CHANGE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy

JO 8020.16E
CHG 2

Effective Date:
09/22/2025

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

1. Purpose of This Change. This change transmits revised pages to Federal Aviation Administration (FAA) Order JO 8020.16E, *Air Traffic Organization Aircraft Accident and Aircraft Incident Notification, Investigation, and Reporting*.

2. Audience. This change applies to all Air Traffic Organization (ATO) employees and anyone using ATO directives to support activities associated with aircraft accident and aircraft incident notification, investigation, reporting, and documentation.

3. Where Can I Find This Change? This change is available on the FAA website at https://employees.faa.gov/tools_resources/orders_notices/ and on the air traffic publications website at https://www.faa.gov/air_traffic/publications.

4. Explanation of Changes. Chapter 10, paragraph 3, Aircraft Accident File, was changed to require FAA facilities to upload audio recordings and radar files into the Accident Package Generator (APG) as a part of the aircraft accident file/package assembly.

5. Distribution. This change is distributed to the following ATO service units: Air Traffic Services; Technical Operations; Mission Support; System Operations Services; Safety and Technical Training; Flight Program Operations; the Air Traffic Safety Oversight Service; the William J. Hughes Technical Center; and the Mike Monroney Aeronautical Center.

6. Background. The ATO is moving toward an electronic accident package. The initial phase of development was the web-based APG. The next steps will be cloud storage of all data removing the requirement for facilities to store data. The initial phase of cloud storage will be facilities uploading copies of audio and radar data. This will allow the process to be verified and improvement to be made prior to transitioning to a completely electronic package.

7. Disposition of Transmittal. Retain this transmittal until it is superseded by a new basic order.

8. Page Control Chart. See below.

PAGE CHANGE CONTROL CHART

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CHANGE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy

JO 8020.16E
CHG 1

Effective Date:
09/23/2024

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

1. Purpose of this Change. This change transmits revised pages to JO 8020.16E, *Air Traffic Organization Aircraft Accident and Aircraft Incident Notification, Investigation, and Reporting*.

2. Audience. This change applies to all Air Traffic Organization (ATO) employees and anyone using ATO directives to support activities associated with aircraft accident and incident notification, investigation, reporting, and documentation.

3. Where Can I Find This Change? This change is available on the Federal Aviation Administration website at https://employees.faa.gov/tools_resources/orders_notices/ and on the air traffic publications website at https://www.faa.gov/air_traffic/publications.

4. Explanation of Changes.

a. Chapter 8, paragraph 1, Radar Data Collection was changed to clarify that Playback Workstation (SkyRec) files are only retained for positions having pertinent services.

b. Chapter 8, paragraph 1.d.(5), no longer refers to Airport Movement Safety Area System (AMASS) and Terminal Automation Interface Unit (TAIU) data.

c. Changed Chapter 8, paragraph 1.d.(5)(c) to "Airport Surface Surveillance Capability (ASSC) – Extract ASSC logs and retain applicable radar map(s) current at the time of the aircraft accident or occurrence."

d. Removed the current Sample Technical Performance Record (PAPI) in Chapter 14 and added Appendix E with updated examples to include Glideslope, Localizer, Medium Intensity Approach Light Setting with RAIL and runway-End Identifier Lights.

e. FAA Form 8020-3, Facility Aircraft Accident/Incident Notification Record, was updated to remove the statement, "Accidents requiring telephone notification to Washington shall be made immediately following notification for emergency equipment and/or search and rescue."

5. Distribution. This change is distributed to the following ATO service units: Air Traffic Services; Technical Operations; Mission Support Services; System Operations; Safety and Technical Training; Flight Program Operations; the Air Traffic Safety Oversight Service; the William J. Hughes Technical Center; and the Mike Monroney Aeronautical Center.

6. Background. FAA Order JO 8020.16E became effective on January 12, 2024. The requirement in Chapter 8, paragraph 1.d.(2)(d) did not limit the retention of Playback Workstation (SkyRec) files to positions having pertinent services. Retaining Playback Workstation (SkyRec) files for all En Route Automation Modernization (ERAM) positions involved in an aircraft accident is unnecessary and creates additional workload for ERAM equipped air traffic facilities.

AMASS and TAIU have been removed from all sites, and documentation is in progress for decommissioning. References to these systems were removed and replaced with references to ASSC.

Additionally, the statement, "Accidents requiring telephone notification to Washington shall be made immediately following notification for emergency equipment and/or search and rescue" was incorrectly included on FAA Form 8020-3.

7. Disposition of Transmittal. Retain this transmittal until it is superseded by a new basic order.

8. Page Control Chart. See below.

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U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy

ORDER NUMBER JO 8020.16E

Effective Date:
01/12/2024

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, reporting, and documentation. It provides direction and guidance to ATO service units, service centers, service areas, offices, and facilities when they are called upon to perform or support 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 8020.16D, *Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting*, dated November 15, 2021.

This ATO order has been written in harmonization with FAA Order 8020.11, *Aircraft Accident and Incident Notification, Investigation, and Reporting*, and describes specifically the ATO's roles and responsibilities in aircraft accidents, aircraft incidents, and occurrences as they pertain to notification, investigation, reporting, and data retention.

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Explanation of Changes

Direct questions through the appropriate facility/service center office staff to the Safety and Technical Training (AJI) Air Traffic Organization (ATO) Litigation Group (AJI-17). The explanation of changes provides background information, details of changes made for consistency, and paragraph changes detailed by chapter.

The *Purpose of the Order* was changed to read, "This order establishes Federal Aviation Administration (FAA) Air Traffic Organization (ATO) procedures and responsibilities for aircraft accident and incident notification, investigation, reporting, and documentation." The words "and documentation" were added to include the accident package and file process.

a. The four major goals for the changes to the order are:

(1) Provide consistency between FAA Order JO 8020.16E and the Accident Package Generator (APG).

(2) Change the layout of the order to place chapters in the following sequence:

- General Information
- ATO Elements Involved in Notification, Investigation, and Reporting
- Definitions and Terms
- Initial Notification and Reporting Responsibilities
- FAA Forms 8020-3, 8020-6, 8020-9, 8020-11, and 8020-26
- Aircraft Accident File/Package Process
- Voice Recordings and Transcripts
- Radar Data Collection, Radar/Computer/Weather Certification, and Radar Replay
- Review of Services and Review of Services Memorandum
- Aircraft Accident File/Package Development and Distribution
- Retention of Aircraft Accident Files
- Reporting and Notification Responsibilities for Pilot/Vehicle/Pedestrian Deviations
- Data Provided in Support of Pilot/Vehicle/Pedestrian Deviations and Air Traffic Occurrences
- Technical Operations Aircraft Accident Investigation Responsibilities
- Freedom of Information Act (FOIA) Request for Aircraft Accident/Incident and Occurrence Documents

(3) Reduce the amount of voice and radar data retained for aircraft accidents. The requirement to retain 30 minutes of voice and radar data before initial contact and after last

contact was changed to 15 minutes. This provides consistency with the data retained for pilot deviations and other air traffic incidents.

(4) Eliminate duplicate requirements throughout the order. Once a requirement is stated the reader will be referred to that paragraph, when necessary, throughout the order.

b. Some general changes made throughout the order are listed below:

- Changed Litigation Support Group (LSG) to ATO Litigation Group (AJI-17).
- Changed Quality Assurance Group (QAG) to Service Area Safety Groups.
- Changed Notice to Airmen (NOTAM) to Notice to Air Mission (NOTAM).
- Changed Front Line Managers (FLM) to Operations Supervisor (OS).
- Removed references to the Compliance Services Group (CSG) and replaced with the Safety Intelligence and Response Group (SIRG) or Joint Air Traffic Operations Command (JATOC) Safety Event Network (JSEN) as appropriate.

1. Chapter 1. General.

a. This chapter contains several general paragraphs required for all FAA orders. Of special interest is Chapter 1, paragraph 7, which points readers to Chapter 3 where terms and definitions used in the order can be found.

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

a. All elements covered in FAA Order 8020.11, *Aircraft Accident and Incident Notification, Investigation, and Reporting*, were removed from FAA Order JO 8020.16D. Responsibilities for the Safety and Technical Training, SIRG, Operations Centers, Safety Group, ATO Litigation Group, Quality Control Group, Technical Operations, and Flight Program Operations are included.

b. Safety and Intelligence Group notification details in Chapter 3, paragraph 3, were moved to Chapter 2, paragraph 1.

c. Chapter 3, paragraphs 3 and 4 Regional Operations Center (ROC) and Washington Operations Center (WOC) responsibilities were moved to Chapter 2, paragraph 2.

3. Chapter 3. Definitions and Terms.

a. This chapter defines terms and definitions that are necessary for understanding and applying the requirements of the order. This chapter defines the following:

- The difference in an aircraft accident file and aircraft accident package.
- Call sign / aircraft identification as used in this order.
- The difference in pertinent and routine services.
- The difference in extracted and retained data.
- The difference in a holding and supporting facility.

- An aircraft accident to include the definition of serious injury and substantial damage.
- An unmanned aircraft system accident.

b. Four changes were made to this chapter:

(1) The paragraph for “Definitions” was placed before the paragraph for “Terms.”

(2) The definition of an ALNOT was moved from the “Terms” paragraph to the “Definitions” paragraph.

(3) Expanded the definition of Federal Contract Facilities to include the requirements from Chapter 3, paragraph 2 of FAA Order JO 8020.16D.

(4) Added the definition of an air traffic incident.

c. The following definitions and terms were updated:

- Air Navigation Facility
- Aircraft
- Aircraft Accident
- Aircraft Incident
- Mandatory Occurrence Report (MOR)
- Pertinent Services
- Pilot Deviation
- Routine Services
- Substantial Damage
- Unmanned Aircraft System (UAS)
- UAS Accident

4. Chapter 4. Initial Notification and Reporting Responsibilities.

a. This chapter is broken down into three major areas: what to report, when to report, and how to report.

b. FAA Order JO 8020.16D Chapter 3, paragraph 2 was moved to Chapter 3, paragraph 1k.

c. FAA Order JO 8020.16D Chapter 3, paragraphs 3 and 4 were moved to Chapter 2, paragraph 2.

d. FAA Order JO 8020.16D Chapter 3 paragraph 5b(3)(e) moved the statement, “Immediately notify the JSEN by telephone, in accordance with FAA Order JO 1030.3, if the incident is noteworthy or significant” under Chapter 4 paragraph 2b(2)(a) and (3)(a).

e. In paragraph 2b(3)(d) the requirement to include the call sign of the aircraft when making an entry on FAA Form 7230-4, Daily Record of Facility Operation, for an aircraft accident was added.

f. Numerous editorial changes were made to the chapter.

5. Chapter 5. FAA Forms 8020-3, 8020-6, 8020-9, 8020-11, and 8020-26.

a. Paragraph 2b(15)(e) added two NOTES to clarify a person observing the aircraft accident on radar and/or other surveillance tool does not qualify as an eyewitness to the accident, and if there is an eyewitness, a brief factual description of what was observed must be included when completing FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet).

b. Paragraph 2b(17) added the requirement to "Type all entries using the standard capitalization of an English sentence, with the first letter uppercase and subsequent letter lowercase with exceptions such as proper nouns or acronyms."

c. Paragraph 4a, "If requested by the Flight Standards District Office (FSDO), ATO Litigation Group, QCG, Flight Service Directorate, or JSEN, complete FAA Form 8020-11, Incident Report, for selected aircraft incidents," was moved under the paragraph heading.

6. Chapter 6. Aircraft Accident File/Package Process.

a. The Review of Services and Review of Services Memorandum information was removed from this chapter and placed in Chapter 9.

b. The following was added to Chapter 6, paragraph 1 to clarify air traffic services as defined in this order:

(1) When an aircraft accident occurs, an aircraft accident file/package is required when air traffic services were provided. Air traffic services as defined in this order include services provided for the purpose of:

(a) Preventing collisions between aircraft and on the maneuvering area between aircraft and obstructions.

(b) Providing a safe, orderly, and expeditious flow of air traffic to include additional services as defined in FAA Order JO 7110.65.

(c) Supporting National Security and Homeland Defense missions.

(d) Providing emergency assistance to include contacting emergency services and emergency equipment (e.g., Airport Emergency Equipment, 911, Sheriff's Office, City Police, Search and Rescue.)

(e) Providing Flight Information Service.

NOTE: *For the purposes of this order an En Route facility that issued an ALNOT is NOT considered to have provided air traffic services if the ALNOT issuance was their only involvement.*

c. This chapter defines the initial aircraft accident file/package process to include the following:

(1) The initial notification of the requirement for a facility to develop an aircraft accident file/package. Facilities are defined as Holding and Support Facilities and services are defined as Routine or Pertinent.

(2) The method for determining the facility responsible for final data collection.

(3) Holding and support facilities initial responsibilities.

(4) Data flow between facilities. FAA facilities DO NOT submit data to Federal Contract Facilities (FCFs). FCFs DO NOT submit data to FAA facilities or other vendor FCFs.

(5) Requirements for data collection from a facility that has air traffic data but did not provide Air Traffic Control (ATC) services.

d. In paragraph 3a the distinction between a holding facility with pertinent services and a holding facility with routing services was defined by adding paragraphs 3a(1)(a) and 3a(1)(b).

e. In paragraph 4 changed the word “data” to the word “documents.”

f. Removed paragraph 6f “Joint Air Traffic Operations Command (JATOC)” and paragraph 6g “Domestic Events Network (DEN).”

7. Chapter 7. Voice Recordings and Transcripts.

a. Instructions are provided for preparing voice recordings and partial/full transcripts. Prepare partial/full transcriptions when requested by the FAA Investigator In-Charge (IIC), ATO Litigation Group, Quality Control Group (QCG), Office of the Chief Counsel, or Flight Service Directorate.

b. Changed paragraph 1a(3) to read “Certified copies of the recording must include all communications, including time track, relevant to the aircraft accident from the period beginning 15 minutes before the initial contact and ending 15 minutes after last contact (Federal Contract Flight Services Station (FCFSS) facilities do not need to include any time before initial contact or after last contact).” Removed the NOTE following the paragraph.

c. Added the following NOTE after paragraph 1a(10):

NOTE: *Storage media must only contain data from a single aircraft accident, aircraft incident, or occurrence.*

d. Added National Airspace System (NAS) Voice Recorder (NVR) to paragraph 1b.

e. Removed the statement, “Part-time facilities should not turn off the Digital Audio Legal Recorder (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” from

paragraph 1b(1) as this is an FAA Order JO 7210.3, *Facility Operation and Administration*, requirement.

f. Added the JSEN to paragraphs 2a and 2b.

g. Changed paragraph 2f to read "A partial transcript must contain all recorded communication about the subject aircraft. Unless advised otherwise, partial transcripts include 15 minutes before initial contact until 15 minutes after the last contact (see Chapter 7, paragraph 1)."

h. Added "or appropriate incident number" to paragraph 2g(1)(b).

8. Chapter 8. Radar Data Collection, Radar/Computer/Weather Certification, and Radar Replay.

a. This chapter defines the requirements for the collection and certification of radar, computer, and weather data. Efforts were made to adequately define the requirement for radar data retention, but it is important to keep in mind the overriding requirement is "Retain radar and automation data necessary to recreate the event on the automation platform that recorded the data."

b. Paragraph 1a clarified that radar and audio data start/stop timeframes must match in the Standard Terminal Automation Replacement System environments. In En Route Automation Modernization environments the radar time must encompass the start and end times of the audio data.

c. Changed paragraph 2a to read "Facilities providing radar data, but no voice data, must coordinate with the QCG for the time period of the radar data."

d. Paragraph 1b was split into two paragraphs for better clarity.

e. In paragraph 1d examples of file names for various radar files were added.

f. In paragraph 1d(2) a separate paragraph for System Analysis Recording files, radar files, and Playback Workstation files was written.

g. Changed paragraph 4 to read "When a presentation is produced from raw data or extracted data, accompany the presentation with the name of the producer, the date made, the data used, and 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/Snag-It, also require production credits."

9. Chapter 9. Review of Services and the Review of Services Memorandum.

a. Chapter 9 is a new chapter detailing the requirements for a review of services following an aircraft accident and the preparation of a Review of Services Memorandum. The chapter is broken down into the following:

- General Requirements
- Conducting the Review of Services
- Preparing the Review of Services Memorandum

10. Chapter 10. Aircraft Accident File/Package Development and Distribution.

a. The title of the Chapter was changed from "Aircraft Accident File/Package" to "Aircraft Accident File/Package Development and Distribution."

b. FAA Form(s) 7230-10, Position Log(s), or automated equivalent. Holding and Supporting facilities with pertinent services are required to retain positions logs in the accident file. Only include position logs from positions providing pertinent services in the aircraft accident package. Place position logs in the chronological order of personnel listed in Block 12 of FAA Form 8020-6.

c. Paragraphs were laid out in the following order to provide clarity to the file and package content and process:

- Numbering of Aircraft Accident File/Package
- Labeling the Aircraft Accident File/Package
- Aircraft Accident File
- Aircraft Accident Package General Instructions
- Aircraft Accident Package Assembly
- Aircraft Accident Package Content
- Certification of the Aircraft Accident Package
- Distribution
- Changes to the Aircraft Accident Package After the Package Was Received

d. FIGURE 10-3-1. Aircraft Accident File was added to detail the contents of the accident file for the following types of facilities:

- Holding Facility Pertinent Services
- Holding Facility Routine Services
- Supporting Facility Pertinent Services
- Supporting Facility Routine Services
- Supporting Facility No Services with Data

e. FIGURE 10-6-1. Aircraft Accident Package was added to detail the contents of the accident package for the following types of facilities:

- Holding Facility Pertinent Services
- Holding Facility Routine Services
- Supporting Facility Pertinent Services
- Supporting Facility Routine Services
- Supporting Facility No Services with Data

11. Chapter 11. Retention of Aircraft Accident Files.

a. Numerous editorial changes were made. Also, much of the information in paragraph 1 was moved to a new paragraph 4, "Original Document Transfer."

12. Chapter 12. Reporting and Notification Responsibilities for Pilot/Vehicle/Pedestrian Deviations.

a. Paragraph 1a was changed to require the report of a pilot deviation to match the reporting requirements in FAA Order 8020.11D (replaced ATC procedure or Code of Federal Regulations with violation of a Federal Aviation Regulation).

b. Detailed reporting requirements were removed with FAA Order JO 8020.16C. This order only details the initial notification to the pilot, the notification to the Supervisor or CIC, and the requirement for personnel statements.

13. Chapter 13. Data Provided in Support of Pilot/Vehicle/Pedestrian Deviations and Air Traffic Occurrences.

a. Removed paragraph 3b, "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." A facility providing radar data but no voice data would follow the instructions in the body of paragraph 3.

14. Chapter 14. Technical Operations Aircraft Accident Investigation Responsibilities.

a. 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.

b. Specific responsibilities to accomplish this goal are outlined in this chapter.

15. Chapter 15. FOIA Request for Aircraft Accident/Incident and Occurrence Documents.

a. This chapter applies to Freedom of Information Act (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.

b. 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.

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Chapter 1. General Information

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, reporting, and documentation.

2. Audience. This order is intended for all ATO employees and anyone using ATO directives to support activities associated with aircraft accident and incident notification, investigation, reporting, and documentation.

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/ and on the air traffic publications website at http://www.faa.gov/air_traffic/publications/.

4. What This Order Cancels. FAA Order JO 8020.16D, *Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting*, dated November 15, 2021, and all associated notices are canceled.

5. Explanation of Changes. The significant changes to this order are identified in the Explanation of Changes page(s).

6. Authority to Change This Order. Authority for future revisions to this order is delegated to the Vice President, Safety and Technical Training (AJI). Submit proposed changes or additions to the ATO Litigation Group (AJI-17). Supplemental changes and requests for waivers to programs and policies transmitted by this order must receive prior approval through written requests to Safety and Technical Training.

7. Definitions and Terms. See Chapter 3, Definitions and Terms, 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 (ATO) Quality Assurance (QA)*.

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, reporting, and documentation are in Appendix A, Forms Used by Air Traffic. Select samples of completed 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

1. Safety and Technical Training, Safety Intelligence and Response Group (SIRG). The ATO participates in the investigation of aircraft accidents and aircraft incidents when FAA Air Traffic Control (ATC) or aeronautical communications facilities are involved. For all aircraft accidents and significant aircraft incidents, the SIRG responds by disseminating timely, accurate, and unbiased information about the events. The SIRG also serves as the lead ATO representative responsible for ensuring that aircraft accidents and aircraft incidents involving ATO facilities or functions are investigated in a timely manner. The same requirements pertain to privately- and publicly owned and operated non-federal facilities. If a facility is operating within the NAS, it must comply with the same rules and regulations as the federal facility.

a. When a notification of an aircraft accident or aircraft incident is received from any source, the Joint Air Traffic Operations Command (JATOC) Safety Event Network (JSEN) will contact the appropriate Regional Operations Center (ROC) for conferences or briefings as necessary. Notifications are completed in accordance with FAA Order JO 1030.3.

2. Operations Centers. 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.

a. Washington Operations Center (WOC). The WOC is a twenty-four-hours-a-day, seven-days-a-week operation. Its primary function is to maintain detailed knowledge of the NAS and events that impact civil aviation worldwide to provide Command and Control Communications and situational awareness to the FAA Administrator and Senior Leadership. The WOC continuously monitors activities in the NAS using various systems, both classified and unclassified, to ensure domain monitoring and the continuity of operations particularly during crises or emergencies. Communications are maintained with the industry and the intergovernmental network to support national level decision-making regarding aviation safety, national security, and homeland defense.

b. Regional Operations Centers. Coordinates communications responses related to aircraft accidents, emergencies, missing aircraft, hijackings, security threats, facility and system outages, airport closures, severe weather, earthquakes, and public information requests and complaints. During these events, the ROCs support FAA management, the National Transportation Safety Board (NTSB), law enforcement, airport operators, pilots, airlines, the National Weather Service (NWS), aircraft manufacturers, the Department of Transportation, the Federal Emergency Management Agency, the Department of Defense, and other federal agencies. This type of support requires the handling of routine, sensitive, and classified information. By providing the Command and Control Communications structure, systems, procedures, and equipment, the ROCs also support National Security Emergency Preparedness and Continuity of Operations programs.

c. WOC and ROC Notification Responsibilities.

(1) When the reported aircraft accident/incident is one that requires ROC or WOC notification in accordance with Chapter 4, paragraph 2, the ROC officer must set up a telephone conference between the appropriate offices and the notifying party.

(2) 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 Technical Operations Aircraft Accident Representative (TOAAR) located at the appropriate Control Center. When the aircraft accident/incident report indicates an FAA aircraft was involved, Flight Program Operations must be included in the conference call.

(3) If the report includes a fatal aircraft accident or an in-flight medical incapacitation of a flight deck crewmember, the ROC must immediately notify the appropriate Office of Aerospace Medicine.

(4) The ROC must assist the FAA Investigator-in-Charge (IIC) in establishing conference calls to include the WOC, NTSB, manufacturers, JSEN, TOAAR, Office of Airport Safety and Standards, Civil Aerospace Medical Institute, Aircraft Certification Directorates, and FAA William J. Hughes Technical Center, as necessary.

(5) The ROC must immediately notify the appropriate Regional Airports Division of Aircraft Accidents and Aircraft Incidents in their region.

(6) 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.

(7) 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.

3. Safety and Technical Training, Service Area Safety Groups. The Service Area Safety Groups review Mandatory Occurrence Reports (MORs) and Preliminary Aviation Risk Identification and Assessment Reports and determine if events qualify as possible pilot/vehicle

deviations. If the Service Area Safety Group determines there is a possible pilot/vehicle deviation, the event is forwarded for processing.

4. Safety and Technical Training, ATO Litigation Group. The ATO Litigation Group provides direction and oversight for data collection and retention related to aircraft accidents and aircraft incidents involving ATO services. The ATO Litigation Group orchestrates and communicates requirements with Air Traffic Services, AJI, 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 ATO Litigation Group provides direction.

5. Mission Support, Service Center, Quality Control Group (QCG). The QCG directs facility 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 aircraft accident packages are submitted to the ATO Litigation Group for final review and release.

6. 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.

7. Flight Program Operations. Flight Program Operations is responsible for scheduling a flight inspection of facilities after an aircraft accident or aircraft incident when requested by the National TOAAR (NTOAAR) or TOAAR. Flight inspection results are provided to the FAA IIC or TOAAR.

Chapter 3. Definitions and Terms

1. Definitions Used in This Order.

a. Air Navigation Facility. Any facility used in, available for use in, or designated for use in aid of air navigation, including landing areas, lights, and any apparatus or equipment for disseminating weather information, for signaling, radio directional 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 the landing or takeoff of aircraft.

b. Air Traffic Incident. An air traffic incident encompasses all problems not affecting the aircraft directly; for example, near mid-air collisions; pilot, vehicle, or pedestrian deviations; and Traffic Alert and Collision Avoidance System Resolution Advisory occurrences. An air traffic incident differs from an aircraft incident.

c. Aircraft. Device(s) that are used or intended to be used for flight in the air, and when used in ATC terminology, may include the flight crew.

NOTE: *For the purposes of this order, ultralight vehicle accidents and incidents are not investigated as aircraft accidents/incidents.*

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

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

f. 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.

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

h. Event. Something notable that happened in the NAS, which includes accidents, incidents, and occurrences.

i. 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.

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

k. Federal Contract Facility (FCF). Federal Contract Towers (FCTs), Non-Federal Contract Towers (NFCTs), and Federal 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 Accident Investigation and Prevention (AVP) Accident Investigation and Recommendations (AVP-100), the FAA IIC, or ATO Litigation Group. This includes the preparation and retention of an aircraft accident file and package. The FCFs must not forward their aircraft accident file, documents, information, notes, recordings, copies of voice data, or similar data 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 10, paragraph 8 of this order.

(1) 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 (i.e., FAA facilities and FCFs).

NOTE: *An FCT is considered an FCF and not an FAA facility.*

EXAMPLES:

"…the FAA Air Traffic facility with jurisdiction over the flight when the aircraft accident occurred." (This guidance would apply to only FAA facilities.)

"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.)

l. Flight Crew Member. A pilot, flight engineer, flight navigator, or flight attendant assigned to duty in an aircraft during flight time. For an Unmanned Aircraft System (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.

m. Flight Service Directorate. The Flight Service Directorate is the central authority for all FSSs; it also serves as the Office of Primary Responsibility (OPR) for the FCFSS facilities. The Alaska Flight Service Information Area Group (AFSIAG) is the Flight Service Directorate's designee for the FAA FSS, and it serves as the OPR for FAA FSS aircraft accident/incident notification, investigation, and reporting.

n. Mandatory Occurrence Report (MOR). A report of an occurrence involving air traffic services or technical operations services for which the collection of associated safety-related data and conditions is mandatory.

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

p. Occurrence. An abnormal event other than an incident or accident.

q. 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.

r. Pilot Deviation. An action of a pilot that results in the violation of a regulation in Title 14 of the Code of Federal Regulations (CFR) or a North American Aerospace Defense (Command Air Defense Identification Zone) tolerance.

s. 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.

t. Substantial Damage. Damage or failure which adversely affects the structural strength, performance, or flight characteristics of the aircraft and which would normally require major repair or replacement of the affected component. Engine failure or damage limited to an engine if only one engine fails or is damaged; bent fairings or cowling; dented skin; small puncture 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.”

u. 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.

v. UAS Accident. An occurrence associated with the operation of any public or civil UAS that takes place between the time that the system is activated with the purpose of flight and the time that the system is deactivated at the conclusion of its mission, in which:

(1) Any person suffers death or serious injury; or

(2) The aircraft has a maximum gross takeoff weight of 300 pounds or greater and sustains serious damage.

NOTE: *The NTSB definition of an accident (refer to 49 CFR § 830.2) is the definition of a UAS accident for FAA investigation purposes. UAS events that do not meet the NTSB definition should be investigated as occurrences or incidents. For UAS investigation information, refer to 14 CFR § 107.*

NOTE: *The accident reporting requirements for UAS operated under 14 CFR § 107, which are also applicable to public and civil Certificate of Waiver or Authorization holders, are described in 14 CFR § 107.9. These reporting requirements are separate from the investigation definitions above. The reporting of a UAS event does not automatically classify it as an accident.*

2. Terms Used in This Order.

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

b. 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.

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

d. Call Sign/Aircraft Identification. The combination of identifying letters, letters and numbers, or words assigned to an operator, office, activity, vehicle, or station for use in communication (as in the address of a message sent by radio).

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 a Personal Identity Verification (PIV) card for all FAA employees and contract employees that have been assigned a PIV card.

(2) *Contractors / Contract Employees*. Digital signatures are accomplished through the use of an Adobe product with digital signature/certificate capability or equipment software for contract employees 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 the 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 may be relevant to the unusual, urgent, or emergency situation (e.g., aircraft lands gear up and emergency services are notified) and/or all 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 (e.g., an aircraft reports a rough running engine and then crashed one mile short of the runway). All facilities that worked the aircraft after the rough running engine report would have pertinent services.

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 (e.g., an Instrumental Flight Rules (IFR) aircraft switched to the common traffic advisory frequency at an uncontrolled airport and receives substantial damage during the landing).

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

Chapter 4. Initial Notification and Reporting Responsibilities

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

a. Any FAA, FCF, or non-federal facility ***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, or FSS) or ROC. The Air Traffic facility or ROC must immediately notify the JSEN.

b. To report an aircraft accident or aircraft incident when you do not have access to an FAA Air Traffic facility, ROC, or JSEN, as in the case of international events, use established channels such as the Department of State or 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 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), ATO Litigation Group, QCG, JSEN, or Flight Service Directorate, complete FAA Form 8020-11, Incident Report, for selected aircraft incidents.

2. 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 3, paragraph 1.

a. What to Report. Air Traffic facilities must report:

(1) All known and suspected aircraft accidents (including UAS, spacecraft, and 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 another country and whose first point of intended landing was in the United States or aircraft that departed the United States for another country. If the aircraft accident occurs within United States controlled airspace or while receiving services from a United States Air Traffic facility, prepare an aircraft accident file and aircraft accident package as outlined in this order.

(3) All aircraft incidents, criminal or illegal 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, Vice President, or members of Congress are 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 JSEN. The JSEN, in turn, will notify the ROC, ATO QCG, WOC, 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.

b. How to Report. The reporting process described below is when the facility listed in each paragraph is the first to receive notification of a known or suspected aircraft accident/incident:

(1) *JSEN.* Notify the FAA Air Traffic facility having ATC service 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) *ROC.*

(a) Notify the JSEN.

NOTE: *Immediately notify the JSEN by telephone in accordance with FAA Order JO 1030.3 if the aircraft accident/incident is noteworthy or significant.*

(b) Notify the FAA Air Traffic facility having ATC service 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.

(3) *Air Traffic Facilities.*

(a) Notify the JSEN.

NOTE: *Immediately notify the JSEN by telephone in accordance with FAA Order JO 1030.3 if the aircraft accident/incident is noteworthy or significant.*

(b) Record notifications on FAA Form 8020-3 and include handwritten notifications not listed on FAA Form 8020-3 (see Chapter 5, paragraph 1). 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 if any notifications were made.

(c) Complete and transmit FAA Form 8020-9.

(d) Make an entry on FAA Form 7230-4, Daily Record of Facility Operation, using agency-approved automation methods or other means. In the text, include "Aircraft Accident" and the call sign. Include a reference to any associated MORs.

(e) Notify the 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.

(f) Instruct Technical Operations or other appropriate personnel to retain relevant data having a retention cycle of fewer than 15 days (e.g., En Route Automation Modernization (ERAM) workstation playback files must be retained within 24 hours, Integrated Terminal Weather System (ITWS), etc.).

c. When to Report. All aircraft accidents/incidents including UAS must be reported to the JSEN as soon as possible. The following aircraft accidents/incidents require immediate notification (this list is NOT all-inclusive) to the JSEN by telephone in accordance with FAA Order JO 1030.3. The JSEN notifies the ROC who in turn notifies the WOC, QCG, and Flight Service Directorate.

(1) Overdue and missing aircraft. (Issue an ALNOT in accordance with FAA Order JO 7110.65.)

