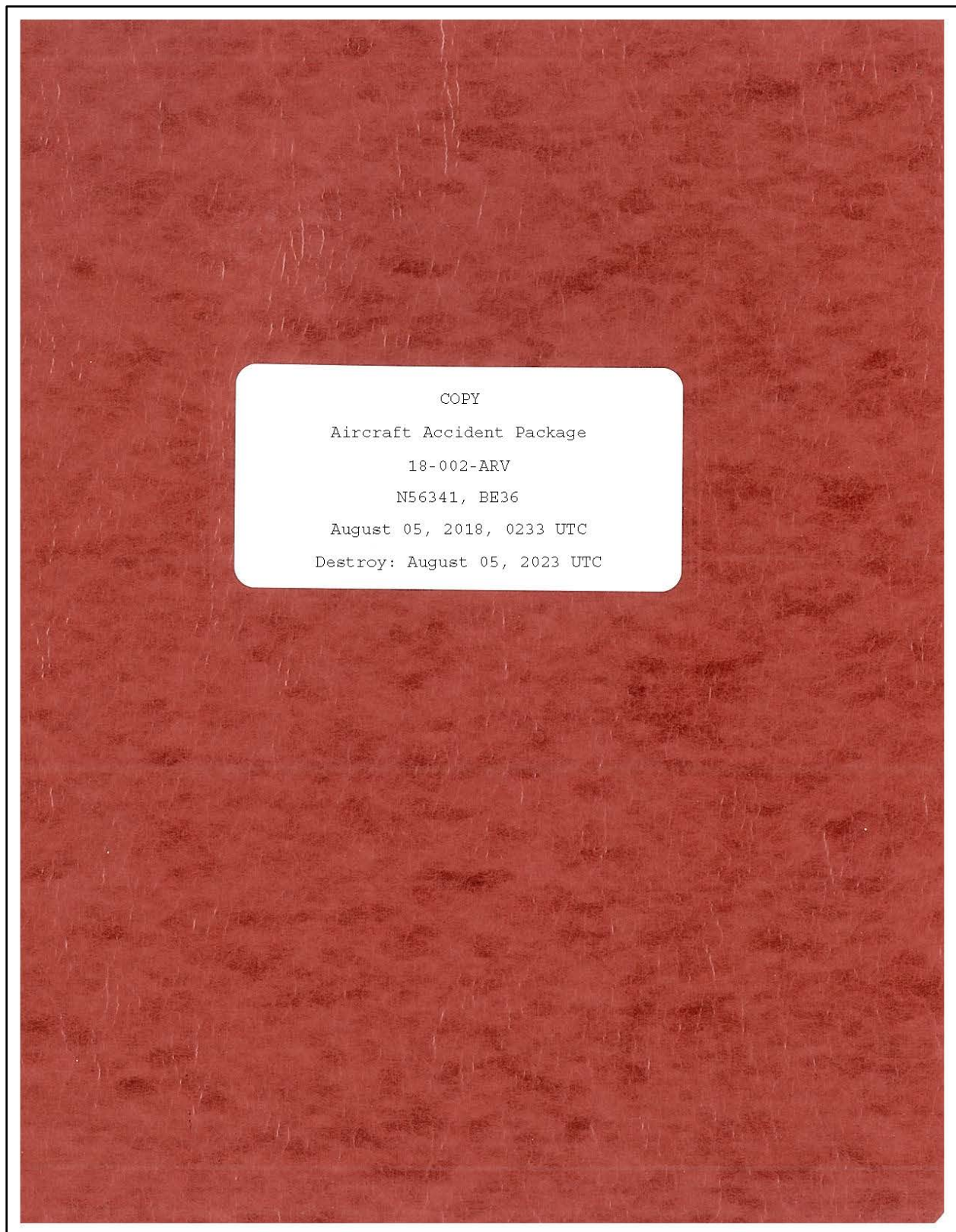
*Sixth Line* - UTC date the package is to be destroyed (5 years for both the original and copies of the aircraft accident package).

Example of the cover page for the original package.





Example of the cover page for a copy of the original package.



**B-3. Package Divider Sheets ([Chapter 6, paragraph 3](#))**

Insert a sheet of plain paper between each section with the section number and title of the section centered on the page.

SECTION 1.  
Table of Contents

18-002-ARV  
N56341

\*\*\*



**B-4. Table of Contents (Chapter 6, paragraph 3)**

Include a Table of Contents page that lists each section number and content. Select appropriate items necessary for each package and assemble in the order listed. 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 must be in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement.

The table of contents included is an example of items for inclusion in a typical aircraft accident package. Include data received from other facilities behind the appropriate sections (i.e., Review of Services Memo, 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.

**NOTE:** Place any completed Personnel Statements in the "OTHER" section.

## TABLE OF CONTENTS

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.	Review of Services Memoranda
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SECTION 5.	Personnel Log(s)
SECTION 6.	FAA Form(s) 7230-10, Position Log, or automated equivalent
SECTION 7.	Facility Layout Chart(s)
SECTION 8.	Airport Diagram
SECTION 9.	Flight Progress Strip(s) and/or In-Flight Contact Record(s)
SECTION 10.	Transcription of Voice Recording(s)
SECTION 11.	FAA Form(s) 8020-3, Facility Accident/Incident Notification Record
SECTION 12.	Weather Products
SECTION 13.	NOTAMs
SECTION 14.	FAA Form(s) 7233-2, Preflight Briefing Log, or automated equivalent
SECTION 15.	FAA Form(s) 7233-1, Flight Plan, or automated equivalent
SECTION 16.	Other

**B-5. FAA Form 8020-6, Report of Aircraft Accident (Chapter 7, paragraph 2)**


Only the holding facility completes this form; supporting facilities do not. The report must be written in clear language. Destroy any drafts at the time FAA Form 8020-6 is physically or digitally signed.


DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION				REPORT DATE August 23, 2018		REPORT NO. 18-002-ARV	
<b>REPORT OF AIRCRAFT ACCIDENT</b>				NAME OF REPORTING FACILITY Airville ATCT (ARV)			
1. AIRCRAFT IDENTIFICATION AND TYPE N56341, BE36		2. DATE/TIME OF ACCIDENT (UTC) August 5, 2018; 0233 UTC		3. LOCATION OF ACCIDENT: CITY, STATE (MAND) Airville, AK			
4. NATURE OF ACCIDENT Aircraft crashed on final approach.				LATITUDE/LONGITUDE (OPTL) N41 12 25.8500 W096 07 34.0900			
				5. TYPE OF FLIGHT IFR Flight Plan			
6. FLIGHT CREW	NAME	POSITION	ADDRESS (CITY AND STATE)	UNINJURED	INJURED	FATALITY	UNKNOWN
	Unknown Kilpatrick	Pilot	Anchorage, AK		X		
7. PASSENGER DATA		NUMBER ABOARD AIRCRAFT	1	NUMBER UNINJURED	0	NUMBER INJURED	1
						NUMBER FATALITIES	0
8. AIRCRAFT DAMAGE Unknown				9. PROPERTY DAMAGE Utility Power Pole Damaged.			
10. OPERATING STATUS OF NAVIGATIONAL AIDS/LIGHTS/COMMUNICATIONS VASI out of service.							
11. WEATHER DATA (USE UTC DATE/TIME)	REPORT JUST PRIOR TO ACCIDENT MINOCQUA/WOODRUF METAR - 1253 UTC: automated, wind one one zero at one zero, visibility two statute miles, snow, ceiling two thousand broken, two thousand eight hundred broken, four thousand one hundred overcast, temperature M four, dew point M eight, altimeter three zero two six						
	FIRST REPORT SUBSEQUENT TO ACCIDENT MINOCQUA/WOODRUF METAR - 1353 UTC: automated, wind one one zero at one two, visibility three statute miles, snow, ceiling two thousand eight hundred broken, three thousand five hundred broken, four thousand one hundred overcast, temperature M two, dew point M three, altimeter three zero two five						
12. ATO PERSONNEL INVOLVED	NAME	FACILITY	OPERATING POSITION		CHECK IF EYEWITNESS		
	Gary Paul Luck *(GL)	ZAN ARTCC	R13 R				
	Rick James Smith (RS)	ZAN ARTCC	R13 R				
	Joe Anthony Scogs (JS)	ARV ATCT	AP AP				
	Teresa Gayle Scogs (TS)	ARV ATCT	CC CC				
	Cindy Brit Cooke (CC)	ARV ATCT	SC SC				
	Andrea Lee Bird (AB)	ARV ATCT	LC LC				
	Anjolie Rese Delight (AD)	ARV ATCT	GC GC				
*OPERATING INITIALS							
13. SIGNATURE OF FACILITY MANAGER Matthew Chance							
FAA Form 8020-6 (4-17) Supersedes Previous Edition <span style="float: right;">Electronic Version</span>							

18-002-ARV  
N56341

**B-6. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) (Chapter 7, paragraph 2)**

FAA Form 8020-6-1 must be completed by all involved air traffic facilities that provided pertinent, routine or no services but that have data. This provides a complete chronological summary of the flight that describes all pertinent communications, emergency assistance, and other air traffic services provided to the aircraft.

