

NOTICE

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

N JO 8020.178

Effective Date:
January 1, 2009

Cancellation Date:
December 31, 2009

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

- 1. Purpose of This Notice.** This notice amends Federal Aviation Administration Order (FAAO) 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting. This notice shall remain active until the data is published in FAAO 8020.16A.
- 2. Audience.** This order is intended for all employees that have responsibility for aircraft accident and incident notification, investigation, and reporting.
- 3. Where Can I Find This Notice?** The notice is available on the MYFAA employee Web site at https://employees.faa.gov/tools_resources/orders_notices/ and on the air traffic publications Web site at http://www.faa.gov/airports_airtraffic/air_traffic/publications.
- 4. Procedures.** This notice replaces the following expired GENOTs: 06-35, 07-03, and 07-18.

To avoid a complete reprint of the order, these changes may be noted or otherwise penciled in a copy of FAAO 8020.16, complete with these changes, is available on the following intranet site: <ftp://ats.awa.faa.gov/ajr-8>.

Change, throughout the order, all references to “safety investigations” to “safety investigations and evaluations.”

Change, throughout the order, references to “service area” to “service center.”

Change, throughout the order, references to “service area manager” to “service center director.”

Change, throughout the order, all references to “safety investigations” to “safety investigations and evaluations.”

The following paragraphs, figures, and appendixes are withdrawn from FAAO 8020.11B, Aircraft Accident and Incident Notification, Investigation, and Reporting: paragraph 9, paragraph 32, paragraphs 34 thru 36, paragraph 38, paragraphs 60 thru 90, paragraphs 111 and 112, paragraph 123, paragraphs 144 thru 159, figures 4-1 thru 4-4, and appendix 2. These paragraphs have been updated reflecting the air traffic organization and can be found in FAAO 8020.16. These changes will be reflected in the next change to FAAO 8020.11.

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

Initiated By: AJR-8
System Operations Litigation

Incorporate the following changes to the order:

66. COMPLETING AND TRANSMITTING FAA FORM 8020-9, AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE.

Title thru a, No Change

b. Transmitting Form Data (Preliminary Message).

(1) The air traffic facility must transmit FAA Form 8020-9, Parts 1 and 2, as appropriate, within three hours of the detection of the aircraft accident or suspected aircraft accident via facsimile or National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence to the:

(a) Washington Operations Center, FAA, Washington, DC

(b) NTSB, Washington, DC

(c) FAA service center with jurisdiction over the area in which the accident occurred. If the aircraft was under the control of an FAA facility in another service centers, both service centers must be addressed.

(d) The continental United States of America (CONUS) flight service information area group (FSIAG) or Alaska FSIAG, as appropriate.

(e) Aerospace Medical Research Division, AAM-600, Mike Monroney Aeronautical Center.

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

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

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

No further changes to paragraph

71. FORMAL ACCIDENT FILE/PACKAGE DATA COLLECTION.

Title thru d, No Change

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

(1) Downgraded to an aircraft incident, the responsible air traffic facility (see paragraph 70) will assemble an informal accident file instead of a formal accident file.

(2) Determined to be a nonoccurrence, the responsible air traffic facility (see paragraph 70) will coordinate with the appropriate service center and/or FSIAG and retain all documentation as described in the latest edition of FAAO 1350.15 or 45 days, whichever is longer.

No further changes to paragraph

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

Title thru a, No Change

b. Copies.

b(1), No Change

(2) FCFs must prepare one copy and retain the original. The copy must be forwarded as described in paragraphs 82d(2) and 82d(3). The copy must not have an original signature.

c, No Change

d. Distribution.

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

(a) FAA Terminal, TRACON, and En Route facilities.

(i) Two complete packages to the appropriate service center. After review, the service center will forward one copy of the package to System Operations Litigation within 45 calendar days of the accident.