(2) Known and suspected aircraft accidents/incidents involving air carrier, air taxi, or commuter aircraft, and/or involving aircraft operating under IFR or Special Visual Flight Rules (SVFR).

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

(4) Emergency evacuations of aircraft.

(5) Major in-flight component failure.

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

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

Chapter 5. 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 contract FSSs) with geographical jurisdiction over an airport (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 airports with non-significant ATC operations and turbulence events, in-flight safety events, etc., that are not associated with a specific airport. Significant ATC operations are 25 or more takeoffs or landings within a year.*

(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 information of a known aircraft accident, or a suspected aircraft accident must make and record notifications 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) 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.

(7) 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 facility name.

(2) Enter the airport name.

(3) Enter the aircraft call sign in the upper right-hand corner.

(4) Enter the date of the accident.

(5) Enter the airport identifier.

(6) Enter comments at the bottom of the form.

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

c. Contact Information.

(1) The order and number of calls will be determined by the situation involved.

(2) Lines one, two, and three are available to be used to identify contacts for emergency services and emergency equipment (e.g., Airport Emergency Equipment, 911, Sheriff's Office, City Police, Search and Rescue).

(3) Line 4 – Safety Event Network (JSEN).

(4) Line 5 – Regional Operations Center (ROC) if instructed by the JSEN.

(5) Line 6 – Domestic Events Network.

(6) The following contacts must be listed below line six in the order best suited for the facility.

(a) Air Traffic Manager.

(b) Technical Operations.

(c) Additional Law Enforcement.

(d) NWS – 800-242-8194.

(e) Alternate Number for NWS – 800-242-8895.

(f) Military Authority.

(g) Airport Authority.

(h) Aircraft Operator.

(7) Additional contact information may be included as necessary.

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 Date.* Enter the date the report was completed.

(2) *Report Number*. Reports must be numbered using the aircraft accident package/file number described in Chapter 10, paragraph 1.

(3) *Name of Reporting Facility.* Enter the name of the facility completing the report.

(4) *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, Report of Aircraft Accident (Continuation Sheet). List aircraft types based on the following order of priority:

(a) The flight progress strip / in-flight contact form.

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

(c) The FAA aircraft registry site.

(d) The ICAO aircraft registry site.

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

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

(7) *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 causal and/or contributing factor(s) 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.*

(8) *Block 5.* Type of Flight. State the type of flight plan on which the aircraft was operating (i.e., Visual Flight Rules (VFR), IFR, SVFR, or no flight plan).

(9) *Block 6.* Flight Crew. Enter the name of each flight crew member, the name of each flight attendant, and his or her position. Enter the city and state (if outside of the United States, use the closest city and International State Identifier). Enter the extent of his or her injuries

(uninjured, injured, fatality, or unknown). Give the extent of the injuries as known at the time of the report preparation. When the information is not known, enter "unknown."

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

(11) *Block 8*. Aircraft Damage. (Obtained from FSDO and/or NTSB.)

(12) *Block 9*. Property Damage. Provide a brief description (chain link fence destroyed, airport signage damaged, etc.).

(13) *Block 10*. Operating Status of Navigational Aids/Lights/Communication. Provide a brief description (Instrument Landing System (ILS) out of service, Guard frequency unusable, etc.).

(14) *Block 11*. Weather Data. Write weather data in plain language. Spell numbers out. Use Coordinated Universal Time (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. Aviation Routine Weather Report (METAR) remarks and Pilot Reports (PIREPs) are not appropriate in Block 11 but should be included in the weather products section.

NOTE: *When collecting weather data in the APG for accidents in locations outside of the United States and its properties, the user can toggle between United States "states" and international "states."*

(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.

(15) *Block 12*. ATO 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 who provided pertinent services or was an eyewitness to the aircraft accident. This may include, for example, an Operations Manager (OM), Operations Supervisor (OS), and/or Controller-In-Charge (CIC) not signed on a control position or someone that responded to a point out request.

(b) Personnel names and positions of operation must match the personnel names and position of operation from the position logs.

(c) 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.

(d) Place the operating initials for each controller to the right of their name and enclosed in parentheses (see Appendix B).

(e) List the facility involved.

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

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

NOTE 1: *Observing the aircraft accident on radar does not qualify a person as an eyewitness to the accident.*

NOTE 2: *If there is an eyewitness, provide a brief factual description of what was observed when completing FAA Form 8020-6-1.*

(16) *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.

(17) *Block 14*. Chronological Summary of Flight (FAA Form 8020-6-1). All involved Air Traffic facilities that provided air traffic services, had communication, or contact regarding the subject aircraft, or that provided no services but have data, must complete Block 14. This provides a complete chronological summary of the flight that describes all relevant communications, emergency assistance, and other air traffic services provided to the aircraft.

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

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

(c) Type all entries using the standard capitalization of an English sentence, with the first letter uppercase and subsequent letter lowercase with exceptions such as proper nouns or acronyms.

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

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

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

(g) 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 must be accomplished within three hours of the detection of the known or suspected aircraft accident/incident.*) 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 name of the facility/office 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) the form is completed.

(d) Time (UTC) the form is completed.

(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) *Box2*. 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 (i.e., 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.

NOTE: *Damage determinations are made by the NTSB or FSDO.*

(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 crew members 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 (e.g., 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 ATC 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 (i.e., in person, radio, or telephone).

(12) RECEIVED BY. Signature of the name of the person receiving the information and his or her title.

(13) NOTE: Part 2. Check the appropriate box to describe the status of FAA Form 8020-9, Part 2 (i.e., 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) *Box2*. 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 (i.e., 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 (i.e., 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 include ALNOT cancellation due to 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 – WOC, Washington, D.C.

(b) NTSB – Washington, D.C.

(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.

(e) Aviation Medicine (AAM) 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 fax, 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 6, paragraph 2, 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. If requested by the FSDO, ATO Litigation Group, QCG, Flight Service Directorate, or JSEN, complete FAA Form 8020-11 for selected aircraft incidents. This form is NOT generated by the APG.

a. 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 an 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) and

(c) Ending with the incident number (two digits).

EXAMPLES:

Third independent FAA Form 8020-11 for Denver ARTCC in 2023 *ZDV-23-03*

First independent FAA Form 8020-11 Atlanta TRACON in 2023 *A80-23-01*

(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 with enough detail 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, communications, 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 Statement. Complete personnel statements at Airport Traffic Control Towers (ATCTs) (tower cab positions) when the Service Area Safety Group categorizes the event as a potential pilot deviation. Personnel statements are not required for aircraft accidents. If personnel statements are completed for aircraft accidents, place them in the section titled “Other” in the Aircraft Accident Package. This form may be completed through the APG.

a. 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.

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

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

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

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

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

c. 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 (e.g., Air Traffic Control Specialist, OS, OM).

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

NOTE: *The facility may elect to have items one through eight 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.

d. 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. 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 6. Aircraft Accident File/Package Process

1. Aircraft Accident File/Package Determination. The ATO Litigation Group is the final authority for the determination of an aircraft accident file/package. 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 to complete their portion of the aircraft accident package. The data required in the aircraft accident file/package may vary from the requirements in this order if directed by the QCG or Flight Service Directorate after coordination with the ATO Litigation Group. For some aircraft accidents, the ATO Litigation Group may communicate directly with air traffic facilities after notifying the QCG/Flight Service Directorate.

a. If a subsequent determination is made by the QCG that the event does not meet the definition of an aircraft accident, then standard data retention requirements apply.

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

b. When an aircraft accident occurs, an aircraft accident file/package is required when Air Traffic services were provided. Air Traffic services as defined in this order include services provided for the purpose of:

(1) Preventing collisions between aircraft and on the maneuvering area between aircraft and obstructions.

(2) Providing a safe, orderly, and expeditious flow of air traffic to include additional services as defined in FAA Order JO 7110.65.

(3) Supporting National Security and Homeland Defense missions.

(4) Providing emergency assistance to include contacting emergency services and emergency equipment (e.g., Airport Emergency Equipment, 911, Sheriff's Office, City Police, Search and Rescue).

(5) Providing Flight Information Service.

NOTE: *For the purposes of this order an En Route facility that issued an ALNOT is NOT considered to have provided air traffic services if the ALNOT issuance was their only involvement.*

(6) For UAS, the determination for an aircraft accident file/package must also meet the definition of an Unmanned Aircraft Accident in Chapter 3, paragraph 1.

(7) 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 4, paragraph 2. Retain notification forms and documentation in accordance with Chapter 11.

2. 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 6-1, 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 Litigation Group through the appropriate service center QCG.

(3) *Aircraft not on an IFR flight plan but in communication with an FAA facility* – The FAA facility communicating 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 communicating 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 service 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 an 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 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 facilities and FCFs or different vendor FCFs.

NOTE: *When both FAA facilities 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, ATO Litigation Group, QCG, or Flight Service Directorate.

Determination of Air Traffic Facility Responsible for Final Data Collection

Type Aircraft Accident	*Responsible Facility*	*Reference*
Aircraft on IFR flight plan under the control of an FAA facility	FAA facility with jurisdiction over the flight	Paragraph 6-2a(1)
Aircraft on IFR flight plan under the control of a military staffed facility	ARTCC in whose area the aircraft accident occurred	Paragraph 6-2a(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	Paragraph 6-2a(3)
Aircraft not in communication with an FAA facility at the time of the aircraft accident	Last FAA facility having communication with the aircraft	Paragraph 6-2a(4)
Other Aircraft	FAA Air Traffic facility with radar responsibility for the area in which the aircraft accident occurred	Paragraph 6-2a(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	Paragraph 6-2a(6)
Aircraft that have communicated with both an FAA facility and an FCF	Multiple facilities will be responsible for the final data collection. See paragraph 6-2a(7)(a) for FAA facility requirements. See paragraph 6-2a(7)(b) for FCF facility requirements	Paragraph 6-2a(7)

Figure 6-1: Determination of Air Traffic Facility Responsible for Final Data Collection

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 with or regarding the accident aircraft.

a. Holding Facilities:

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

(1) A holding facility may have either pertinent or routine services.

(a) Pertinent services are services that may be relevant to the unusual, urgent, or emergency situation (e.g., aircraft lands gear up and emergency services are notified) and/or all 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 (e.g., an aircraft reports a rough running engine and then crashed one mile short of the runway). All facilities that worked the aircraft after the rough running engine report would have pertinent services.

(b) Routine services are those 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. The holding facility may only provide routine services to the aircraft and/or have data (e.g., radar data), but they are still 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 or an FAA radar facility retaining radar data for an FCF package.)

(2) Required to gather information from all same type (e.g., FAA facilities, same vendor FCFs) facilities along the route of flight. This requirement is communicated to supporting facilities by the QCG.

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 3, paragraph 2). The QCG, Flight Service Directorate, or the ATO Litigation Group may change a facility's designation from having provided routine services to pertinent services.

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

a. Supporting Facility with Routine Services. *(This applies to documents submitted by FAA supporting facilities with an 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 9) and FAA Form 8020-6-1 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 in the aircraft accident file. 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. *(This applies to documents 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 9) and FAA Form 8020-6-1, along with copies of all documents, as required in Chapter 6, paragraph 4, 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 in the aircraft accident file. 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 Relevant Data. Send the FAA holding facility FAA Form 8020-6-1 and a Review of Services Memorandum within eight administrative days of notification of the aircraft accident.

5. Additional Data Collection and Certification Information.

a. 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. Permission to release documents must be obtained from the ATO Litigation Group through the appropriate service center QCG.

b. 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 relevant 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 relevant to the flight.

(3) Certify the data. See Chapter 8, paragraph 2, for examples.

c. Facilities Not Providing ATC Services. When requested by the FAA IIC, AVP-100, ATO Litigation Group, JSEN, QCG, Flight Service Directorate, or Air Traffic facility responsible for final data collection, any Air Traffic facility having relevant documentation (e.g., audio, radar data) in support of an aircraft accident investigation will retain the documentation in accordance with Chapter 11, paragraph 2. 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 services but did have radar data). Although the Air Traffic facility will maintain an aircraft accident file, most other documentation outlined in Chapter 11, paragraph 2 will not be required.

(1) The data must be certified. See Chapter 8, paragraph 2 for examples.

(2) Retain an aircraft accident file (see Chapter 11, paragraph 2).

6. Data Collection Memorandum. When it is discovered that data have not been collected and/or are no longer available to be collected in accordance with this order, a memorandum must be prepared and signed by the Air Traffic Manager to explain what was discovered and why it happened. Insert a copy of this memorandum in the section of the Accident Package that would have contained the data and place the original memorandum in the aircraft accident file.

Chapter 7. 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 (i.e., 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;" 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. 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 ATC.

(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 Copy(s)." Make additional copies from the "Working Copy."

(3) Certified copies of the recording must include all communications, including time track, relevant to the aircraft accident from the period beginning 15 minutes before the initial contact and ending 15 minutes after last contact. (FCFSS facilities do not need to include any time before initial contact or after last contact.)

(4) Compressed digital formats (e.g., MP3, AAC, WMA) 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 Copy" and "Working Copy" of the recording must be made using the following format as necessary to certify the copy:

"This copy is being prepared by [facility's name; do not use abbreviations]. The subject concerns [type of aircraft accident, aircraft incident, occurrence] involving [aircraft identification] on [date, UTC] at approximately [time, UTC]. The position of operation being copied is [facility, position, e.g., Denver Tower local control, Miami Tower ground control, Denver Center Sector R34 Radar position]."

"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) Each position of operation recorded 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 recording 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 storage media on which the "Original Copy" or "Working Copy(s)" are made (CD-R, DVD, thumb drive, 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.

NOTE 1: *Audio data should not be stored on a server. Data must be stored on an electronic storage media (e.g., CD-R, DVD, thumb drive) and placed in the appropriate file.*

NOTE 2: *Storage media must only contain data from a single aircraft accident, aircraft incident, or occurrence.*

b. Digital Audio Legal Recorder (DALR) / NAS Voice Recorder (NVR).

(1) Air Traffic facilities using DALR/NVR must export the Organizer Incident (DALR/NVR Incident Export File) containing the proprietary *.incident* and *.NMF files*. Additionally, Air Traffic facilities must produce and label an "Original Copy" and "Working Copy(s)." 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(s)" need only contain the *.wav* file.

NOTE: *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.*

(2) The *.wav* file must include two channels (time in Inter-Range Instrumentation Group (IRIG) 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 7, paragraph 1, the facility must also retain a copy of the released voice data 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 Litigation Group 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, ATO Litigation Group, QCG, JSEN, Office of the 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 ATO Litigation Group, the QCG, the JSEN, 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. If a request is received to provide a transcript before the transcript has been certified and vetted, ensure that the transcript is watermarked "DRAFT." Retain a record of these releases. Do not release transcripts until certified and vetted by the QCG in coordination with the ATO Litigation Group.

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 ATO Litigation Group.*

e. A full transcript must contain all recorded communications at the specific position regardless of source. Unless directed otherwise, full transcripts will span from 5 minutes before initial contact until 5 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 15 minutes before initial contact until 15 minutes after the last contact (see Chapter 7, paragraph 1).

g. The transcription will be prepared as follows:

(1) The first page must be on the FAA official 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 or appropriate incident number].”

(c) For “From,” type the 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 mid-air collision, etc.] involving [aircraft identification].”

Signature (do not use initials)	*Andrew Erdmanis*
Name	Andrew Erdmanis
Title	Air Traffic Manager
Facility/Organization of person preparing the transcript	Airville ATCT

NOTE: *Digital signatures may be used.*

(g) List the 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, Combined Control Facility, FCT, NFCT, FCFSS, Center Radar Approach Control, FSS, Radar Approach Control, Radar Air Traffic Control Facility, or Terminal Radar Approach Control (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 with 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.

NOTE: *FAA facilities must use DALR/NVR and the associated media player to determine the official UTC time.*

(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 (e.g., 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 lowercase 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 (i.e., (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 ATO Litigation Group, 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 ATO Litigation Group 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 8. Radar Data Collection, Radar/Computer/Weather Certification, and Radar Replay

1. Radar Data Collection.

a. For aircraft accidents, suspected aircraft accidents, pilot deviations, vehicle deviations, or occurrences retain radar and automation data necessary to recreate the event on the automation platform that recorded the data.

(1) Radar and audio data start/stop timeframes must match in STARS, FUSION, and Micro-En Route Automated Tracking System (MEARTS) environments. In ERAM environments the radar time must encompass the start and end times of the audio data.

(2) Facilities providing radar data, but not voice data, must coordinate with their respective QCG for the time period of the radar data.

b. Transfer retained and extracted data onto an electronic storage media (e.g., CD-R, DVD, thumb drive). Review the data to ensure the completeness and accuracy of the transferred data onto the electronic storage media.

c. To preserve original computer data from possible damage, arrangements must be made to protect, copy, or reproduce all relevant data as soon as possible. Copied and/or reproduced data must reflect the same time period as the original data.

NOTE 1: *Radar data should not be stored on a server (e.g., Technical Operations, Air Traffic). Data must be stored on an electronic storage media (e.g., CD-R, DVD, thumb drive) and placed in the appropriate file.*

NOTE 2: *Storage media must only contain data from a single aircraft accident, aircraft incident, or occurrence.*

d. To ensure the data retained is sufficient for future needs, the following retention requirements must be followed:

(1) *STARS.*

(a) Retain the adaptation file in use at the time of the accident.

FILE NAME EXAMPLE: *phl_s6r9d14_ad_Y70908_j14*

(b) Request a “COPY” of the unfiltered radar data. 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.

FILE NAME EXAMPLE: *11-SEP-2023_2132-2232z.cdr*

(c) In a memorandum to the file list the physical monitor number/identifier (Terminal Control Workstation / Tower Display Workstation) of the control position where the aircraft was being worked.

STARS Radar Retention Requirements for Aircraft Accidents
(The files listed below must be included in the Aircraft Accident file for all aircraft accidents)

_____	STARS Adaptation File
_____	STARS Radar Data (.cdr extension)
_____	STARS Memorandum listing the physical monitor number/identifier (Terminal Control Workstation/Tower Display Workstation) of the control position where the aircraft was being worked.

Figure 8-1: STARS Radar Retention Requirements for Aircraft Accidents

(2) ERAM.

(a) Retain the adaptation file in use (the raw adaptation file has the ARTCC facility ID embedded in the file name).

FILE NAME EXAMPLE: *d348ac02_ZDV_120221_120221_F*

(b) Retain the System Analysis Recording (SAR) files. The SAR files are prefaced with "main" followed by the ARTCC identification and should be the "ACTIVE" files. There is no file extension for the SAR files. The facility adaptation that was in use is part of the file name and the end of the file name contains the date/time information. The files are recorded in 15-minute intervals. In the example below, da80ab03 is the facility adaptation, 2022 is the year, 11 is the month, 09 is the day, and 1430 is the start time.

FILE NAME EXAMPLE: *main.ZDVA1.ZDV.da80ab03.ACTIVE.20221109143000008*

(c) Retain radar files. The radar files are similar to the SAR files except in that they only contain radar and radar site data. The radar file uses the same naming format as SAR files except the files are prefaced with the word "radar." The files are recorded in 15-minute intervals.

FILE NAME EXAMPLE: *radar.ZDVA1.ZDV.da80ab03.ACTIVE.20221109143000123*

(d) Retain Playback Workstation files (SkyRec) files for positions providing pertinent services. The naming convention is split between the folder name and the file name. The folder name gives the name of the recorded position. The file name provides the date and time of the recording. SkyRec files are recorded in three-minute increments.

FOLDER NAME EXAMPLE: *106R_RPOS_A1_19*

FILE NAME EXAMPLE: *SkyRecFile_0_2022-11-09_14-58-46.skyrec*

NOTE: *Playback Workstation files generally must be extracted within 24 hours of the aircraft accident/incident.*

ERAM Radar Retention Requirements for Aircraft Accidents
(The files listed below must be included in the Aircraft Accident file for all aircraft accidents)

_____ ERAM Adaptation File

_____ ERAM SAR Files

_____ ERAM Radar Files

_____ ERAM Playback Workstation File

Figure 8-2: ERAM Radar Retention Requirements for Aircraft Accidents

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

(4) *MEARTS.*

(a) Retain the adaptation file in use at the time of the accident.

(b) Request a "COPY" of the unfiltered radar data. The file created will have a *.cdr* extension.

MEARTS Radar Retention Requirements for Aircraft Accidents
(The files listed below must be included in the Aircraft Accident file for all aircraft accidents)

_____ MEARTS Adaptation File

_____ MEARTS Radar Data

Figure 8-3: MEARTS Radar Retention Requirements for Aircraft Accidents

(5) Airport Surface Detection Equipment (ASDE) 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 date of the aircraft accident/incident. Facilities must advise the Surface Surveillance Systems Team what to name the data.

(a) Contact Technical Operations' Surface Surveillance Systems Team at 9-AMC-ATOW-ASDES@faa.gov to request assistance.

(b) ASDE, Model X (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.

(c) Airport Surface Surveillance Capability (ASSC) – Extract ASSC logs and retain applicable radar map(s) current at the time of the aircraft accident or occurrence.

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, vehicle deviation, or occurrence must be retained (e.g., low-level wind shear systems, pre-departure clearance messages, status information displays), if the capability exists.

e. Refer to Appendix C, Storage Media Labeling, 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 are certified. The Review of Services Memorandum (see Appendix B, paragraph B-7) lists what is retained; certification memoranda/statements give more details about the retained and/or extracted data and their source.

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 definitions of retained radar and computer data in Chapter 3, paragraph 2).

(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 3, paragraph 2).

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

RETAINED RADAR DATA

STARS COMPUTER FILE CERTIFICATION

May 1, 2023

I certify that the RADAR data (.cdr) is derived from the STARS computer recordings from February 20, 2023, 0203 UTC to February 20, 2023, 0249 UTC.

Lori Martinovich
Staff Support Specialist, Quality Control
Airville ATCT

EXTRACTED RADAR DATA

STARS COMPUTER FILE CERTIFICATION

May 1, 2023

I certify that the Plot Playback Data (.ppb) is derived from the RADAR data (.cdr) from February 20, 2023, 0203 UTC to February 20, 2023, 0249 UTC.

Lori Martinovich
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 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, no representation is made 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. The NCDC METARs are not formatted for aviation. When requesting a METAR from the NCDC, request an aviation format to eliminate the need for a conversion prior to entering the data into the APG. Other NCDC products like Terminal Area Forecasts (TAFs), Airmen's Meteorological Information (AIRMETs,) and Significant Meteorological Information (SIGMETs) do not require conversion. Non-blue ribbon weather must contain 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 or Operational and Supportability Implementation System EVRs 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) ARTCCs may also obtain relevant 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 02/20/23."

3. Litigation/Enforcement Replays and Plots. 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 8, paragraph 4.

a. Litigation/enforcement replays should only be made for the time period of 5 minutes before the aircraft accident/occurrence to 5 minutes after the aircraft accident/occurrence. (For pilot/vehicle deviations the time period is 15 minutes before and after.) If it subsequently comes to light that exculpatory evidence exists outside that time period, then the ATO Litigation Group, Office of the Chief Counsel, QCG, or Safety Standards (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 Systematic Air Traffic Operations Research Initiative (SATORI) or other products approved by the ATO Litigation Group. Filters must be set to ensure that radar (primary and/or secondary) data is used in building the replay.

NOTE: *Automatic Dependent Surveillance–Broadcast (ADS-B) data is considered radar target data for the purposes of this requirement.*

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 8, 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 the 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 codecs (data conversion equipment) reside on the viewer's computer.

e. The ATO does not release FAA proprietary software (e.g., SATORI, Falcon) 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.

f. Plots must utilize the data extracted from the automation system. Do not use National Offload Program 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 or extracted data, accompany the presentation with the name of the producer, the date made, the data used, and 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/Snag-It, also require production credits.

Chapter 9. Review of Services and the Review of Services Memorandum

1. General Requirements. Air Traffic facilities along the route of flight (both holding and supporting facilities) must conduct a review of service to assess and gather data. Facilities must:

a. Conduct the review within two administrative days of notification of an aircraft accident requiring an aircraft accident package.

b. Notify the holding facility of the level of service provided (routine, pertinent, or no services but have relevant data) by completing a Review of Services Memorandum.

2. Conducting the Review of Services. A list of documentation that must be reviewed is provided below. Retain all documents that have any relevance to the aircraft accident investigation.

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. Airport diagram.

h. Flight progress information (Terminal Flight Data Manager (TFDM) system) and strips if printed.

i. Radar data.

j. Voice data.

k. Pre-duty weather briefing logs and weather products.

l. PIREPs and weather data (if available, Center Weather Advisories, Weather System Wide Access Capability, TAFs, etc.).

m. SIGMET.

n. AIRMET.

o. Notice to Air Missions (NOTAMs) and non-published NOTAMs.

p. FAA Form 7233-1, Flight Plan.

q. Video maps.

r. Charts (e.g., Minimum Vectoring Altitude (MVA) maps, approach plates).

s. MORs.

t. Covered Event Review.

u. Common Post-Event Checklist.

v. Procedures (Standard Instrument Departures/STARSs) that the aircraft was flying or was assigned at the time of the aircraft accident.

w. Standard operating procedures, operations letters, Letters of Agreement (LOAs), and facility memoranda.

x. Additional data/documents that may be relevant to the aircraft accident investigation.

NOTE: *Contact the QCG if there are questions about what data may be deemed "relevant" to the aircraft accident or the type of services the facility provided.*

3. Preparing the Review of Services Memorandum.

a. The memorandum is a certification statement listing the data retained by involved facilities. The memorandum must list each item retained in the aircraft accident file/package. The facility manager or acting facility manager must sign the memorandum using the following format:

"I certify that the following original/digital copies of the original are on file at this facility."

b. The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier. The signature must be above the certifier's typed name, title, and facility name. Digital signatures may be used.

NOTE: *The Review of Services memorandum is created using the APG.*

Chapter 10. Aircraft Accident File/Package Development and Distribution

1. Numbering of Aircraft Accident File/Package.

a. The 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). Alaska FSSs will end with "-FSS" following the facility identifier (e.g., FAI-FSS). 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:

Third aircraft accident file/package for Denver ARTCC in 2025 *25-003-ZDV*

First aircraft accident file/package for Front Range FCT in 2025 *25-001-FTG-FCT*

Second aircraft accident file/package for Fairbanks FSS in 2025 *25-002-FAI-FSS*

Second aircraft accident file/package for Washington FCFSS in 2025 *25-002-DCA-FCFSS*

b. Supporting FAA facilities retaining information in an FAA aircraft accident file must use the same aircraft accident number used by the holding facility preparing the aircraft accident file/package.

c. Supporting same vendor FCFs retaining information in an aircraft accident file must use the same aircraft accident number used by the same vendor holding FCF preparing the aircraft accident file/package.

d. When both FAA facilities 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. Labeling the Aircraft Accident File/Package. The APG application will generate labels for the aircraft accident file/package. Aircraft accident files/packages must be labeled in the following manner:

a. First Line. "Original" or "Copy."

b. Second Line. Aircraft Accident Package.

c. Third Line. The 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:

(1) The flight progress strip / in-flight contact form.

(2) FAA Order JO 7360.1.

(3) The FAA aircraft registry site.

(4) The ICAO aircraft registry site.

e. Fifth Line. Accident UTC date and UTC time.

f. Sixth Line. UTC date that the package is to be destroyed (i.e., five years for both originals and copies of the aircraft accident package).

EXAMPLE:

Original
Aircraft Accident Package
23-002-ARV
N525AL, BE200
May 1, 2023, 0233 UTC
Destroy: May 1, 2028

3. Aircraft Accident File. The ATO Litigation Group or its designee has the authority to direct facilities to add to or reduce the content of the aircraft accident file. This direction must be in written form either via email or memorandum. Additionally, the ATO Litigation Group may review file content and format at its discretion. The aircraft accident file at each holding and support facility will retain the original information and/or documentation.

a. Holding Facilities.

(1) Holding facility with pertinent services must contain, as applicable:

(a) An electronic (e.g., a .pdf stored on a thumb drive) or hard copy of the "Original" aircraft accident package.

(b) "Original" and "Working Copy(s)" of voice recordings. FAA facilities must upload a working copy of all voice recordings into the APG.

(c) Radar and computer data. When available, radar and audio start/stop timeframes must match. FAA facilities must upload the following into the APG:

i) *STARS* – A copy of the adaptation file and the unfiltered (*.cdr* file) radar data.

ii) *ERAM* – A copy of the adaptation file, SAR file, and radar file. Include the Skyrec file if applicable.

(d) FAA Form(s) 7230-10, Position Log(s), or automated equivalent.

i) Towers or combined Tower/TRACONs and FSSs. Retain all positions regardless of whether they are staffed or not.

ii) TRACON, FCF, Combined Center Radar Approach Control (CERAP), and ARTCC facilities. Retain all positions regardless of whether they are staffed or not. If the facility has more than one area of specialization, then retain all positions of every area of specialization having contact with the aircraft.

(e) FAA Form 8020-9.

(f) Pre-duty weather briefing product.

(g) All other relevant documents and material gathered as a part of the review of service unless specifically excluded by FAA Order JO 8020.16 or written direction from the ATO Litigation Group.

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

(2) Holding facility with routine services must contain, as applicable:

(a) An electronic (e.g., a .pdf stored on a thumb drive) or hard copy of the "Original" aircraft accident package.

(b) "Original" and "Working Copy(s)" of voice recordings. FAA facilities must upload a working copy of all voice recordings into the APG.

(c) Radar and computer data. When available, radar and audio start/stop timeframes must match. FAA facilities must upload the following into the APG:

i) *STARS* – A copy of the adaptation file and the unfiltered (*.cdr* file) radar data.

ii) *ERAM* – A copy of the adaptation file, SAR file, and radar file. Include the Skyrec file if applicable.

(d) FAA Form 8020-9.

(e) All other relevant documents and material gathered as a part of the review of service unless specifically excluded by FAA Order JO 8020.16 or written direction from the ATO Litigation Group.

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

(3) No services but did have data must contain, as applicable:

(a) An electronic (e.g., a .pdf stored on a thumb drive) or hard copy of the "Original" aircraft accident package.

(b) All relevant data, documentation, and information (e.g., radar). FAA facilities must upload a working copy of voice recordings and radar data into the APG, if applicable:

i) *STARS* – A copy of the adaptation file and the unfiltered (*.cdr* file) radar data.

ii) *ERAM* – A copy of the adaptation file, SAR file, and radar file.

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

b. Supporting Facilities.

(1) Supporting facility with pertinent services must contain, as applicable:

(a) "Original" and "Working Copy(s)" of voice recordings. FAA facilities must upload a working copy of all voice recordings into the APG.

(b) Radar data and computer data (see Chapter 8). When available, radar and audio start/stop timeframes must match. FAA facilities must upload the following into the APG:

i) *STARS* – A copy of the adaptation file and the unfiltered (*.cdr* file) radar data.

ii) *ERAM* – A copy of the adaptation file, SAR file, and radar file. Include the Skyrec file if applicable.

(c) FAA Form 8020-6-1.

(d) Review of Services Memorandum.

(e) Transcription of voice recording(s) when requested.

(f) FAA Form(s) 7230-4.

(g) Personnel log(s).

(h) FAA Form(s) 7230-10.

i) Towers or combined Tower/TRACON and FSS. Retain all positions regardless of whether they are staffed or not.

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

(i) Flight progress strip(s) and/or in-flight contact record(s).

(j) Weather products including the pre-duty weather briefing products and the pre-duty weather briefing completion logs.

(k) All other relevant documents and material gathered as a part of the review of service unless specifically excluded by FAA Order JO 8020.16 or written direction from the ATO Litigation Group.

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

(2) Supporting facility with routine services must contain, as applicable:

(a) "Original" and "Working Copy(s)" of voice recordings. FAA facilities must upload a working copy of all voice recordings into the APG.

(b) Radar data and computer data. When available, radar and audio start/stop timeframes must match. FAA facilities must upload the following into the APG:

i) *STARS* – A copy of the adaptation file and the unfiltered (*.cdr* file) radar data.

ii) *ERAM* – A copy of the adaptation file, SAR file, and radar file. Include the Skyrec file if applicable.

(c) FAA Form 8020-6-1.

(d) Review of Services Memorandum.

