ORDER

8020.16

AIR TRAFFIC ORGANIZATION
AIRCRAFT ACCIDENT AND INCIDENT
NOTIFICATION, INVESTIGATION, AND REPORTING

September 13, 2005

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

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Initiated By: System Operations Litigation

RECORD OF CHANGES

DIRECTIVE NO .

CHANGE TO BASIC	SUPPLEMENT			OPTIONAL	CHANGE TO BASIC	SUPPLEMENT			OPTIONAL

FOREWORD

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

Marion C. Blakey
Administrator

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CHAPTER 1. GENERAL

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

2. DISTRIBUTION. This order is distributed to all Assistant Administrators, Associate Administrators, and heads of offices and services; division level in the offices of Labor and Employee Relations, Personnel, and Environment and Energy; branch level in the offices of Chief Counsel, International Aviation, 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; and a standard distribution to all field offices and facilities.

3. EFFECTIVE DATE. September 13, 2005.

4. 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 7210.3, Facility Operation and Administration.

c. FAA Order 7210.56, Air Traffic Quality Assurance.

5. DEFINITIONS. The following terms, as used in FAA Order 8020.11, Aircraft Accident and Incident Notification, Investigation, and Reporting, and this order, are defined below:

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

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

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

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

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

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

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

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

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

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

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

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

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

k. FAA Contract Facility - FAA contract facilities (FCF), for the purpose of this order, are FAA contracted airport traffic control tower (ATCT), automated flight service station (AFSS), and flight service station (FSS) facilities.

l. FAA Coordinator - a job title assigned by the National Transportation Safety Board (NTSB) and military services to the FAA investigator-in-charge (IIC).

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

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

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

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

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

(1) A person is killed;

(2) A person received injuries requiring hospitalization;

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

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

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

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

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

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

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

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

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

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

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

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

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

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

bb. Runway Incursion - any occurrence at an airport involving an aircraft, vehicle, person, or object on the ground that creates a collision hazard or results in loss of separation with an aircraft taking off, intending to take off, landing, or intending to land.

> **NOTE**: There are three categories of runway incursions: operational error, pilot deviation, or vehicle/pedestrian deviation.

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

dd. Substantial Damage - damage or failure which adversely affects the structural strength, performance, or flight characteristics of the aircraft, and which would normally require major repair or replacement of the affected component. Engine failure or damage limited to an engine if only one engine fails or is damaged, bent fairings or cowling, dented skin, small punctured holes in the skin or fabric, ground damage to rotor or propeller blades, and damage to landing gear, wheels, tires, flaps, engine accessories, brakes, or wing tips are not considered substantial damage for the purpose of this order.

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

ff. Survivable Accident - an accident in which the cockpit and/or structure remains relatively intact and the forces experienced by the occupants did not exceed or should not have exceeded the survivable limits of human G-tolerance. Such an accident is classified as survivable even if some or all occupants were fatally injured.

NOTE: The investigator makes his or her greatest contribution to air safety by documenting the reasons why aircraft occupants were fatally or seriously injured in survivable accidents.

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

hh. Ultra light Vehicle - a vehicle that:

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

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

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

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

(5) If powered:

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

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

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

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

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

6. FORMS AND REPORTS. Forms used by air traffic facilities for aircraft accident and incident notification, investigation, and reporting are listed in Appendix 1. Selected, completed examples of these forms can be found in Appendix 2.

7. AUTHORITY TO CHANGE THIS ORDER. Only the Director of Accident Investigation, Director of Technical Operations, or Manager of System Operations Litigation, may approve changes except those involving policy, assignment of responsibility, and delegation of authority. Those organizations with aircraft accident and incident notification, investigation, and reporting responsibilities should submit proposed changes or additions to the System Operations Litigation office.

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

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

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

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

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

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

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

(5) Federal Aviation Regulations were adequate.

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

(7) Airport security standards or operations were involved.

(8) Airman medical qualifications were involved.

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

c. Support the NTSB by verbally informing the office with jurisdictional accident investigation responsibility of all facts, conditions, and circumstances surrounding an accident in which the NTSB does not participate on scene. The FAA IIC will provide the NTSB with photographs, statements, and other pertinent information necessary for determining probable cause. The exception is that a written statement about a particular segment of the investigation, i.e., an engine teardown, can be provided to the NTSB.

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

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

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

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

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

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

9. RESPONSIBILITIES OF REGIONAL DIVISIONS, AIRCRAFT CERTIFICATION DIRECTORATES, AND SERVICE AREAS IN AIRCRAFT ACCIDENT INVESTIGATIONS.

a. Regional personnel in Flight Standards, Airports, Aviation Medicine, and Civil Aviation Security divisions, the Aircraft Certification Directorates, Regional Counsel, and Public Affairs staff may be required to participate in an accident investigation. During such participation, a representative is designated to coordinate the division, directorate, or staff responsibilities and provide assistance and required reports to the FAA IIC.

b. Service area personnel in air traffic and technical operations may be required to participate in an accident investigation. During such participation, a representative is designated to coordinate the service area, directorate, or staff responsibilities and provide assistance and required reports to the FAA IIC.

10. FAA AND NTSB ACCIDENT AND INCIDENT INVESTIGATION AGREEMENTS.

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

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

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

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

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

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

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

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

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

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

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

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

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

13. FAA PARTICIPANTS.

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

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

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

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

15. FAA SAFETY RECOMMENDATION PROGRAM. The main purpose of accident and incident investigation is prevention. The FAA Safety Recommendation Program is the process utilized to identify and correct safety deficiencies in the NAS. For more information regarding the responsibilities of FAA personnel, recommendation procedures, and corrective actions, see FAA Order 8020.11.

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

a. Aircraft Accident Investigation, Course 00035.