 <b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION</b> <b>REPORT OF AIRCRAFT ACCIDENT</b> <small>(Continuation Sheet)</small>	<small>REPORT DATE</small> August 19, 2018	<small>REPORT NO.</small> 18-002-ARV
<small>NAME OF REPORTING FACILITY</small> Merrill ATCT (MRI)		
<small>14. CHRONOLOGICAL SUMMARY OF FLIGHT</small> August 05, 2018  <p style="text-align: center;">ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED</p> <p>0052 N56341 called ground control (GC) for taxi from the base of the tower to runway seven with Automated Terminal Information System (ATIS) Oscar.</p> <p>0053 GC issued taxi instructions to runway seven for N56341.</p> <p>0058 N56341 called local control (LC) ready for takeoff runway seven and requested a five mile upwind leg then left downwind departure.</p> <p>0100 N56341 was cleared for takeoff runway seven, five mile upwind approved.</p> <p>0103 N56341 requested frequency change for Elmendorf Air Force Base (EDF). LC approved the request.</p> <p style="text-align: center;">No More Follows</p>		
<small>FAA Form 8020-6-1</small> 18-002-ARV N56341		

 <b>DEPARTMENT OF TRANSPORTATION</b> <b>FEDERAL AVIATION ADMINISTRATION</b> <b>REPORT OF AIRCRAFT ACCIDENT</b> (Continuation Sheet)	REPORT DATE August 06, 2018	REPORT NO. 18-002-ARV
	NAME OF REPORTING FACILITY Anchorage TRACON (A11)	

14. CHRONOLOGICAL SUMMARY OF FLIGHT  
August 05, 2018

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME  
UNLESS OTHERWISE SPECIFIED


0000 All did not provide any services to N56341. Radar data from 0140 to 0300  
was requested to support the aircraft accident package.

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No More Follows

FAA Form 8020-6-1  
18-002-ARV  
N56341

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 <b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION</b> <b>REPORT OF AIRCRAFT ACCIDENT</b> (Continuation Sheet)	REPORT DATE August 15, 2018	REPORT NO. 18-002-ARV
	NAME OF REPORTING FACILITY Anchorage ARTCC (ZAN)	

14. CHRONOLOGICAL SUMMARY OF FLIGHT  
August 05, 2018

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME  
UNLESS OTHERWISE SPECIFIED

0150 N56341 checked on the Anchorage ARTCC 13 radar (R13) position level at 13,500' requesting Instrument Flight Rules (IFR) to Airville Airport (ARV).

0151 R13 issued N56341 IFR clearance to ARV at 13,000' heading 230.

0155 N56341 requested to leave the frequency to contact Kenai Flight Service Station (ENA) and the request was approved.

0201 N56341 reported back on the R13 position.

0210 R13 descended N56341 to 11,000'.

0215 N56341 reported level at 11,000'.

0217 The pilot of N56341 reported he had a rough running engine.


0218 R13 coordinated with Airville Air Traffic Control Tower (ARV ATCT) to pass along information about N56341 reporting a rough running engine.

0220 R13 switched N56341 to ARV ATCT approach control frequency.

No More Follows

FAA Form 8020-6-1  
18-002-ARV  
N56341

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 <b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION</b> <b>REPORT OF AIRCRAFT ACCIDENT</b> (Continuation Sheet)	REPORT DATE August 15, 2018	REPORT NO. 18-002-ARV
	NAME OF REPORTING FACILITY Kenai FSS (ENA)	

14. CHRONOLOGICAL SUMMARY OF FLIGHT  
August 05, 2018

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME  
UNLESS OTHERWISE SPECIFIED

0155 N56341 called Kenai FSS (ENA) and requested any updated runway conditions at the Airville Airport (ARV). Information was passed stating the runway conditions had not been updated.

0158 N56341 requested the current ARV weather. The weather was issued and the altimeter was given.


0200 N56341 advised he was returning to Anchorage ARTCC frequency.

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No More Follows

FAA Form 8020-6-1  
18-002-ARV  
N56341

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 <b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION</b> <b>REPORT OF AIRCRAFT ACCIDENT</b> (Continuation Sheet)	REPORT DATE August 07, 2018	REPORT NO. 18-002-ARV
NAME OF REPORTING FACILITY Airville ATCT (ARV)		
<p>14. CHRONOLOGICAL SUMMARY OF FLIGHT August 05, 2018</p> <p style="text-align: center;">ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED</p> <p>0218 Anchorage ARTCC (ZAN) coordinates N56341 has a rough running engine with Airville ATCT (ARV) approach control frequency (AP).</p> <p>0220 N56341 reports on AP frequency with the current Automated Terminal Information System (ATIS) Oscar. AP assigns vectors to visual approach to Runway 22L and descent at pilot's discretion to 3,000'.</p> <p>0223 N56341 reports the rough running engine has worsened and oil is plattering on the windshield. The aircraft is leaving 8,000'.</p> <p>0224 AP declares an emergency and requests souls on board and fuel remaining. AP coordinates the inbound with the ARC Tower ground controller (GC).</p> <p>0226 AP asks the pilot of N56341 if he can see out the window and to report the field in sight. N56341 reports the field in sight and AP clears N56341 for a visual approach to Runway 22L.</p> <p>0227 AP instructs N56341 to contact the ARV Tower local control (LC) frequency. GC approves airport rescue fire fighters (ARFF) on the movement area.</p> <p>0228 N56341 reports on the LC frequency. LC issues the wind, altimeter and landing clearance to Runway 22L.</p> <p>0231 N56341 reports the engine has stopped running.</p> <p>0232 LC advises N56341 radar contact lost.</p> <p>0233 GC advises ARFF of N56341's last known position.</p> <p>0235 ARFF reports reaching N56341 off the airport.</p> <p style="text-align: center;">No More Follows</p>		
FAA Form 8020-6-1 18-002-ARV N56341		



**B-7. Review of Services and the Review of Services Memoranda (Chapter 5, paragraph 5)**

Air traffic facilities along the route of flight (both holding and supporting facilities) must conduct a review of service to assess and gather data. Retain all data pertaining to the handling of the aircraft. Conduct the review within two administrative days of notification of an aircraft accident. Notify the holding facility of your services status (routine, pertinent, or no services but have data) by completing a Review of Services Memorandum. The memorandum certifies the data retained by involved facilities. The memorandum must list each item retained in the aircraft accident file/package regardless of whether the document is individually certified or not. The facility manager or acting facility manager must sign the memorandum using the following format:

*“I certify that the following originals/digital copies of the original are on file in this office.”*

The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier. The signature must be over his/her typed name, title, and name of facility. Digital signatures may be used. Supporting facilities send the original Review of Services Memorandum to the holding facility and keep a copy of the memorandum in the supporting facility's file. Provide the holding facility a Review of Services Memorandum, FAA Form 8020-6-1, and copies of all required data within eight administrative days of notification of the aircraft accident.



## Federal Aviation Administration

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### Memorandum

Date: August 07, 2018

To: Airville Airport Traffic Control Tower Aircraft Accident File 18-002-ARV

*Clarissa Conley*

From: Clarissa Conley, Manager, Merrill Airport Traffic Control Tower

Subject: **INFORMATION:** Review of Services Memo  
Aircraft Accident, N56341  
Airville, AK, August 05, 2018

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MRI ATCT conducted a review of services concerning N56341 and was determined to have routine services. As a supporting facility with routine services I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies are on file in this office.

Certified Original Copy(ies) of Voice Recording(s)

Certified Working Copy(ies) of Voice Recording(s)

FAA Form 8020-6-1

Flight Progress Strip(s)

18-002-ARV

N56341

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## Federal Aviation Administration

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### Memorandum

Date: August 07, 2018

To: Aircraft Accident File 18-002-ARV

*Matthew Chance*

From: Matthew Chance, Manager, Airville Airport Traffic Control Tower

Subject: **INFORMATION**: Review of Services Memo  
Aircraft Accident , N56341  
Airville, AK, August 05, 2018

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I certify that Elmendorf AFB (EDF) ATCT communicated to the FAA that EDF provided routine services to N56341, and that the FAA did not receive air traffic data from EDF.

18-002-ARV  
N56341

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## Federal Aviation Administration

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### Memorandum

Date: August 06, 2018

To: Airville Airport Traffic Control Tower Aircraft Accident File 18-002-ARV

*David Argenti*

From: David Argenti, Manager, Anchorage Terminal Radar Approach Control

Subject: **INFORMATION**: Review of Services Memo  
Aircraft Accident, N56341  
Airville, AK, August 05, 2018

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All TRACON conducted a review of services concerning N56341 and was determined to have provided no services but does have air traffic data. As a facility with air traffic data I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies are on file in this office.

FAA Form 8020-6-1  
STARS adaptation File  
STARS Playback Workstation File

18-002-ARV  
N56341

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## Federal Aviation Administration

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### Memorandum

Date: August 06, 2018

To: Airville Airport Traffic Control Tower Aircraft Accident File 18-002-ARV

*Steve Rowley*

From: Steve Rowley, Manager, Anchorage Air Route Traffic Control Center

Subject: **INFORMATION:** Review of Services Memo  
Aircraft Accident, N56341  
Airville, AK, August 05, 2018

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ZAN ARTCC conducted a review of services concerning N56341 and was determined to have pertinent services. As a supporting facility with pertinent services I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies are on file in this office.

Certified Original Copy(ies) of Voice Recording(s)  
Certified Working Copy(ies) of Voice Recording(s)  
ERAM Local Adaptation File  
FAA Form 7230-10  
FAA Form 7230-4  
FAA Form 8020-6-1  
Facility Layout Chart(s)  
Flight Progress Strip(s)  
Mandatory Occurrence Report  
Personnel Log(s)  
ERAM SAR Files  
ERAM Radar Files  
Covered Event Review  
Emails

18-002-ARV  
N56341

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## Federal Aviation Administration

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### Memorandum

Date: August 06, 2018

To: Airville Airport Traffic Control Tower Aircraft Accident File 18-002-ARV

*Don Humphries*

From: Don Humphries, Manager, Kenai Flight Service Station

Subject: **INFORMATION:** Review of Services Memo  
Aircraft Accident, N56341  
Airville, AK, August 05, 2018

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ENA FSS conducted a review of services concerning N56341 and was determined to have routine services. As a supporting facility with routine services I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies are on file in this office.