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

(3) Supporting facility with no services but that did have data must contain, as applicable:

(a) All relevant data, documentation, and information (e.g., radar). FAA facilities must upload a working copy of voice recordings and radar data into the APG if applicable:

i) *STARS* – A copy of the adaptation file and the unfiltered (*.cdr* file) radar data.

ii) *ERAM* – A copy of the adaptation file, SAR file, and radar file.

(c) FAA Form 8020-6-1 stating, "no services, has data."

(d) Review of Services Memorandum.

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

Items to Include	*Holding Facility Pertinent Services*	*Holding Facility Routine Services*	*Holding Facility No Services with Data*	*Supporting Facility Pertinent Services*	*Supporting Facility Routine Services*	*Supporting Facility No Services with Data*
Aircraft accident package	X	X	X			
Voice recordings	X	X		X	X	
Radar and computer data	X	X		X	X	
All relevant data, documentation, and information (e.g., radar).			X			X
FAA Form 8020-9	X	X				
FAA Form 8020-6	*	*	*			
FAA Form 8020-6-1	*	*	*	X	X	X
Review of Services Memorandum	*	*	*	X	X	X
FAA Form(s) 7230-4	*			X		
Personnel logs	*			X		
FAA Form(s) 7230-10	X+			X		
Facility layout charts	*			X		
Airport diagram	*					
Flight progress strip(s) and/or in-flight contact record(s)	*			X		
Transcription of voice recording(s), when requested	*	*		X	X	
FAA Form 8020-3	*	*				
Weather products including the pre-duty weather briefing completion logs	*			X		
Pre-duty weather briefing products	X			X		
NOTAMs	*			X		
FAA Form(s) 7233-2	*			X		
FAA Form(s) 7233-1	*			X		
Email or other communications containing exchanges of information relevant to the facts of the aircraft accident	X	X	X	X	X	X
All relevant documents and material gathered as a part of the review of service not contained in the aircraft accident package	X	X		X		

X Items required in the Aircraft Accident File
* Items that are a part of the Aircraft Accident Package
\+ Logs from operational positions with pertinent services are also included in the accident package.

Figure 10-1: Aircraft Accident File Checklist

4. Aircraft Accident Package 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.

a. For the aircraft registration(s) or flight number(s), use the registration(s) or flight number(s) that were in use with Air Traffic at the time of the accident. Remain consistent throughout the aircraft accident package.

b. Insert a sheet of plain paper between each section with the section number and title of the section centered on the page. The section dividers are generated by the APG.

c. 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.

d. 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. Address the memorandum to the aircraft accident file.

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

(2) Positions of operation identification and type in Section 6, FAA Form 7230-10, and Section 10, Transcription of Voice Recordings and Personnel Statements, must match.

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

e. Each 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 aircraft registration(s) or flight number(s) must be in the lower left-hand footer. Footers are automatically generated for documents produced by the APG.

f. Use only one side of the paper when assembling the paper copy of the aircraft accident package.

g. From military facilities with routine or pertinent services, the aircraft accident package will contain applicable equivalent documents when supplied by the military. Permission to release documents must be obtained from the ATO Litigation Group through the appropriate Service Center QCG.

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

NOTE: *The Air Force Rescue Coordination Center would be an exception to this requirement as their numbers are publicly available.*

5. Aircraft Accident Package Assembly. The aircraft accident package must begin with a cover page that includes the aircraft accident label (the label is created in the APG). Include the following sections as applicable:

a. *Section 1.* Table of Contents (list each section's number and content). If the information called for by a specific section is not available or relevant to the accident move to the next section and renumber the sections appropriately.

b. *Section 2.* FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) (see Chapter 5, paragraph 2). Only the holding facility completes FAA Form 8020-6. Each facility having provided air traffic services, communication, or contact regarding the subject aircraft or provided no services but has data must submit FAA Form 8020-6-1. Place FAA Forms 8020-6-1 in chronological order.

c. *Section 3.* Review of Services Memoranda (see Chapter 9).

d. *Section 4.* FAA Form(s) 7230-4, Daily Record of Facility Operation. Include FAA Form 7230-4 from all relevant 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. FAA Form 7230-4 from the facility reporting the accident must have an entry for the aircraft accident that includes "Aircraft Accident" and the call sign. Include a reference to any associated MORs.

e. *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 the Air Traffic Organization Resource Tool (CRU-ART) or local facility logs are required to include a memorandum listing those employees on regular days off (see Appendix B, paragraph B-9). Redact any type of leave taken on copies of the personnel logs.

f. *Section 6.* FAA Form(s) 7230-10, Position Log(s), or automated equivalent. Only include position logs from positions providing pertinent services. Place position logs in chronological order of the personnel listed in Block 12 of FAA Form 8020-6.

g. *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. Include layout charts for all areas of operation.

h. *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." The APG can automatically load the appropriate airport diagram for aircraft accidents within one mile of the airport when available. Use only FAA airport diagrams in the aircraft accident package.

NOTE 1: *FAA diagrams are available at http://www.faa.gov/airports/runway_safety/diagrams/. Every effort should be made to retrieve the airport diagram that was in effect at the time of the*

accident. If the airport diagram included is not the airport diagram current at the time of the accident, include the diagram without date alterations along with a memorandum explaining the discrepancy.

NOTE 2: *If there is no airport diagram available skip this section.*

i. *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. A title page with footers can be created using the APG.

NOTE: *Retain non-printed TFDM data in the accident file.*

j. *Section 10.* Transcription of Voice Recording(s) (see Chapter 7, paragraph 2).

k. *Section 11.* FAA Form 8020-3(s), Facility Aircraft Accident/Incident Notification Record (see Chapter 5, paragraph 1).

(1) Only the original aircraft accident file/package at the holding/supporting Air Traffic facility will retain the unredacted information.

(2) Redact or black out all classified or sensitive security information (e.g., the Domestic Event Network and JSEN telephone numbers) from all copies. Generally, this includes home, cellular, and unpublished numbers of FAA, airport, military, and emergency personnel/offices.

(3) If FAA Form 8020-3 was not used at the time of the event but notifications were made, FAA Form 8020-3 must still be completed.

l. *Section 12.* Weather Products. Weather that was relevant to the aircraft accident/incident and available to the facility (regardless of whether it was issued to the flight crew) and the source of the weather. This includes the Pre-Duty Weather Briefing Completion Log(s) and weather entered on FAA Form 8020-6, including remarks. PIREPs, SIGMETs, AIRMETs, TAFs, weather-related NOTAMs, and other weather information should also be included.

m. *Section 13.* NOTAMs. NOTAM information can be searched for on the Federal NOTAM System website.

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

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

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

6. Aircraft Accident Package Content. The holding facility will use the data/documents/records from the holding and support facility's aircraft accident file to assemble an aircraft accident package.

a. Holding Facilities.

(1) Pertinent Services – all sections with applicable records.

(2) Routine Services.

(a) *Section 1*. Table of Contents.

(b) *Section 2*. FAA Form 8020-6 and FAA Form 8020-6-1.

(c) *Section 3*. Review of Services Memorandum.

(d) *Section 11*. FAA Form 8020-3.

(e) *Section 16*. Other.

(f) Additional sections may be added as needed.

(3) No Services but did have data.

(a) *Section 1*. Table of Contents.

(b) *Section 2*. FAA Form 8020-6 and FAA Form 8020-6-1.

(c) *Section 3*. Review of Services Memorandum.

(d) *Section 16*. Other.

(e) Additional sections may be added as needed.

b. Supporting Facilities.

(1) Pertinent Services – all sections with relevant records.

(2) Routine Services.

(a) *Section 2*. FAA Form 8020-6-1.

(b) *Section 3*. Review of Services Memorandum.

(c) Additional sections may be added as needed.

Items to Include	*Holding Facility Pertinent Services*	*Holding Facility Routine Services*	*Holding Facility No Service with Data*	*Supporting Facility Pertinent Services*	*Supporting Facility Routine Services*
Label	X	X	X		
Table of Contents	X	X	X		
FAA Form 8020-6	X	X	X		
FAA Form 8020-6-1	X	X	X	X	X
Review of Services Memorandum	X	X	X	X	X
FAA Form(s) 7230-4	X			X	
Personnel logs	X			X	
FAA Form 7230-10	X+			X+	
Facility layout chart(s)	X			X	
Airport diagram	X*			X*	
Flight progress strip(s)/in-flight contact record(s)	X*			X*	
Transcription of voice recording(s) when requested	X*			X*	
FAA Form 8020-3	X	X			
Weather Products including pre-duty weather briefing logs and weather entered on FAA Form 8020-6.	X			X*	
NOTAMs	X*			X*	
FAA Form(s) 7233-2	X*			X*	
FAA Form(s) 7233-1	X*			X*	
Other	X		X	X*	

X Items that are a part of the Aircraft Accident Package
* When applicable
\+ Only include position logs from positions with pertinent services. Place the position logs in chronological order.

Figure 10-6-1. Aircraft Accident Package

7. Certification of the Aircraft Accident Package.

a. An Information Memorandum (generated by the APG) addressed to the Service Center Director or the Flight Service Directorate from the facility manager or acting facility manager of the holding 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 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, paragraph B-1). 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.

8. Distribution. The holding facility must secure and retain the original aircraft accident package with the original documentation in the facility files. Original documents (recorded or written) must not be released from the Air Traffic facility's custody (see Chapter 11, paragraph 1). Facilities must distribute the copies of the package as follows:

a. *FAA (except for FAA FSS facilities), FCT, and NFCT 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 ATO Litigation Group within 45 calendar days of the aircraft accident.

(2) After the ATO Litigation Group has reviewed and released the package through the QCG, 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.

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 ATO Litigation Group within 45 calendar days of the aircraft accident.

(2) After the ATO Litigation Group has reviewed and released the package through the QCG, the AFSIAG 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) One complete package to the Flight Service Directorate within 30 calendar days of the aircraft accident. After review, the Flight Service Directorate will forward one copy of the package to the ATO Litigation Group through the QCG within 45 calendar days of the aircraft accident.

(2) After the ATO Litigation Group has reviewed and released the package through the QCG, the Flight Service Directorate 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. Distribution is the same for aircraft accident packages involving military aircraft.

9. Changes to the Aircraft Accident Package After the Package Was Released. Should corrections to the aircraft accident package become necessary, all changes must be distributed in the same manner as outlined in Chapter 10, paragraph 8. A memorandum from the facility manager or acting manager must accompany any change(s) with a complete explanation of the change(s).

Chapter 11. Retention of Aircraft Accident Files

1. Security of Original Records. The proper security, retention, and disposal of aircraft accident files/packages is the responsibility of the facility manager. Keep the file and any original documents it contains secure. If components of the file, such as DALR files or ASDE-X data, are kept in a separate secure area make note of the alternate storage site in the aircraft accident file.

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. Destroy aircraft accident files five years after the aircraft accident date except:

(1) In litigation cases a file must be held until written notification is received from the ATO Litigation Group stating that all litigation has been completed. Destroy the file upon receipt of the ATO Litigation Group memorandum. If 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.

(2) Records that are related to FOIA requests must be kept in accordance with paragraph (b)(3) below.

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 ATO Litigation Group determined did not meet the definition of an aircraft accident.* Normal retention requirements apply.

(3) *FOIA requests related to aircraft accidents*. Retain in the facility's aircraft accident file a copy of the FOIA response memorandum for any FOIA relating to the aircraft accident. All data released as a part of the FOIA request is maintained by the respective FOIA office.

(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*. 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 forty-five-day hold may be granted by the QCG or Flight Service Directorate after approval from the ATO Litigation Group.

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

3. Holds Placed on Records. Holds may be placed by the ATO Litigation Group, JSEN, QCG, Office of the Chief Counsel, or Flight Service Directorate or due to a FOIA request. In these cases, records must be clearly marked with "Hold" and 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 ATO Litigation Group after the FOIA hold has expired. This is to ensure that the Office of the Chief Counsel is aware of FOIA activity. Coordinate the release of records to Public Affairs through the ATO Litigation Group 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.

4. Original Document Transfer. 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 Litigation Group (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 (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.

Chapter 12. Reporting and Notification Responsibilities for Pilot/Vehicle/Pedestrian Deviations

1. General.

a. Reporting. Any employee providing air traffic services who determines that a pilot's actions may have violated a 14 CFR regulation or a North American Aerospace Defense (Command Air Defense Identification Zone) tolerance must report the occurrence.

NOTE: *Submission of a Voluntary Safety Reporting Program 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 7200.20,* Voluntary Safety Reporting Programs*).*

b. Process. The Service Area Safety Group examines the occurrence and determines whether to forward it to AFS, Airports, Technical Operations, and/or the military via the appropriate process/form. The Service Area Safety Group must work with the facility to gather sufficient data for the investigation office to process the occurrence and decide 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 the Chief Counsel routinely requires evidence of the clearance issued in addition to evidence of the clearance violated. Air Traffic facilities, Service Area Safety Groups, 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. FCF Responsibilities. Unless otherwise indicated in the following paragraphs or specifically directed by the ATO Litigation Group, 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]."

(1) 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. Alternative actions should be described in the MOR (i.e., contacted the pilot through the fixed based operator after landing).

b. Notify the Watch Supervisor or CIC. The Watch Supervisor / CIC will report the occurrence in accordance with 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 relevant information such as the pilot's name, certificate number, and contact information.

d. Obtain Personnel Statements. FAA Form 8020-26 is only 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. Service Area Safety Group.

a. Notify the facilities to collect relevant 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 Comprehensive Electronic Data Analysis and Reporting or other means retain all relevant 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 ATO Litigation Group, Safety Standards, and Office of the Chief Counsel.

c. Notify facilities when investigative authorities such as Flight Standards, Airports, or the military need data to be retained in accordance with Chapter 13 to support possible enforcement activities.

d. Assist facilities in producing enforcement replays.

e. Assist facilities in producing a certified partial or full transcript only if requested by the ATO Litigation Group 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 or Hotline complaint. 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 11, paragraph 2.

Chapter 13. Data Provided in Support of Pilot/Vehicle/Pedestrian Deviations and Air Traffic Occurrences

1. General Data Requirements. When advised by the Service Area Safety Group that data is needed or when notified by the QCG that the investigative office requires data, collect the necessary data to support the investigation. More than one facility may have relevant data. The QCG must assist in determining the complete circumstances surrounding the occurrence and subsequent data collection. All data provided must be in accordance with Service Area Safety Group / QCG instructions. Each involved facility or office must retain the data that originated from or was produced by that facility/office.

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

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

b. For occurrences that require relevant 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 must assist in contacting the FCFSS.

2. Audio Data. Determine all relevant conversations or contacts. Involved facilities record voice data from 15 minutes before the possible deviation/occurrence until 15 minutes after the possible deviation/occurrence. Relevant recorded telephone conversations must also be included. Relevant non-recorded telephone conversations must be documented and retained (e.g., OMs, OSs, and CICs document non-recorded conversations). When speaking with the pilot verify the pilot's name, certificate number, two telephone numbers of the pilot in command, and comprehensive flight history. Make voice recordings in accordance with Chapter 7, paragraph 1.

3. Radar and Computer Data. Involved facilities retain relevant radar and computer data from 15 minutes before the possible deviation/occurrence to 15 minutes after the possible deviation/occurrence. Retain radar and computer data in accordance with Chapter 8. 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).

4. Transcripts. If requested by the ATO Litigation Group, QCG, Flight Service Directorate, or enforcement counsel, prepare and forward a certified partial or full transcript of the recorded communications (see Chapter 7, paragraph 2).

5. Replays/Plots. The facility where the occurrence happened must provide an enforcement replay or plot (see Chapter 8, paragraph 3) when needed for enforcement court proceedings. The QCG or the ATO Litigation Group will notify the facility on behalf of Flight Standards that an enforcement replay or plot is needed.

NOTE: *The Service Area Safety Group may have already provided AFS with a picture or video of the occurrence. These products from the Service Area Safety Group are different from the enforcement replay or plot described in Chapter 8, paragraph 3. The QCG or ATO Litigation Group may assist in producing the enforcement replay or plot.*

6. 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 above his or her typed name, title, and facility name. Do not use initials. Digital signatures may be used.

7. 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 relevant information concerning the occurrence.

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

c. Service Reviews (e.g., Covered Event Review, System Service Review, and Systemic Service Review).

d. LOAs.

e. Facility directives.

f. Airport diagrams.

g. ADS-B/ADS-C plots.

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

i. FAA Form 7210-13, Air Traffic Mandatory Occurrence Report, and FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report.

j. FCFSS web service information.

k. Controller-Pilot Data Link Communications.

l. NOTAMs, SIGMETs, AIRMETs, PIREPs, TFRs, and SFRAs.

m. Various FAA and contractor data, such as ADS-B, Systems Information Area, and ARINC Data Network Service data.

n. FSS or FCFSS EVR data.

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

8. Retention.

a. Involved facilities retain records and files for two and a half years unless otherwise advised by the ATO Litigation Group, QCG, Service Area Safety Group, 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 14. Technical 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 the appropriate authorities.

2. Air Navigation Facilities. Air navigation facilities include all navigation, communication, and ATC 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.

3. 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 the application of defined exclusion principles based on the circumstances surrounding the aircraft accident to a minimum list of facilities. These facilities constitute the suspect list and 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 Control Center for implementation by field personnel. The Control Center provides the status of activities to all concerned entities. An aircraft accident package of appropriate facility documentation is assembled and distributed.

4. Technical Operations 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 principal staff element of Technical Operations for oversight of Technical Operations Aircraft Accident policy.

c. The Tactical Operations Program Team (AJW-B620) is the Technical Operations focal point for all aircraft accident matters and provides an 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 TOAARs.

(3) Providing upward reporting of information concerning aircraft accidents with FAA facility involvement to the Vice President of Technical Operations and to 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. The National Operations Group (NOG) or their designees are responsible for:

(1) Designating an adequate number of TOAARs to meet operational requirements. TOAAR duties cannot be further delegated beyond those designated. The NOG Manager must publish annually to the NTOAAR and to the QCGs, 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 supplements to 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 aircraft accident response.

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

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

e. The Control Center is responsible for establishing and documenting a procedure between the ROCs, JSEN, and the Control Center to ensure that TOAARs are notified of aircraft accidents/incidents.

f. The 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 the service area.

(2) Performing the tasks described in Chapter 14, paragraph 6a.

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

(4) Upward reporting of information concerning aircraft accidents.

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

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

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

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

(2) Ensuring that national documentation on Technical Operations procedures is available to all non-federal equipment sponsors and technicians, as captured in the system and site-specific Operations and Maintenance Manual (OMM).

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

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

h. The System Support Center Manager (SSCM) is responsible for final review and approval of the Technical Operations aircraft accident package. For non-federal systems, the SSCM or Technical Support Center Manager, whichever has inspection responsibility of the system, is responsible for final review and approval of the Technical Operations aircraft accident package.

5. 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 eLMS Course 45565001, Ground Based Navigation Aids (GBNA), and the eLMS Course 49840100 Provisional TOAAR Training. 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 minimum of ten critique sessions with their trained peers.

b. The Duty TOAAR must make the decisions 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 14-1.

6. Process. The Technical Operations response to aircraft accidents/incidents consists of the three major activities defined below, and it is complete when all the steps defined for each activity have been accomplished.

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. It is important that decision-making about possible NAS facility and equipment involvement occurs as soon as possible after the aircraft accident, typically within one hour after initial notification. There are four major steps to this decision-making:

(1) Provide timely notification of the aircraft accident/incident. The Control Center 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 Duty TOAAR may contact a JSEN specialist to obtain any required information. The procedure must define a method to ensure that a timely response is received from the Duty TOAAR. The application of the following five exclusion principles prior to the creation of the Initial Candidate List preclude further notification.

(a) 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.

(b) VFR aircraft accidents during daylight hours may be excluded from this notification procedure. (Daylight is defined as the hours between the beginning of the morning civil twilight and the end of evening civil twilight.)

(c) 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.

(d) Aircraft reported as having no ATC services provided may be evaluated under the same exclusion principles as VFR aircraft. Air traffic investigative personnel (i.e., JSEN) must provide the confirmation that no ATC services were provided. If the information reported by the ROC was provided by JSEN, 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.)*

(e) If the accident occurred during the departure phase of flight prior to the accident aircraft entering the Instrument Departure Procedure (IDP), Obstacle Departure Procedure (ODP), or SID, the accident may be excluded from this notification procedure. An archive list must be generated for an accident occurring in the departure phase of flight. The TOAAR may consult Departure Procedures listed at the accident airport to determine the existence of a Terminal Procedure (i.e., IDP, ODP) and in accordance with Chapter 14.6.a.(1) above contact a JSEN specialist to ascertain if the accident aircraft was assigned a Terminal Procedure.

(f) When an aircraft accident/incident is excluded from notification by (a) through (e) above, the aircraft accident/incident TOAAR checklist is not required to be completed. The aircraft accident/incident still requires an administrative log entry in accordance with FAA Order 6000.15, paragraph 2-3, Maintenance Logs. The administrative log entry must clearly state the reason for the exclusion from the notification procedure.

(g) For IFR aircraft accidents not excluded from notification by paragraphs (a) through (e) above and which occur outside the United States border and involve aircraft under United States ATC, the TOAAR will be notified through the normal process.

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.*

(2) Define potential Technical Operations involvement. When advised of aircraft accidents for which notification is required, 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.

(a) Development of the Archive List: Facilities that provide data that is routinely used for aircraft accident investigation and documentation (e.g., Low-Level Wind Shear Alert System (LLWAS), Terminal Doppler Weather Radar (TDWR), 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. The NWS archives data from other weather facilities, such as the Automated Weather Observing System (AWOS)/Automated Surface Observing System (ASOS). Data from communication and automation facilities supporting separation of aircraft are archived at the request of Air Traffic personnel in accordance with other sections of this order.

(b) Development of the Initial Candidate List: Facilities that are potentially suspect in their operation (e.g., all communication, surveillance, navigation, and lighted aids possibly in IFR use and VASI or PAPI in VFR 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.*

The service volume of FAA facilities in which the subject aircraft entered or likely was using at the time of the incident/accident must be placed on the Initial Candidate List. Once the development of the Initial Candidate List is complete, then the following Exclusion Principles will be applied to further eliminate the involvement of FAA facilities to produce the Suspect List:

i) 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.

ii) En Route navigation facilities (e.g., Very High Frequency Omni-Directional Range (VOR), Distance Measuring Equipment (DME), Nondirectional Beacon (NDB), Tactical Air Navigation, and the Wide Area Augmentation System) 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 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 14, paragraph 6a(1)(c).*

iii) Terminal navigation facilities (e.g., Instrument Landing System (ILS) / VOR and their subsystems, approach lighting systems, ground-based augmentation systems, and En Route navigation facilities upon which terminal approaches are based) may be excluded from further consideration for all VFR aircraft accidents, and IFR aircraft accidents may be excluded if any of the following three items are true:

a) 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.

b) 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.

c) Two subsequent aircraft have been cleared to use them in IFR operations and there has been no pilot reported abnormalities within the 12 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) Approach lighting systems may be excluded from further consideration if the accident occurred under Visual Meteorological Conditions (VMC).

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

a) The accident aircraft was cleared for a visual approach.

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

b) 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 approaches).

c) The accident occurs during night hours.

v) Visual Guidance Lighting Equipment, such as the Omni-Directional Approach Lighting System and Runway End Identifier Lights (REIL), may be excluded from further consideration for all VFR accidents and IFR accidents occurring during VMC conditions.

vi) 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.

(c) Development of the Suspect List: Those facilities which cannot be eliminated with the application of the Exclusion Principles above will be placed on the Suspect List. Once facilities are placed on the Suspect List, the Duty TOAAR must define the prudent level of investigative action required.

(d) 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 reapplication 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.

(3) Define the prudent level of investigative action required. The list resulting from Chapter 14, paragraph 6a(2)(a) consists of facilities providing data that is routinely used for aircraft accident investigation and documentation and facilities that are potentially suspect in their operation.

(a) Facilities providing data that is routinely used for aircraft accident investigation and documentation (e.g., ASDE, LLWAS, TDWR, AWOS, ASOS, and RVR) must be left in service and their data archived for 30 minutes prior to the aircraft accident until 30 minutes after the aircraft accident.

(b) 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 operational analysis dictates otherwise, until one of the prudent levels of investigative action 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 basis for this decision (e.g., operational conditions or constraints, subsequent users, normal indications, no intermittent anomalies) should be documented in the TOAAR checklist.

(c) 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.

i) 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.

ii) Certification is required for all facilities identified by the TOAAR, other than those identified in Chapter 14, paragraphs 6a(1)(a–e). In addition, flight inspection may be required for some facilities.

a) 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.

b) 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.

iii) 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.**

a) 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. The decision to request a flight inspection is to be based solely on safety concerns and not on economic factors.

b) 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).

c) 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, *Request for Flight Inspection Services*. Flight Program Operations must ensure that the FAA IIC and TOAAR are informed of the facility's operational status after completion of the flight inspection. The flight crew may give a verbal report to the TOAAR regarding the facility's operational status, but a final report will not be released until the written report has been reviewed and approved. Finally, Flight Program Operations must 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.

(4) The Duty TOAAR must contact the System Support Center (SSC) to request:

(a) Archiving of information produced by facilities providing data that is routinely used for aircraft accident investigation and documentation.

(b) Immediate removal from service of each potentially suspect facility identified in Chapter 14, paragraph 6a(2)(c). **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).

(c) Implementation and appropriate reporting of the action determined in Chapter 14, paragraph 6a.

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. If a suspect facility lies within a Service Operations Center's (SOC's) area of responsibility, the requirements also apply to the SOC under the direction of the Duty TOAAR. The field work is composed primarily of actions by the SSC and the responding Airway Transportation System Specialist (ATSS):

(1) Upon request and as defined by the Duty TOAAR, the SSC 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.

(a) 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 that NOTAMs be published to accurately reflect the interruptions.

(b) Contact an ATSS to archive information produced by facilities (identified by the Duty TOAAR) which provide data that are 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 30 minutes prior to the aircraft accident until 30 minutes after the aircraft 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.

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

i) 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.

ii) 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 affect 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 SSC or Duty TOAAR 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).

(2) Locate and dispatch an observer for each potentially suspect facility removed from service unless waived by the duty TOAAR. 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 SSC 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 that has responsibility for annual non-federal inspection. Where a facility is not inspected annually (e.g., Medium-Intensity Approach Lighting System with Runway Alignment Indicator Lights, PAPI), an inspection process, the documentation, and the personnel are the responsibility of the airport sponsor.

(3) 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.

(4) Accomplish appropriate logging of events and reporting of interruptions using procedures defined in FAA Order JO 6000.15 and in FAA Order 6040.15, *National Airspace Performance Reporting System (NAPRS)*.

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

(6) Upon notification by the SSC the assigned personnel will complete the following tasks:

(a) For federal facilities, ATSSs must:

i) Promptly archive (i.e., 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).

ii) Initiate the necessary restoration activities. Promptly execute the Facility Restoral checklist in Figure 14-2 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 SSC. The checklist is complete when the facility has been returned to service.

(b) For non-federal facilities:

i) For annually inspected non-federal facilities, the non-federal technician must promptly execute the Facility Restoral checklist in the aircraft accident section of the OMM 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 Duty TOAAR when ready to return the facility to service.

ii) 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 Duty TOAAR to cancel the NOTAM and return the facility to service. Refer the airport sponsor to the current version of Advisory Circular 150/5340-26, *Maintenance of Airport Visual Aid Facilities*, for specific guidance.

iii) The NOTAM closure is procedural only. The SSC does not have any restoration or inspection responsibly 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.

(7) 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.

c. Documentation. To close out Technical Operations' post-aircraft accident/incident activities, the Technical Operations aircraft accident documentation package must be assembled. This includes assembly, proofing, authentication, and retention of the official Technical Operations aircraft accident package.

(1) The package must be assembled by the SSC performing the technical evaluation and restoration of FAA facilities or the SSC or Technical Support Center responsible for the oversight of non-federal facility verification.

(2) When printing electronic Technical Performance Records (eTPRs):

(a) Print the eTPR for only the day of the aircraft accident/incident.

(b) Prior to printing from Peabody, select the "Include Aircraft Accident Signature Area" checkbox to print the authentication statement on the eTPR.

(c) Circle to select the appropriate selection (as-found, as-left, or as-found and left) before signing the eTPR.

(3) The digital package must be assembled, reviewed, and digitally signed by the SSC manager or appropriate responsible manager within 15 working days of the date of the aircraft accident/incident.

(4) If any of the facilities involved remain out of service beyond the fifteen-day date, the package assembled by the end of the fifteenth day 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 digital package must be completed, reviewed, and signed by the SSC manager or appropriate responsible manager within ten working days of the last facility restoration.

(5) 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 or appropriate responsible manager as soon as possible. The minimum contents of the package are defined in the package cover sheet / checklist in Figure 14-1. The digital package must be assembled with the completed cover sheet with digital signatures and sent by email to 9-awa-techops-acft-acdnt@faa.gov. The digital copy of the package must be retained on the sending computer in compliance with the retention periods described in the latest FAA retention schedule.

7. 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 electronic copy of these records is subject to the retention periods described in the latest FAA record retention schedule.

b. The SSCM or appropriate responsible 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. Request for records or technical information related to or associated with an aircraft accident must be coordinated with the NTOAAR prior to release.

d. When military facilities are involved, the 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.

8. Field Response for Post-Aircraft Accident Data. (Reserved for updated guidance.)

9. Practice Aircraft Accident Exercise. The possibility of an aircraft accident that does require Technical Operations' 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, the NTOAAR must randomly select five FAA Core 30 airports for an unannounced practice aircraft accident exercise. Each subsequent year, the NTOAAR must select different airports in order to ensure that all airports will have participated in a practice aircraft accident exercise at least once every six years.

b. The practice exercise must include recording actual as-found readings unintrusively from an operating facility on an 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. A practice aircraft accident Standard Operating Procedure (SOP) will be created and 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 14, paragraph 6c., Figure 14-2 and Figure 14-3. The practice package must be forwarded to the NTOAAR for a review and critique of the practice exercise. Emailing scanned copies of the accident package is required. Practice aircraft accident exercise packages will also be sent to the NTOAAR at 9-awa-techops-acft-acdnt@faa.gov for a review to identify any national trends.

Figure 14-1 (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 14-1 (Part 2): 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, Chapter 14, paragraph 6a(2)(a), (e.g., LLWAS, TDWR, RVR, ASDE, AWOS, and ASOS). 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 14 paragraph 6a(2)(b).

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 14, paragraph 6a(2)(c). 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/verified:

Certification Results:

Are all related tickets closed? _____

Figure 14-2: Facility Restoral Checklist for Field Facilities

Figure 14-2 on page 1 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/verification and/or operational status check.

Facility: _____ **Ident**: _____

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

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

_____ _____
Facility **ATSS who last certified/verified facility**

(2) An observer will normally be required; however, under certain conditions the observer requirement in accordance with Chapter 14, paragraph 6b(2)(a) 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/verification and/or restoration of facility in a post-aircraft accident/incident.

2315 Presently the weather conditions are overcast and snowing with two 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 have been recorded (see paragraph 3 below) and any flight inspection activities have been completed, corrective maintenance in support of facility restoration may begin. Record as-left technical data (see paragraph 3 below).

e. Certify the facility as required and initiate restoration coordination. Record all activities in the facility maintenance log.

f. An Aircraft Summary Checklist (Figure 14-2a) is provided for SSC personnel to summarize the important things contained in Chapter 14 and Figure 14-2b.

3. Documentation of the condition of the facility.

a. Technical performance parameters must be recorded accurately on the eTPR. For Remote Maintenance Monitoring (RMM) facilities, all screens required to support a certification/verification 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.) An authentication statement must be entered immediately below

each set (as-found, as-left) of parameter values, on each 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 KSN site for further information.

d. The authentication statement to be used on each set of readings on each eTPR 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	_____	Signature	_____
Name	_____	Name	_____
Title	_____	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 eTPR 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 eTPRs in the Technical Operation Aircraft Accident Package.

c. This completes the facility restoral process.