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

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

d. Human Factors in Accident Investigation, Course 00008.

e. Aircraft Cabin Safety Investigation, Course 00379.

17. SUPPLEMENTS. Supplements to this order must be approved prior to implementation. One copy of each line of business, service area, office, or facility supplement to this order must be sent to the Office of Accident Investigation through the System Operations Litigation office.

18-29. RESERVED.

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

30. OFFICE OF ACCIDENT INVESTIGATION.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

32. AIR TRAFFIC ORGANIZATION.

a. Safety Services, System Operations Services, Flight Services, En Route and Oceanic Services, and Terminal Services. The Air Traffic Organization participates in the investigation of aircraft accidents and incidents when FAA air traffic control or aeronautical communications facilities are involved. Service area directors are responsible for ensuring that incidents in their assigned area that involve only air traffic functions are investigated and reported in a manner that ensures the proper discharge of FAA responsibilities. These same requirements pertain to private, non-Federal facilities. If a facility is operating within the NAS, it must comply with the same rules and regulations as the Federal facility.

b. Technical Operations Services. Technical Operations Services responsibilities and actions following an aircraft accident or incident are to insure 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 accident-related facility documentation.

(1) Technical Operations Aviation System Standards.

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

(b) Technical Operations Aviation System Standards, Flight Inspection Operations Group must:

(1) At the request of the FAA IIC, will conduct flight inspection of facilities after an accident or incident.

(2) Provide flight inspection results to the FAA IIC or Technical Operations aircraft accident representative (AFAAR).

(2) Technical Operations Services. Technical Operations Navigation Services participates in the investigation of aircraft accidents and incidents with respect to the functions of all air navigation facilities, i.e., all air traffic control facilities and systems as defined in Title 49 United States Code.

c. Acquisition and Business Services, Information Technology, Technical Services Program. The Acquisition and Business Services, Information Technology, Technical Services is responsible for collecting, automating, and analyzing operational error, near midair collision, pilot deviation, and vehicle and pedestrian deviation reports.

d. Safety Services, Runway Safety and Operational Services. Runway Safety and Operational Services is responsible for evaluating all surface incident reports and making a determination as to whether or not the incident meets runway incursion criteria. Additionally, Runway Safety and Operational Services tracks and maintains all runway incursion data in the Runway Safety and Operational Services database.

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

a. Regional Flight Standards Division.

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

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

(3) The Flight Standards division manager also must:

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

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

(c) Submit quarterly reports to Acquisition and Business Services, Information Technology, Technical Services on the NMAC and pilot deviation reports received in the preceding quarters, the status of those reports, and the status of reports open at the beginning of the preceding quarter.

b. Flight Standards District Office (FSDO).

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

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

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

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

35. OFFICE OF AIRPORT SAFETY AND STANDARDS. The Office of Airport Safety and Standards participates in aircraft accident and incident investigations when airport functions are involved. The regional Airports division is responsible for the investigation and completion of reports (FAA Form 8020-25, Investigation of Vehicle or Pedestrian Deviation Report) on all vehicle and pedestrian deviations at airports certificated under 14 CFR Part 139. The regional Airports division manager must submit quarterly reports to Acquisition and Business Services, Information Technology, Technical Services on the vehicle and pedestrian deviation reports received in the preceding quarter, the status of those reports, and the status of reports open at the beginning of the preceding quarter.

36. OFFICE OF THE CHIEF COUNSEL. The Office of the Chief Counsel is responsible for all legal services required for FAA functions involved in the investigation of aircraft accidents and incidents and FAA licensed commercial space activities. The legal representative is responsible for all legal services required for FAA functions involved in the investigation of the types of aircraft accidents and incidents in FAA Order 8020.11, paragraph 170.

37. ASSISTANT ADMINISTRATOR FOR SECURITY AND HAZARDOUS MATERIALS. The Assistant Administrator for Security and Hazardous Materials provides specialized technical and investigative assistance for enforcement or referral action for aircraft accidents and incidents and FAA licensed commercial space activities that directly involve hazardous material, atmospheric/ radiological material, etiological contamination, or criminal activity. Examples include hijacking, sabotage, explosive incidents, forged certificates, drug trafficking, false markings, and alien smuggling. Office personnel may also provide assistance in such matters as certification of security clearances, preparation of identification media, handling of classified information, and other matters.

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

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

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

c. Developing design-related corrective actions.

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

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

41-59. RESERVED.

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

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

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

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

c. FAA Form 8020-3, Facility Accident/Incident Notification Record, and FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice, are to be used by air traffic to initiate preliminary notification of aircraft accidents and aircraft incidents, except for emergency evacuations, which require FAA Form 8020-11, Incident Report. Do not use FAA Forms 8020-3 and 8020-9 for air traffic incidents (see paragraph 65 for description of aircraft accidents and aircraft incidents). If requested by the FSDO, FAA Form 8020-11 will also be completed for selected aircraft incidents.

d. FAA Form 8020-11, Incident Report; FAA Form 8020-17, Preliminary Pilot Deviation Report; FAA Form 8020-21, Preliminary Near Midair Collision Report; and FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report, are to be used to report air traffic incidents (see paragraph 110 for description of air traffic incidents and Appendix 1 for copies of the forms).

61. FAA CONTRACT FACILITIES. Unless indicated in the following paragraphs or specifically directed by AAI-100, the FAA IIC, or System Operations Litigation, in complying with this order, FCF's must follow the same procedures as those outlined for FAA air traffic facilities. This includes, but is not limited to, the preparation and retention of a formal or informal aircraft accident file. The FCF must not forward their formal or informal aircraft accident files, other data, documents, information, notes, recordings, and/or re-recordings, etc., concerning an aircraft accident or incident to the FAA, except as provided in the following paragraphs.