(ii) After the service center and System Operations Litigation office has reviewed and releases the package, send two complete packages to the FAA IIC (AAI-100 or FSDO, as appropriate). The FAA IIC must forward one copy to the NTSB within 60 calendar days of the accident.

(b) FAA AFSS and FSS facilities.

(i) Two complete packages to the appropriate FSIAG. After review, the FSIAG will forward one copy of the package to System Operations Litigation within 45 calendar days of the accident.

(ii) After the FSIAG and System Operations Litigation office has reviewed and releases the package, send two complete packages to the FAA IIC (AAI-100 or FSDO, as appropriate). The FAA IIC must forward one copy to the NTSB within 60 calendar days of the accident.

(c) Should corrections to the FAA accident package become necessary, all changes must be distributed in the same manner as outlined in paragraphs 82d(1)(a) and 82d(1)(b). A memorandum from the facility manager or acting manager must accompany any change(s) with a complete explanation of the change.

(2) Terminal FCF. The terminal FCF preparing the accident package must retain the package with original documentation in the facility files. Distribute the copy of the package as follows:

(3) AFSS FCF. The AFSS FCF preparing the accident package must retain the package with original documentation in the facility files. Distribute one copy of the package as follows:

(a) To the appropriate FSIAG. After review for compliance with applicable FAA orders and directives, the FSIAG must forward the one and only copy of the package to System Operations Litigation within 45 calendar days of the accident. After review for compliance with applicable FAA orders and directives, System Operations Litigation must return the one and only copy to the originating FCF.

(b) After System Operations Litigation and the FSIAG review, the FCF must forward one copy to the NTSB within 60 calendar days of the accident.

(c) Should corrections to the accident package become necessary after the FCF forwards the copy of the accident package to the NTSB, all changes must be distributed in the same manner as outlined in paragraphs 82d(3)(a) and 82d(3)(b). A memorandum from the FCF manager or acting manager must accompany any change(s) with a complete explanation of the change.

(4) Facilities that prepare a formal accident package as a result of an accident involving military aircraft must distribute the package in accordance with paragraph 82d.

No further changes to paragraph

83. CERTIFICATION OF THE AIR TRAFFIC AIRCRAFT ACCIDENT PACKAGE.

a. Certification by AFSS and FSS facilities.

(1) An Information Memorandum addressed to the FSIAG manager from the air traffic manager or acting air traffic manager, of the data collection facility must be prepared. The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier. This memorandum will certify that the air traffic manager or acting air traffic manager is attesting to the completeness and accuracy of the entire air traffic aircraft accident package. The memorandum will provide the following certification:

“I hereby certify that air traffic aircraft accident package, (insert air traffic aircraft accident package number), has been reviewed, and it is complete and accurate.”

(2) Certification by FSIAG manager (FAA AFSS and FSS facilities only). An Information Memorandum addressed to the Manager, System Operations Litigation, from the FSIAG director or the FSIAG director’s designee, must be prepared. This memorandum will certify that the FSIAG manager or the FSIAG manager’s designee is attesting to the completeness and accuracy of the entire FAA air traffic aircraft accident package. The memorandum will provide the following certification:

“I hereby certify that air traffic aircraft accident package, (insert air traffic aircraft accident package number), has been reviewed, and it is complete and accurate.”

NOTE-

Air traffic aircraft accident packages prepared by FCFs are not certified at the FSIAG level. However, this does not relieve the FSIAG of the responsibility to review the FCF accident package for completeness and compliance with appropriate FAA orders and guidelines.

(3) The certification memorandums will be placed in section 2 of the original and all copies of the air traffic aircraft accident package (see appendix 2).

b. Certification by all other facilities.

(1) An Information Memorandum addressed to the service center director from the air traffic manager or acting air traffic manager, of the data collection facility must be prepared. The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier. This memorandum will certify that the air traffic manager or acting air traffic manager is attesting to the completeness and accuracy of the entire air traffic aircraft accident package. The memorandum will provide the following certification:

“I hereby certify that air traffic aircraft accident package, (insert air traffic aircraft accident package number), has been reviewed, and it is complete and accurate.”