Figure 14-2a: 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 14 and Figure 14-2b. 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

___ 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.

___ Observer does not need certification credentials, but must understand their role

___ Advise the TOAAR of site arrival

___ Record readings on the 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 14-3: Aircraft Accident/Incident Package Cover Page

Minimum package contents:

1. Cover page (this page; use additional copies as required for all signatures).

2. Electronic copy 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 14-2 (page 1 only). _____
Reviewed for completeness? _____

b. Electronic 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 3.b. of Figure 14-2)? _____

d. Any archived original data from the list of facilities developed in Chapter 14. _____

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) (SSC or Appropriate Manager)

NOTE: *See Chapter 14, paragraph 7 for instructions on custody, retention, release, and other handling instructions for aircraft accident/incident related documents.*

Figure 14-3: Aircraft Accident/Incident Package Cover Page

Minimum package contents:

1. Cover page (this page; use additional copies as required for all signatures).

2. Electronic copy 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 14-2 (page 1 only). ___
Reviewed for completeness? ___

b. Electronic 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 3.b. of Figure 14-2)? ___

d. Any archived original data from the list of facilities developed in Chapter 14. ___

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) (SSC or Appropriate Manager)

NOTE: *See Chapter 14, paragraph 7 for instructions on custody, retention, release, and other handling instructions for aircraft accident/incident related documents.*

Chapter 15. FOIA Request for Aircraft Accident/Incident and Occurrence Documents

1. Introduction. This chapter applies to FOIA (Title 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.

2. 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 to make a disclosure determination. 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.

c. When a FOIA request is received that seeks email records, please contact the FOIA & Litigation Support Team (AJI-172) manager for guidance on how the search for email records is to be conducted.

3. 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 Title 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, paragraph B-15). If the Service Center FOIA Program Office confirms this information is to be redacted, they will apply the redactions to the records prior to their release to the requester. 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.

4. Release of Records.

a. Prior to the release of any records under FOIA regarding aircraft accidents/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 Litigation Group, 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 an 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.

5. Documentation. A FOIA file consists of the request letter; interim correspondence; the agency response letter; copies of all records released or an exact listing of the documents (accounting for all pages); copies of any records partially or completely withheld from disclosure (with redactions and/or withheld pages noted with exemption); a memorandum or note in the Remarks section of the FOIA checklist documenting the agency search for "no records/partial no records" responses; and the completed and signed FOIA checklist and fee worksheet (FAA Form 1270-1).

6. Retention of Records. All FOIA files are retained for six years from the date of the signed response letter.

a. For FOIA requests answered by an ATO Service Center, the Service Center's Management and Administrative Support Team is responsible for retaining the FOIA file for those requests to which they are assigned.

b. For FOIA requests answered by an ATO Headquarters Service Unit, the Service Unit is responsible for retaining the FOIA file for those requests to which they are assigned.

NOTE: *Prior to the destructions of any FOIA associated with any aircraft accident, verify with AJI-17 that there is no pending litigation.*

Appendix A. Forms Used By Air Traffic

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

The forms that follow are samples. Actual PDF fillable forms are located at: https://employees.faa.gov/tools_resources/forms/

A-1. FAA Form 8020-3, Facility Aircraft Accident/Incident Notification Record

FACILITY AIRCRAFT ACCIDENT/INCIDENT NOTIFICATION RECORD

Facility Name | Airport Name | Aircraft Identification | Date | Airport ID

The order and number of calls will be determined by the situation involved.

	Phone No.	Time	Initials: Caller	Initials: Recipient
Safety Event Network (JSEN)				
Region Operations Center (ROC) if instructed by JSEN				
Domestic Events Network (DEN)				
Air Traffic Manager				
Technical Operations				
Additional Law Enforcement				
National Weather Service (NWS)	800-242-8194			
Alternate Number for National Weather Service (NWS)	800-242-8895			
Military Authority				
Airport Authority				
Aircraft Operator				

SAMPLE

Comments:

This form must be updated annually.

Form Updated by (Name, Title, Facility): | Date:

FAA Form 8020-3 (5-24) Supersedes Previous Edition Electronic Version

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

FAA Form 8020-6, Report of Aircraft Accident

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION **REPORT OF AIRCRAFT ACCIDENT**	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

SAMPLE

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

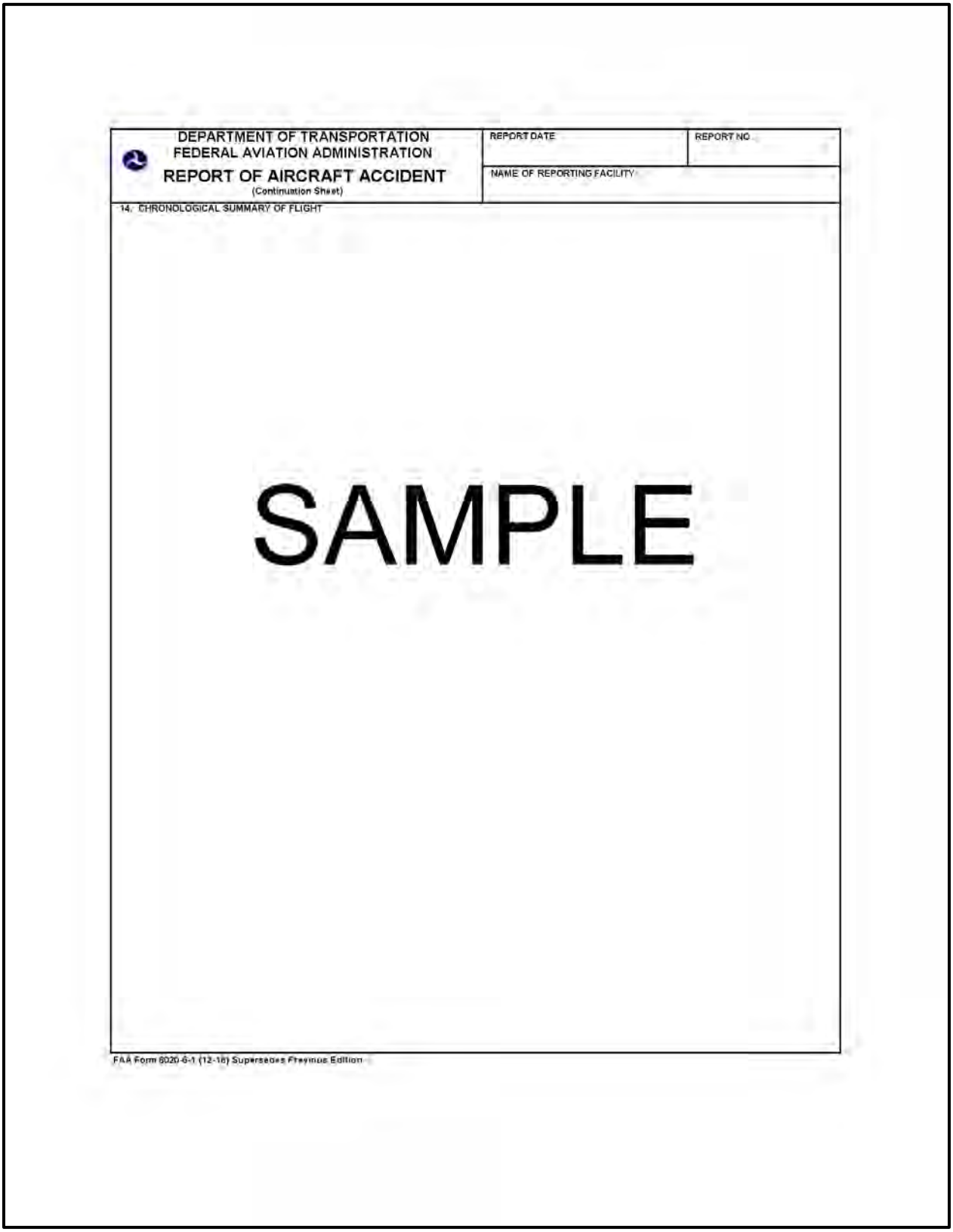
11. WEATHER DATA (USE UTC DATE/TIME)	REPORT JUST PRIOR TO ACCIDENT
	FIRST REPORT SUBSEQUENT TO ACCIDENT

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 (Continuation Sheet)



DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

REPORT OF AIRCRAFT ACCIDENT
(Continuation Sheet)

REPORT DATE

REPORT NO.

NAME OF REPORTING FACILITY

14. CHRONOLOGICAL SUMMARY OF FLIGHT

SAMPLE

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

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

AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE

FROM *(Office of origin)*:	TO:	DATE *(UTC)*:	TIME *(UTC)*:

CODE	*(First words of text)* **AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE-Part 1**
A	1. INFORMATION FROM:
B	1. REGISTRATION NO: / 2. MAKE AND MODEL: / 3. OPERATOR OF AIRCRAFT:
	4. TYPE OF ACTIVITY *(Air taxi, instruction, pleasure, aerial appl., business, executive, sightseeing, etc.)* IF KNOWN:
	5. BRIEF DESCRIPTION OF CIRCUMSTANCES SURROUNDING OCCURRENCE: SAMPLE
	6. WEATHER DATA:
	7. AIRCRAFT DAMAGE: A ☐ DESTROYED B ☐ SUBSTANTIAL C ☐ MINOR D ☐ FIRE E ☐ NONE F ☐ UNKNOWN
C	**OCCUPANTS INDICATE INJURIES: FATAL, SERIOUS, MINOR, NONE**
	1. NAME AND ADDRESS OF PILOT/INJURY: / 2. NAMES OF CREW/INJURIES: / 3. NO. OF PASSENGERS/ INJURIES:
D	1. LOCATION OF OCCURRENCE *(Nearest city, town, and state) (Give route if overdue or missing)*:
E	1. UTC DATE AND UTC TIME OF OCCURRENCE:
F	1. INFORMATION ON COVERAGE OF OCCURRENCE BY FAA, NTSB, OTHER:
G	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 ☐ IFR B ☐ VFR C ☐ NONE D ☐ UNKNOWN
	5. PILOT BRIEFING: A ☐ YES B ☐ NO C ☐ UNKNOWN
	6. OTHER:

RECEIVED AT:	DELIVERED TO:	TIME:

RECEIVED VIA:	RECEIVED BY *(Signature and Title)*:
A ☐ IN PERSON B ☐ RADIO C ☐ TELEPHONE	

NOTE: Part 2

A ☐ ON OTHER SIDE B ☐ ON SEPARATE FORM C ☐ NOT REQUIRED

FAA Form 8020-9 (03/18) Supersedes Previous Edition Page 1

AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE

FROM *(Office of origin)*:	TO:	DATE *(UTC)*:	TIME *(UTC)*:

CODE H — *(First words of text)* **AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE-Part 2**

1. REGISTRATION NO:	2. MAKE AND MODEL:	3. UTC DATE OF ACCIDENT/INCIDENT:

I — STATUS OF POTENTIALLY INVOLVED AIRWAY FACILITIES (A.F.)
(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: A NORMAL	3. JUST PRIOR TO OCCURRENCE: B ABNORMAL OR OUT OF SERVICE	4. AT TIME OF OCCURRENCE: A NORMAL	4. AT TIME OF OCCURRENCE: B ABNORMAL OR OUT OF SERVICE	5. FLIGHT INSPECTION: CON-DUCTED A YES	5. FLIGHT INSPECTION: CON-DUCTED B NO	5. FLIGHT INSPECTION: SATIS-FACTORY C YES	5. FLIGHT INSPECTION: SATIS-FACTORY D NO

6. REMARKS *(Explain briefly any entry above that is check marked as abnormal, or out of service)*:

J — 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 *(Normal, abnormal, out of service, etc.)*:	5. TIME OBSERVATION *(UTC)*:

6. REMARKS *(Briefly describe the nature of any reported abnormally, reason for being out of service, etc.)*:

RECEIVED AT:	DELIVERED TO:	TIME:

RECEIVED VIA:
A ☐ IN PERSON B ☐ RADIO C ☐ TELEPHONE

RECEIVED BY *(Signature and Title)*:

NOTE: Part 1
A ☐ ON OTHER SIDE B ☐ ON SEPARATE FORM

FAA Form 8020-9 (03/18) Supersedes Previous Edition Page 2

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

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
INCIDENT REPORT

TO:	FROM:

The following is a description of a deviation/incident. It appeared advisable to prepare a formal record, and a copy is being forwarded to acquaint you with its particulars. It is requested that, as necessary, these details be brought to the attention of the pilot or other individuals involved. We hope that through review, recommendations leading toward action to prevent recurrence of incidents of this type will be obtained. No reply is required; however, the undersigned will be glad to answer any questions at your convenience. Any action you can take to assist the Air Traffic Service to provide more efficient service will be appreciated.

TYPE OF INCIDENT:	TIME OF INCIDENT		INCIDENT NO:
	DATE:	☐ Day ☐ Night	

AGENCY/AIRCRAFT IDENTIFICATION:

NAME(S) OF PERSONNEL OR PILOT:

SUMMARY OF INCIDENT:

SAMPLE

REMARKS:

ATTACHMENTS:	FORWARDED	
	DATE:	SIGNATURE OF FACILITY MANAGER:

FAA Form 8020-11 (10-03) Supersedes Previous Edition NSN:0052-00-024-6002

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

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION PERSONNEL STATEMENT	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):

9. Complete in accordance with FAA Order JO 8020.16, *Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting*, Chapter 7, paragraph 5, 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 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.

10. Text of Statement: ☐ ORIGINAL ☐ SUPPLEMENTAL

SAMPLE

11. Signature:	12. Date of Signature:

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

Appendix B. Example of Aircraft Accident Package

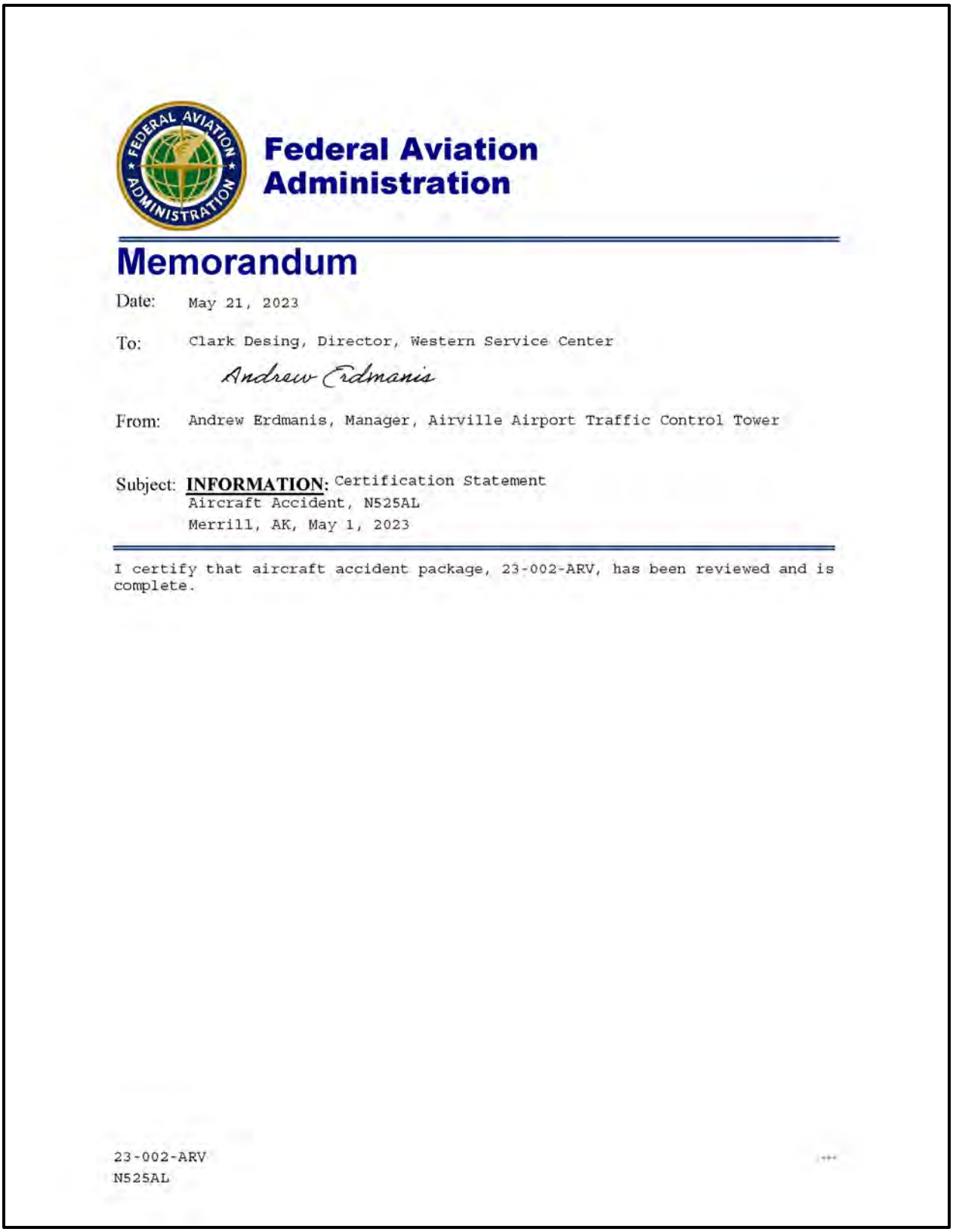
Number	Name	Page
B-1	Certification of the Aircraft Accident Package	B-2
B-2	Labeling the Aircraft Accident File/Package	B-4
B-3	Package Divider Sheets	B-7
B-4	Table of Contents	B-8
B-5	FAA Form 8020-6, Report of Aircraft Accident	B-10
B-6	FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)	B-11
B-7	Review of Services and the Review of Services Memoranda	B-16
B-8	FAA Form(s) 7230-4, Daily Record of Facility Operation	B-23
B-9	Personnel Log(s)	B-25
B-10	FAA Form(s) 7230-10, Position Log(s), or automated equivalent	B-30
B-11	Facility Layout Chart	B-31
B-12	Airport Diagram	B-34
B-13	Flight Progress Strip(s) and/or In-Flight Contact Record(s)	B-35
B-14	Transcription of Voice Recording(s)	B-37
B-15	FAA Form(s) 8020-3, Facility Aircraft Accident/Incident Notification Record	B-43
B-16	Weather Products	B-46
B-17	NOTAMs	B-50
B-18	FAA Form(s) 7233-2, Preflight Briefing Log, or automated equivalent	B-50
B-19	FAA Form(s) 7233-1, Flight Plan, or automated equivalent	B-50
B-20	Other	B-50
B-21	Changes to the Aircraft Accident Package after the Package was Released	B-50

B-1. Certification of the Aircraft Accident Package (Chapter 10, paragraph 7).

An Information Memorandum (generated by the Accident Package Generator (APG)) addressed to the service center director or the Flight Service Directorate from the facility manager or acting facility manager of the holding 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 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 Quality Control Group (QCG) or Flight Service Directorate. 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 Federal Aviation Administration (FAA) Investigator-in-Charge (IIC).



Federal Aviation Administration

Memorandum

Date: May 21, 2023

To: Clark Desing, Director, Western Service Center

Andrew Erdmanis

From: Andrew Erdmanis, Manager, Airville Airport Traffic Control Tower

Subject: **INFORMATION:** Certification Statement
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

I certify that aircraft accident package, 23-002-ARV, has been reviewed and is complete.

23-002-ARV
N525AL

Figure B-1-1: Certification Memo

B-2. Labeling the Aircraft Accident File/Package (Chapter 10, paragraph 2).

The APG application will generate labels for the aircraft accident file/package. Aircraft accident files/packages must be labeled in the following manner:

a. First Line. "Original" or "Copy."

b. Second Line. Aircraft Accident Package.

c. Third Line. The 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:

(1) The flight progress strip / in-flight contact form.

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

(3) The FAA aircraft registry site.

(4) The International Civil Aviation Organization 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).

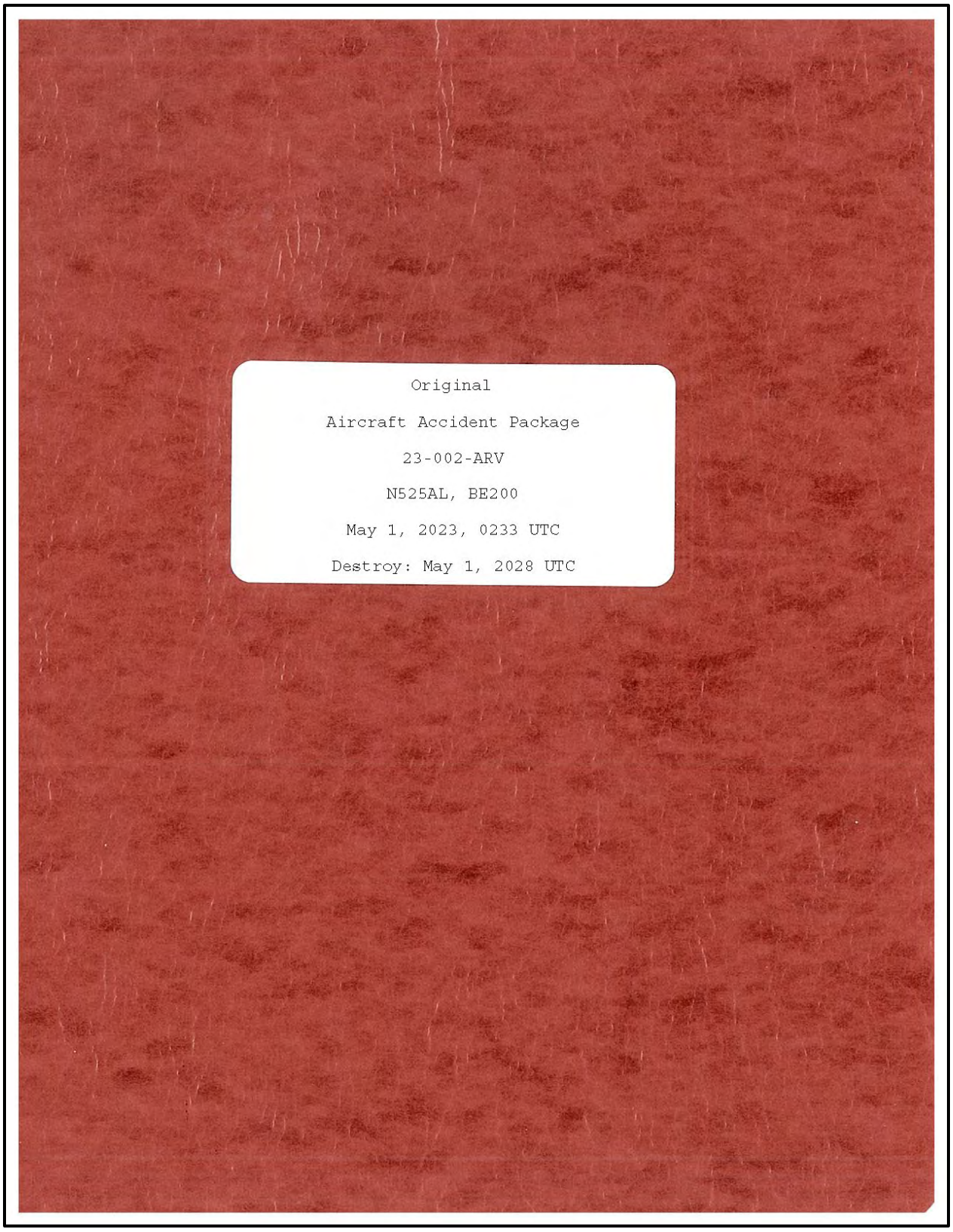


Figure B-2-1: Example of the Cover Page for the Original Package

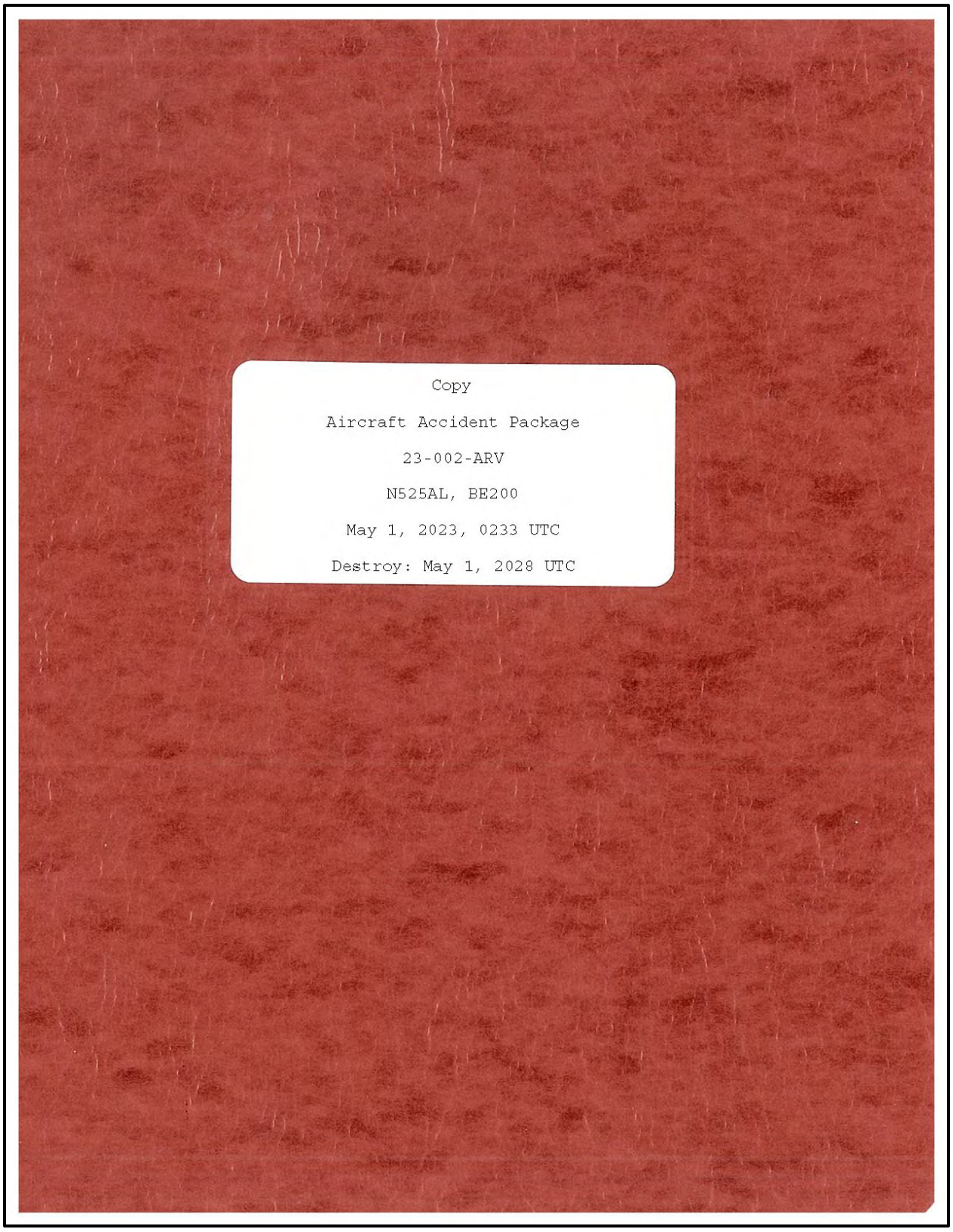


Figure B-2-2: Example of the Cover Page for a Copy of the Original Package

B-3. Package Divider Sheets (Chapter 10, paragraph 4).

Insert a sheet of plain paper between each section with the section number and title of the section centered on the page. The section dividers are generated by the APG.

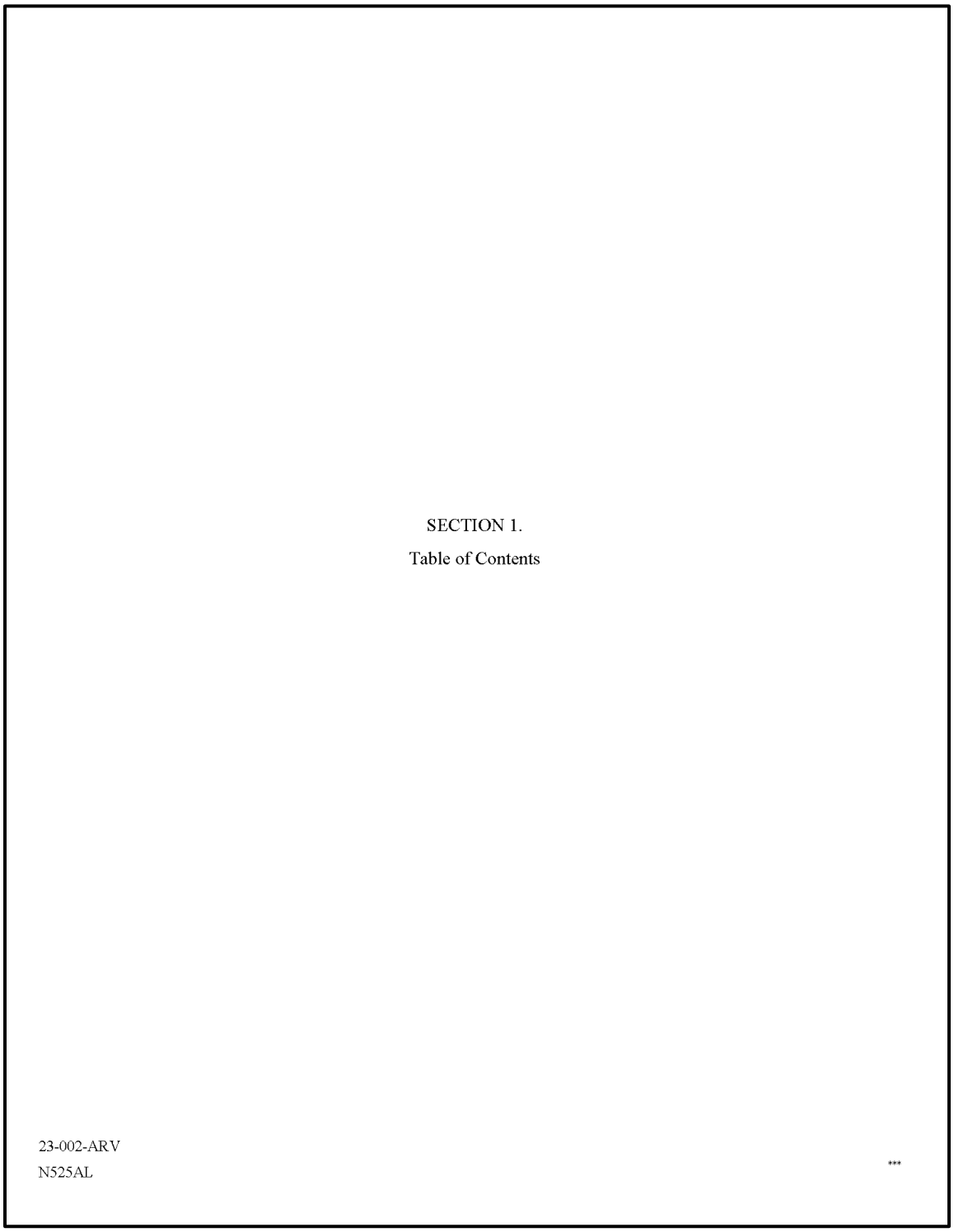


Figure B-3-1: Package Divider Sheet Example

B-4. Table of Contents (Chapter 10, paragraph 5).

Include a table of contents page that lists each section number and content. Select appropriate items necessary for each package and assemble them in the order listed. If the information called for by a specific section is not available or relevant to the accident, move to the next section and renumber the sections appropriately. 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 in Figure B-4-1 is an example of items for inclusion in a typical aircraft accident package. Include data received from other facilities behind the appropriate sections (e.g., Review of Services Memorandum). 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
SECTION 4.	FAA Form(s) 7230-4, Daily Record of Facility Operation
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

23-002-ARV

N525AL ***

Figure B-4-1: Table of Contents Example

B-5. FAA Form 8020-6, Report of Aircraft Accident (Chapter 5, paragraph 2).

Only the holding facility completes FAA Form 8020-6. The report must be written in clear language. Destroy any drafts at the time FAA Form 8020-6 is physically or digitally signed. For any information that is unknown at the time this form is prepared, enter "unknown."