Certified Original Copy(ies) of Voice Recording(s)

Certified Working Copy(ies) of Voice Recording(s)

FAA Form 8020-6-1

In-Flight Contact Record

18-002-ARV

N56341

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## Federal Aviation Administration

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### Memorandum

Date: August 07, 2018

To: Airville Airport Traffic Control Tower Aircraft Accident File 18-002-ARV

*Matthew Chance*

Matthew Chance, Manager,

From: Airville Airport Traffic Control Tower, ARV ATCT

Subject: **INFORMATION:** Review Of Services Memo  
Aircraft Accident, N56341  
Airville, AK, August 05, 2018

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ARV ATCT conducted a review of services concerning N56341 and was determined to have pertinent services. As the holding facility with pertinent services I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies are on file in this office.

Airport Diagram

Certified Original Copy(ies) of Voice Recording(s)

Certified Working Copy(ies) of Voice Recording(s)

Continuous Data Recording (CDR)

FAA Form 7230-10

FAA Form 7230-4

FAA Form 8020-3

FAA Form 8020-6

FAA Form 8020-6-1

FAA Form 8020-9

Facility Layout Chart(s)

Flight Progress Strip(s)

Mandatory Occurrence Report

Personnel Log(s)

Weather Data

Emails

STARS Adaptation File

18-002-ARV

N56341

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**B-8. FAA Form(s) 7230-4, Daily Record of Facility Operation ([Chapter 6, paragraph 3](#))**

Include FAA Form 7230-4 from all pertinent dates; (e.g., the date service was provided, the date of the aircraft accident, and the date it was reported).

If any equipment outages are listed that may relate to the aircraft accident, be sure they are included on FAA Form 8020-6, Block 10.

The aircraft accident must be annotated in the remarks section by the facility receiving initial notification of an aircraft accident.



DAILY RECORD OF FACILITY OPERATION				PAGE NO Page 1 of 1
				DATE Aug 5, 2018
LOCATION	IDENTIFICATION	TYPE FACILITY	OPERATING POSITION	CHECKED BY <i>SE</i>
Anchorage, AK	ZAN	ARTCC	Watch Desk	AIR TRAFFIC MANAGER Steve Rowley
UTC TIME	REMARKS			
0800	K Kubitz on duty, previous Log Reviewed. SECON Level Yellow. OC21 combined at CWP3. E1, E10, E2, E3, TMU, and WC combined to OMIC.  CFPL: Bogoslof Volcano 10NM TFR re-issued. FDC 8/9488.  CFPL: Bogoslof Volcano color code change from yellow to orange A0235/18.  CFPL: CYEG CAATS unavailable. -- KT			
E 0800	CYEG CAATS available. -- KT			
0808	OPSNET Data Entry complete -- KT			
1006	AAWU WX Briefing Received -- KT			
1200	MEARTS Bell Check and AAID Resets Complete. -- KT			
1300	WCLC -- KT			
1330	D. Derouchie on duty, above noted. -- DJ			
1800	WCLC -- DJ			
M 0214	N56341 reported a rough running engine. No assistance requested. Aircraft handed off to ARV ATCT.			
0351	S. Falls on duty, above noted. -- FT			
0401	WCLC -- FT			
0759	COB. -- FT			
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(S) OF WATCH SUPERVISOR(S)  <i>S Falls</i>		

FAA Form 7230-4

18-002-ARV  
N56341

DAILY RECORD OF FACILITY OPERATION				PAGE NO Page 1 of 1
				DATE Aug 5, 2018
LOCATION	IDENTIFICATION	TYPE FACILITY	OPERATING POSITION	CHECKED BY <i>MC</i>
Airville, AK	ARV	ATCT	Watch Desk	AIR TRAFFIC MANAGER Matthew Chance
UTC TIME	REMARKS			
2200	P. Scholl on. CFPL: RWY 22 VASI OTS. -- PS			
2215	WCLC. -- PS			
0400	E. Ketchock on, above noted. -- EK			
0412	WCLC. -- EK			
0700	M. Well on, above noted. -- MW			
0759	N56341 reported engine out, landed short of RWY22L. AKN. -- MW			
1100	T. Frank on, above noted. WCLC. -- TF			
1659	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(S) OF WATCH SUPERVISOR(S) <i>T Frank</i>		

FAA Form 7230-4

18-002-ARV  
N56341

**B-9. Personnel Log(s) (Chapter 6, paragraph 3)**

Include personnel logs from all areas of specialization in the facility. Use of the ATO Portal is recommended; however, facilities utilizing Cru-ART are required to include a memorandum listing those employees on regular days off. Redact any type of leave taken only on copies of the personnel logs.

## Example of portal document from ZAN

PERSONNEL LOG		REGION		FACILITY		AREA ID		DATE			
		ANM	ZAN	AREA 1		MONTH: AUG	DAY: 05	YEAR: 2018			
NAME	CODE	TIME ON	TIME OFF	HOURS ON DUTY	HOURS ON LEAVE	LEAVE TYPE	HOURS NON POSITION DUTIES ASGNDE	HOURS POSITION DUTIES ASGNDE	REMARKS FOR: ALL ABSENCES FROM FACILITY, TRNG, TDY AND NON POSITIONAL DUTIES		
ROGERS, JERRY ( XX ) 05:30 - 13:30	R	05:30	13:30	08+00			00+36	03+23			
STOUT, WALT ( WS ) 05:30 - 13:30	R	05:30	13:30	08+00			00+34	03+34			
ZIAK, WILLIAM ( WZ ) 05:30 - 13:30	R	05:30	13:30	08+00			00+35	03+07			
MAYES, COREY ( KC ) 06:00 - 14:00	R	06:00	14:00	09+00			03+25	05+33			
NOTTI, NICK ( NN ) 06:30 - 14:30	R	06:30	14:30	08+00			00+17	06+02			
HAYES, JERRY ( JH ) 06:45 - 15:15	R	06:45	12:15	08+00	00+30	Leave	06+14	01+26			
MOORE, ELI ( EM ) 07:00 - 15:00	R	07:00	15:00	08+00			00+34	03+23			
QUICK, SHANE ( QS ) 07:30 - 15:30	R	07:30	15:30	08+00			08+00	00+00			
SMITH, JACK ( JK ) 07:30 - 15:30	R	07:30	15:30	08+00			01+40	03+35			
BEARS, CHUCK ( AU ) 07:32 - 15:32	R	07:32	15:32	08+00			01+38	03+39			
LEWTER, EDGAR ( LR ) 07:35 - 15:35	R	07:35	14:50	07+15	00+45	Leave	03+45	03+08			
WALLACE, MIKE ( MW ) 07:50 - 15:50	R	07:50	15:50	08+00			00+34	04+07			
SMITH, RICK ( RS ) 07:50 - 15:50	R	07:50	15:50	08+00			00+57	03+16			
LUCK, GARY ( GL ) 10:00 - 18:00	R	10:00	18:00	08+00			02+16	02+49			
BROWN, BARRY ( UU ) 10:00 - 18:00	R	10:00	14:45	04+45	03+15	Leave	01+47	01+28			
WILLIAMS, BARRY ( BW ) 12:09 - 21:09	R	12:09	21:09	09+00			01+27	03+18			
RICHARDS, JILL ( KX ) 12:27 - 21:27	R	12:27	21:27	09+00			01+50	03+43			
BPOORE, LARRY ( LP ) 13:40 - 21:40	R	13:40	21:40	08+00			00+17	04+33			
SUPERVISORY CERTIFICATE	NAME	CODE	TIME ON	TIME OFF	INTLS	NAME	CODE	TIME ON	TIME OFF	INTLS	

THE SIGNATURES ABOVE CERTIFY THAT THE ABOVE ENTRIES ARE CORRECT  
(Signatures and times in charge are noted on FAA Form 7230-4, Daily Record of Facility Operation)

Form 7230-4 (Dec 08)

Official Version

FOR OFFICIAL USE ONLY Public Availability to be determined under 5 U.S.C. 552

18-002-ARV  
N56341

Page 1 of 2



Example of original ART document from ARV ATCT

**ART - Sign On Log**

8/18/2018 9:05:29 AM

**ARV**

Selected Report Dates: 8/04/2018 10:00:00 PM - 8/05/2018 10:00:00 PM

OPINIT	NAME	SHIFT/TYPE	SIGN- IN	SIGN - OUT	LV	OJT	CIC	TOS
PQ	QUICK, PAUL G	05:30-12:30/R	05:30:00	12:30:00				
	REMARKS							
WS	SMITH, WILL J	05:30-13:30/R	05:30:00	13:30:00			1+26	
	REMARKS							
PS	SCOG, PETER K	06:10-14:10/R	06:10:00	14:10:00				
	REMARKS							
TS	SCOTT, TERESA J	06:15-13:15/R	06:15:00	13:15:00			1+14	
	REMARKS							
HH	GRANGE, HANK F	06:15-14:15/R	06:15:00	14:15:00				
	REMARKS							
CX	OWENS, CRIS J	06:30-13:30/R	06:30:00	13:30:00	7+00			
	REMARKS							
HB	HILL, BOB S	06:30-14:30/R	06:30:00	14:30:00	8+00			
	REMARKS							
MD	DAWN, MIKE T	07:00-14:00/R	07:00:00	14:00:00				
	REMARKS							
CC	COOKE, CANDY D	07:30-15:30/R	07:30:00	15:30:00				
	REMARKS							
JS	SCOGS, JOE J	07:30-15:30/R	07:30:00	15:30:00			0+20	
	REMARKS							
MW	WELL, MICHAEL W	07:45-14:45/R	07:45:00	14:45:00	7+00			
	REMARKS							
AD	DELIGHT, ANIE K	07:45-15:45/R	07:45:00	15:45:00	8+00			
	REMARKS							
AB	BIRD, ANDREA M	08:45-15:45/R	08:45:00	15:45:00				
	REMARKS							
FS	SHIRLEY, FRANK P	10:45-18:45/R	10:45:00	18:45:00				
	REMARKS							