> **NOTE**: If the type of facility is preceded by the acronym "FAA," then the guidance being provided is to be applied to FAA facilities only. If the acronym "FAA" is not present, then the guidance being provided is to be applied to all facilities (i.e., FAA and FCF).

Example 1: "…the FAA air traffic facility with jurisdiction over the flight when the accident occurred." This guidance would apply to FAA facilities only.

Example 2: "The air traffic facility first receiving notification of a known accident or a suspected accident must make and record initial notification using FAA Form 8020-3…" This guidance would apply to all air traffic facilities (i.e., FAA and FCF).

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

a. When the reported occurrence is one that requires regional or Washington notification in accordance with paragraph 65 the regional operations officer must set up a telephone conference between the appropriate offices and the notifying party.

b. When telephone notification of an occurrence indicates that the use of a navigational aid may have been involved, the regional operations officer must confer with the FICO and the appropriate Technical Operations Navigation Services service area office. Also, Technical Operations Aviation System Standards must be included whenever notification is received that an FAA aircraft is involved in an accident or incident.

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

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

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

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

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

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

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

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

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

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

64. NATIONAL TRANSPORTATION SAFETY BOARD.

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

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

c. Any NTSB requests and replies must be kept in the air traffic aircraft accident or air traffic incident file.

65. AIR TRAFFIC AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION AND REPORTING. An aircraft accident or aircraft incident encompasses all problems related to the aircraft itself; e.g., accidents, emergency evacuations, and in-flight major component failures. An aircraft accident or aircraft incident differs from an air traffic incident, which includes NMAC's, pilot deviations, vehicle or pedestrian deviations, and other occurrences. Air traffic incidents are discussed in Chapter 8.

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

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

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

(a) The completion of FAA Form 8020-3 (see paragraph 65b) and FAA Form 8020-9 (see paragraph 66) must conclude the initial notification procedures.

(b) If the aircraft accident occurs within the jurisdiction of the United States or while receiving services by an air traffic facility, prepare a formal accident file in accordance with Chapters 4 through 7.

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

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

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

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

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

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

(5) Overdue and missing aircraft when:

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

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

b. <u>How to Report</u>.

(1) The air traffic facility first receiving notification of a known accident or a suspected accident must make and record initial notification using FAA Form 8020-3, which is a list of contacts (see Appendix 1). Managers must ensure that copies of FAA Form 8020-3 with telephone numbers inserted are available. Notification to the nearest National Weather Service (NWS) of known or suspected accidents in which any person suffers death or serious injury or the aircraft received substantial damage is mandatory. Unless otherwise outlined in a letter of agreement between the respective service area and the NWS, notify the nearest NWS office or forecast center. Initial notification is based on preliminary information. FAA Form 8020-3 is not used for air traffic incidents. See Chapter 8 for reporting air traffic incidents.

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

(3) The air traffic facility must complete and transmit FAA Form 8020-9 (see paragraph 66).

c. Air traffic facilities must notify Safety Investigations of all known and suspected accidents within 2 hours of receiving the original accident report involving any of the following:

NOTE: Notification may be accomplished through the Washington Operations Center or Regional Operations Center. Regardless, it is ultimately the responsibility of the air traffic facility to ensure that proper and timely notification to Safety Investigations is accomplished.

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

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

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

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

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

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

(7) Overdue and missing aircraft when:

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

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

66. COMPLETING AND TRANSMITTING 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 compile the required information, complete FAA Form 8020-9, and transmit it. Enter "unknown" for any item unavailable when the message is prepared; e.g., "CODE C unknown."

a. Completing FAA Form 8020-9.

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

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

(3) FAA Form 8020-9 must be updated as new and/or amended information becomes available. Because it is a worksheet, these amendments must be accomplished simply by placing a single line through the erroneous information and entering the new data. Examples of items commonly amended are the aircraft type, aircraft damage, and location and time of occurrence. For transmitting a second message, see paragraph 66c.

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, D.C.

(b) NTSB, Washington, D.C.

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

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

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

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

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

(2) Immediately transmit by facsimile or telephone significant accidents (e.g., involving air carriers, air taxis, commuter, media interest, or prominent persons) to the Regional Operations Center. The message must follow the format of FAA Form 8020-9, Parts 1 and 2, as appropriate. Also transmit using this format when:

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

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

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

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

(5) The facility originating the message, if not the facility responsible for preparing the accident file as determined by paragraph 70, must forward a copy of FAA Form 8020-9 to the responsible facility. If the responsible facility cannot be determined, the service area must make the determination, notify the responsible facility, and furnish essential information.

(6) When a facility transmits the information from FAA Form 8020-9 for the originating facility, the originating facility must be provided a copy of the transmittal. When a facility is the transmitting facility only, the transmitting facility must retain the transmittal for 45 days.

(7) When transmitting information from FAA Form 8020-9 via NADIN, the manager's name and title of the air traffic facility responsible for compiling the required information (as determined by paragraph 70) must be included in the format.

(8) When no air traffic formal or informal file is required, the originating facility must retain FAA Form 8020-9 and/or FAA Form 8020-3 for 45 days.

c. Transmitting a Second Message.

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

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

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

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

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

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

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

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

c. Aircraft type, model, and serial number.

d. Unit to which the aircraft was assigned.

e. Point of departure.

f. Type of air traffic clearance.

g. Destination.

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

i. Security classification of accident, if applicable.

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

k. Description of accident.

l. Identity of FAA functions involved.

m. If FAA participation is requested by the military.

n. If other investigations will be conducted.

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

68–69. RESERVED.