FAA Form 8020-6, Report of Aircraft Accident

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION **REPORT OF AIRCRAFT ACCIDENT**	REPORT DATE May 16, 2023	REPORT NO. 23-002-ARV
	NAME OF REPORTING FACILITY Airville ATCT (ARV)	

1. AIRCRAFT IDENTIFICATION AND TYPE	2. DATE/TIME OF ACCIDENT (UTC)	3. LOCATION OF ACCIDENT: CITY, STATE (MAND)
N525AL, BE200	May 1, 2023; 0233 UTC	Merrill, AK

4. NATURE OF ACCIDENT	LATITUDE/LONGITUDE (OPTL)
Aircraft crashed on final approach.	N611248.0000 W1495058.0000
	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	9. PROPERTY DAMAGE
Destroyed	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
ANCHORAGE/MERRIL METAR 0153 UTC:, wind one five zero at seven gusts one five, visibility one zero statute miles, ceiling six thousand five hundred overcast, temperature eight, dew point minus four, altimeter two nine six seven

FIRST REPORT SUBSEQUENT TO ACCIDENT
ANCHORAGE/MERRIL SPECI 0253 UTC:, wind two two zero at five, visibility one zero statute miles, ceiling six thousand overcast, temperature eight, dew point minus three, altimeter two nine six eight

12. ATO PERSONNEL INVOLVED

NAME	FACILITY	OPERATING POSITION	CHECK IF EYEWITNESS
Gary Paul Luck *(GL)	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
Andrew Erdmanis *Andrew Erdmanis*

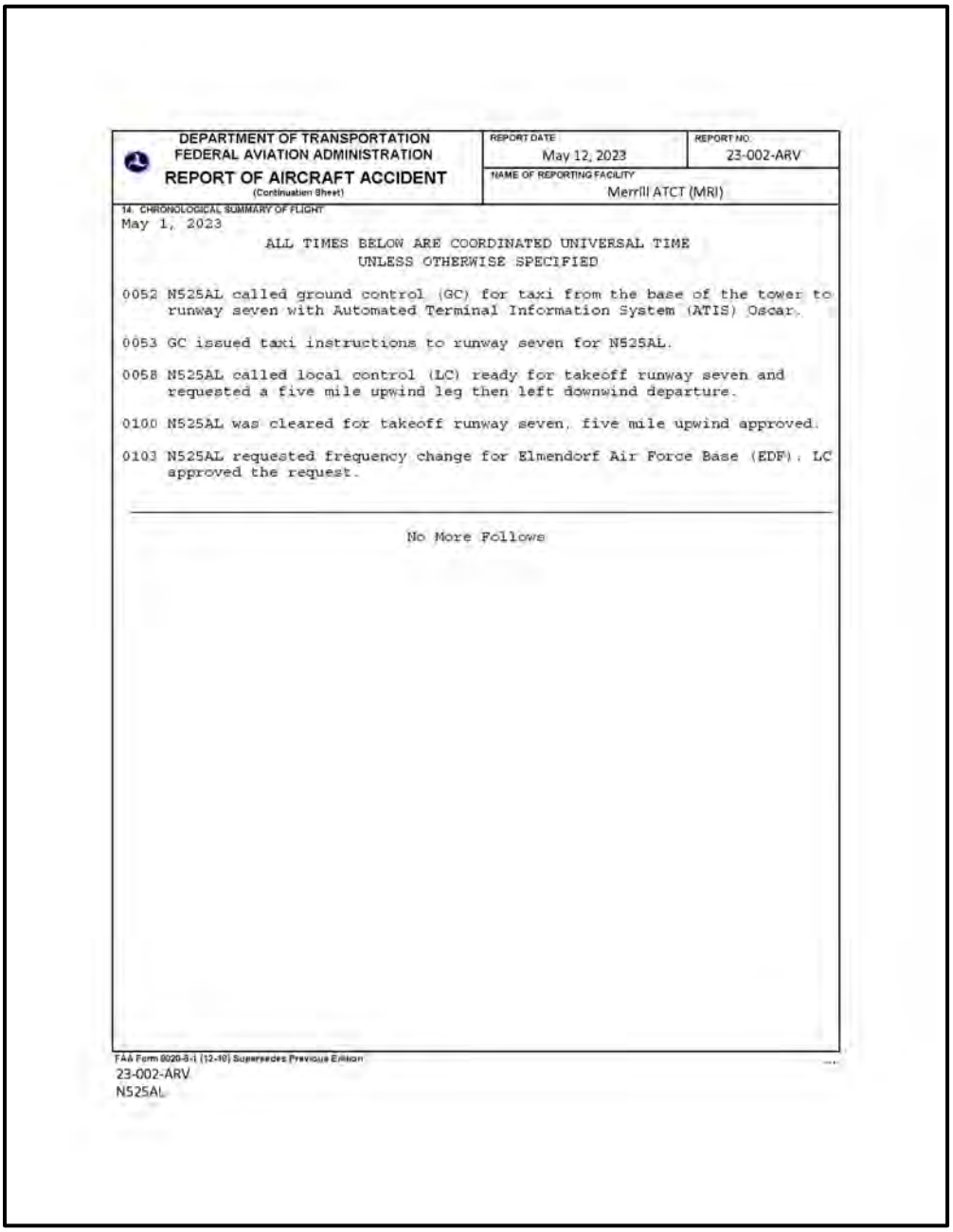
FAA Form 8020-6 (12-18) Supersedes Previous Edition Electronic Version

23-002-ARV ***
N525AL

Figure B-5-1: FAA Form 8020-6 Example

B-6. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) (Chapter 5, paragraph 2).

FAA Form 8020-6-1 must be completed by all involved Air Traffic facilities that provided pertinent or routine services or that provided no services but have data. This provides a complete chronological summary of the flight that describes all relevant communications, emergency assistance, and other air traffic services provided to the aircraft.



DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
REPORT OF AIRCRAFT ACCIDENT
(Continuation Sheet)

REPORT DATE: May 12, 2023
REPORT NO.: 23-002-ARV
NAME OF REPORTING FACILITY: Merrill ATCT (MRI)

14. CHRONOLOGICAL SUMMARY OF FLIGHT

May 1, 2023

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

0052 N525AL called ground control (GC) for taxi from the base of the tower to runway seven with Automated Terminal Information System (ATIS) Oscar.

0053 GC issued taxi instructions to runway seven for N525AL.

0058 N525AL called local control (LC) ready for takeoff runway seven and requested a five mile upwind leg then left downwind departure.

0100 N525AL was cleared for takeoff runway seven, five mile upwind approved.

0103 N525AL requested frequency change for Elmendorf Air Force Base (EDF). LC approved the request.

No More Follows

FAA Form 8020-6-1 (12-10) Supersedes Previous Edition
23-002-ARV
N525AL

Figure B-6-1: FAA Form 8020-6-1 Merrill ATCT Example

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

REPORT OF AIRCRAFT ACCIDENT
(Continuation Sheet)

REPORT DATE	REPORT NO.
May 13, 2023	23-002-ARV

NAME OF REPORTING FACILITY
Anchorage TRACON (A11)

14. CHRONOLOGICAL SUMMARY OF FLIGHT

May 1, 2023

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

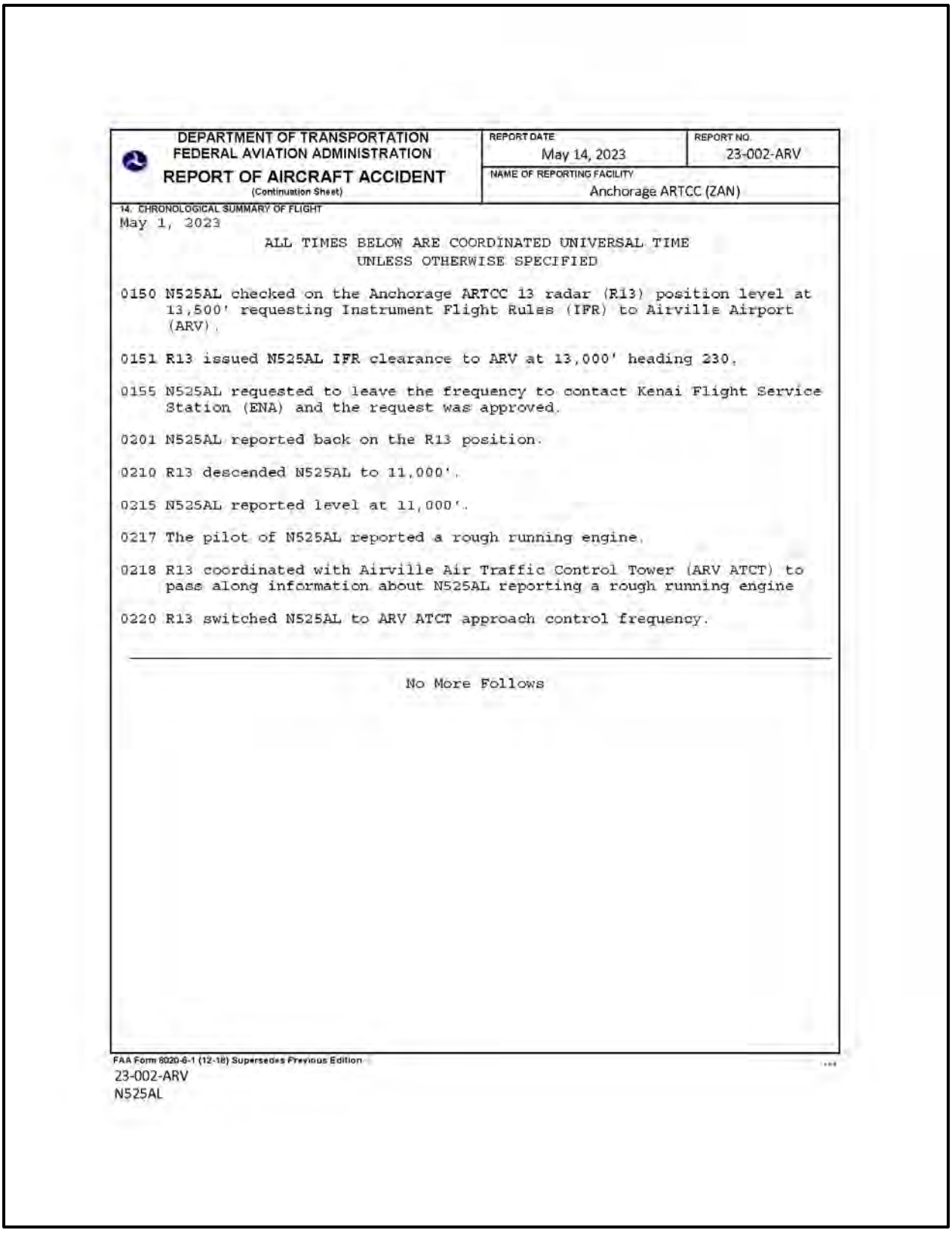
All did not provide any services to N525AL. Radar data from 0140 to 0300 was requested to support the aircraft accident package.

No More Follows

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

23-002-ARV
N525AL

Figure B-6-2: FAA Form 8020-6-1 Anchorage TRACON Example



DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

REPORT OF AIRCRAFT ACCIDENT
(Continuation Sheet)

REPORT DATE	REPORT NO.
May 14, 2023	23-002-ARV

NAME OF REPORTING FACILITY
Anchorage ARTCC (ZAN)

14. CHRONOLOGICAL SUMMARY OF FLIGHT

May 1, 2023

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

0150 N525AL 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 N525AL IFR clearance to ARV at 13,000' heading 230.

0155 N525AL requested to leave the frequency to contact Kenai Flight Service Station (ENA) and the request was approved.

0201 N525AL reported back on the R13 position.

0210 R13 descended N525AL to 11,000'.

0215 N525AL reported level at 11,000'.

0217 The pilot of N525AL reported a rough running engine.

0218 R13 coordinated with Airville Air Traffic Control Tower (ARV ATCT) to pass along information about N525AL reporting a rough running engine

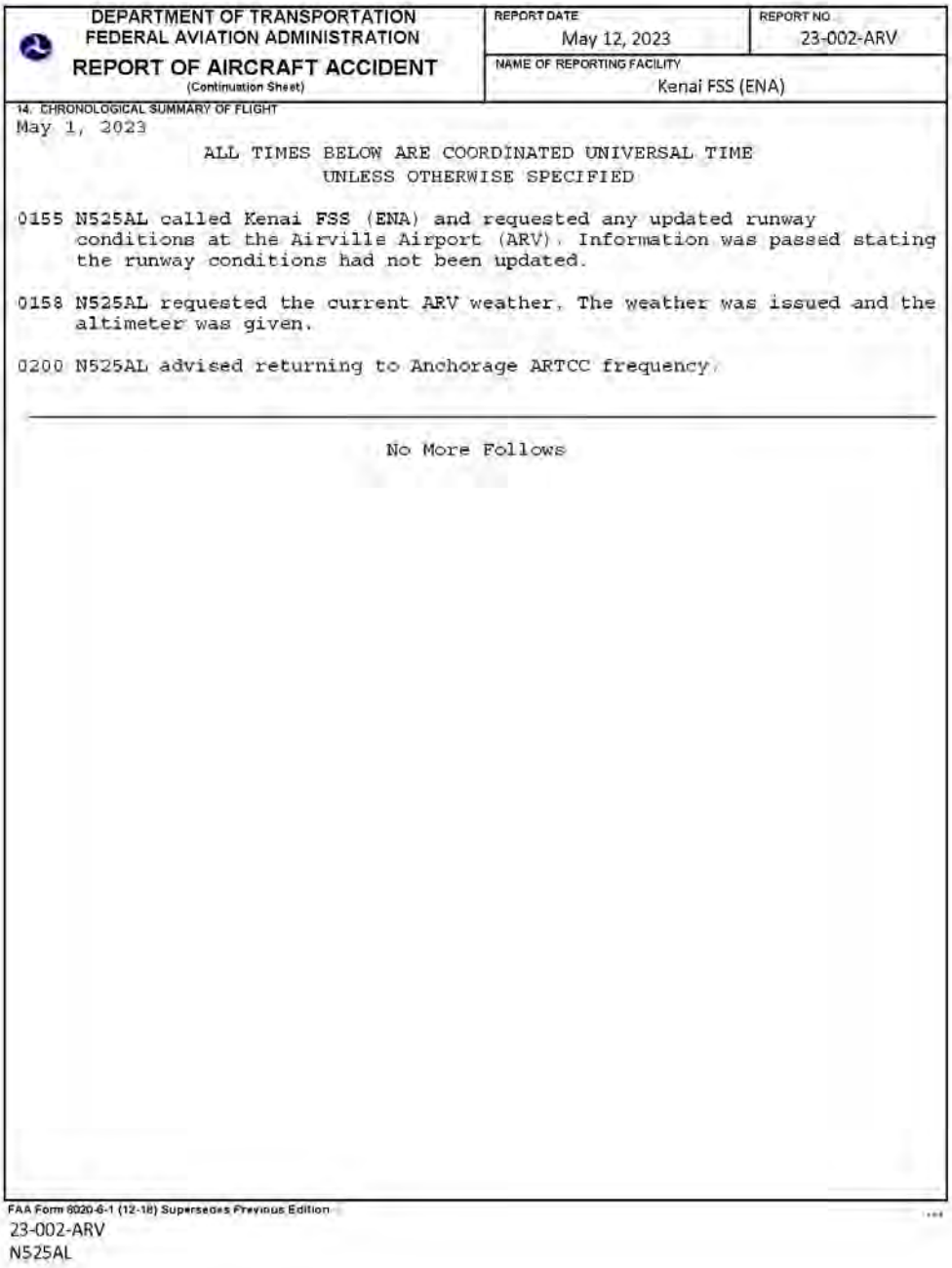
0220 R13 switched N525AL to ARV ATCT approach control frequency.

No More Follows

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

23-002-ARV
N525AL

Figure B-6-3: FAA Form 8020-6-1 Anchorage ARTCC Example



DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

REPORT OF AIRCRAFT ACCIDENT
(Continuation Sheet)

REPORT DATE	REPORT NO.
May 12, 2023	23-002-ARV

NAME OF REPORTING FACILITY: Kenai FSS (ENA)

14. CHRONOLOGICAL SUMMARY OF FLIGHT

May 1, 2023

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

0155 N525AL 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 N525AL requested the current ARV weather. The weather was issued and the altimeter was given.

0200 N525AL advised returning to Anchorage ARTCC frequency.

No More Follows

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

23-002-ARV
N525AL

Figure B-6-4: FAA Form 8020-6-1 Kenai FSS Example

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

REPORT OF AIRCRAFT ACCIDENT
(Continuation Sheet)

REPORT DATE	REPORT NO.
February 24, 2023	23-001-ARV

NAME OF REPORTING FACILITY
Airville ATCT (ARV)

14. CHRONOLOGICAL SUMMARY OF FLIGHT

February 20, 2023

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

0218 Anchorage ARTCC (ZAN) coordinates N525AL has a rough running engine with Airville ATCT (ARV) approach control frequency (AP).

0220 N525AL 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'.

0223 N525AL reports the rough running engine has worsened and oil is splattering on the windshield. The aircraft is leaving 8,000'.

0224 AP declares an emergency and requests souls on board and fuel remaining. AP coordinates the inbound with the ARV Tower ground controller (GC).

0226 AP asks the pilot of N525AL if he can see out the window and to report the field in sight. N525AL reports the field in sight and AP clears N525AL for a visual approach to Runway 22L.

0227 AP instructs N525AL to contact the ARV Tower local control (LC) frequency. GC approves airport rescue fire fighters (ARFF) on the movement area.

0228 N525AL reports on the LC frequency. LC issues the wind, altimeter and landing clearance to Runway 22L.

0231 N525AL reports the engine has stopped running.

0232 LC advises N525AL radar contact lost.

0233 GC advises ARFF of N525AL's last known position.

0235 ARFF reports reaching N525AL off the airport.

No More Follows

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

23-001-ARV
N525AL

Figure B-6-5: FAA Form 8020-6-1 Airville ATCT Example

B-7. Review of Services and the Review of Services Memoranda (Chapter 9).

Air Traffic facilities along the route of flight (both holding and supporting facilities) must conduct a review of service to assess and gather data. Facilities must:

a. Conduct the review within two administrative days of notification of an aircraft accident requiring an aircraft accident package.

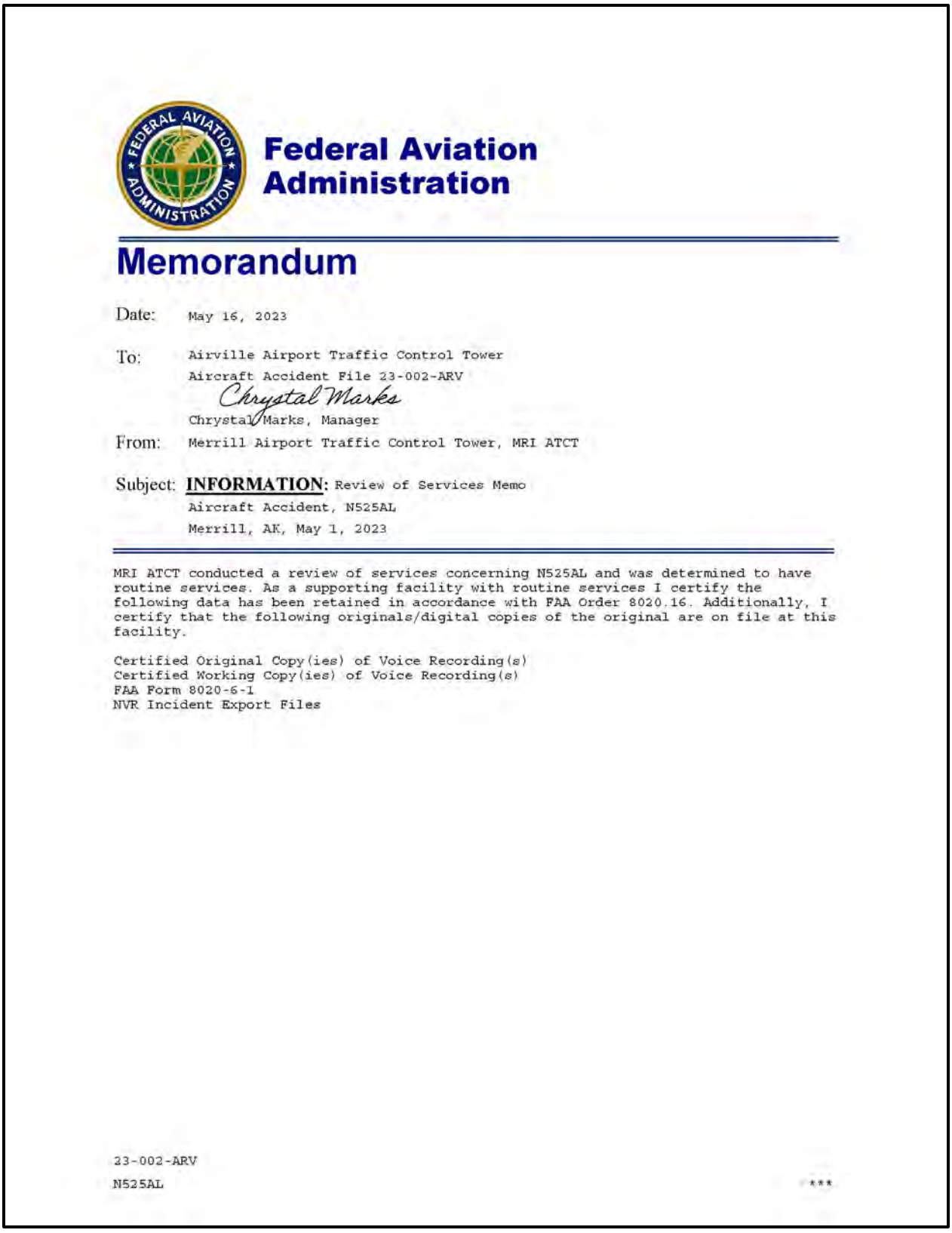
b. Notify the holding facility of the level of service provided (routine, pertinent, or no services but have relevant data) by completing a Review of Services Memorandum.

The memorandum is a certification statement listing the data retained by involved facilities. The memorandum must list each item retained in the aircraft accident file/package. The facility manager or acting facility manager must sign the memorandum using the following format:

"I certify that the following original/digital copies of the original are on file at this facility."

The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier. The signature must be above the certifier's typed name, title, and facility name. Digital signatures may be used.

NOTE: *The Review of Services memorandum is created using the APG.*



Federal Aviation Administration

Memorandum

Date: May 16, 2023

To: Airville Airport Traffic Control Tower
Aircraft Accident File 23-002-ARV
Chrystal Marks
Chrystal Marks, Manager

From: Merrill Airport Traffic Control Tower, MRI ATCT

Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

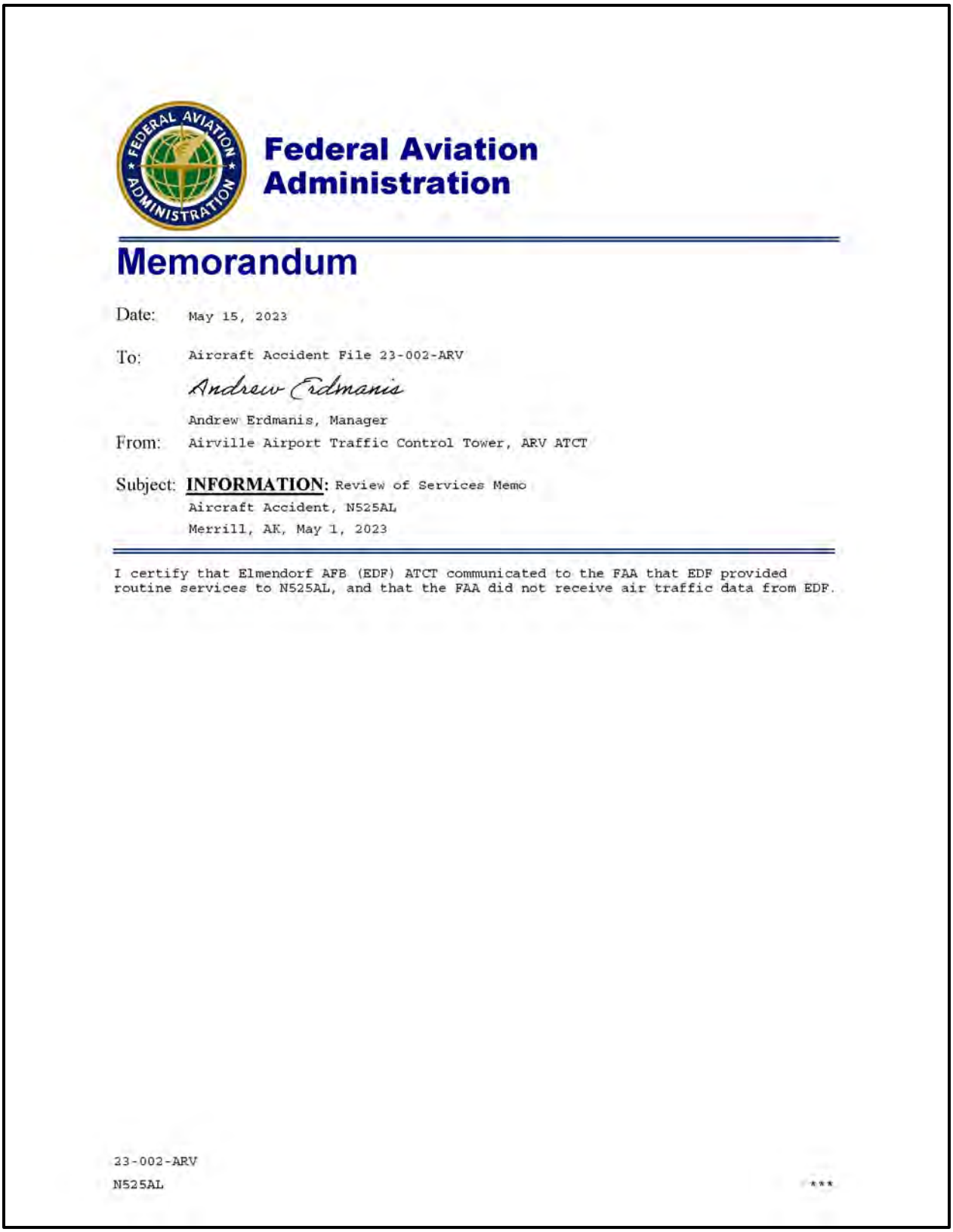
MRI ATCT conducted a review of services concerning N525AL and was determined to have routine services. As a supporting facility with routine services I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies of the original are on file at this facility.

Certified Original Copy(ies) of Voice Recording(s)
Certified Working Copy(ies) of Voice Recording(s)
FAA Form 8020-6-1
NVR Incident Export Files

23-002-ARV
N525AL

***

Figure B-7-1: Review of Services Memorandum Example



Federal Aviation Administration

Memorandum

Date: May 15, 2023

To: Aircraft Accident File 23-002-ARV

Andrew Erdmanis

Andrew Erdmanis, Manager

From: Airville Airport Traffic Control Tower, ARV ATCT

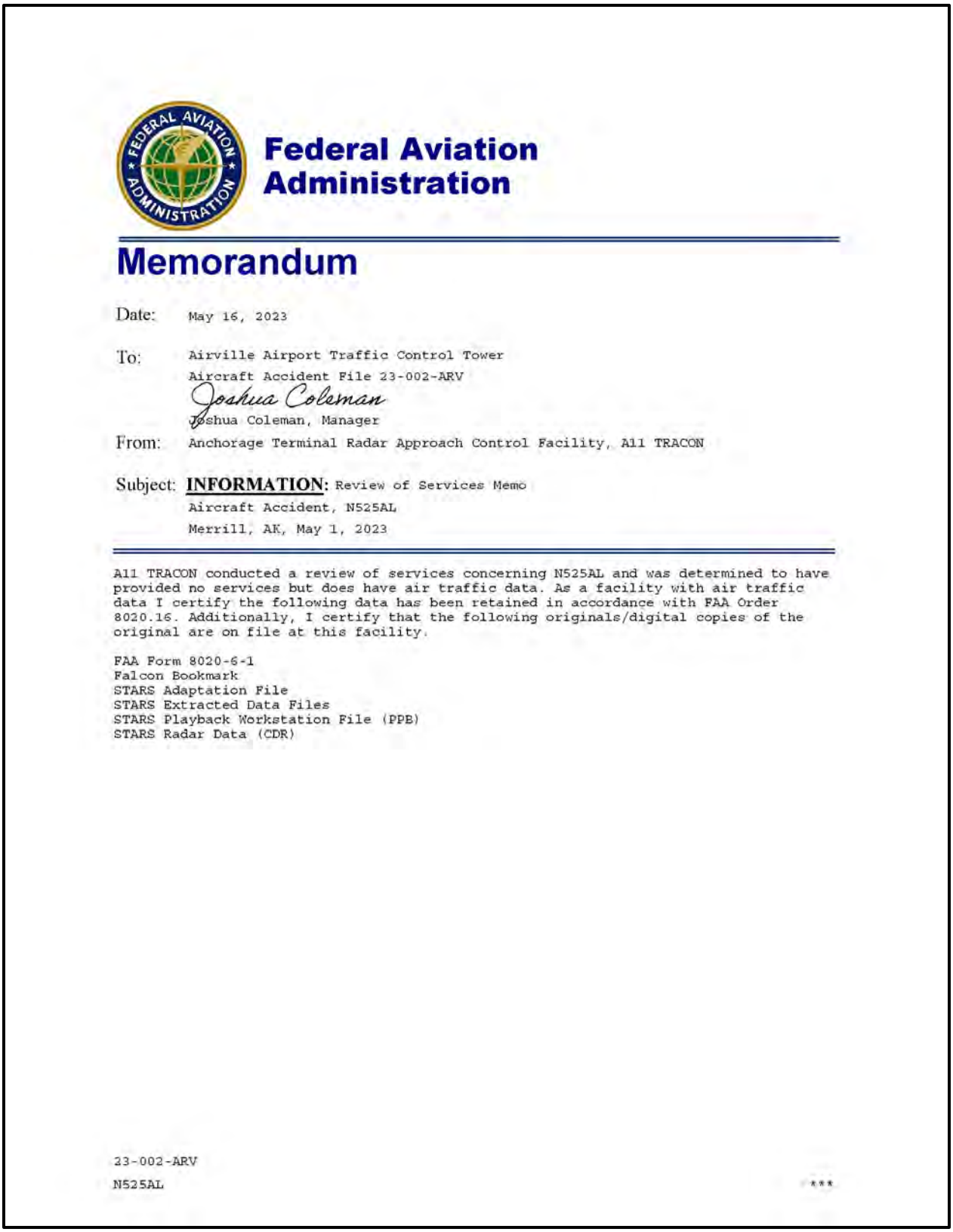
Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

I certify that Elmendorf AFB (EDF) ATCT communicated to the FAA that EDF provided routine services to N525AL, and that the FAA did not receive air traffic data from EDF.