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N56341

**ARV**

Selected Report Dates: 8/04/2018 10:00:00 PM - 8/05/2018 10:00:00 PM

OPINIT	NAME	SHIFT/TYPE	SIGN- IN	SIGN - OUT	LV	OJT	CIC	TOS
TM	MORGAN, TIM Q	11:48-19:48/R	11:48:00	19:48:00			2+28	
	REMARKS							
TF	FULLER, TERRY S	12:50-19:50/R	12:50:00	19:50:00			0+46	
	REMARKS							
PT	TARGEN, PAT G	13:15-21:15/R	13:15:00	21:15:00				
	REMARKS							
TT	TRANE, TIM L	13:30-21:30/R	13:30:00	19:30:00	2+00		1+19	
	REMARKS							
HM	MORIN, HERB O	14:00-22:00/R	14:00:00	22:00:00				
	REMARKS							
JN	NAHN, JENNIFER E	14:18-22:18/R	14:18:00	00:18:00			0+57	2+0
	REMARKS							
HY	YOUNG, HENRY T	16:00-24:00/R	16:00:00	00:00:00	8+00			
	REMARKS							
GW	WEST, GREG B	16:00-24:00/R	16:00:00	00:00:00	8+00			
	REMARKS							

## Example of RDO Memorandum

**Federal Aviation  
Administration**

---

**Memorandum**

Date: August 18, 2018

To: Airville Airport Traffic Control Tower Aircraft Accident File 18-002-ARV

*Matthew Chance*

From: Matthew Chance, Manager, Airville Airport Traffic Control Tower

Subject: **INFORMATION**: Personnel Log Amendment  
Aircraft Accident, N56341  
Airville, AK, August 5, 2018

---

I certify that the following personnel were not scheduled to work on February 5, 2018.

Chris Mat  
Larry Burns  
Anne Yarber  
Amy Alaween  
Brittany Palmer

18-002-ARV  
N56341

\*\*\*



**B-10. FAA Form(s) 7230-10, Position Log(s), or automated equivalent (Chapter 6, paragraph 3)**

Towers or combined tower/TRACON and FSS. Include all positions regardless of whether they are staffed or not.

TRACON, FCF and ARTCC facilities. Include all positions regardless of whether they are staffed or not. If the facility has more than one area of specialization, then include all positions of every area of specialization having contact with the aircraft.

If hand-written logs are utilized in the facility, do not re-write for clarity. If necessary, attach to plain paper to reproduce. Arrange logs in the chronological order of participation. Be sure that the facility name and date are completed at the top of the form.

Example of Position Log (Multiple logs may be placed on the same page).

POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER	(3) POS	(4) DATE		
ARV	AP	AP	02/05/2018		
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
2200	JT	0000	C		
0001	NB	0200	C		
0201	BR	0400	C		
0401	PS	0522	C		
0523	DC	0629	C		
0630	JS	0730	C		
0731	DC	0930	C		
0931	JS	1130	C		
1131	MT	1322	C		
1323	EZ	1520	C		
1521	RT	1659	C		

**CODE:**  
**C** - ATCS/ATA  
**S** - Supervisor/Staff Spec  
**T** - Trainee/Developmental  
**M** - Trainee/Developmental Monitoring  
**R** - Trainee/Developmental Certification/  
 Evaluation

FAA Form 7230-10 (6-94) NSN: 0052-00-024-6102 Electronic Version (OmniForm)

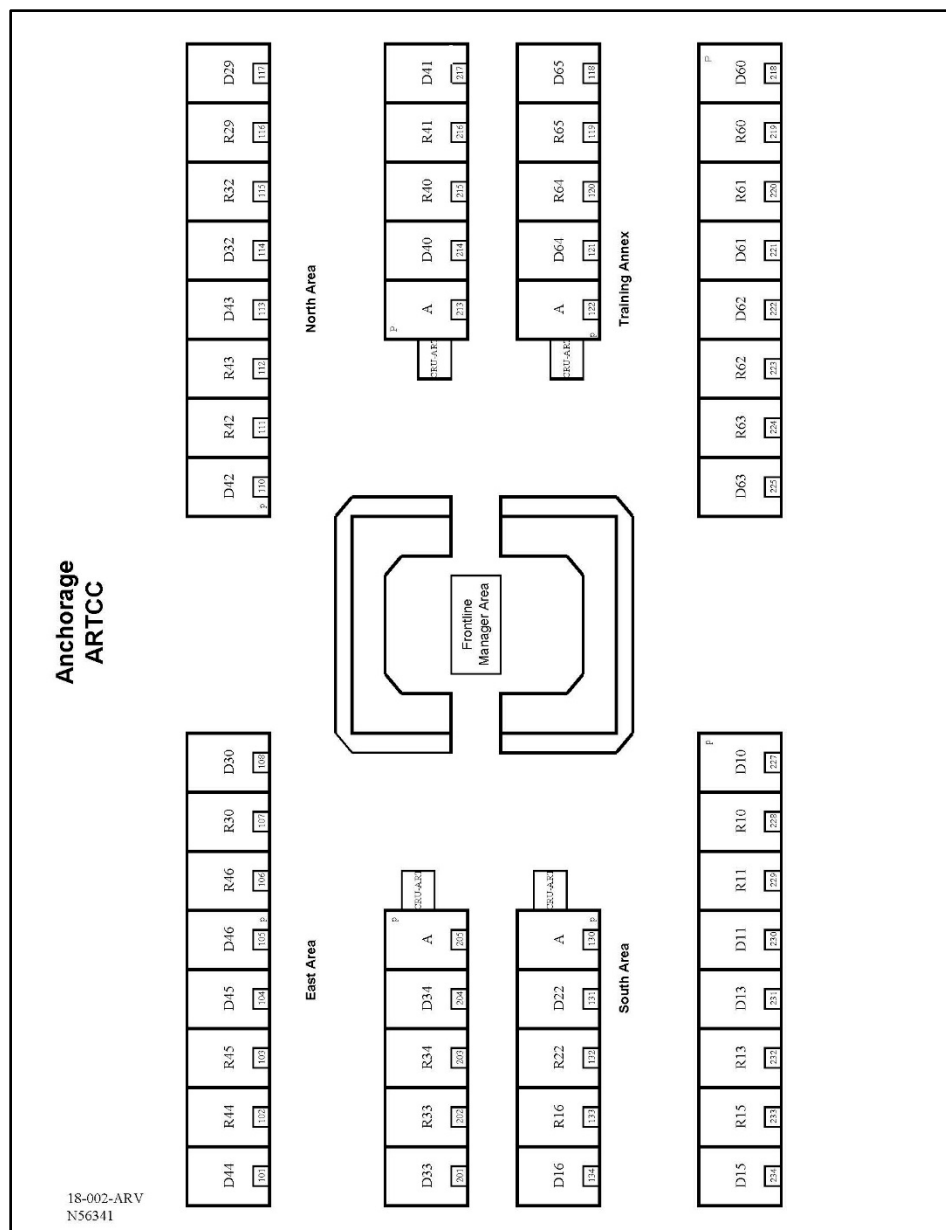
FOR OFFICIAL USE ONLY Public Availability to be determined under 5 U.S.C. 552

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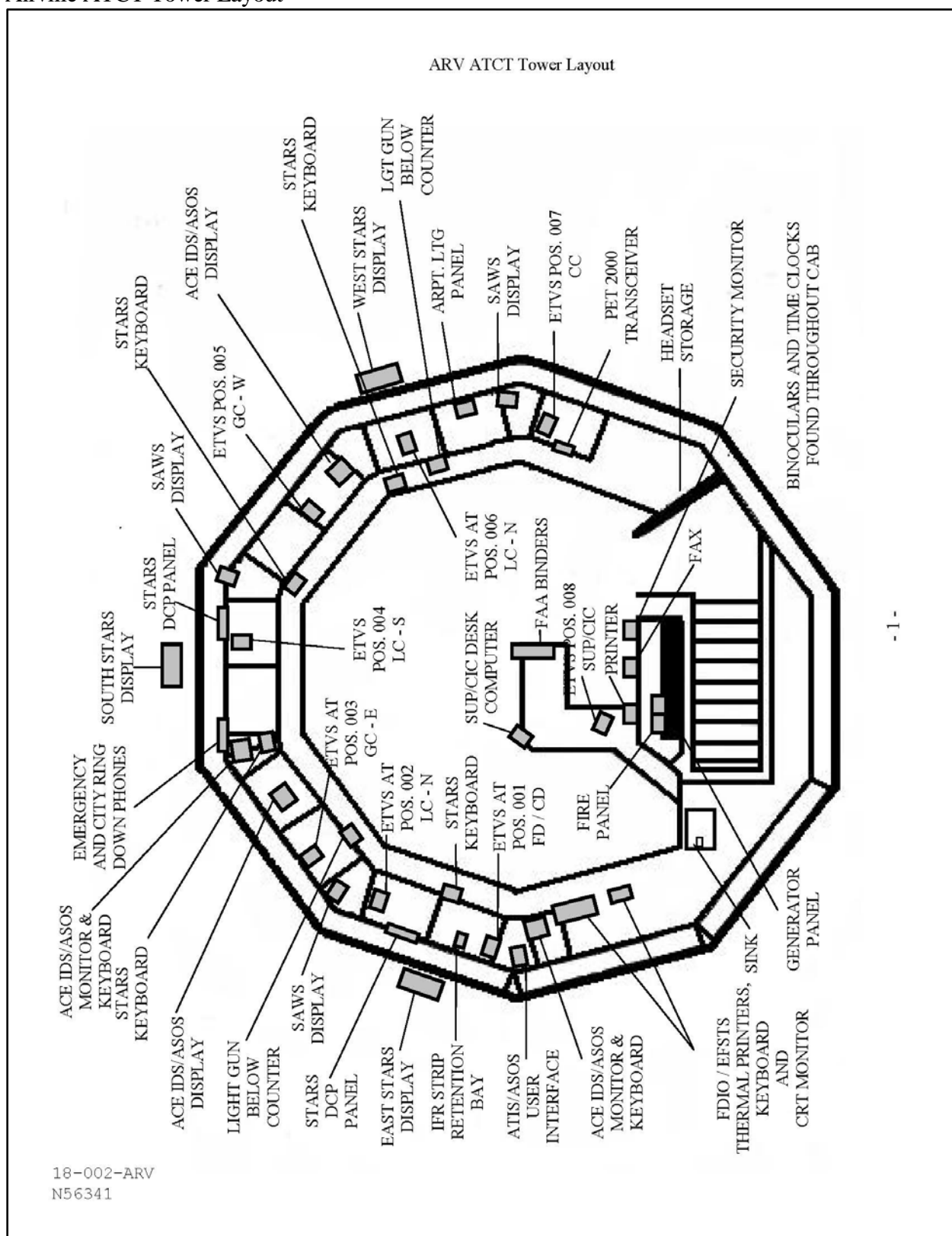
**B-11. Facility Layout Chart (Chapter 6, paragraph 3)**