(2) Certification by service center (FAA air traffic facilities only). An Information Memorandum addressed to the Manager, System Operations Litigation, from the service center director or the service center director’s designee, must be prepared. This memorandum will certify that the service center director or the service center director’s designee is attesting to the completeness and accuracy of the entire FAA air traffic aircraft accident package. The memorandum will provide the following certification:

“I hereby certify that air traffic aircraft accident package, (insert air traffic aircraft accident package number), has been reviewed, and it is complete and accurate.”

NOTE-

Air traffic aircraft accident packages prepared by FCFs are not certified at the service center level. However, this does not relieve the service center of the responsibility to review the FCF accident package for completeness and compliance with appropriate FAA orders and guidelines.

No further changes to paragraph

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

Title thru a, No Change

b. Form Instructions.

b(1), No Change

(2) Item 1. Aircraft Identification and Type; Item 2. Date/Time of Accident (coordinated universal time or UTC); and Item 3. Location of Accident. City, state, and specify the location of accident (for example, location on airport, distance from runway, distance from prominent landmarks, street address, etc.). Be as specific as possible, do not use latitude/longitude. Self-explanatory.

b(3) thru b(8), No Change

(9) Item 12. Air Traffic Personnel Involved.

(a) List the full names of personnel involved (for example, first, middle initial, last) (described in paragraph 91a). Personnel at facilities providing normal service statements are not listed in this section.

No further changes to paragraph

91. FAA FORM 8020-26, PERSONNEL STATEMENTS.

Title thru c, No Change

d. Form Instructions.

d(1) thru d(3), No Change

(4) Item 4. Location of Accident/Incident. City and State.

d(5) thru d(6), No Change

(7) Item 7. Name. Witness' full name (for example, first, middle initial, last) (see paragraph 90b(a)) and, in parentheses, his or her operating initials used on personnel logs and/or position logs.

(8) Item 8. Title. Title of the witness (for example, operations manager (OM), Front-line manager (FM), air traffic control specialist (ATCS), etc.)

No further changes to paragraph

94. TRANSCRIPTION OF VOICE RECORDINGS.

d. The transcription will be prepared as follows:

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

d(1)(a), No Change

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

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

No further changes to paragraph

153. RESPONSIBILITIES.

Title thru f(3), No Change

(4) Removing the requested potentially suspect facilities from service as directed by the service area AFAAR.

g. The Technical Services Manager is responsible for facility operation, certification, restoration, and documentation related to aircraft accidents/incidents. This includes: (remaining paragraph unchanged).

No further changes to paragraph

157. FIELD WORK. The field work is composed primarily of actions by the OCC and the responding airway transportation system specialist(s) (ATSS):

a, No Change

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

a(2) thru a(4), No Change

(5) Accomplish appropriate logging of events and reporting of interruptions, using procedures defined in FAAO 6000.48, General Maintenance Handbook for Automated Logging, and in FAAO 6040.15, National Airspace Performance Reporting System.

Change, throughout paragraphs 153, 154, 156, 157, and 158, references to “service center” to “service area.”

Change, throughout paragraphs 153 and 158, references to “office” to “group.”

Appendix 1

FIGURE 6. FAA Form 8020-17, Preliminary Pilot Deviation Report (dated 10/05). Replace with FAA Form 8020-17, Preliminary Pilot Deviation Report (dated 01/07).

Appendix 2

Change the memorandum format on the following pages to conform to FAA branding: 11, 13, 29, 33, 37, 71, and 77.

e. FAA Form 8020-6, Report of Aircraft Accident (paragraph 82c(3) and paragraph 90).

LOCATION OF ACCIDENT. City, state, and specify the location of accident (for example, location on airport, distance from runway, distance from prominent landmarks, street address, etc.). Be as specific as possible; do not use latitude/longitude.