23-002-ARV
N525AL

***

Figure B-7-2: Review of Services Memorandum Example 2



Federal Aviation Administration

Memorandum

Date: May 16, 2023

To: Airville Airport Traffic Control Tower
Aircraft Accident File 23-002-ARV
Joshua Coleman
Joshua Coleman, Manager

From: Anchorage Terminal Radar Approach Control Facility, A11 TRACON

Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

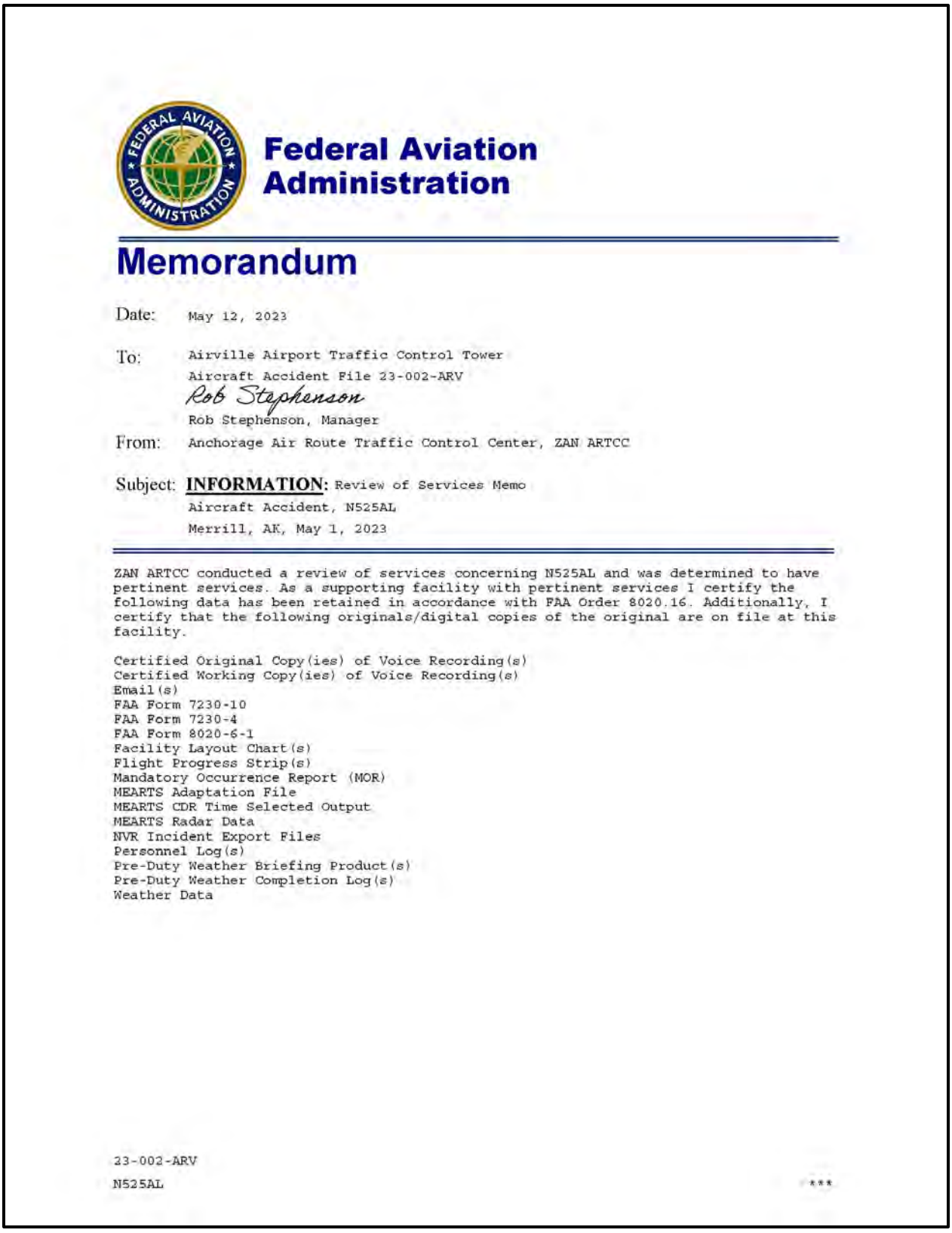
A11 TRACON conducted a review of services concerning N525AL and was determined to have provided no services but does have air traffic data. As a facility with air traffic data I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies of the original are on file at this facility.

FAA Form 8020-6-1
Falcon Bookmark
STARS Adaptation File
STARS Extracted Data Files
STARS Playback Workstation File (PPB)
STARS Radar Data (CDR)

23-002-ARV
N525AL

***

Figure B-7-3: Review of Services Memorandum Example 3



Federal Aviation Administration

Memorandum

Date: May 12, 2023

To: Airville Airport Traffic Control Tower
Aircraft Accident File 23-002-ARV
Rob Stephenson
Rob Stephenson, Manager

From: Anchorage Air Route Traffic Control Center, ZAN ARTCC

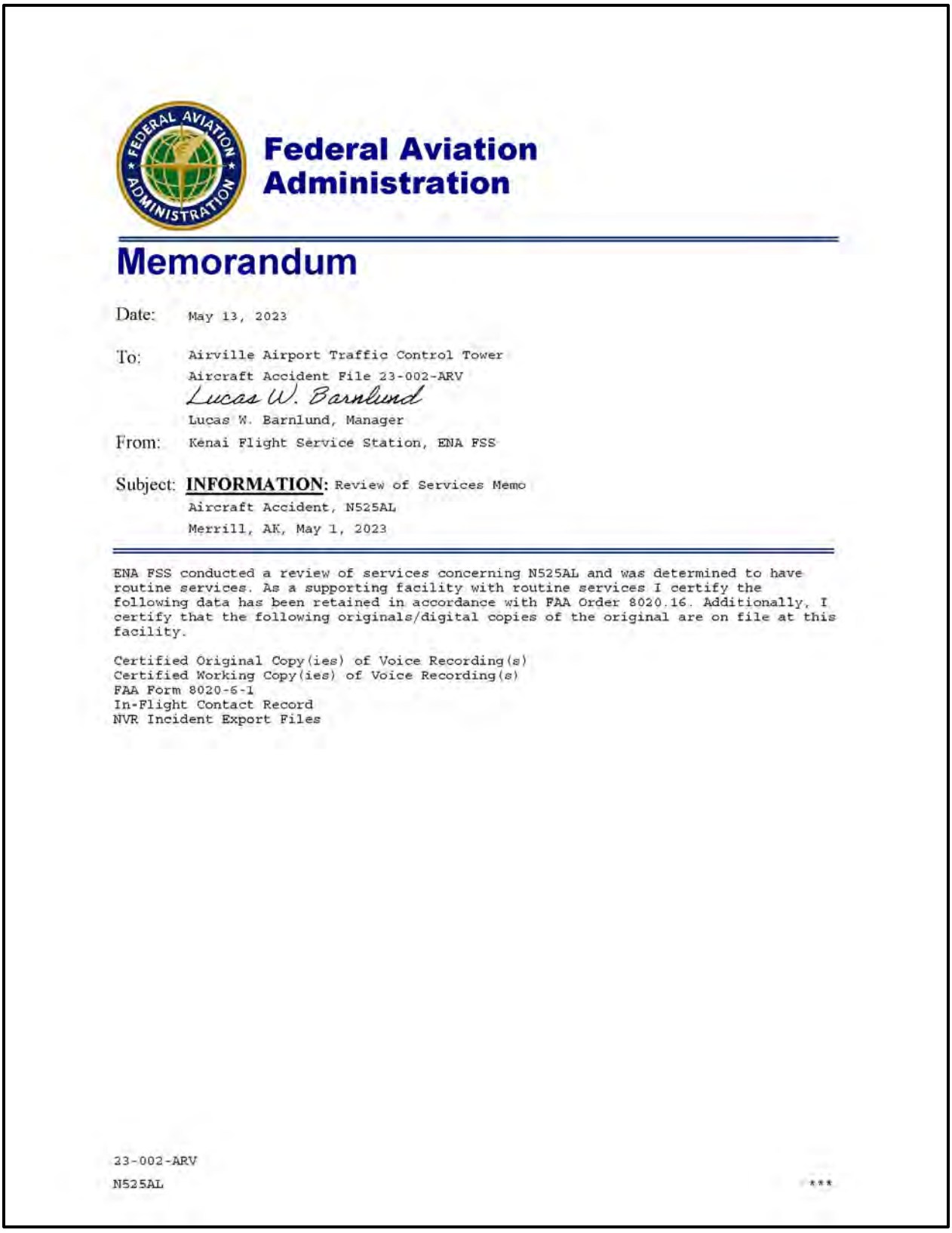
Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

ZAN ARTCC conducted a review of services concerning N525AL 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 of the original are on file at this facility.

Certified Original Copy(ies) of Voice Recording(s)
Certified Working Copy(ies) of Voice Recording(s)
Email(s)
FAA Form 7230-10
FAA Form 7230-4
FAA Form 8020-6-1
Facility Layout Chart(s)
Flight Progress Strip(s)
Mandatory Occurrence Report (MOR)
MEARTS Adaptation File
MEARTS CDR Time Selected Output
MEARTS Radar Data
NVR Incident Export Files
Personnel Log(s)
Pre-Duty Weather Briefing Product(s)
Pre-Duty Weather Completion Log(s)
Weather Data

23-002-ARV
N525AL ***

Figure B-7-4: Review of Services Memorandum Example 4



Federal Aviation Administration

Memorandum

Date: May 13, 2023

To: Airville Airport Traffic Control Tower
Aircraft Accident File 23-002-ARV
Lucas W. Barnlund
Lucas W. Barnlund, Manager

From: Kenai Flight Service Station, ENA FSS

Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

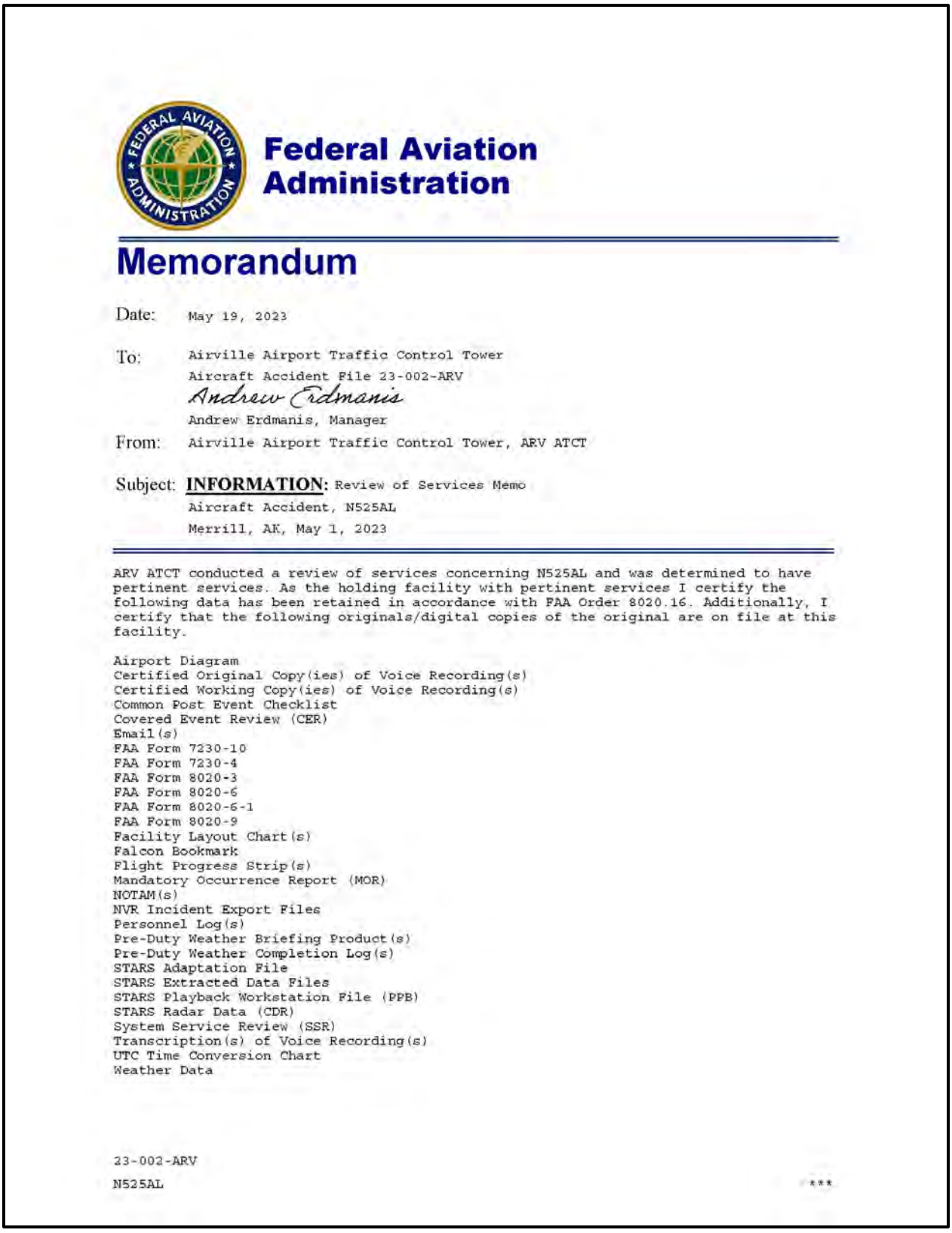
ENA FSS conducted a review of services concerning N525AL and was determined to have routine services. As a supporting facility with routine services I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies of the original are on file at this facility.

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
NVR Incident Export Files

23-002-ARV
N525AL

***

Figure B-7-5: Review of Services Memorandum Example 5



Federal Aviation Administration

Memorandum

Date: May 19, 2023

To: Airville Airport Traffic Control Tower
Aircraft Accident File 23-002-ARV
Andrew Erdmanis
Andrew Erdmanis, Manager

From: Airville Airport Traffic Control Tower, ARV ATCT

Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

ARV ATCT conducted a review of services concerning N525AL 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 of the original are on file at this facility.

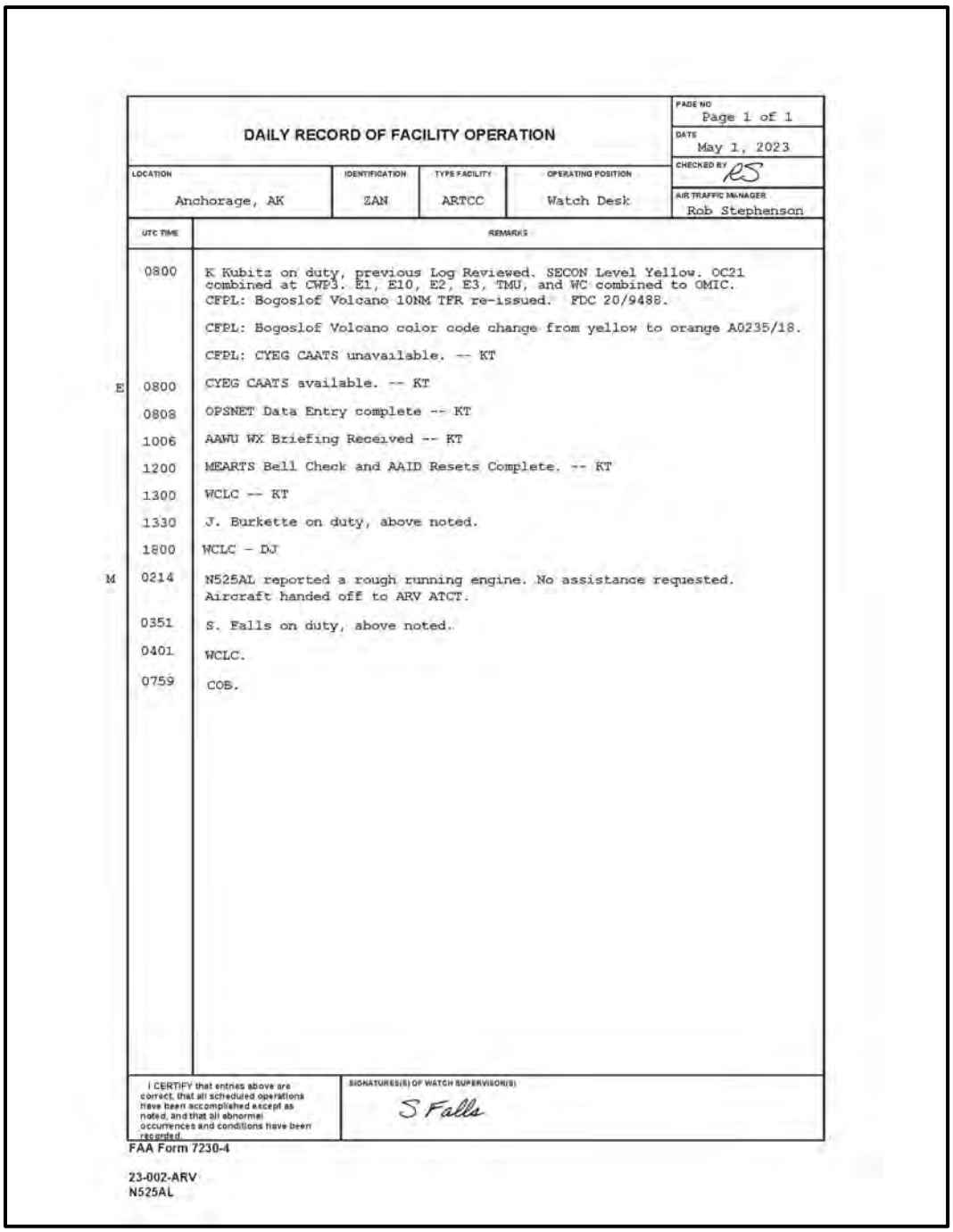
Airport Diagram
Certified Original Copy(ies) of Voice Recording(s)
Certified Working Copy(ies) of Voice Recording(s)
Common Post Event Checklist
Covered Event Review (CER)
Email(s)
FAA Form 7230-10
FAA Form 7230-4
FAA Form 8020-3
FAA Form 8020-6
FAA Form 8020-6-1
FAA Form 8020-9
Facility Layout Chart(s)
Falcon Bookmark
Flight Progress Strip(s)
Mandatory Occurrence Report (MOR)
NOTAM(s)
NVR Incident Export Files
Personnel Log(s)
Pre-Duty Weather Briefing Product(s)
Pre-Duty Weather Completion Log(s)
STARS Adaptation File
STARS Extracted Data Files
STARS Playback Workstation File (PPB)
STARS Radar Data (CDR)
System Service Review (SSR)
Transcription(s) of Voice Recording(s)
UTC Time Conversion Chart
Weather Data

23-002-ARV
N525AL ***

Figure B-7-6: Review of Services Memorandum Example 6

B-8. FAA Form(s) 7230-4, Daily Record of Facility Operation (Chapter 10, paragraph 5).

Include FAA Forms 7230-4 from all relevant 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. FAA Form 7230-4 from the facility reporting the accident must have an entry for the aircraft accident that includes "Aircraft Accident" and the call sign. Include a reference to any associated Mandatory Occurrence Reports.



DAILY RECORD OF FACILITY OPERATION

PAGE NO: Page 1 of 1
DATE: May 1, 2023
CHECKED BY: RS
AIR TRAFFIC MANAGER: Rob Stephenson

LOCATION	IDENTIFICATION	TYPE FACILITY	OPERATING POSITION
Anchorage, AK	ZAN	ARTCC	Watch Desk

	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 20/9488.
		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	J. Burkette on duty, above noted.
	1800	WCLC - DJ
M	0214	N525AL reported a rough running engine. No assistance requested. Aircraft handed off to ARV ATCT.
	0351	S. Falls on duty, above noted.
	0401	WCLC.
	0759	COB.

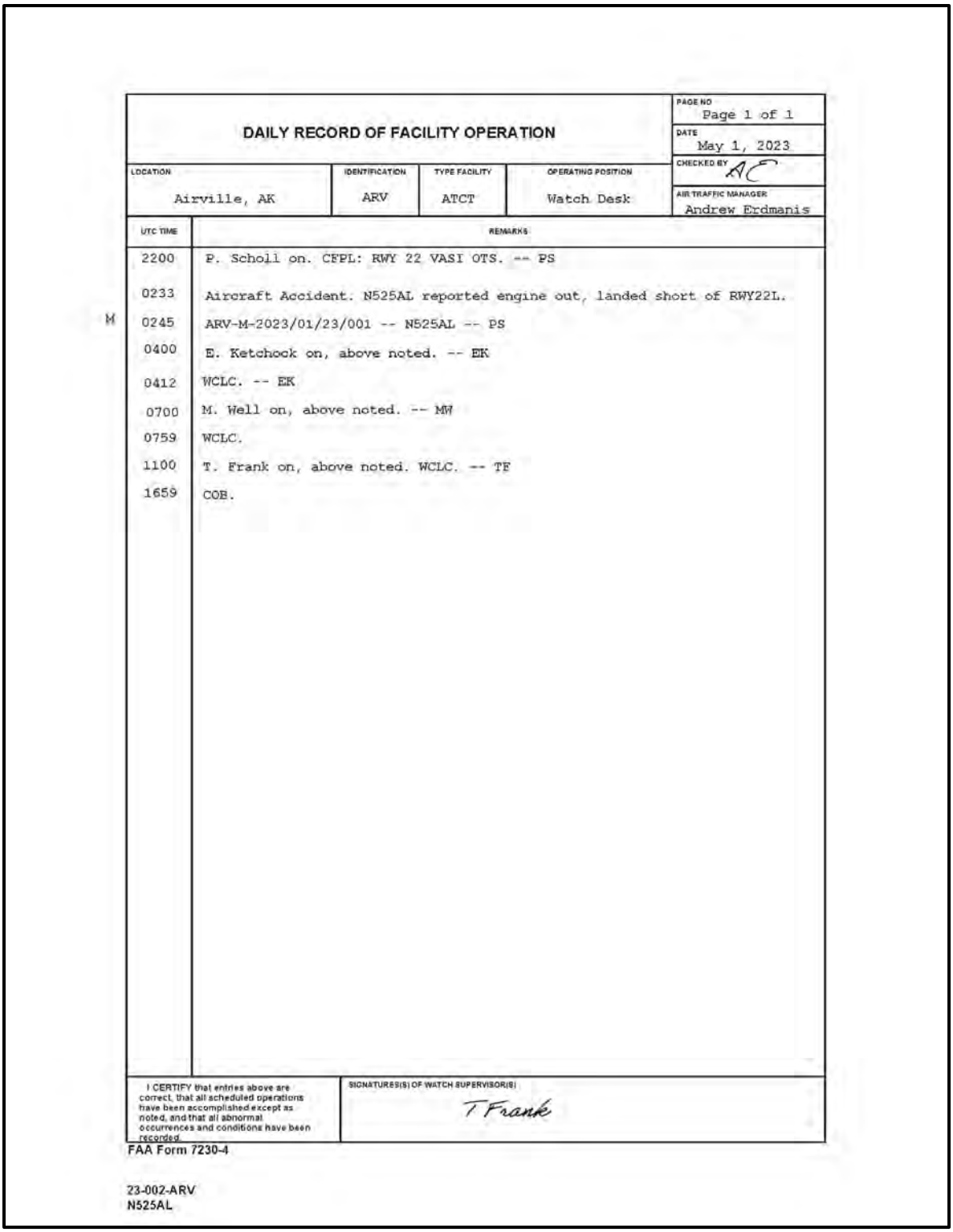
I CERTIFY that entries above are correct, that all scheduled operations have been accomplished except as noted, and that all abnormal occurrences and conditions have been recorded.

SIGNATURE(S) OF WATCH SUPERVISOR(S): S Falls

FAA Form 7230-4

23-002-ARV
N525AL

Figure B-8-1: FAA Form 7230-4 Anchorage ARTCC Example



DAILY RECORD OF FACILITY OPERATION

PAGE NO: Page 1 of 1
DATE: May 1, 2023
CHECKED BY: AC
AIR TRAFFIC MANAGER: Andrew Erdmanis

LOCATION	IDENTIFICATION	TYPE FACILITY	OPERATING POSITION
Airville, AK	ARV	ATCT	Watch Desk

	UTC TIME	REMARKS
	2200	P. Scholl on. CFPL: RWY 22 VASI OTS. -- PS
	0233	Aircraft Accident. N525AL reported engine out, landed short of RWY22L.
M	0245	ARV-M-2023/01/23/001 -- N525AL -- PS
	0400	E. Ketchock on, above noted. -- EK
	0412	WCLC. -- EK
	0700	M. Well on, above noted. -- MW
	0759	WCLC.
	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): T Frank

FAA Form 7230-4

23-002-ARV
N525AL

Figure B-8-2: FAA Form 7230-4 Airville ATCT Example

B-9. Personnel Log(s) (Chapter 10, paragraph 5).

Include personnel logs from all areas of specialization in the facility. Use of the Air Traffic Organization (ATO) Portal is recommended; however, facilities utilizing the ATO Resource Tool or local facility logs are required to include a memorandum listing those employees on regular days off (RDO). Redact any type of leave taken on copies of the personnel logs. Personnel names and positions of operation must match the personnel names and position of operation from the position logs.

PERSONNEL LOG

REGION	FACILITY	AREA ID	DATE
ANM	ZAN	AREA 1	MONTH: MAY DAY: 1 YEAR: 2023

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	
	9	14:00	15:00						
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	
	R	12:45	15:15						
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

Form 7230-4 (Dec 08) Official Version FOR OFFICIAL USE ONLY Public Availability to be determined under 5 U.S.C. 552

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PERSONNEL LOG

REGION	FACILITY	AREA ID	DATE
ANM	ZAN	AREA 1	MONTH: MAY DAY: 1 YEAR: 2023

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
FRAME, KEITH (KF) 13:45 - 21:45	R	13:45	21:45	08+00			01+19	03+35	
WHITE, ANDY (AW) 14:00 - 22:00	R	14:00	22:00	08+00			01+19	04+55	
PERRY, LAURA (LP) 14:29 - 22:29	R	14:29	22:29	08+00			00+23	03+47	
MCFARLAND, HERSCHAL (HM) 14:30 - 22:30	R	14:30	22:30	08+00			00+22	03+54	
TRUIT, MIKE (MT) 14:53 - 22:53					08+00	Leave			
DILK, JOHN (SF) 15:14 - 23:14					08+00	Leave			
DILL, RICK (LL) RDO									
JACKSON, CURT (CC) RDO									
KRAVITS, HARRY (HK) RDO									
LONG, RANDY (RL) RDO									
LEWIS, MIKE (LY) RDO									

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

Form 7230-4 (Dec 08) Official Version FOR OFFICIAL USE ONLY Public Availability to be determined under 5 U.S.C. 552

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Figure B-9-1: Example of Personnel Log

ART - Sign On Log

5/13/2023 9:05:29 AM

ARV

Selected Report Dates: 4/30/2023 10:00:00 PM - 5/1/2023 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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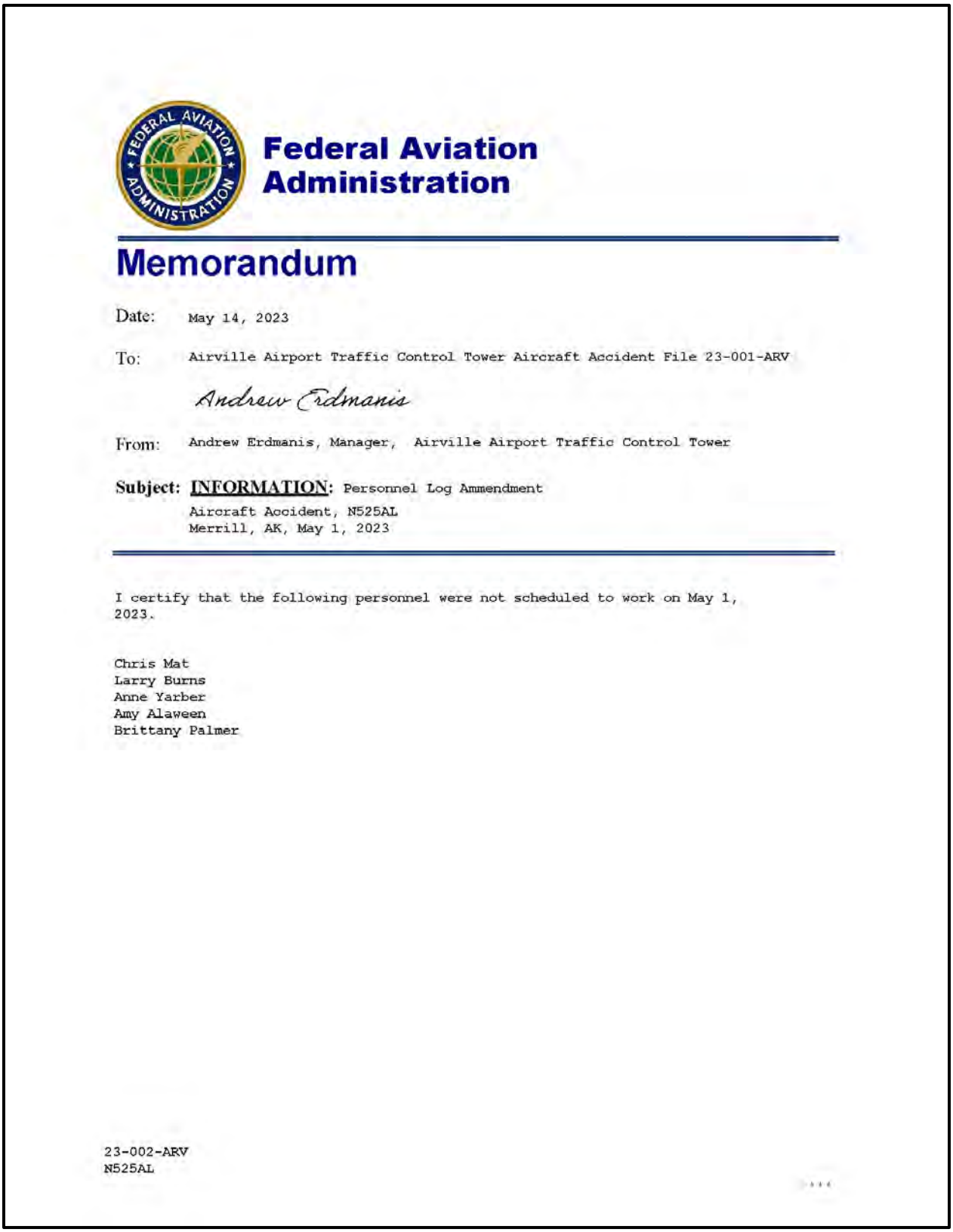
ARV

Selected Report Dates: 4/30/2023 10:00:00 PM - 5/1/2023 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							

Figure B-9-2: Example of Personnel Log from Airville ATCT



Federal Aviation Administration

Memorandum

Date: May 14, 2023

To: Airville Airport Traffic Control Tower Aircraft Accident File 23-001-ARV

Andrew Erdmanis

From: Andrew Erdmanis, Manager, Airville Airport Traffic Control Tower

Subject: **INFORMATION:** Personnel Log Ammendment
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

I certify that the following personnel were not scheduled to work on May 1, 2023.

Chris Mat
Larry Burns
Anne Yarber
Amy Alaween
Brittany Palmer

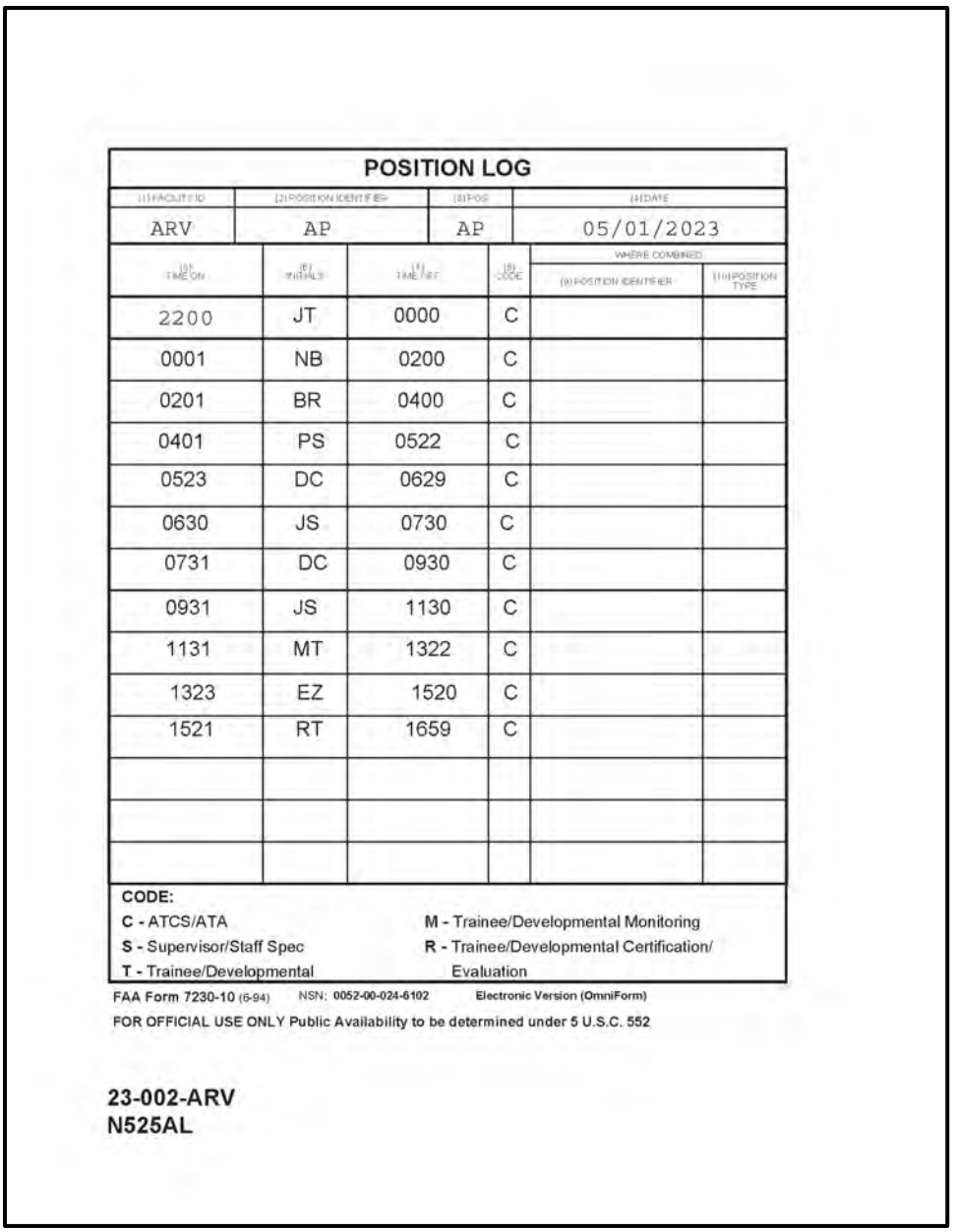
23-002-ARV
N525AL

Figure B-9-3: Example of RDO Memorandum

B-10. FAA Form(s) 7230-10, Position Log(s), or automated equivalent (Chapter 10, paragraph 5).