Identify the facility depicted on the chart. If positions of operation are identified by other than traditional abbreviations, include a legend.

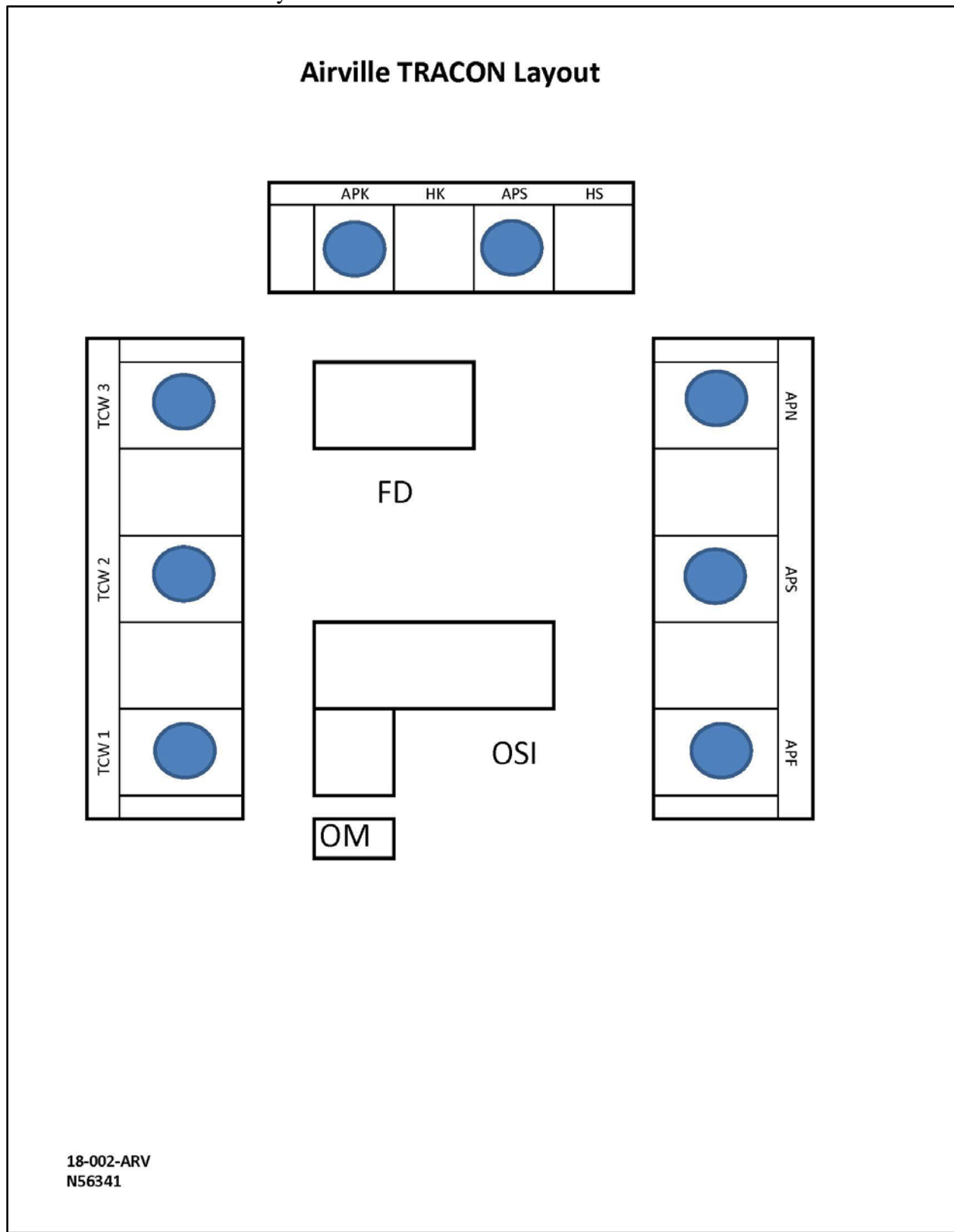
## Anchorage ARTCC Facility Layout



## Airville ATCT Tower Layout



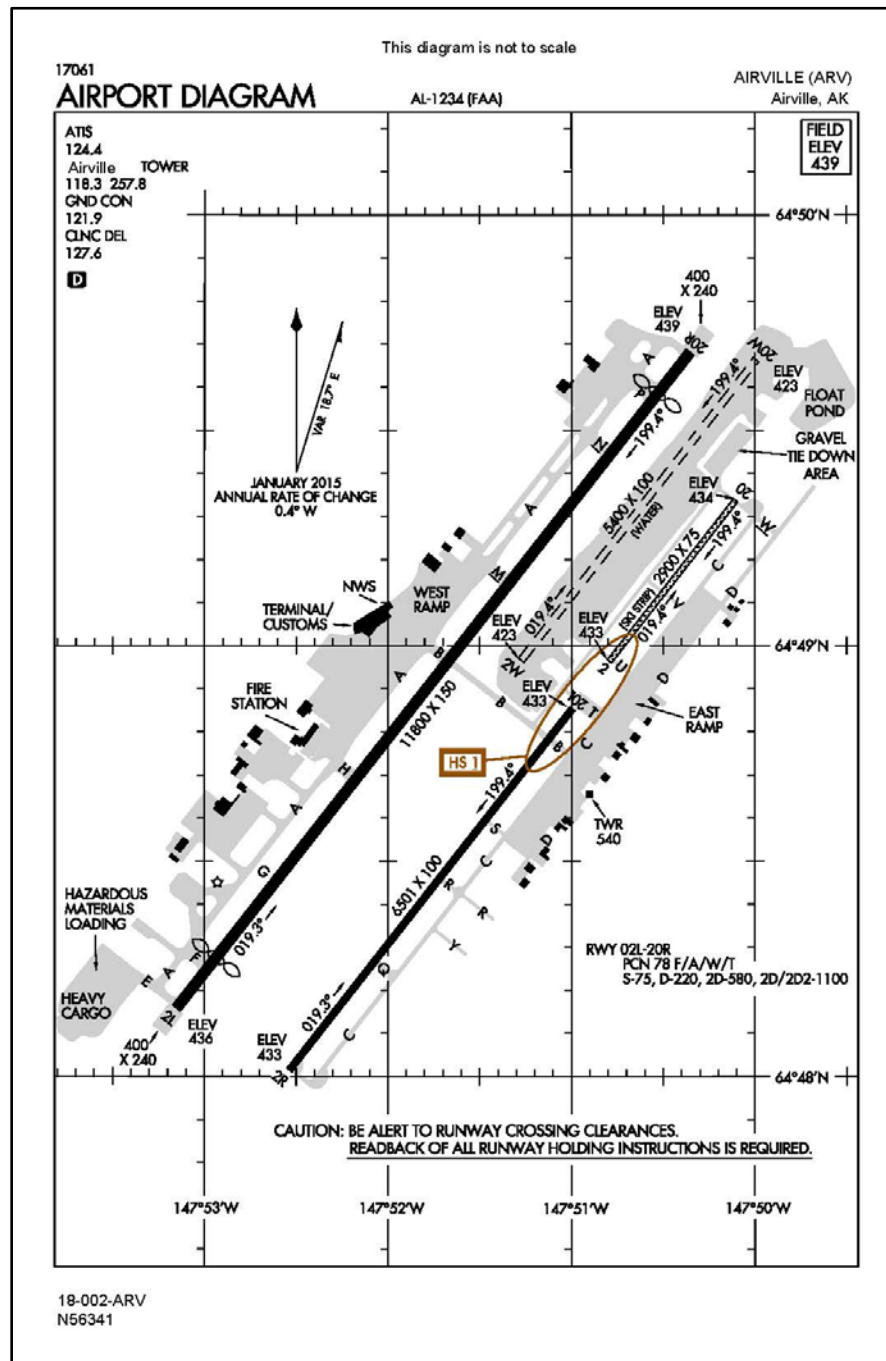
## Airville ATCT TRACON Layout



## B-12. Airport Diagram (Chapter 6, paragraph 3)

For all aircraft accidents on or within one mile of the airport property, provide an airport diagram current at the time of the aircraft accident. The airport diagram must include the name of the airport and, since printed or copied diagrams are not to scale, include the statement "this diagram not to scale" on the diagram. If able, use FAA-produced diagrams. The APG has the ability to automatically load the appropriate airport diagram for aircraft accidents within one mile of the airport if it is available.