CHAPTER 4. AIR TRAFFIC AIRCRAFT ACCIDENT AND INCIDENT DATA COLLECTION

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

a. The field facility that meets the following criteria will be responsible for the final air traffic file:

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

(2) Aircraft on IFR flight plans under the control of a military-staffed facility: the ARTCC in whose area the accident occurred. The ARTCC will cooperate with the military by furnishing the required information to the assigned investigator through the air traffic representative (ATREP). The ARTCC must obtain permission to release documents from the System Operations Litigation through the appropriate service area.

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

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

(5) Other Aircraft: the FAA air traffic facility having radar services responsibility for the area in which the accident occurred (at time of occurrence).

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

(6) Aircraft that have not communicated with an FAA facility, but have communicated exclusively with an FCF: the last FCF having communication with the aircraft and the FAA air traffic facility having radar services responsibility for the area in which the accident occurred.

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

(a) The last FAA facility having communication with the aircraft will conduct the final collection of all accident information involving FAA facilities. Except as noted in paragraph 71c, no information from an FCF will be included in the file.

(b) The last FCF having communication with the aircraft will conduct the final collection of all accident information involving FCF's of the same vendor. If more than one vendor is involved, then the last FCF having communication with the aircraft for each vendor will conduct a final collection. No information from an FAA facility will be included.

b. Air traffic does not need to establish a file for agricultural, ultralight, balloon, and/or industrial accidents unless requested by AAI-100, FAA IIC, System Operations Litigation, or the service area.

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

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

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

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

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

(a) If it is determined not to prepare a formal accident file/package, the service area may request the facility(ies) to prepare an informal accident file in accordance with paragraph 84.

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

(4) For any suspected aircraft accidents when wreckage and/or other debris is not immediately located but when there is reason to believe that an accident may have occurred and the accident meets any of the requirements of paragraph 71a.

(5) When requested by the FAA IIC, System Operations Litigation, or the service area.

b. Obtain documentation as follows:

(1) After the preliminary notification (see the latest edition of FAA Order 7210.3), appropriate facilities along the flight route must be requested to provide pertinent documentation (see paragraph 71b(7)).

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

(2) Upon receipt of such a request, air traffic facilities must promptly advise the requesting facility if pertinent documentation is available and the date it will be forwarded. Negative replies must be forwarded within 4 hours. Normal service statements (see paragraph 81), certified index, and FAA Form 8020-6-1, must be forwarded within 4 administrative days.

(3) Responding facilities must impound all pertinent original documents and voice recordings, including both interphone and radio communications, and all available computer data. Unless otherwise advised by System Operations Litigation, retention must be in accordance with Chapter 7.

(4) Facilities must compare the accuracy of the automated radar terminal system (ARTS) clock with its time source and also compare the voice recorder equipment clock with the ARTS clock. The results of these findings must be noted on FAA Form 7230-4, Daily Record of Facility Operation. Facilities utilizing both digital voice recorder systems (DVRS) and Standard Terminal Automation Replacement System (STARS) do not need to make a comparison, instead, an entry of “DVRS/STARS Facility” must be made on FAA Form 7230-4 along with accident entry.

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

(6) Responding facilities must furnish the requesting facility with one copy of pertinent records, certified indexes, and/or normal service statements.

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

c. The formal accident file must contain the accident package, original voice recording (see paragraph 100b), at least one certified voice re-recording, FAA Form 8020-9, FAA Forms 8020-24 and 8020-25 (if applicable), and all other pertinent documents and material gathered or created as part of, or subsequent to, the initial investigation unless specifically excluded by FAA Order 8020.16 or in writing by System Operations Litigation. Also, include a copy of transcripts (full or partial, as appropriate) and certified voice re-recordings prepared by all involved FCF's in the FAA air traffic formal accident file, not package. No other FCF documents will be retained in the FAA air traffic formal accident file without the permission of AAI-100 or System Operations Litigation. This does not exclude the verbal exchange of information or other assistance necessary to complete required forms, etc.

d. The formal accident file must be labeled as described in paragraph 101a.

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 area and retain all documentation as described in the latest edition of FAA Order 1350.15 or 45 days, whichever is longer.

72. DATA COLLECTION AND CERTIFICATION BY SELECTED FACILITIES.

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

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

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

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

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

(c) Certify one printout as the original and one printout as the copy. The FSDPS and/or AWP facility must forward them to the requesting AFSS or FSDPS facility.

NOTE: After coordination between the requesting facility and the preparing facility, the FSDPS and/or AWP facility, as an alternative, may make the certified copy from the certified original and reduce to 8 ½" x 11" when being copied (OASIS EVR's are printed originally on 8 ½" x 11" paper), or may retain the certified copy electronically.

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

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

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

b. When requested by the FAA IIC, AAI-100, System Operations Litigation, Safety Investigations, the service area, or the air traffic facility responsible for final data collection (see paragraph 70), any air traffic facility having any pertinent documentation (i.e., radar data, etc.,) in support of an aircraft accident or incident investigation will retain this documentation in accordance with Chapter 7. This only applies to air traffic facilities, which provided no direct or indirect air traffic services to the aircraft in question. Although the air traffic facility will maintain an air traffic formal or informal file, other documentation as outlined in paragraphs 82 and 84 will not be required.

c. Computer Data Certification.

(1) A certification statement is signed by the manager of the air traffic or AWP facility, or the acting manager:

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

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

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

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

(3) All requests to the system maintenance organization manager for data will be through the air traffic facility manager or designee.

(4) The following statement is signed by the manager or acting manager of the en route facility when recorded en route host computer data is transferred to a diskette or computer diskette – recordable (CD-R):

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

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

(1) When it has been determined by the FAA IIC, System Operations Litigation, Safety Investigations, or the service area that the ATCSCC may have information pertinent to an accident or incident, the ATCSCC will be requested to retain data, documentation, and/or voice re-recordings in accordance with this order and local directives.