Only include position logs from positions providing pertinent services. Place position logs in the chronological order of personnel listed in Block 12 of FAA Form 8020-6.

Multiple logs may be placed on the same page.



POSITION LOG

(1) FACILITY ID	(2) POSITION IDENTIFIER	(3) POS	(4) DATE
ARV	AP	AP	05/01/2023

(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED (9) POSITION IDENTIFIER	WHERE COMBINED (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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Figure B-10-1: Example Position Log

B-11. Facility Layout Chart (Chapter 10, paragraph 5).

Identify the facility being depicted on each chart. If positions of operation are identified by something other than traditional abbreviations, include a legend. Include layout charts for all areas of operation.

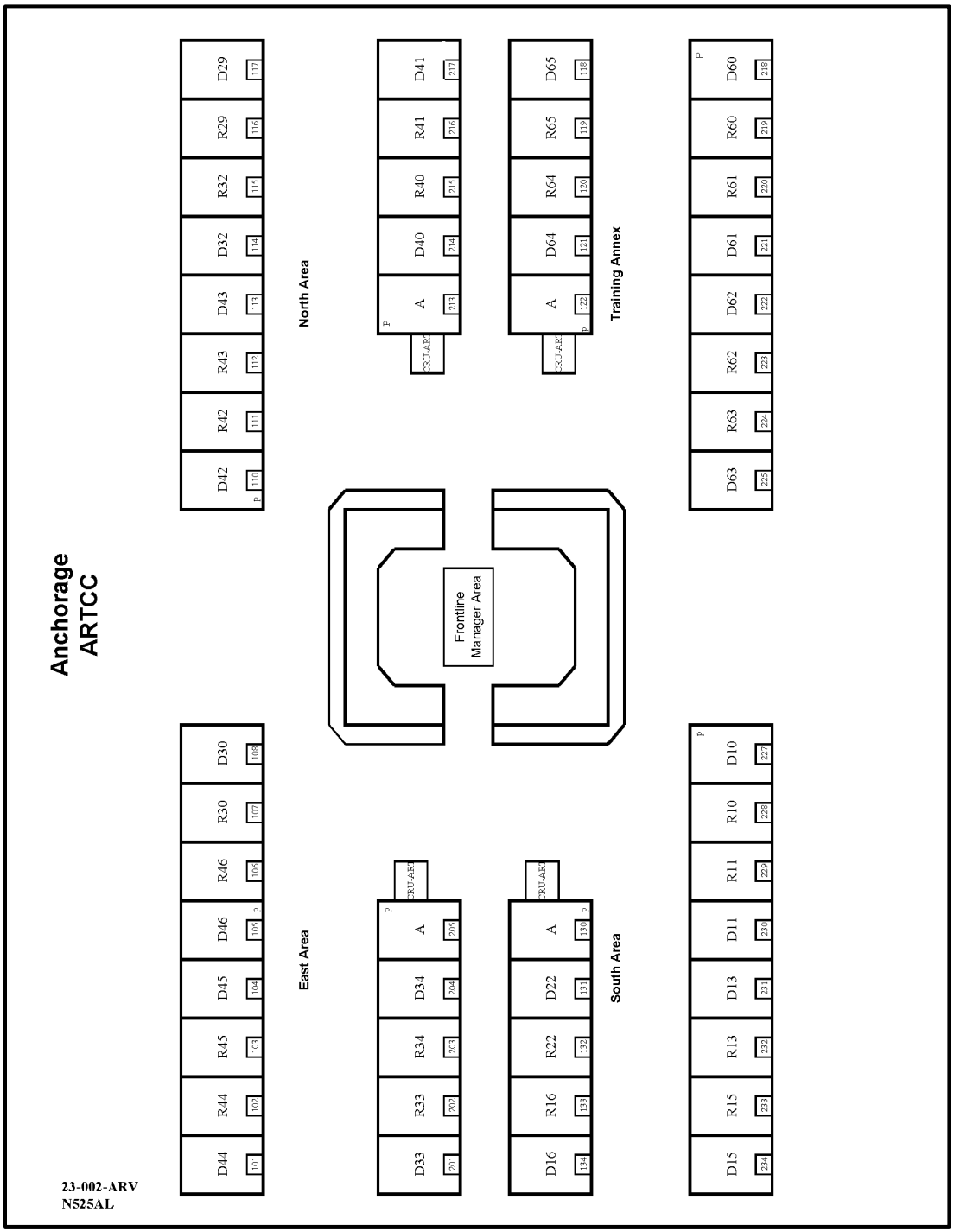


Figure B-11-1: Anchorage ARTCC Facility Layout

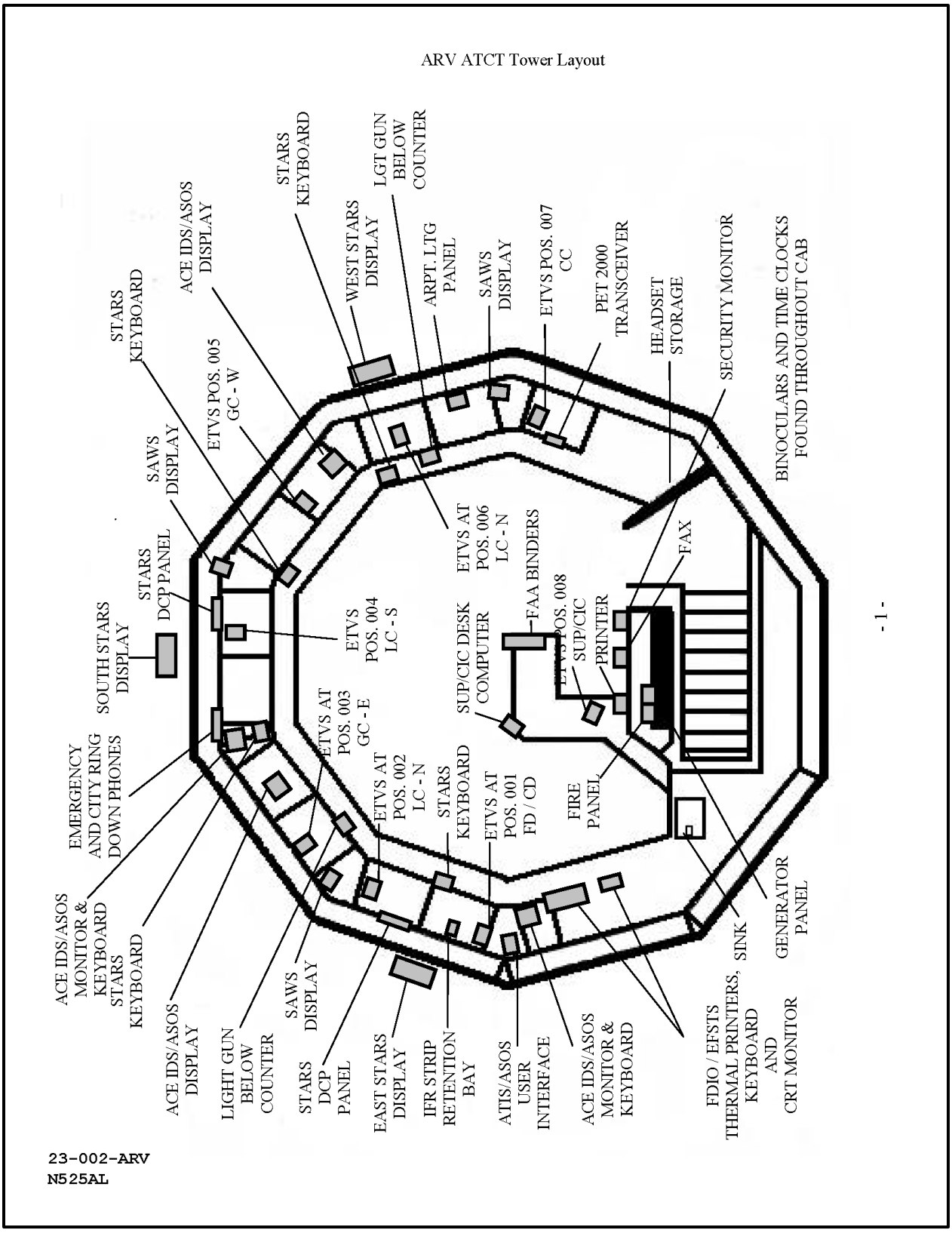


Figure B-11-2: Airville ATCT Layout

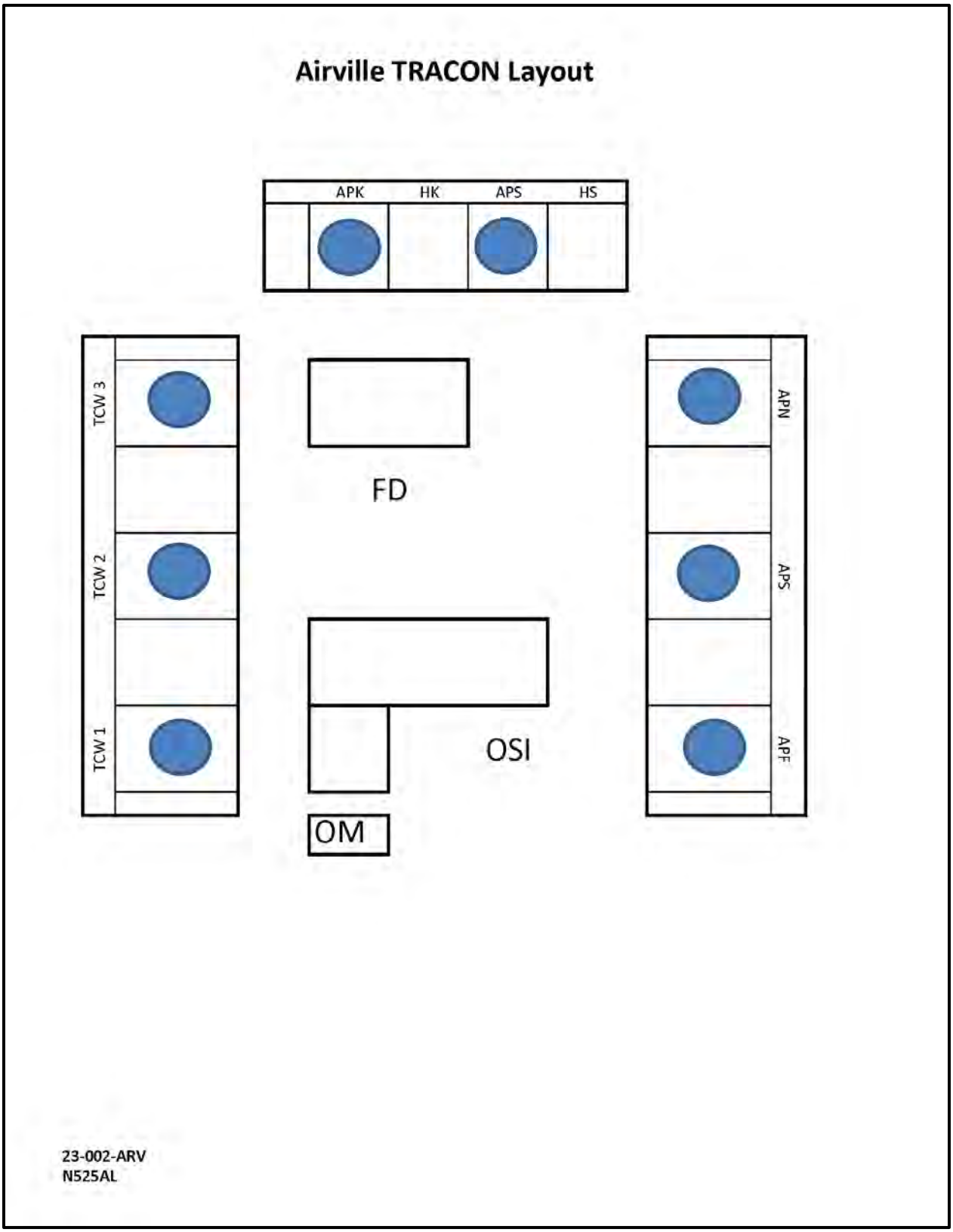


Figure B-11-3: Airville ATCT TRACON Layout

B-12. Airport Diagram (Chapter 10, paragraph 5).

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." The APG has the ability to automatically load the appropriate airport diagram for aircraft accidents within one mile of the airport when available. Use only FAA airport diagrams in the aircraft accident package.

NOTE 1: *FAA airport diagrams are available at (http://www.faa.gov/airports/runway_safety/diagrams/). Every effort should be made to retrieve the airport diagram that was in effect at the time of the accident. If the airport diagram included is not the airport diagram current at the time of the accident, include the diagram without date alterations along with a memorandum explaining the discrepancy.*

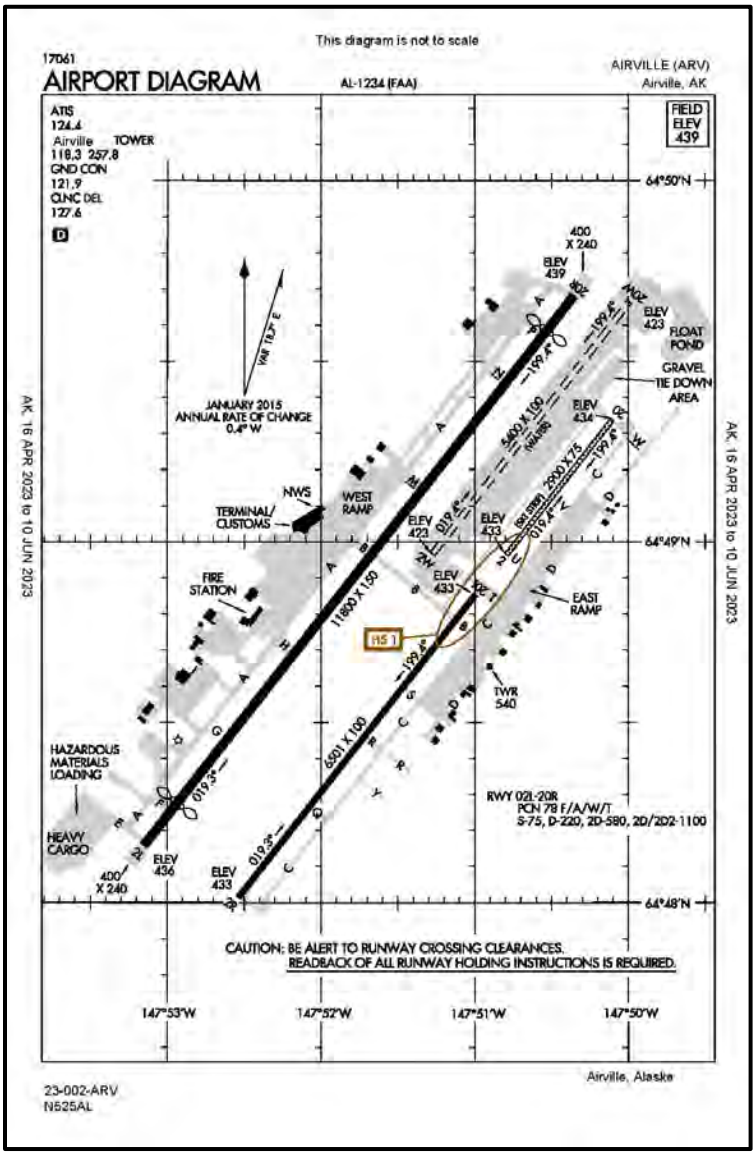
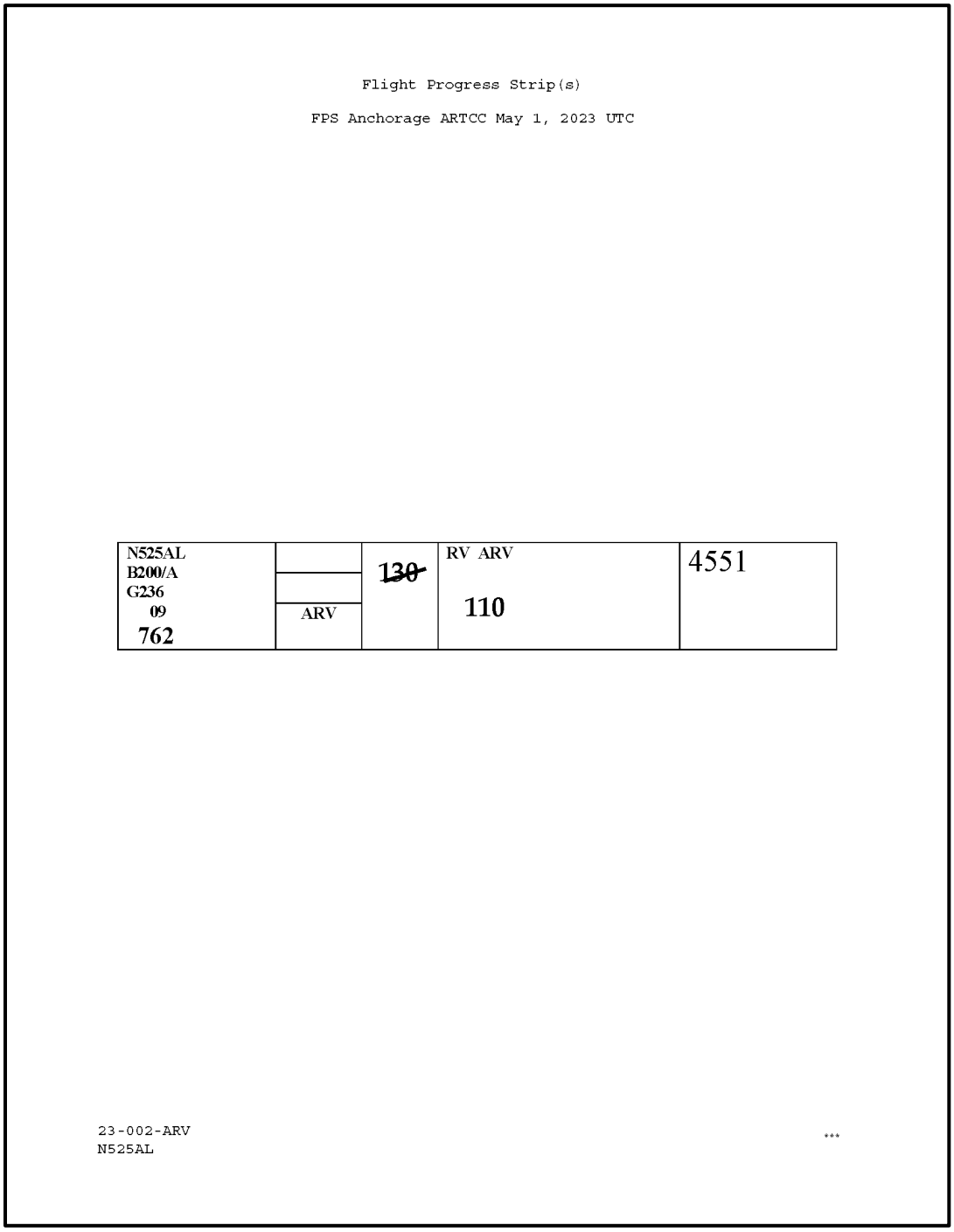


Figure B-12-1: Airville Airport Diagram

B-13. Flight Progress Strip(s) and/or In-Flight Contact Record(s) (Chapter 10, paragraph 5).

Indicate the name of the facility and the UTC date(s) on the page displaying the flight progress strips or contact records.



Flight Progress Strip(s)

FPS Anchorage ARTCC May 1, 2023 UTC

N525AL B200/A G236 09 762	 ARV	~~130~~	RV ARV 110	4551

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N525AL

***

Figure B-13-1: Anchorage ARTCC Flight Progress Strip

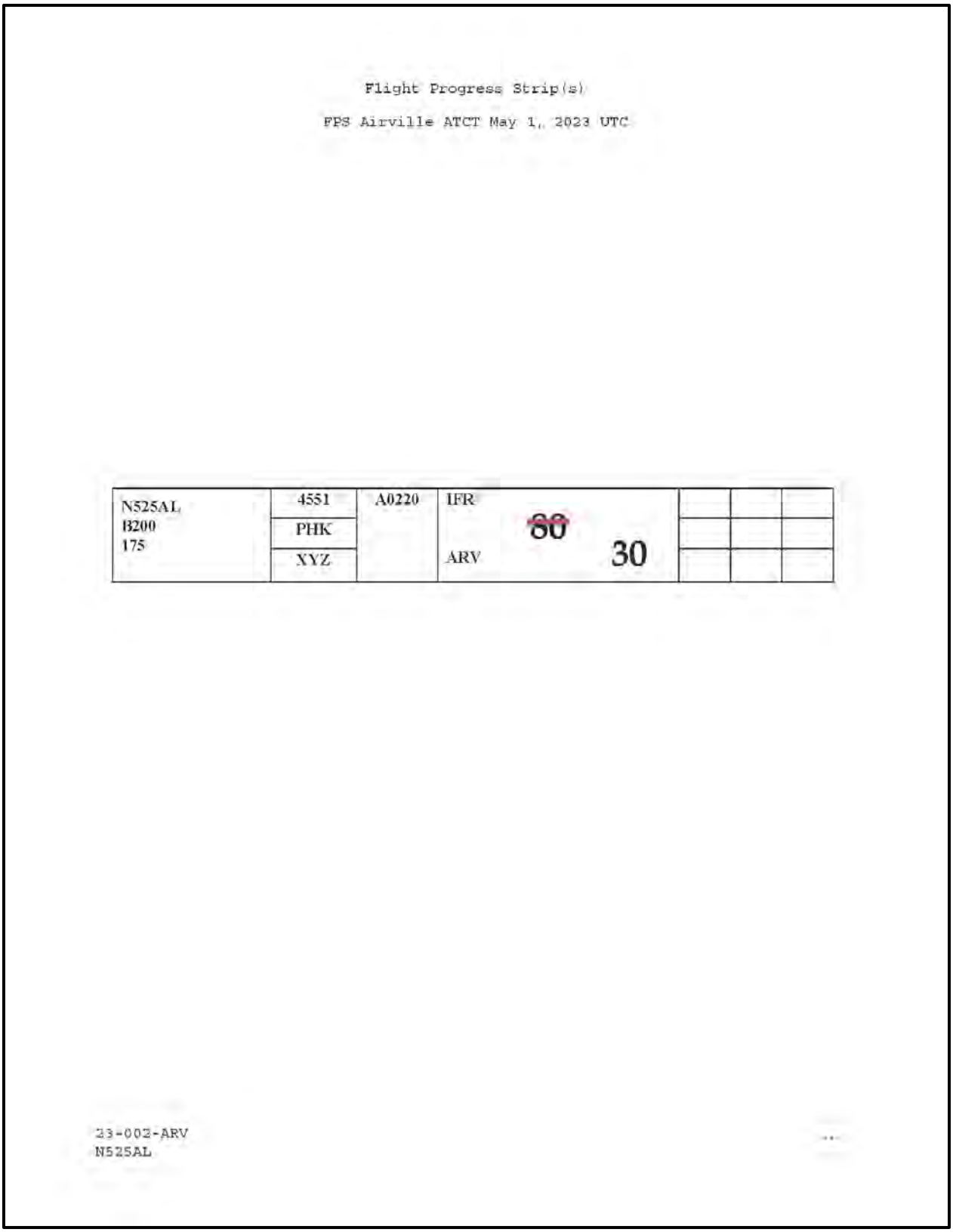


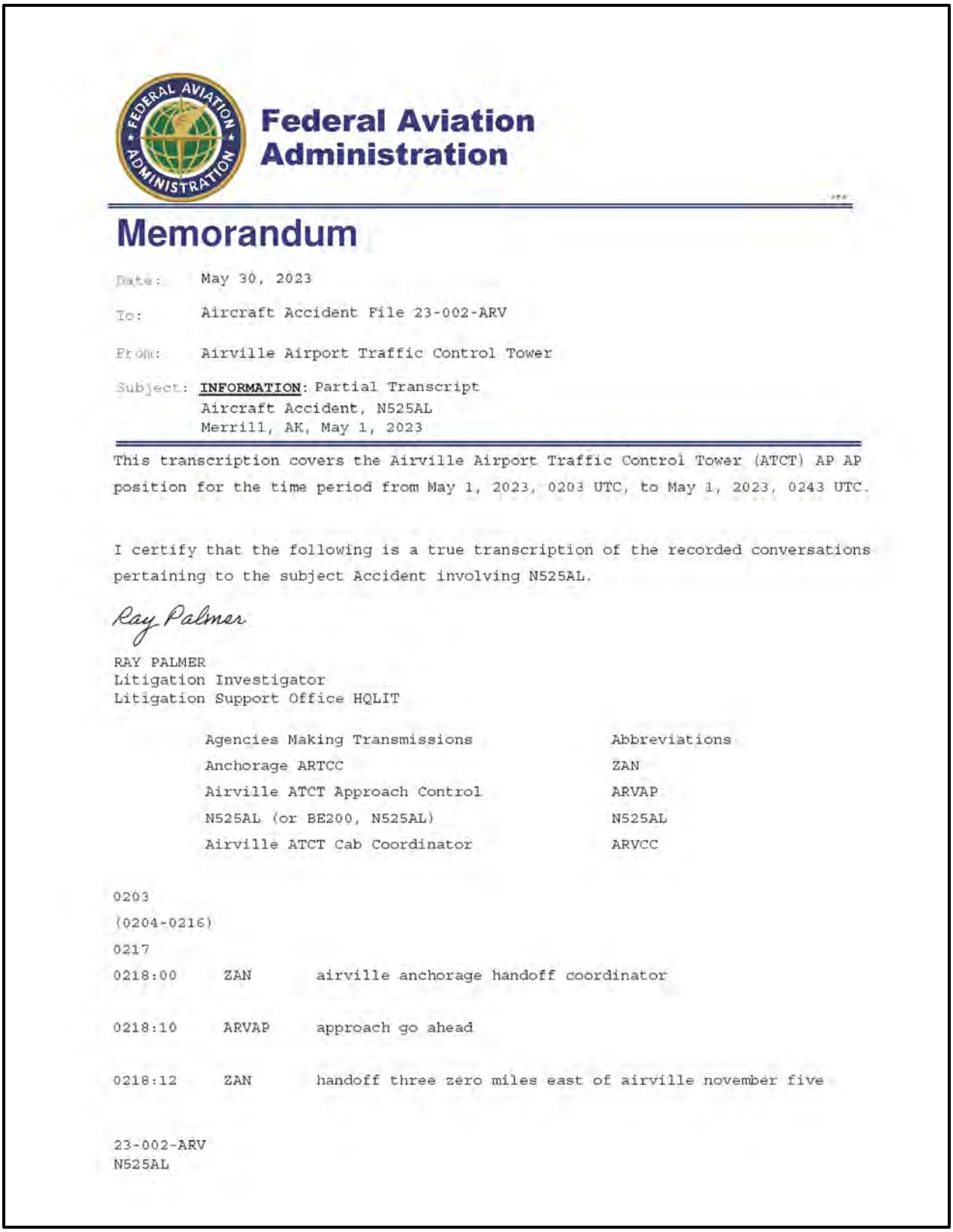
Figure B-13-2: Airville ATCT Flight Progress Strip

B-14. Transcription of Voice Recording(s) (Chapter 7, paragraph 2).

Prepare partial/full transcriptions when requested by the FAA IIC, ATO Litigation Group, QCG, Joint Air Traffic Operations Command (JATOC) Safety Event Network (JSEN), Office of the Chief Counsel, or Flight Service Directorate. Transcripts should be completed using the APG.

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 Accident Investigation and Prevention (AVP), Accident Investigation Division and Recommendations (AVP-100), the ATO Litigation Group, the QCG, the JSEN, or the Flight Service Directorate. Transcriptions are made of the position, not of the individual controller or frequency.

Below 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 ATO Litigation Group.



Federal Aviation Administration

Memorandum

Date: May 30, 2023

To: Aircraft Accident File 23-002-ARV

From: Airville Airport Traffic Control Tower

Subject: **INFORMATION**: Partial Transcript
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

This transcription covers the Airville Airport Traffic Control Tower (ATCT) AP AP position for the time period from May 1, 2023, 0203 UTC, to May 1, 2023, 0243 UTC.

I certify that the following is a true transcription of the recorded conversations pertaining to the subject Accident involving N525AL.