**NOTE:** FAA diagrams are available at ([http://www.faa.gov/airports/runway\\_safety/diagrams/](http://www.faa.gov/airports/runway_safety/diagrams/))



**B-13. Flight Progress Strip(s) and/or In-Flight Contact Record(s) (Chapter 6, paragraph 3)**

Attach flight progress strips to the label produced through the APG. 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 the UTC date is completed at the top of the form.

**Anchorage ARTCC Flight Progress Strip**

<p align="center">Flight Progress Strip(s) FPS Anchorage ARTCC August 5, 2018 UTC</p>				
N56341 BE36/A G236 09 762		<del>130</del>	RV ARV	4551
			110	
	ARV			
18-002-ARV N56341				

## Airville ATCT Flight Progress Strip

Flight Progress Strip(s)  
FPS Airville ATCT August 5, 2018 UTC

N56341 BE36/A 175	4551	A0220	IFR	<del>80</del> 30			
	PHK						
	XYZ		ARV				

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N56341



**B-14. Transcription of Voice Recording(s) (Chapter 8, paragraph 2)**

Typewritten partial/full transcriptions must be prepared by all facilities when requested by the FAA IIC, the LSG, QCG, the Office of Chief Counsel, or the Flight Service Directorate.

Transcriptions must be inserted in chronological order beginning with the first facility/position having contact with the aircraft and then in order of involvement.

This is an example of partial transcripts that have been requested by the FAA IIC for the Airville Approach Control and Local Control positions. The transcripts were prepared by the LSG.



## Federal Aviation Administration

### Memorandum

Date: August 27, 2018

To: Aircraft Accident File 18-002-ARV

From: Airville Airport Traffic Control Tower

Subject: **INFORMATION:** Partial Transcript  
Aircraft Accident, N56341  
Airville, AK, August 05, 2018

This transcription covers the Airville Airport Traffic Control Tower (ATCT) AP AP position for the time period from February 05, 2018, 0648 UTC, to February 05, 2018, 0758 UTC.

I certify that the following is a true transcription of the recorded conversations pertaining to the subject Accident involving N56341.

MITCHELL R PALMER  
Digitally signed by  
MITCHELL R PALMER  
Date: 2018.08.27  
09:54:08 -05'00'

Ray Palmer  
Air Traffic Litigation Investigator  
Airville ATCT

#### Agencies Making Transmissions

Anchorage ARTCC  
Airville ATCT Approach Control  
N56341 (or BE36, N56341)  
Airville ATCT Cab Coordinator

#### Abbreviations

ZAN  
ARVAP  
N56341  
ARVCC

0648  
(0649-0716)  
0717

0718:00 ZAN airville anchorage handoff coordinator

0718:10 ARVAP approach go ahead

0718:12 ZAN handoff three zero miles east of airville november five  
six three four one

0718:40 ARVAP uh november five six three four one radar contact you can

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N56341

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keep him high if he likes did he request assistance

0718:42 ARVAP j s  
07190719:16 ZAN november five six three four one eight thousand your  
control for descent no assistant requested j m0720:00 N56341 airville approach november five six three four one with  
you at eight thousand a t i s charlie0720:26 ARVAP november five six three four one airville approach fly  
present heading vector visual approach runway two two  
left descend at pilot's discretion maintain three  
thousand report the field in sight

0721

0721:15 N56341 present heading pilot's discretion to three thousand  
november five six three four one

0722

0722:51 N56341 out of eight thousand november five six three four one  
approach there's oil on my windshield and the engine is  
running worse

0724

0724:19 ARVAP november fives six three four one roger when able say how  
many people on board and fuel remaining0724:27 N56341 uh two of us in the airplane uh one hour of fuel november  
fice six three four one0724:57 ARVAP tower approach  
0725

0725:04 ARVCC coordinator

0725:06 ARVAP one eight miles east november five six three four one  
emergency rough running engine oil loss two souls on  
board one hour fuel remaining requests a r f f standing  
by j s0725:25 ARVCC t s  
07260726:02 ARVAP november five six three four one can you see out your  
windshield18-002-ARV  
N56341

\*\*\*

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0726:11 N56341 yea i can see the oil only blocks part of my view

0726:19 ARVAP november five six three four one report the field in sight

0726:30 N56341 field's in sight november five six three four one

0726:40 ARVAP november five six three four one cleared visual approach  
runway two two left

0726:51 N56341 cleared visual approach (unintelligable) two two left  
november five six three four one

0727

0727:14 ARVAP november five six three four one contact tower one one  
eight point seven

0727:20 N56341 one one eight point seven november five six three four one  
0728  
(0729-0757)  
0758

End of Transcript

18-002-ARV  
N56341

\*\*\*



## Federal Aviation Administration

### Memorandum

Date: August 27, 2018

To: Aircraft Accident File 18-002-ARV

From: Airville Airport Traffic Control Tower

Subject: **INFORMATION:** Partial Transcript  
Aircraft Accident, N56341  
Airville, AK, August 05, 2018

This transcription covers the Airville Airport Traffic Control Tower (ATCT) LC LC position for the time period from February 05, 2018, 0658 UTC, to February 05, 2018, 0804 UTC.

I certify that the following is a true transcription of the recorded conversations pertaining to the subject Accident involving N56341.

MITCHELL R PALMER  
Digitally signed by  
MITCHELL R PALMER  
Date: 2018.08.27  
10:12:19 -05'00'

Ray Palmer  
Air Traffic Litigation Investigator  
Airville ATCT

#### Agencies Making Transmissions

N56341 (or BE36, N56341)  
Airville ATCT Local Control

#### Abbreviations

N56341  
ARVLC

0658  
(0659-0727)  
0728

0728:08 N56341 airville tower november five six three four one with you  
for runway two two left engine's running pretty rough

0728:20 ARVLC november five six three four one airville tower wind two  
two zero at seven altimeter two niner niner runway  
two two left cleared to land

0728:29 N56341 runway two two left cleared to land november five six  
three four one

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N56341

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0728:58      ARVLC      november five six three four one emergency equipment is  
standing by

0729:09      N56341      november five six three four one roger  
0730  
0731  
0731:01      N56341      tower my engine's quit

0731:09      ARVLC      november five six three four one roger wind two three zero  
at six  
0732

0732:50      ARVLC      november five six three four one radar contact lost  
emergency equipment one the way  
0733

0733:20      ARVLC      november five six three four one tower

0733:47      ARVLC      november five six three four one tower how do you hear  
0734  
(0735-0803)  
0804

End of Transcript

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N56341

\*\*\*

The example below is how FAA Form 8020-3 would look in the original aircraft accident package. The subsequent redacted example shows how FAA Form 8020-3 would look in every copy of the aircraft accident package.

[illegible]

## Redacted ARV ATCT FAA Form 8020-3

[illegible]



**B-16. Weather Products (Chapter 6, paragraph 3)**

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.

Example of Weather Products from ZAN.

**Type: SIGMET Hazard: CONVECTIVE**

WSUS32 KPCI 101555  
SIGC  
CONVECTIVE SIGMET 62C  
VALID UNTIL 1755Z  
IL IA  
FROM 40SE DBQ-BDF-10SE IOW-40SE DBQ  
AREA TS MOV FROM 27030KT. TOPS TO FL360.

OUTLOOK VALID 101755-102155  
FROM ONL-ORD-AXC-IRK-RZC-ADM-CME-RSK-ONL  
WST ISSUANCES EXPD. REFER TO MOST RECENT ACUS01 KWNS FROM STORM  
PREDICTION CENTER FOR SYNOPSIS AND METEOROLOGICAL DETAILS.

---

**Type: SIGMET Hazard: CONVECTIVE**

WSUS32 KPCI 101555  
SIGC  
CONVECTIVE SIGMET 63C  
VALID UNTIL 1755Z  
OK KS  
FROM 70ENE ICT-40E END-70WNW ICT-70ENE ICT  
AREA TS MOV FROM 23030KT. TOPS ABV FL450.

OUTLOOK VALID 101755-102155  
FROM ONL-ORD-AXC-IRK-RZC-ADM-CME-RSK-ONL  
WST ISSUANCES EXPD. REFER TO MOST RECENT ACUS01 KWNS FROM STORM  
PREDICTION CENTER FOR SYNOPSIS AND METEOROLOGICAL DETAILS.

I certify the attached copy of the SIGMETs originated from the Anchorage Center Weather Service Unit on August 5, 2018 is an accurate copy of the original.

*Steve Rowley*

Steve Rowley  
Manager, Anchorage ARTCC

18-002-ARV  
N56341

Example of Weather Products from ARV ATCT.

Airville ATCT

Weather Products 08/05/18

"I certify the attached copy of the METARs and TAF originated from APG-link to archived weather is an accurate copy of the original."

METAR PARV 051253Z AUTO 11010KT 2SM SN BKN020 BKN026 OVC045 M3/M7 3025

METAR PARV 051353Z AUTO 11010KT 3SM SN BKN020 BKN028 OVC041 M2/M3 3026

*Lori Martinovich*

Lori Martinovich  
ARV Quality Control Specialist

18-002-ARV  
N56341

## Example of Weather Products from ARV ATCT

## Airville ATCT

Weather Products 08/05/18

"I certify the attached copy of the Bering Sea/West Aleutians Area Forecast originated from APG-link to archived weather is an accurate copy of the original."

FAAK68 PAWU 241940  
FAST  
ANCT FA 241945  
AK SRN HLF EXCP SE...

\*  
AIRMETS VALID UNTIL 250200  
TS IMPLY POSSIBLE SEV OR GREATER TURB SEV ICE LLWS AND IFR CONDS.  
NON MSL HEIGHTS NOTED BY AGL OR CIG.