AIR TRAFFIC PERSONNEL INVOLVED. List the full (for example first, middle initial, last) names of personnel involved (described in paragraph 91a). Personnel at facilities providing normal service statements are not listed in this section. All personnel listed in this section must also have a personnel statement in the accident package. Indicate the position of operation occupied by each person listed. List the facilities involved and if any of the persons listed were accident witnesses. If additional space is needed to list personnel, enter them in item 14, FAA Form 8020-6-1. The operating initials for each controller must be typed to the right of their name and enclosed in parentheses.

f thru l, No Change

m. Airport Diagram (paragraph 82c(9)).

A good clean copy of an airport diagram can be obtained at the following web site:
http://www.naco.faa.gov/index.asp?xml=naco/online/d_tpp.

n. Flight Progress Strips and/or In-flight Contact Record (paragraph 82c(10)).

Attach flight progress strips to plain paper for reproducing.

Arrange pages in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement.

If an in-flight contact record was used, ensure that the facility name and date are completed at the top of the form.

Make sure the name of the facility providing the flight progress strip and/or in-flight contact record is indicated.

o, No Change

p. FAA Form 8020-3, Facility Accident/Incident Notification Record (paragraph 65b and paragraph 82c(12)).

q, No Change

r. FAA Form 8020-26, Personnel Statements (paragraph 91).

LOCATION OF ACCIDENT/INCIDENT. City, state.

DATE/TIME OF ACCIDENT/INCIDENT (UTC).

EQUIPMENT ATTACHMENT. If an equipment diagram is provided check the "YES" box. If a diagram is not a part of the personnel statement but, instead, included in the body of the text, check the "NO" box. *This item is to be completed by the preparer only.*

NAME. Witnesses' full name (for example, first, middle initial, last) and, in parentheses, his or her operating initials.

TITLE. Title of the witness (for example, FM, ATCS, etc.).

POSITION AND TIME (UTC). Must match FAA Form 7230-10 or automated equivalent (for example, Local Control, 1305-1412 UTC).

s. Weather Products (paragraph 82c(14)).

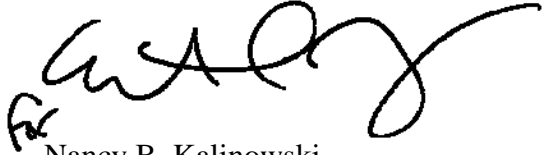
Change the fifth paragraph to read: "I certify that this is true copy of the original which was available to the controller."

No further changes to paragraph

5. Distribution. All Assistant Administrators, Associate Administrators, and heads of offices and services; division level in the offices of Labor and Employee Relations, Personnel, and environment and Energy; branch level in the offices of Chief Counsel, International Aviation, Office of Communications, Airport Safety and Standards, Civil Aviation Security, Accident Investigation, Aviation Medicine; Aircraft Certification and Flight Standards Services; Air Traffic Organization Vice Presidents, Directors, Managers, service areas, and field facilities, National Airspace System (NAS) Transition and Implementation; NAS Operations; and Aviation System Standards; regional division level in Operations Center, Regional Counsel, International Aviation Officer, and Public Affairs; regional branch level in Human Resource Management, Certification Directorates, Flight Standards, Office of Air Traffic

Oversight, Aviation Medical, Airports, and Civil Aviation Security; Aeronautical Center division level in Operations Center, Center Counsel, and Public Affairs; and branch level in Civil Aviation Security, Human Resource Management, and FAA Academy; Technical Center division level in Operations Center, Center Counsel, Public Affairs, Civil Aviation Security, and Human Resource Management.

6. Implementation. This notice shall remain active until the data is published in FAAO 8020.16A.



Nancy B. Kalinowski
Vice President, System Operations Services
Air Traffic Organization

12/31/08
Date Signed