Ray Palmer

RAY PALMER
Litigation Investigator
Litigation Support Office HQLIT

Agencies Making Transmissions	Abbreviations
Anchorage ARTCC	ZAN
Airville ATCT Approach Control	ARVAP
N525AL (or BE200, N525AL)	N525AL
Airville ATCT Cab Coordinator	ARVCC

0203
(0204-0216)
0217

0218:00	ZAN	airville anchorage handoff coordinator
0218:10	ARVAP	approach go ahead
0218:12	ZAN	handoff three zero miles east of airville november five

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N525AL

Figure B-14-1: Partial Transcript Example

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two five alpha lima

0218:40 ARVAP uh november five two five alpha lima radar contact you can keep him high if he likes did he request assistance

0219

0219:11 ZAN november five two five alpha lima eight thousand your control for descent no assistance requested j m

0219:17 ARVAP j s

0220:00 N525AL airville approach november five two five alpha lima with you at eight thousand a t i s charlie

0220:26 ARVAP november five two five alpha lima 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

0221

0221:15 N525AL present heading pilot's discretion to three thousand november five two five alpha lima

0222

0222:51 N525AL out of eight thousand november five two five alpha lima approach there's oil on my windshield and the engine is running worse

0223

0224

0224:19 ARVAP november five two five alpha lima roger when able say souls on board and fuel remaining

0224:27 N525AL uh two of us in the airplane uh one hour of fuel november five two five alpha lima

0224:57 ARVAP tower approach

0225

***

23-002-ARV

N525AL

Figure B-14-1: Partial Transcript Example, continued

Page 3 of 3

0225:04	ARVCC	coordinator
0225:06	ARVAP	one eight miles east november five two five alpha lima emergency rough running engine oil loss two souls on board one hour fuel remaining requests a r f f standing by j s
0225:25	ARVCC	t s
0226		
0226:02	ARVAP	november five two five alpha lima can you see out your *(windshield)
0226:11	N525AL	yes i can see the oil only blocks part of my view
0226:19	ARVAP	november five two five alpha lima report the field in sight
0226:30	N525AL	field's in sight november five two five alpha lima
0226:40	ARVAP	november five two five alpha lima cleared visual approach runway two two left
0226:51	N525AL	cleared visual approach two two left november five two five alpha lima
0227		
0227:14	ARVAP	november five two five alpha lima contact tower one one eight point seven
0227:20	N525AL	one one eight point seven november five two five alpha lima
0228		
(0229-0242)		
0243		

End of Transcript

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

***
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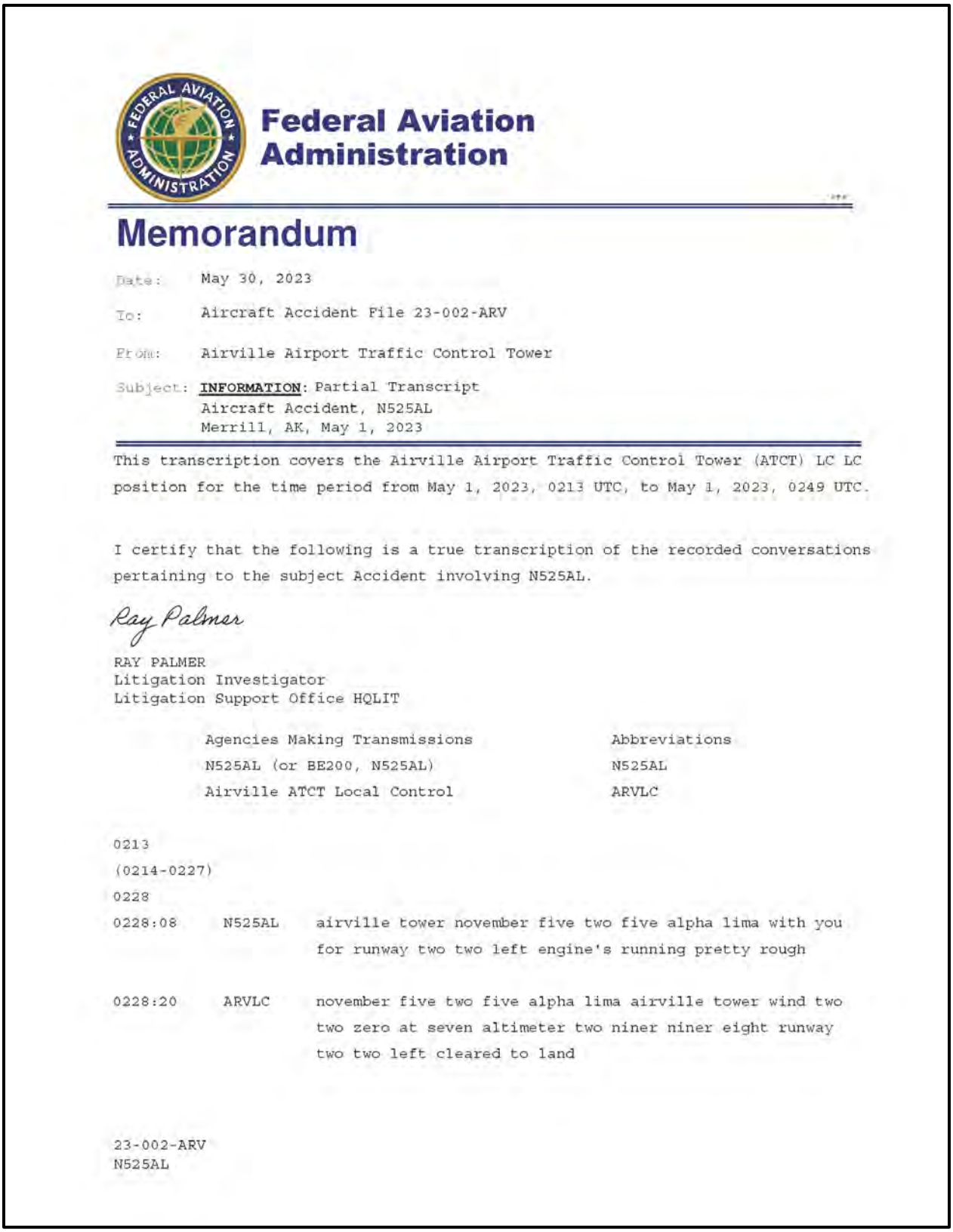
N525AL

Figure B-14-1: Partial Transcript Example, continued



Federal Aviation Administration

Memorandum

Date: May 30, 2023

To: Aircraft Accident File 23-002-ARV

From: Airville Airport Traffic Control Tower

Subject: **INFORMATION**: Partial Transcript
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

This transcription covers the Airville Airport Traffic Control Tower (ATCT) LC LC position for the time period from May 1, 2023, 0213 UTC, to May 1, 2023, 0249 UTC.

I certify that the following is a true transcription of the recorded conversations pertaining to the subject Accident involving N525AL.

Ray Palmer

RAY PALMER
Litigation Investigator
Litigation Support Office HQLIT

Agencies Making Transmissions	Abbreviations
N525AL (or BE200, N525AL)	N525AL
Airville ATCT Local Control	ARVLC

0213
(0214-0227)
0228

0228:08	N525AL	airville tower november five two five alpha lima with you for runway two two left engine's running pretty rough
0228:20	ARVLC	november five two five alpha lima airville tower wind two two zero at seven altimeter two niner niner eight runway two two left cleared to land

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N525AL

Figure B-14-2: Partial Transcript Example 2

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0228:29	N525AL	runway two two left cleared to land november five two five alpha lima
0228:58	ARVLC	november five two five alpha lima emergency equipment is standing by
0229:09	N525AL	november five two five alpha lima roger
0230		
0231		
0231:01	N525AL	tower my engine's quit
0231:09	ARVLC	november five two five alpha lima roger wind two three zero at six
0232		
0232:50	ARVLC	november five two five alpha lima radar contact lost emergency equipment on the way
0233		
0233:20	ARVLC	november five two five alpha lima
0233:47	ARVLC	november five two five alpha lima tower how do you hear
0234		
(0235-0248)		
0249		

End of Transcript

***
23-002-ARV
N525AL

Figure B-14-2: Partial Transcript Example 2, continued

B-15. FAA Form(s) 8020-3, Facility Aircraft Accident/Incident Notification Record (Chapter 5, paragraph 1).

The Air Traffic facility first receiving information of a known aircraft accident, or a suspected aircraft accident must make and record notifications on FAA Form 8020-3.

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.

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 (Chapter 10 paragraph 5).

Only the original aircraft accident file/package at the holding/supporting Air Traffic facility will retain the unredacted information.

Redact or black out all classified or sensitive security information (e.g., the Domestic Event Network telephone number) from all copies. Generally, this includes home phone numbers; cellular phone numbers; and unpublished numbers of FAA, airport, military, and emergency personnel/offices.

If FAA Form 8020-3 was not used at the time of the event but notifications were made, FAA Form 8020-3 must still be completed.

Figure B-15-1 shows how FAA Form 8020-3 would look in the original aircraft accident package. Figure B-15-2 shows how FAA Form 8020-3 would look in every copy of the aircraft accident package.

FACILITY AIRCRAFT ACCIDENT/INCIDENT NOTIFICATION RECORD

Aircraft Identification: N525AL
Date: 05/01/2023
Airport ID: ARV

Facility Name: Airville ATCT
Airport Name: Airville Municipal Airport

The order and number of calls will be determined by the situation involved.

	Phone No.	Time	Initials	
			Caller	Recipient
Airport Emergency Equipment	(907) 555-1212	2325	MW	DB
Airville Fire and Rescue	(907) 555-1250	2325	MW	KB
Search and Rescue	(800) 399-0000	2327	MW	DD
Safety Event Network (JSEN)	(202) 000-0000	2330	MW	KK
Region Operations Center (ROC) if instructed by JSEN	(907) 332-5555			
Domestic Events Network (DEN)	(202) 111-1212	2355	MW	LM
Air Traffic Manager	(907) 281-3358	2355	MW	MC
Technical Operations	(907) 444-5555	2357	MW	JB
Additional Law Enforcement	(907) 000-9999	2352	MW	Jay Young
National Weather Service (NWS)	800-242-8194	2340	MW	EV
Alternate Number for National Weather Service (NWS)	800-242-8895			
Military Authority	(907) 332-1132			
Airport Authority	(907) 332-1515	2349	SB	AN
Aircraft Operator				

Comments: Airville Fire and Rescue reported aircraft found with two people injured.

This form must be updated annually.

Form Updated by (Name, Title, Facility): Lori Martinovich, Quality Control Specialist, ARV ATCT — Date: 1/17/23

FAA Form 8020-3 (5-24) Supersedes Previous Edition — Electronic Version

23-002-ARV
N525AL

Figure B-15-1: ARV ATCT Form 8020-3 Original

FACILITY AIRCRAFT ACCIDENT/INCIDENT NOTIFICATION RECORD

Aircraft Identification: N525AL
Date: 05/01/2023
Airport ID: ARV

Facility Name: Airville ATCT
Airport Name: Airville Municipal Airport

The order and number of calls will be determined by the situation involved.

	Phone No.	Time	Initials	
			Caller	Recipient
Airport Emergency Equipment	(907) 555-1212	2325	MW	DB
Airville Fire and Rescue	(907) 555-1250	2325	MW	KB
Search and Rescue	(800) 399-0000	2327	MW	DD
Safety Event Network (JSEN)	[redacted]	2330	MW	KK
Region Operations Center (ROC) if instructed by JSEN	(907) 332-5555			
Domestic Events Network (DEN)	[redacted]	2355	MW	LM
Air Traffic Manager	[redacted]	2355	MW	MC
Technical Operations	(907) 444-5555	2357	MW	JB
Additional Law Enforcement	(907) 000-9999	2352	MW	Jay Young
National Weather Service (NWS)	800-242-8194	2340	MW	EV
Alternate Number for National Weather Service (NWS)	800-242-8895			
Military Authority	(907) 332-1132			
Airport Authority	(907) 332-1515	2349	SB	AN
Aircraft Operator				

Comments: Airville Fire and Rescue reported aircraft found with two people injured.

This form must be updated annually.

Form Updated by (Name, Title, Facility): Lori Martinovich, Quality Control Specialist, ARV ATCT — Date: 1/17/23

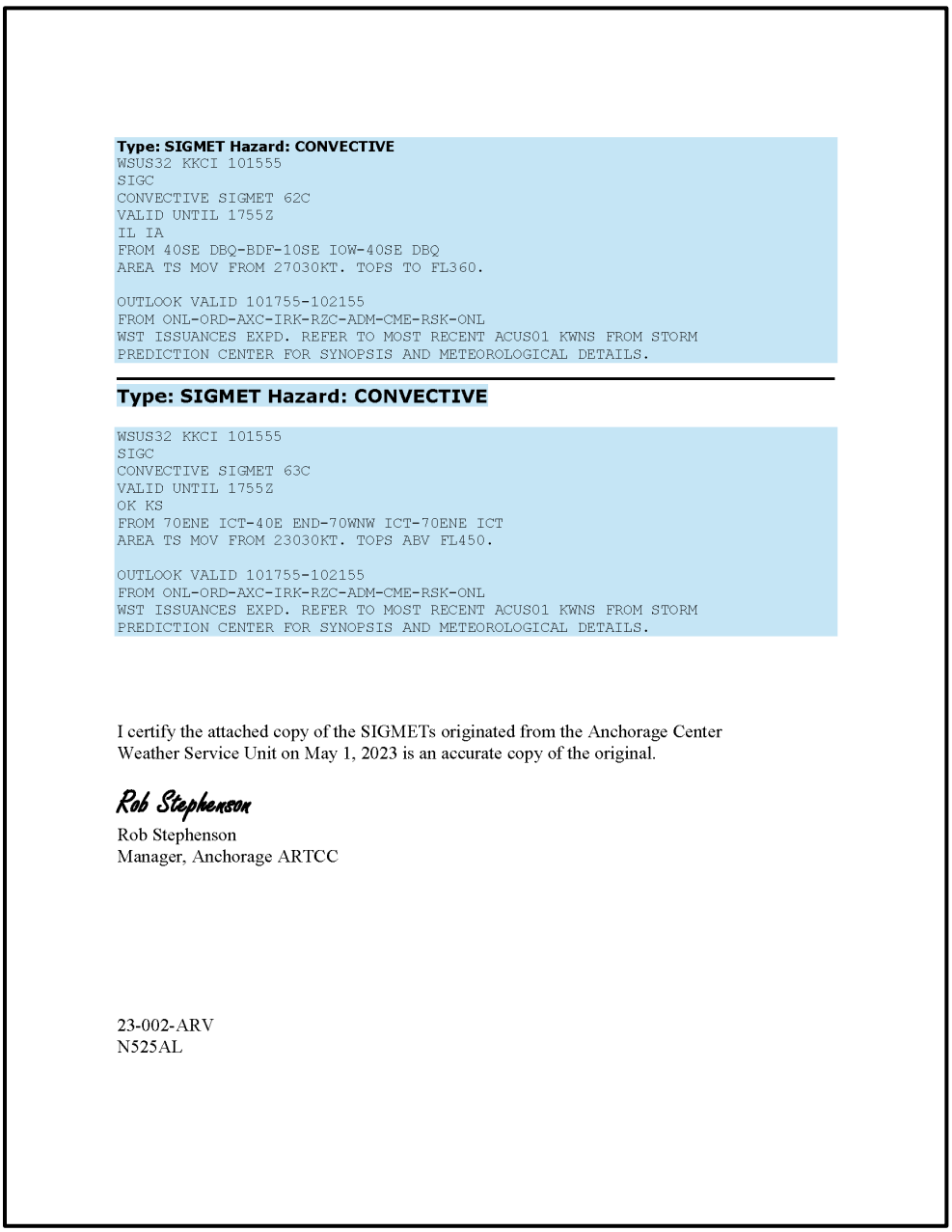
FAA Form 8020-3 (5-24) Supersedes Previous Edition — Electronic Version

23-002-ARV
N525AL

Figure B-15-2: ARV ATCT FAA Form 8020-3 Copy

B-16. Weather Products (Chapter 10, paragraph 5).

Weather that was relevant to the aircraft accident/incident and available to the facility (regardless of whether it was issued to the flight crew) and the source of the weather should be included in the aircraft accident package. This includes the Pre-Duty Weather Completion Log(s) and weather entered on FAA Form 8020-6, including remarks. Pilot Reports, Significant Meteorological Information, Airmen's Meteorological Information, Terminal Area Forecasts, weather-related Notice to Air Missions (NOTAMs), and other weather information should also be included.



Type: SIGMET Hazard: CONVECTIVE

```
WSUS32 KKCI 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 KKCI 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 May 1, 2023 is an accurate copy of the original.

Rob Stephenson

Rob Stephenson
Manager, Anchorage ARTCC

23-002-ARV
N525AL

Figure B-16-1: Example of Weather Products from ZAN

Airville ATCT

Weather Products 5/1/2023UTC

METAR PAMR 010153Z 15007G15KT 10SM OVC065 08/M04 A2967 RMK AO2 SLP050 T00831044

SPECI PAMR 010253Z 22005KT 10SM OVC060 08/M03 A2968 RMK AO2 SLP051 T00781033 55004

I certify the attached copy of the METARs originated from the APG-link to archived weather is an accurate copy of the original.

Ray Palmer

RAY PALMER
Litigation Investigator
Litigation Support Office HQLIT

23-002-ARV
N525AL

***

Figure B-16-2: Example of Weather Products from ARV ATCT

Airville ATCT

Weather Products 05/01/2023

"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
FA8T
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

23-002-ARV
N525AL

Figure B-16-3: Example 2 of Weather Products from ARV ATCT

ARV Pre-Duty Weather Briefing Log

Time/Date: 05/01/2023

OPINIT	NAME	Time
PQ	QUICK, PAUL G	05:32 AM
WS	SMITH, WILL J	05:33 AM
PS	SCOG, PETER K	06:12 AM
TS	SCOTT, TERESA J	06:15 AM
HH	GRANGE, HANK F	06:17 AM
CX	OWENS, CRIS J	06:35 AM
HB	HILL, BOB S	06:35 AM
MD	DAWN, MIKE T	07:09 AM
CC	COOKE, CANDY D	07:32 AM
JS	SCOGS, JOE J	07:35 AM
MW	WELL, MICHAEL W	07:47 AM
AD	DELIGHT, ANNIE K	07:48 AM
AB	BIRD, ANDREA M	08:46 AM
FS	SHIRLEY, FRANK P	10:50 AM
TM	MORGAN, TIM Q	11:50 AM
TF	FULLER, TERRY S	12:52 PM
PT	TARGEN, PAT G	1:18 PM
TT	TRANE, TIM L	1:33 MPM
HM	MORIN, HERB O	2:03 PM
JN	NAHN, JENNIFER E	2:18 PM
HY	YOUNG, HENRY T	4:10 PM
GW	WEST, GREG B	4:14 PM

23-002-ARV
N525AL

Figure B-16-4: Example of Pre-Duty Weather Briefing Log from ARV ATCT

B-17. NOTAMs (Chapter 10, paragraph 5).

NOTAM information can be searched for on the Federal NOTAM System website.

Include all applicable NOTAMs in the aircraft accident package.

B-18. FAA Form(s) 7233-2, Preflight Briefing Log, or automated equivalent (Chapter 10, paragraph 5).

If included, type the facility name and date on each page.

B-19. FAA Form(s) 7233-1 Flight Plan, or automated equivalent (Chapter 10, paragraph 5).

If included, enter the name of the facility that accepted 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.

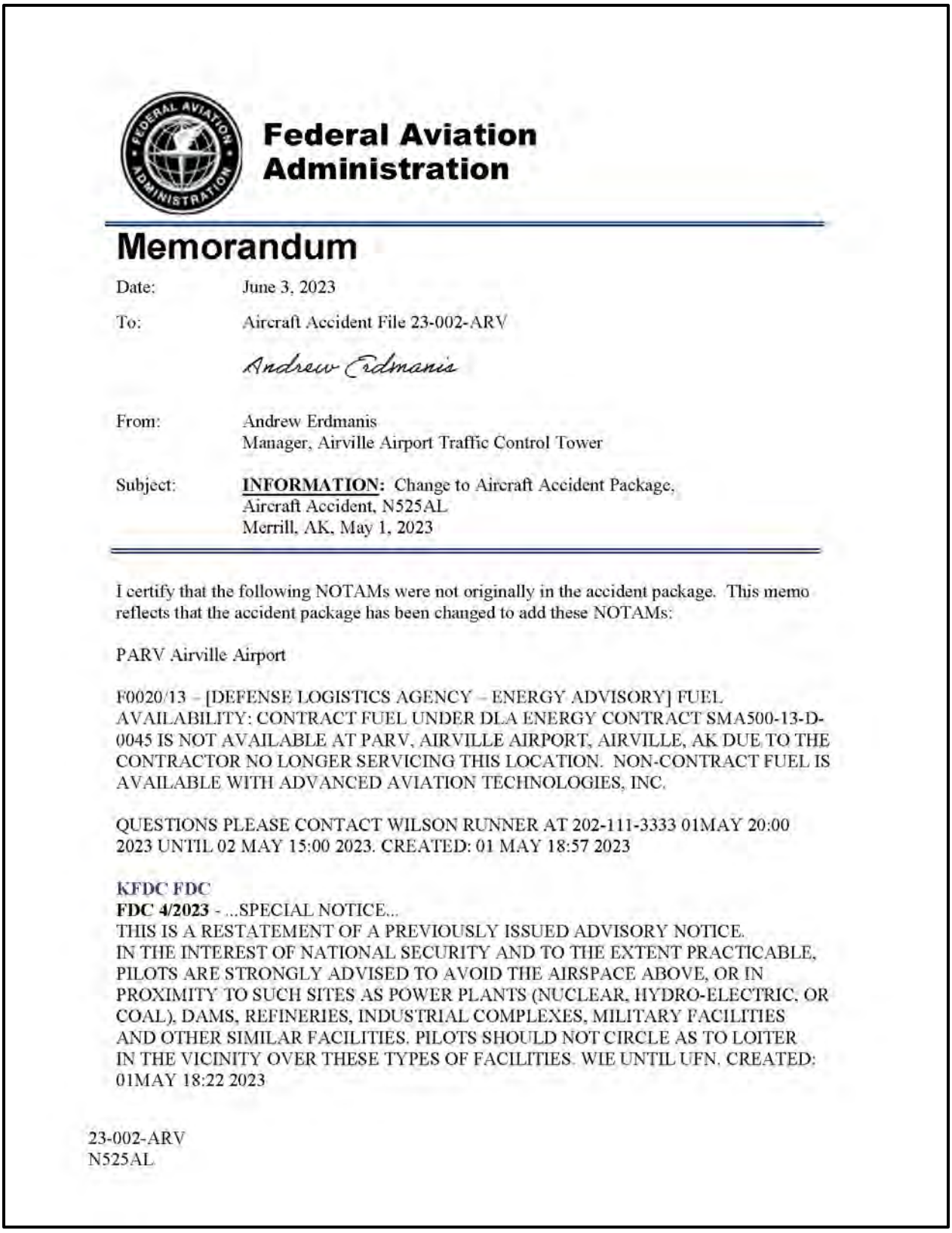
B-20. Other (Chapter 10, paragraph 5).

Include any other materials deemed relevant. The APG will automatically generate a UTC conversion chart for insertion in this section.

If personnel statements are completed for aircraft accidents, they should be placed in this section.

B-21. Changes to the Aircraft Accident Package after the Package Was Released (Chapter 10, paragraph 9).

Should corrections to the aircraft accident package become necessary, all changes must be distributed in the same manner as outlined in Chapter 10, paragraph 8. A memorandum from the facility manager or acting manager must accompany any change(s) with a complete explanation of the change(s).



Federal Aviation Administration

Memorandum

Date: June 3, 2023

To: Aircraft Accident File 23-002-ARV

Andrew Erdmanis

From: Andrew Erdmanis
Manager, Airville Airport Traffic Control Tower

Subject: **INFORMATION:** Change to Aircraft Accident Package,
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

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

F0020/13 – [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 01MAY 20:00 2023 UNTIL 02 MAY 15:00 2023. CREATED: 01 MAY 18:57 2023

KFDC FDC
FDC 4/2023 - ...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: 01MAY 18:22 2023

23-002-ARV
N525AL

Figure B-21-1: Change to Aircraft Accident Package Memorandum Example

Appendix C. Storage Media Labeling

All storage media on which the "Original Copy" or "Working Copy(s)" of voice recordings are made (CD-R, DVD, thumb drive, etc.) must be marked properly with the aircraft accident, incident, or occurrence number; the aircraft identification; Coordinated Universal Time (UTC) date of the occurrence; facility name; and position with the UTC times encompassing each copy.

NOTE: *Storage media must only contain data from a single aircraft accident, aircraft incident, or occurrence.*

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.*

Federal Aviation Administration
Airville ATCT
N525AL May 1, 2023 UTC

Side 1 of 2

23-002-ARV
AP AP 0203-0243 UTC
LC LC 0213-0249 UTC

WORKING COPY

Federal Aviation Administration
Airville ATCT
N525AL May 1, 2023 UTC

Side 1 of 2

23-002-ARV
AP AP 0203-0243 UTC
LC LC 0213-0249 UTC

ORIGINAL COPY

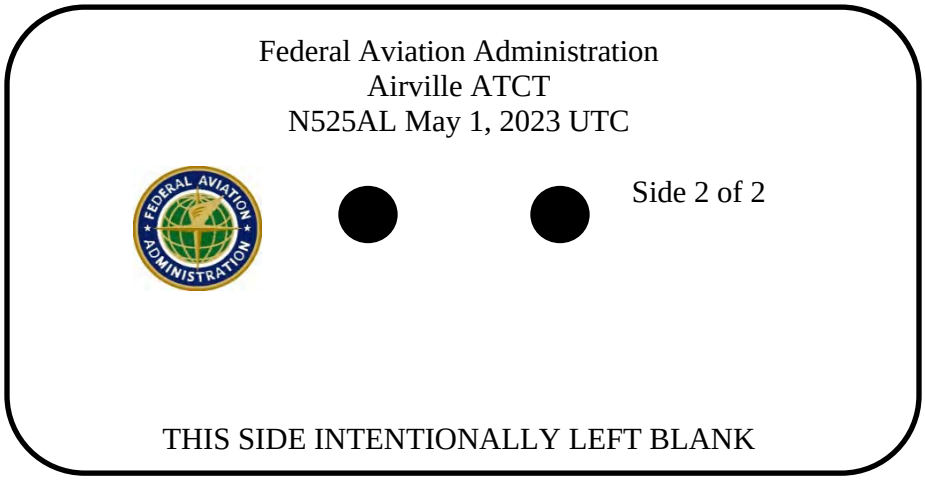


Figure C-1: Examples of Cassette Tape Labeling

Figure C-2: Example of CD-R/DVD Labeling

Appendix D. Original Documentation Transfer

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 Air Traffic Organization Litigation Group (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. 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.

Federal Aviation Administration

Memorandum

Date: June 18, 2023

To: Andrew Erdmanis, Manager, Airville Airport Traffic Control Tower, TEJ-ARV
Thru: Jonathan Archer, Director, ATO Western Service Center, AJV-W

Chauntel Seiler

From: Chauntel Seiler, Group Manager, ATO Safety and Technical Training, Litigation Support, AJI-17

Subject: **ACTION:** Original Documentation Transfer
Aircraft Accident, N525AL
Merrill, AK, May 1, 2023

In accordance with the Federal Aviation Administration Order JO 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

Figure D-1: Example of Original Documentation

Appendix E. Sample Technical Performance Records

Number	Name	Page
E-1	Sample Technical Performance Record (Glide Slope)	E-2
E-2	Sample Technical Performance Record (Localizer	E-3
E-4	Sample Technical Performance Record (Medium Intensity Approach Light Setting with RAIL)	E-4
E-5	Sample Technical Performance Record (Runway-End Identifier Lights)	E-5

E-1. Sample Technical Performance Record (Glide Slope)

TPR Details Report

Template GS 314JA H "Glide Slope CAT III, Mark 20 Capture Effect" Sheet CEGS - Normal Radiated Parameters

Facility Type GS Location Ident BDL Code 314JA Class H - MARK 20 (CAPTURE EFFECT) CAT III FACILITY WITH RMM Location WINDSOR LOCKS, CT Airport BRADLEY INTL (BDL) Runway 06

Sheet Remarks

Date	Signed By	RF Power						Modulation			Monitor			Remarks
		Carrier Power (W)	Carrier Power Volt Reference	Sideband Power (mW)	Sideband Power Volt Reference	Clearance Power (W)	Clearance Power Volt Reference	Modulation Equality (DDM/Hz)	Carrier SDM (%)	Clearance SDM (%)	Path (DDM/Hz)	Width (DDM) 150 Hz	Clearance SDM %	
	Nominal	3.0		37		0.30		.000	80.0	80.0	.000	.175		JO Order 6750.49 POC AJW-143 NAVAIDS, 405-954-3644 Changed power, monitor, and BITE references to have nominal values Updated Clearance Power resolution Dual Power and Digital Voltmeter re
	Minimum	2.7		34		0.27		.004/90	78.0	78.0				
	Maximum	3.3		40		0.33		.004/150	82.0	82.0				
11/09/2023 14:11	Paul.Vagnini@faa.gov	3.0		37		0.30		.000	80.0	80.5	.001/150	.178	M	

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:

Signature _____

Name _____

Title _____

Observer:

Signature _____

Name _____

Title _____

E-2. Sample Technical Performance Record (Localizer)

TPR Details Report

Template LOC 314NC H "Localizer CAT III, Mark 20 Log Periodic" Sheet Normal Radiated (Course)

Facility Type LOC Location Ident BDL Code 314NC Class H - MARK 20 LOG PERIODIC CAT III LOC WITH RMM Location WINDSOR LOCKS, CT Airport BRADLEY INTL (BDL) Runway 06

Sheet Remarks

Date	Signed By	Course												Remarks
		Carrier Power (W)	Carrier Power Volt Reference	Sideband Power (mW)	Sideband Power Volt Reference	Modulation Equality (DDM/Hz) (Balance)	Modulation SDM (%)	Ident Modulation (%)	Monitor: Course Monitor (DDM/Hz)	Monitor: Width Monitor (DDM) 150 Hz	CSB/SBO Phasing Far Field (DDM/Hz)	CSB/SBO Phasing Inline (DDM/Hz)		
	Nominal	15.0		131		.000	40.0	8.0	.000	.155	.024/150	.000		6750.49 Para 5-172 for ground check point requirements. Centerlines, edge of course and low clearance point. POC AJW-143 NAVAIDS, 405-954-3644 Changed power, monitor, and BITE references to have
	Minimum	13.5		118		.002/90	38.0	6.0			.037/90	.005/90		
	Maximum	16.5		144		.002/150	42.0	10.0			.089/150	.005/150		
11/09/2023 14:54	Paul.Vagnini@faa.gov	15.0		131		.000	40.0	7.9	.001/90	.155			M	

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:

Signature _____

Name _____

Title _____

Observer:

Signature _____

Name _____

Title _____

E-3. Sample Technical Performance Record (Medium Intensity Approach Light Setting with RAIL)

TPR Details Report

Template MALSR "Medium Intensity Approach Lighting System with RAIL (MALSR)" Sheet System

Facility Type MALSR Location Ident MWD Code 3326A Class C - MULTI-ELECTRIC ELEVATED LIGHTS W G/G Location ROCHESTER, NY Airport FREDERICK DOUGLASS/GREATER ROCHESTER INTL (ROC) Runway 22

Sheet Remarks

Date	Signed By	Control Cabinet Input Voltage (VAC)			Lamp Voltage Transformer Output (Measured at Light Lane Junction Box)									Flasher Readings			Elapsed Time Meter	Remarks
					Low Intensity (VAC)			Med Intensity (VAC)			High Intensity (VAC)							
		L1 - N	L2 - N	L1 - L2	L1 - N	L2 - N	L1 - L2	L1 - N	L2 - N	L1 - L2	L1 - N	L2 - N	L1 - L2	ICC Input Voltage (VAC) #1 Flasher Cabinet (Without Separate Master Control Unit)	Master Controller Input Voltage (Vac) L1 - L2 (With Separate Master Control Unit)	Flashing Rate (Per Minute)		
Nominal		120	120	240	50.0	50.0	100	75.00	75.00	150.0	120	120	240	240	240	120		JO 6850.5 POC: AJW-143 Lighted NavAids, 405-954-3644 Insulation Resistance nominal added Resistance measurement readings should be limited to 1 TeraOhm entered as 999999.9 MegaOhms
Minimum		114	114	228	47.5	47.5	95	71.25	71.25	142.5	114	114	228	228	228	118		
Maximum		126	126	252	52.5	52.5	105	78.75	78.75	157.5	126	126	252	252	252	122		
10/18/2023 18:12	wilbur.wright@faa.gov	122	122	245	50.3	50.2	101	74.70	74.60	149.3	120	120	241	239			630	As found post accident

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:

Signature _____

Name _____

Title _____

Observer:

Signature _____

Name _____

Title _____

A-4. Sample Technical Performance Record (Runway-End Identifier Lights)

TPR Details Report

Template REIL "Runway-End Indentifier Lights" Sheet Sheet 1

Facility Type REIL | Location Ident MJE | Code 3313E | Class F - DME CORP(RMM CAP.)FA-10264 CL A W/COMBO OF A/G&G/G RAD. | Location MANCHESTER, NH | Airport MANCHESTER BOSTON RGNL (MHT) | Runway 06

Sheet Remarks

Date	Signed By	Control Cabinet			Flasher One			Flasher Two			Elasped Time Meter	Flash Rate (per minute)	Remarks
		L1 to Neutral (V)	L2 to Nuetral (V)	L1 - L2 (V)	L1 to Neutral (V)	L2 to Neutral (V)	L1 - L2 (V)	L1 to Neutral (V)	L2 to Neutral (V)	L1 - L2 (V)			
	Nominal	120.0	120.0	240.0	120.0	120.0	240.0	120.0	120.0	240.0		120	
	Minimum	114.0	114.0	228.0	114.0	114.0	228.0	114.0	114.0	228.0		118	6850.5 POC: AJW-143 Lighted NavAids, 405-954-3644
	Maximum	126.0	126.0	252.0	126.0	126.0	252.0	126.0	126.0	252.0		122	
01/04/2024 14:58	mike.monroney@faa.gov	123.0	122.1	245.0	122.2	121.9	244.1	123.0	122.5	245.5	13826	120	As found post accident.

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:

Signature _____

Name _____

Title _____

Observer:

Signature _____

Name _____

Title _____