\*  
**ADAK TO ATTU AK...VALID UNTIL 250800**  
**...CLOUDS/WX...**  
SCT025 BKN045 TOPS 070.  
ISOL BKN025 -SHRA.  
OTLK VALID 310800-311400...MVFR CIG SHRA.  
**...TURB...**  
NIL SIG.  
**...ICE AND FZLVL...**  
NIL SIG. FZLVL 015.

\*  
**PRIBILOF ISLANDS AND SOUTHEAST BERING SEA AL...VALID UNTIL 250800**  
**...CLOUDS/WX...**  
SCT015 BKN025 TOP 050 LYRS ABV TO FL200.  
OCNL SCT008 BKN015 VIS 4SM -SHRA.  
OTLK VALID 250800-251400...MVFR CIG SHRA.  
**...TURB...**  
NIL SIG.  
**...ICE AND FZLVL...**  
NIL SIG. FZLVL 015.  
\*  
AAWU SEP 2013 AAWU

*Lori Martinovich*

Lori Martinovich  
ARV Quality Control Specialist

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N56341

**B-17. NOTAMs (Chapter 6, paragraph 3)**

Non-published NOTAMs are of a temporary nature, like Temporary Flight Restrictions (TFRs). NOTAMs or aeronautical information of an extended nature are published in the NTAP.

Include all published and non-published applicable NOTAMs.

**B-18. FAA Form(s) 7233-2, Preflight Briefing Log, or automated equivalent (Chapter 6, paragraph 3)**

If included, type the facility name and date on each page.

**B-19. FAA Form(s) 7233-1 Flight Plan, or automated equivalent (Chapter 6, para 3)**

If included, enter the name of the facility that accepted the FAA Form 7233-1 at the top of the page. Make sure 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.

**B-20. Other (Chapter 6, paragraph 3)**

Include any other materials deemed pertinent. The APG will automatically generate a UTC conversion chart. (This chart is not mandatory for those who do not use the APG.)

If personnel statements are completed for aircraft accidents they should be placed in this section.

## Example of a UTC Time Conversion Chart

UTC (Zulu) Time Conversion Chart							
UTC (Zulu)	PST/ ALDT	PDT/ MST	MDT/ CST	CDT/ EST	EDT/ AST	ALST	HST
0000*	1600	1700	1800	1900	2000	1500	1400
0100	1700	1800	1900	2000	2100	1600	1500
0200	1800	1900	2000	2100	2200	1700	1600
0300	1900	2000	2100	2200	2300	1800	1700
0400	2000	2100	2200	2300	0000*	1900	1800
0500	2100	2200	2300	0000*	0100	2000	1900
0600	2200	2300	0000*	0100	0200	2100	2000
0700	2300	0000*	0100	0200	0300	2200	2100
0800	0000*	0100	0200	0300	0400	2300	2200
0900	0100	0200	0300	0400	0500	0000*	2300
1000	0200	0300	0400	0500	0600	0100	0000*
1100	0300	0400	0500	0600	0700	0200	0100
1200	0400	0500	0600	0700	0800	0300	0200
1300	0500	0600	0700	0800	0900	0400	0300
1400	0600	0700	0800	0900	1000	0500	0400
1500	0700	0800	0900	1000	1100	0600	0500
1600	0800	0900	1000	1100	1200	0700	0600
1700	0900	1000	1100	1200	1300	0800	0700
1800	1000	1100	1200	1300	1400	0900	0800
1900	1100	1200	1300	1400	1500	1000	0900
2000	1200	1300	1400	1500	1600	1100	1000
2100	1300	1400	1500	1600	1700	1200	1100
2200	1400	1500	1600	1700	1800	1300	1200
2300	1500	1600	1700	1800	1900	1400	1300
2400	1600	1700	1800	1900	2000	1500	1400

The time \*0000 and 2400 are interchangeable. The time 2400 is associated with the date of the day ending, and 0000 with the day just starting.

**UTC** = Coordinated Universal Time, or Zulu  
**PST** = Pacific Standard Time (UTC - 8 hours)  
**ALDT** = Alaskan Daylight Time (UTC - 8 hours)  
**PDT** = Pacific Daylight Time (UTC - 7 hours)  
**MST** = Mountain Standard Time (UTC - 7 hours)  
**MDT** = Mountain Daylight Time (UTC - 6 hours)  
**CST** = Central Standard Time (UTC - 6 hours)  
**CDT** = Central Daylight Time (UTC - 5 hours)  
**EST** = Eastern Standard Time (UTC - 5 hours)  
**EDT** = Eastern Daylight Time (UTC - 4 hours)  
**AST** = Atlantic Standard Time (UTC - 4 hours)  
**ALST** = Alaskan Standard Time (UTC - 9 hours)  
**HST** = Hawaiian Standard Time (UTC - 10 hours)

18-002-ARV

N56341

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION PERSONNEL STATEMENT		1. Name of Reporting Facility: Airville ATCT	2. Report Number: 18-002-ARV
4. Location of Occurrence: Airville, AK		3. Aircraft Identification and Type: N56341, BE36	
6. Name (Operating Initials): Andrea Lee Bird (AB)		7. Title: ATCS	5. Date & Time of Occurrence (UTC): August 05, 2018, 0233 UTC
8. Position and Time (UTC): LC LC 0158-0300 UTC			
9. Complete in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, Paragraph 91, FAA Form 8020-26, Personnel Statements. The purpose of this statement is to provide any facts within your personal knowledge that will provide a complete understanding of the circumstances surrounding this occurrence. Speculations, hearsay, opinions, conclusions, and/or other extraneous data are not to be included in this statement. This statement may be released to the public through The Freedom of Information Act or litigation activities including pretrial discovery, depositions, and actual court testimony. This statement is to be hand 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.			
10. Text of Statement:		<input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> SUPPLEMENTAL	
11. Signature: Andrea Bird <i>Andrea Bird</i>		12. Date of Signature: <i>2/5/18</i>	

FAA Form 8020-26 (4-17) Supersedes Previous Edition Electronic Version \*\*\*

18-002-ARV

N56341

**B-21. Changes to the Aircraft Accident Package after the Package was Released. (Chapter 6, paragraph 7)**

Should corrections to the FAA or FCF aircraft accident package become necessary, all changes must be distributed in the same manner as outlined in Chapter 6, paragraph 5. A memorandum from the facility manager or acting manager must accompany any change with a complete explanation of the change.



**Federal Aviation  
Administration**

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**Memorandum**

Date: November 3, 2018  
 To: Aircraft Accident File 18-002-ARV  
*Matthew Chance*  
 From: Matthew Chance  
 Manager, Airville Airport Traffic Control Tower  
 Subject: **INFORMATION:** Change to Aircraft Accident Package,  
 Aircraft Accident, N56341  
 Airville, AK, August 5, 2018

---

I certify that the following NOTAMS were not originally in the accident package. This memo reflects that the accident package has been changed to add these NOTAMS:

PARV Airville Airport

F0018/13 – [DEFENSE LOGISTICS AGENCY – ENERGY ADVISORY] FUEL  
 AVAILABILITY: CONTRACT FUEL UNDER DLA ENERGY CONTRACT SMA500-13-D-  
 0045 IS NOT AVAILABLE AT PARV, AIRVILLE AIRPORT, AIRVILLE, AK DUE TO THE  
 CONTRACTOR NO LONGER SERVICING THIS LOCATION. NON-CONTRACT FUEL IS  
 AVAILABLE WITH ADVANCED AVIATION TECHNOLOGIES, INC.

QUESTIONS PLEASE CONTACT WILSON RUNNER AT 202-111-3333 09 SEP 20:00 2013  
 UNTIL 02 DEC 15:00 2013. CREATED: 05 AUG 18:57 2013

**KFDC FDC**

**FDC 4/0811** - ...SPECIAL NOTICE...

THIS IS A RESTATEMENT OF A PREVIOUSLY ISSUED ADVISORY NOTICE.  
 IN THE INTEREST OF NATIONAL SECURITY AND TO THE EXTENT PRACTICABLE,  
 PILOTS ARE STRONGLY ADVISED TO AVOID THE AIRSPACE ABOVE, OR IN  
 PROXIMITY TO SUCH SITES AS POWER PLANTS (NUCLEAR, HYDRO-ELECTRIC, OR  
 COAL), DAMS, REFINERIES, INDUSTRIAL COMPLEXES, MILITARY FACILITIES  
 AND OTHER SIMILAR FACILITIES. PILOTS SHOULD NOT CIRCLE AS TO LOITER  
 IN THE VICINITY OVER THESE TYPES OF FACILITIES. WIE UNTIL UFN. CREATED:  
 05AUG 18:22 2004