(2) The ATCSCC must provide data, documentation, and/or voice re-recordings as outlined in this order.

73–79. RESERVED.

CHAPTER 5. FORMAL AND INFORMAL AIR TRAFFIC AIRCRAFT ACCIDENT FILES

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

a. Air traffic formal accident files and packages, and informal accident files must be numbered with the facility accident number beginning with the (4-digit) number 0001 and continuing in numerical sequence without regard to year. The number must be preceded by the 3-character facility identifier and the facility type identifier (e.g., ARTCC, TRACON, ATCT, AFSS, FCF/ATCT, FCF/AFSS). Examples: "ZTL-ARTCC-0095," "D10-TRACON-0004," "HNL-ATCT-0013," "SAT-AFSS-0044," “OLM-FCF/ATCT-0001,” and “HUF-FCF/AFSS-0022.” Do not use a separate numbering system for formal accident files/packages and informal accident files.

NOTE: This requirement is not retroactive prior to the effective date of this order.

b. FAA facilities retaining information in an FAA air traffic informal or formal accident file must use the same accident number being used by the facility preparing the informal or formal accident file (as determined in paragraph 70).

c. FCF’s retaining information in an air traffic informal or formal accident file must use the same accident number being used by the FCF preparing the informal or formal accident file (as determined in paragraph 70).

d. When both FAA and FCF’s have created an air traffic informal or formal accident file, two separate accident file numbers must be used, an FAA facility number and an FCF number.

e. When more than one FCF vendor has created an air traffic informal or formal accident file, each vendor will utilize an accident file number for the vendor’s FCF preparing the informal or formal accident file.

81. FACILITIES PROVIDING NORMAL OR ROUTINE SERVICES.

a. Facilities that provided normal services to the subject aircraft and did not either have control over the aircraft just prior to or at the time of the accident and/or have pertinent transmissions may, after coordination with the facility responsible for preparing the air traffic accident file (see paragraph 70), submit a normal service statement.

b. Those facilities providing normal services must provide a statement certified by the facility manager or acting manager that:

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

NOTE: Forward the original document and retain a copy.

c. A certified index listing each document being held by the facility to support a normal service statement must also be included on a separate sheet (see paragraph 92 and Appendix 2).

d. Those facilities providing normal services must provide FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet), as described in paragraph 90b(11).

e. Facilities providing normal service statements are required to retain all pertinent documentation (see paragraph 71b(7)).

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

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

b. Copies.

(1) FAA facilities providing hard copy documents to the preparing facility must submit one copy and retain the original. The copy must be forwarded to the facility preparing the formal accident file/package within 10 calendar days. Copies must not have original signatures (exception: facilities providing normal service statements) (see paragraph 81b NOTE)). The facility preparing the accident package must assemble five packages; i.e., the original and four copies.

(2) FCF's must prepare one copy and retain the original. The copy must be forwarded as described in paragraph 82d(2). The copy must not have an original signature.

(3) Unless requested by AAI-100, System Operations Litigation, or a competent authority, all classified or security sensitive information and/or documentation; and information protected under the Privacy Act (i.e., home, cellular, and pager telephone numbers of FAA, airport, military, and emergency personnel/offices, etc.), normally made a part of the (formal or informal) air traffic aircraft accident file, including but not limited to the air traffic aircraft accident package, must be redacted or blacked out from all copies. Only the original air traffic accident file and/or package at the originating air traffic facility will retain the original information and/or documentation.

> **NOTE**: Do not "white out" so it appears as the information was never present. It must be obvious to the reader the document has been altered.

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

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

(2) Section 2. Certification. The certification memorandums must be placed in Section 2 (see paragraph 83).

(3) Section 3.

(a) FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) (see paragraph 90). Each facility having provided air traffic services or having communication with the subject aircraft must submit FAA Form 8020-6-1. These forms must be placed in Section 3.

(b) FAA facilities preparing an accident package as a result of paragraph 70a(6) will also prepare FAA Form 8020-6-1 in accordance with paragraph 90b(11). However, the facility will insert the following statement into the chronological summary of flight: "The (3-character facility identifier and the facility type identifier) did not have communications or other contact with the aircraft and is preparing this document in accordance with FAA Order 8020.16, paragraph 70(a)(6)."

(4) Section 4. Normal Service Statement(s) and Certified Indexes (see paragraph 81c and paragraph 92). The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier.

(5) Section 5. FAA Form 7230-4, Daily Record of Facility Operation (see paragraph 71b(4)).

(6) Section 6. Personnel Logs. If the facility has more than one area of specialization, then include all personnel logs of every area of specialization having contact (see paragraph 93a NOTE) with the subject aircraft.

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

(a) Terminal and AFSS/FSS Facilities. Include all positions regardless if staffed or not.

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

(8) Section 8. Facility Layout Chart (make sure the name of the facility being depicted is indicated on the chart).

(9) Section 9. Airport Diagram. For all aircraft accidents on or within one mile of the airport property, provide an airport diagram. The airport diagram must include the name of the airport and, if the diagram is not to scale, include the statement "this diagram not to scale" on the diagram.

(10) Section 10. Flight Progress Strips: Make sure the name of the facility for which the flight progress strips are being provided is indicated.

(11) Section 11. Transcriptions of Voice Recordings (see paragraph 94).

(12) Section 12. FAA Form 8020-3, Facility Accident/Incident Notification Record, (see paragraph 65).

(13) Section 13. Personnel Statements (see paragraph 91).

(14) Section 14. Weather Products: Weather that was pertinent and available to the controller (regardless if issued to the flightcrew) and the source of the weather. This includes but is not limited to PIREP's, SIGMET's, AIRMET's, and weather-related NOTAM's.