18-002-ARV  
 N56341

### Appendix C. Cassette Tape and Computer Diskette – Recordable (CD-R) and Digital Versatile Disc (DVD) Labeling

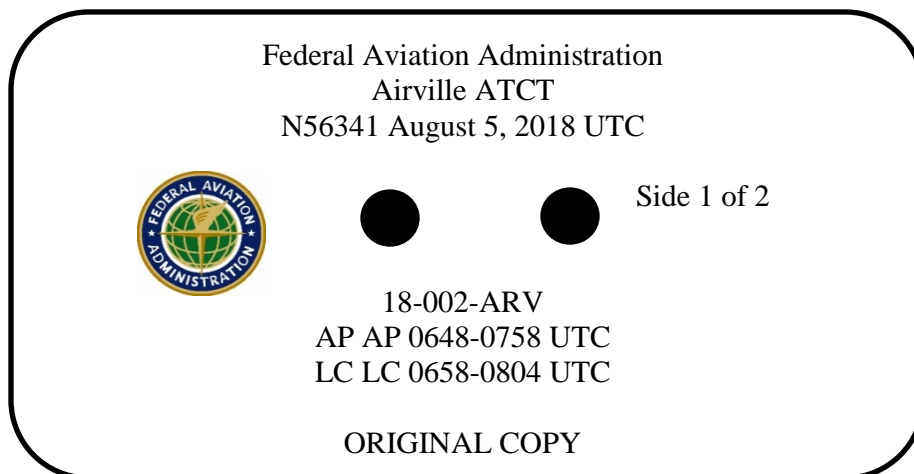
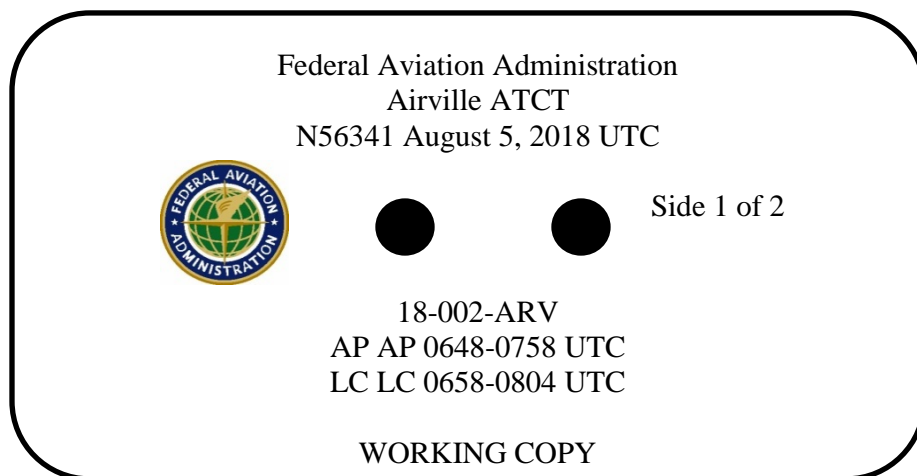
All the cassette tapes/CD-Rs/DVDs on which the voice recordings are made must be marked clearly with the aircraft accident number, aircraft identification, the UTC date of the occurrence, facility name, and position with the UTC times encompassing each recording. All cassette tapes/CD-Rs/DVDs must be checked to ensure adequate quality of the voice and time channel recordings.

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

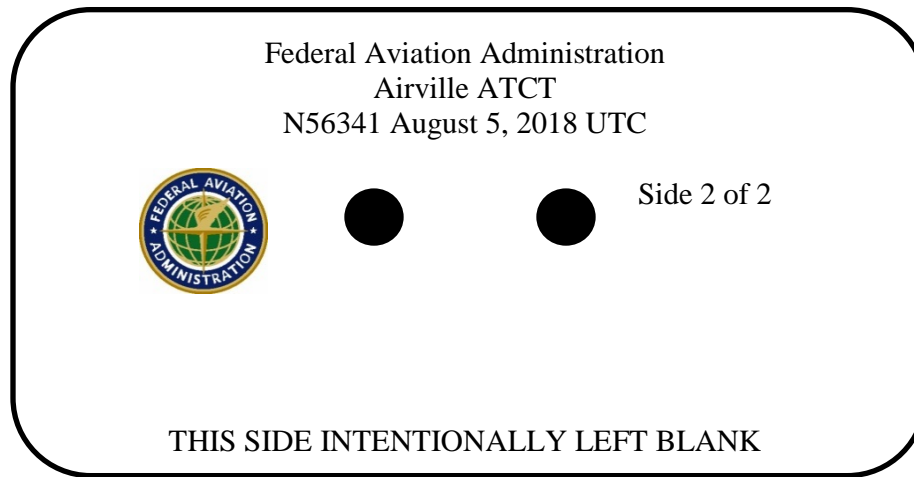
**NOTE:** The following pages have examples of how labeling may be done. These illustrations are not intended to be directory in nature. This is only one method; yours may differ as long as you have the required information on the label you will be in compliance.

**FIGURE C-1**

#### Examples of Cassette Tape Labeling

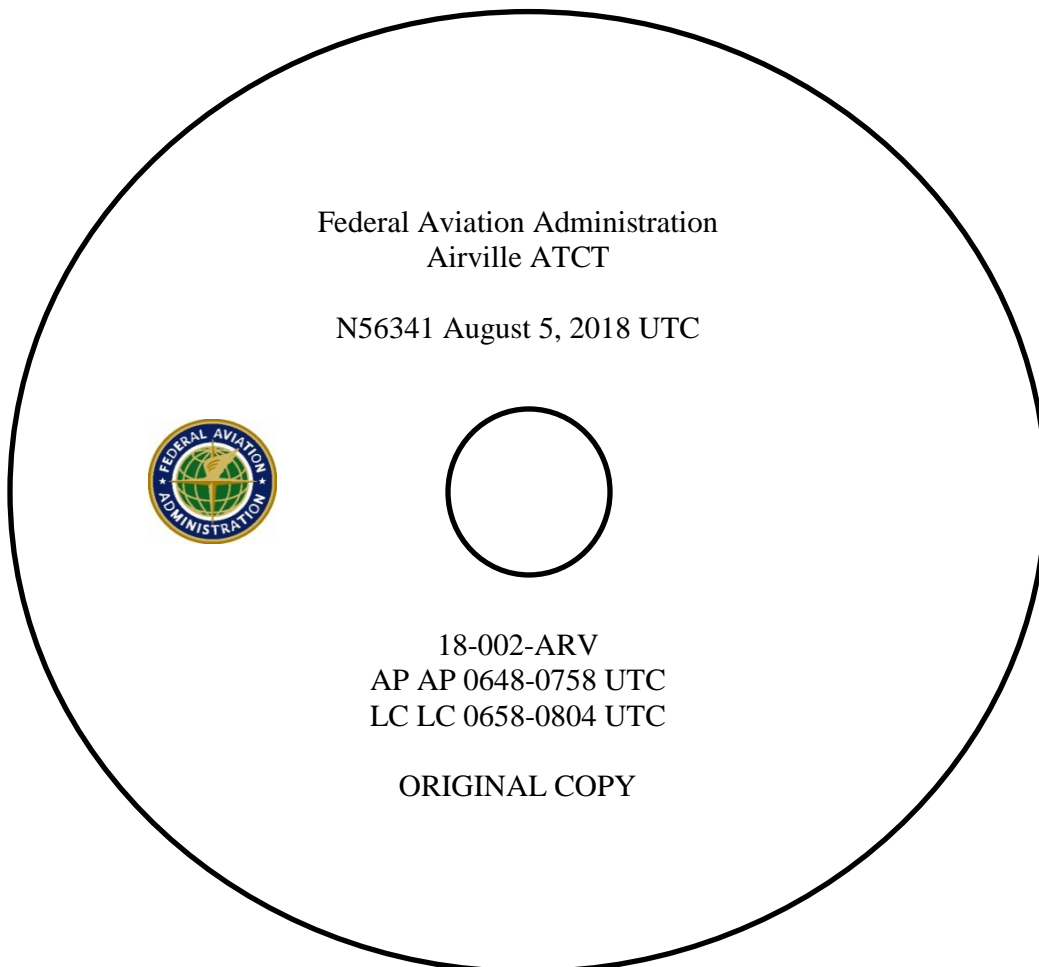






**FIGURE C-2**

**Example of CD-R/DVD Labeling**



### **Appendix D. Original Documentation Transfer**

The proper security, retention, and disposal of aircraft accident and aircraft incident files are the responsibility of the facility manager. Keep the file and any original documents it contains in a secure filing cabinet. Document the removal, destruction, and/or transfer of any documents or other data contained within the original aircraft accident or aircraft incident file. The facility must obtain written instructions (that is, chain-of-custody) before the release of documents or other data contained within the file. The chain-of-custody, at a minimum, will contain the name, title, position, telephone number, date, and signature of the person releasing custody and the name, title, position, telephone number, date, and signature of the person accepting custody of the documents, etc. Retain the original chain-of-custody document in the aircraft accident or aircraft incident file. When transferring custody, it is best to do this in person, however, when impracticable, use an approved overnight delivery service with signature of the person accepting delivery.

**FIGURE D-1****Example of Original Documentation**

## Federal Aviation Administration

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### Memorandum

Date: December 7, 2018

To: Matthew Chance, Manager, Airville Airport Traffic Control Tower, TEJ-ARV  
Thru: Jonathan Archer, Director, ATO Western Service Center, AJV-W

*John Mullen*

From: John Mullen, Group Manager, ATO Safety and Technical Training, Litigation  
Support, AJI-17

Subject: **ACTION:** Original Documentation Transfer  
Aircraft Accident, N56341  
Airville, AK, August 5, 2018

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In accordance with the Federal Aviation Administration Order 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, the transfer of any documents or other data contained within the original aircraft accident or aircraft incident file must be documented. Your office has been identified as the office of primary interest for the following items.

Please forward the following:

1. The original aircraft accident package.
2. The original voice recordings and all copies.
3. The original continuous data recording time selected output (CDTSO).

If the requested documentation, letters, correspondence, notes, records, photographs, recordings and/or copies of recordings, bulletins, notices, data, information, charts, diagrams, drawings, and/or other miscellaneous items cannot be produced, then please provide a written verification by the party who conducted the search verifying that a reasonably diligent search was performed. This verification must identify the name of the person that conducted the search. If, however, it is known that the data or material has been destroyed, please provide the appropriate order or authority that allowed the destruction of the requested data or material. Be specific.

This documentation, etc., must be sent directly to this office from the facility via overnight delivery with signature required for delivery. This will ensure a proper chain-of-custody and provide a record

should something be misplaced during the process. Please have the files forwarded to the attention of John Mullen at:

(Enter the address)