(a) DAWN, AIS, Model 1 AWP, or OASIS EVR, or copies of weather observation forms must be individually certified by the facility responsible for initiating the record. The air traffic certification must read:

"I certify that this is a true copy of the original which was available to the controller."

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

"I certify that this is a true copy of the original which has been forwarded to the National Weather Service Records Center."

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

(15) Section 15. Nonpublished applicable NOTAM's.

(16) Section 16. FAA Form 7233-2, Preflight Briefing Log, or automated equivalent.

(17) Section 17. FAA Form 7233-1, Flight Plan, or automated equivalent.

(18) Section 18. Other. Include any other materials deemed pertinent.

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

(b) After the service area and System Operations Litigation office has reviewed and release 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) Facilities that prepare a formal accident package as a result of an accident involving military aircraft must distribute the package in accordance with paragraphs 82d(1) and 82d(2).

(d) Should corrections to the 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) The FCF preparing the accident package must retain the package with original documentation in the facility files. Distribute the copy of the package as follows:

(a) To the appropriate service area. After review for compliance with applicable FAA orders and directives, the service area 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 service area 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(2)(a) and 82d(2)(b). A memorandum from the FCF manager or acting manager must accompany any change(s) with a complete explanation of the change.

83. CERTIFICATION OF THE AIR TRAFFIC AIRCRAFT ACCIDENT PACKAGE.

a. Certification by air traffic facility. An Information Memorandum addressed to the service area 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.”

b. Certification by service area. An Information Memorandum addressed to the Manager, System Operations Litigation, from the service area director or the service area director’s designee, must be prepared. This memorandum will certify that the service area director or the service area director’s designee is attesting to the completeness and accuracy of the entire Air Traffic Aircraft Accident Package. The memorandum will provide the following certification:

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

c. 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).

84. CONTENT OF INFORMAL ACCIDENT FILE.

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

(1) FAA Form 8020-3 (see paragraph 65).

(2) FAA Form 8020-9 (see paragraph 66).

(3) FAA Forms 8020-6 and 8020-6-1 (see paragraph 90).

(4) FAA Form 8020-11 (as appropriate) (see paragraph 115).

(5) FAA Forms 8020-24 (see paragraph 116) and 8020-25.

(6) Each personnel statement (see paragraph 91).

(7) Two certified cassette re-recordings; one will be marked “Original” (to replace the original) (see paragraph 93).

(8) Include a copy of all transcripts and certified voice re-recordings prepared by all involved FCF’s in the FAA air traffic informal accident file. No other FCF documents are to be retained in the FAA air traffic informal accident file without the permission of AAI-100 or System Operations Litigation.

(9) Other pertinent items.

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

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

85–89. RESERVED.

CHAPTER 6. PREPARATION OF FORMS, PERSONNEL STATEMENTS, CERTIFIED INDEXES, VOICE RERECORDINGS, AND TRANSCRIPTS

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

a. General.

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

(2) The report must be typewritten in clear language. Any drafts must be destroyed at the time the typewritten FAA Form 8020-6 is signed.

b. Form Instructions.

(1) Report Number. Reports must be numbered as described in paragraph 80.

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

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

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

(5) Item 6. Flightcrew. Enter the name of each flight crewmember, his or her position (examples: pilot, flight engineer, flight attendant), address (City and State only), and extent of injury (uninjured, injured, fatality). Give extent of injuries as known at time of report preparation. If unknown, contact the FAA IIC for assistance or information.

(6) Item 7. Passenger Data. Include number aboard aircraft, number uninjured, numbered injured, and number fatalities. If unknown, contact the FAA IIC for assistance or information. Do not include passenger names, addresses, and/or extent of injuries, or flightcrew information (see Item 6).

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

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

(9) Item 12. Air Traffic Personnel Involved.

(a) List the full names of personnel involved (described in paragraph 91a). Personnel at facilities providing normal service statements are not listed in this section.

(b) 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 (see Appendix 1).

(c) The operating initials for each controller must be typed to the right of their name and enclosed in parenthesis (see Appendix 2).

(10) Item 13. Signature of Facility Manager. The air traffic manager or the acting air traffic manager must sign this block. Type the air traffic manager or the acting air traffic manager's name in this item.

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

91. FAA FORM 8020-26, PERSONNEL STATEMENTS.

a. Facilities preparing personnel statements must:

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

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

(b) Witnessed any portion of the flight operation.

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

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

> **NOTE**: For the purposes of this paragraph or other associated references, the person identified above and completing FAA Form 8020-26, Personnel Statements, items six and eleven, will be referred to as the "witness."

b. General.

(1) FAA Form 8020-26 is prepared and used to provide information concerning the circumstances surrounding this accident/incident that cannot be retrieved via some type of recorded data source. However, other 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 or knowledge that will provide a complete understanding of the circumstances surrounding this accident/incident. Speculations, hearsay, opinions, conclusions, and/or other extraneous data are not to be included in the personnel statement. Personnel statements may be released to the public through FOIA or litigation activities including pretrial discovery, depositions, and actual court testimony.

(2) Ensure that the statement includes operational equipment configuration; i.e., radar channel, moving target indicator, circular polarization, video map, offset or indicator, runway or approach lights, etc., (collect for aircraft accidents only). If a facility has a diagram of the radar display, setting of radar channel, etc., this diagram may be attached to the personnel statement in lieu of a hand printed description. Statements that do not contain equipment criteria must have a single sentence stating such. This will allow for the reader to understand that the omission was not an oversight.

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

(3) The text of the personal statement (item 11) is to be hand printed neatly, in ink, and signed by the witness. The signature of the witness certifies the accuracy of the statement. The personnel statement will neither be edited nor typed and, once signed, will constitute the accuracy of the statement.

c. Prior to statement preparation, personnel (i.e., witnesses) must:

(1) Have the opportunity to review voice recordings and other pertinent 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 aircraft accident or incident. Opinions, conclusions, or other extraneous data must not be included.

d. Form Instructions.

(1) Item 1. Name of Reporting Facility.

(2) Item 2. Report Number. Reports must be numbered as described in appropriate paragraphs for the type of accident or incident.

(3) Item 3. Aircraft Identification and Type.

(4) Item 4. Location of Accident/Incident.

(5) Item 5. Date/Time of Accident/Incident (UTC).

(6) Item 6. Equipment Attachment. If an equipment diagram is provided and attached (see paragraph 91b(2)), check the “YES” box. If a diagram is not provided and attached to the personnel statement but, instead, included in the body of the text, check the “NO” box. This item is to be completed by the witness only.

(7) Item 7. Name. Witness’ full name (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 (i.e., SATCS, ATCS, etc.)

(9) Item 9. Position and Time (UTC). The name of the operational position being worked at the time of the accident or incident and the times logged on and off (must match FAA Form 7230-10 or automated equilivent).

NOTE: The facility may elect to have items 1 through 5 and 7 through 9 completed prior to providing FAA Form 8020-26 to the witness for completion. If the facility elects to complete these items in advance, it is mandatory that these items be reviewed with the witness prior to the form being signed.

(10) Item 11. Text of Statement. Indicate if the personnel statement is the original or a supplemental statement (see paragraph 91g). Provide any facts of knowledge that will provide a complete understanding of the circumstances surrounding the accident/ incident. Speculations, hearsay, opinions, conclusions, and/or other extraneous data are not to be included in the personnel statement. This statement is to be hand printed. Included within the text of the personnel statement must be the equipment configuration described in paragraph 91b(2).

(11) Item 12. Signature of Witness. Once signed, the signature will certify the accuracy of the statement.

(12) Item 13. Date of Signature. The date that the original or supplemental statement was actually signed.

e. Forward a copy of the statement to the facility preparing the accident package.

f. Facilities forwarding normal service statements do not need to provide personnel statements to the requesting facility. However, the facility providing the normal service statement must retain all personnel statements in an accident file along with all the other supporting documentation.

g. While preparing the personnel statement, if it becomes necessary to make a correction (due to a misspelled word or other editorial change), the witness 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. Editorial changes made after the personnel statement has been signed must be treated as described above. However, any substantial changes or changes that may alter the meaning and/or context 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 item 11.

92. CERTIFIED INDEX. Each facility must prepare a certified index listing each document being held by the facility (see Appendix 2). The certified index must list each item that is retained in its original form in the accident file (or package) regardless if the document is individually certified or not. This must include, however not be limited to, personnel statements, computer data, voice recordings, and voice re-recordings being retained as a result of the accident. The certified index must be signed by the facility manager or acting manager using the following format:

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

93. RE-RECORDING OF VOICE RECORDINGS. All references to voice recorders (in this paragraph and/or other appropriate paragraphs) must refer to both analog voice recorders and digital voice recorders.

a. To protect original voice recordings from wear and possible damage, arrangements must be made to re-record all pertinent recordings as soon as possible after an accident. This re-recording must include all communications pertinent to the accident and the time track, when available, from a period of 5 minutes before the initial contact to 5 minutes after the last contact.

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

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

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

(2) Only two certified re-recordings of the original recording should be made. Any additional re-recordings should be made from a certified copy of the original. A memorandum must accompany any additional re-recordings and at a minimum state the date this re-recording was made and identify for whom it was made. The memorandum must be prepared in accordance with paragraphs 94d(1)(a) through 94d(1)(e) and refer to "Recordings" instead of "Transcripts." A copy of this memorandum must be placed in the accident file.

(3) When voice recordings for time periods in excess of that described in paragraph 93a are released via a FOIA request, the facility must also retain a copy and document to whom it was released and by what authority.

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

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

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

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

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

e. Conclude the re-recording with:

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

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

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

h. When a DAT-to-DAT transfer is requested the following statement, signed by the manager or acting manager of the air traffic facility, will accompany the DAT.

"Please note that the target DAT, during a DAT-to-DAT transfer, may contain an excessive amount of data (voice), well beyond that and in addition to the information requested from the source DAT. Therefore, the target DAT may not be a true representation of the original, we make no representations regarding the completeness of the data or the exactness of the data contained therein."

> **NOTE:** If a FOIA or NTSB request for a copy of a DAT is received, we suggest you contact the requestor and explain that System Operations Litigation has placed a moratorium on DAT-to-DAT transfers, however, you would be happy to make a certified cassette re-recording (you will have to charge the FOIA requestor the "cassette re-recording" prices). If the requestor insists on a copy of the DAT, we will have to provide a copy.

i. The air traffic facility may elect to produce a wave file (i.e., *.*wav*) in lieu of a cassette re-recording. To ensure audio quality is sufficient to fulfill the requirements of this order sampling rates must not be lower than 44.1 kHz and resolution must not be lower 16-bits. The electronic file must include two channels (time in IRIG-B format on the right channel and voice on the left channel). The facility must follow the same procedures outlined throughout this paragraph, except the storage media must be a CD-R or other commonly used storage media. The certification statements and other required verbal statements remain the same and must be a part of the wave file. Other digital methods of re-recordings are not permitted. All the CD-R's or other storage media on which the re-recordings are made must be marked clearly with the aircraft accident number, aircraft identification, the UTC date of the occurrence, facility name, and position(s) with the UTC times encompassing each re-recording. All wave files must be checked to ensure adequate quality of the voice and time channel recordings.

94. TRANSCRIPTION OF VOICE RECORDINGS.

a. Typewritten transcriptions must be prepared for all formal accident packages or when requested by the FAA IIC, System Operations Litigation, Safety Investigations, or the service area, and must contain all recorded communications concerning the subject aircraft for a period of 5 minutes before initial contact until 5 minutes after the last contact (i.e., partial transcripts) (see paragraph 93a NOTE). When specifically requested by AAI-100, System Operations Litigation, Safety Investigations, or the service area, a complete typewritten transcription (i.e., all communications recorded at the specific position regardless of source) must be prepared for the above time period. The transcription must consist of all voice and/or interphone transmissions during the defined time period (i.e., full transcripts). Each operational position (i.e., ground control, local control, radar, radar associate, etc.) must be transcribed separately. Do not integrate different operational positions into the transcription unless requested by AAI-100, System Operations Litigation, or the service area. The transcript must reflect all communications as described and prepared in paragraph 93.

b. Those facilities providing normal service statements (see paragraph 81) do not need to provide a transcript unless requested by the FAA IIC, System Operations Litigation, Safety Investigations, or the service area, or when notified that litigation is pending.

c. When informed that litigation is pending on a particular accident, and upon being instructed by System Operations Litigation or the service area, a complete typewritten full transcription must be prepared and contain all recorded communications for a period of 5 minutes before initial contact until 5 minutes after the last contact with the subject aircraft (see paragraph 93a NOTE). The transcript must reflect all communications as described and prepared in paragraph 93. The full transcription must consist of all voice or interphone transmissions during the defined time period. Each operational position (i.e., ground control, local control, radar, radar associate, etc.) must be transcribed separately. Do not integrate different operational positions into the transcription unless requested by System Operations Litigation. Full transcriptions must be made from a copy of the voice recording, not the original recording, to protect the original from wear and damage. The original recording may be used to check the transcription.

d. The transcription will be prepared as follows:

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

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

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

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

(d) For "Prepared by," either remove or leave blank.

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

(f) 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)."

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

(h) Certification by the person making the transcription (not the air traffic manager or acting manager unless he or she prepared the transcription) is as follows:

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

Signature

Name

Title

Name of Facility

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

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

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

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

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

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

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

"This portion of the re-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 the transcript accurately reflect the voice recording(s). If necessary, and only after obtaining permission from AAI-100 or System Operations Litigation, the language may be redacted (see paragraph 82b(3) NOTE) from copies, but not originals.

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

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

95–99. RESERVED.

CHAPTER 7. RETENTION OF FORMAL AND INFORMAL AIR TRAFFIC AIRCRAFT ACCIDENT FILES, AND AIR TRAFFIC INCIDENT FILES

100 RETENTION OF VOICE RECORDINGS.

a. Voice recordings must be retained as follows:

(1) For an aircraft accident:

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

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

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

(3) For all suspected aircraft accidents or incidents later determined to be a nonoccurrence, the original voice recordings must be re-recorded on a cassette as outlined in paragraph 93. These cassette re-recordings must be retained for 45 days from the date of the aircraft accident or incident.

b. Original voice recordings must be retained for all aircraft accidents or incidents in which a formal accident file/package is required, or upon the request of AAI-100, the FAA IIC, System Operations Litigation, or Safety Investigations.

c. Unless a formal accident file/package is required (see paragraph 71a), original voice recordings must be re-recorded on a cassette and certified as the original re-recording. The original voice tape must be returned to service except as follows:

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

(2) Original recordings held at the direction of System Operations Litigation or Safety Investigations for the NTSB must be held until a written release is obtained.

(3) Use the recording procedure specified in paragraph 93. Use the following procedures before placing the original tape back in service:

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

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

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

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

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

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

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

c. Informal Accident Files Containing Originals or Copies. Handle as in paragraph 101a except that the date the file will be destroyed must be 2½ years after the accident date.

d. Computer Data.

(1) For aircraft accidents or incidents. Pertinent computer data such as data analysis and reduction tool (DART), CDR, and National Track Analysis Program (NTAP) must be extracted onto an electronic storage medium (i.e., diskette, CD-R, zip diskette, etc.,). After extraction onto the electronic storage medium, the diskette, CD-R, or zip diskette, etc., must be checked to ensure the completeness and accuracy of the transferred data. The electronic storage medium must be retained in the Air Traffic Accident File and clearly marked as in paragraph 101a. The data must be part of the accident file, not the accident package. The computer tape, disks, or disk packs, etc., must be returned to service after 45 calendar days except when holds are placed on it by System Operations Litigation, Safety Investigations, the service area, or due to FOIA requests. In these cases, the tape must be held and clearly marked with "Hold," the reason (FOIA, etc.), the aircraft registration or flight number, and the accident UTC date. The air traffic facility must insist instructions for release of a tape being held must be in writing. When a tape is being held for FOIA requests, obtain a release from System Operations Litigation after the FOIA hold has expired. This is to ensure that the Office of the Chief Counsel, Litigation Division, is aware of FOIA activity.

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

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

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

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

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

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

102. RETENTION AND DISPOSAL, CONTENTS, AND LABELING OF AIR TRAFFIC INCIDENT RECORDS.

a. The facility must retain the air traffic incident records and files for 2½ years, as described in the latest edition of FAA Order 1350.15, unless System Operations Litigation, Safety Investigations, or the service area requests otherwise.

b. The files must contain the original forms, the original air traffic employee personnel statements and other supporting documents, a certified cassette re-recording, a second certified re-recording to replace the original (marked "Original"), and other original data from which information was provided to the investigating authority.

c. Affix a gummed label (maximum size 3" x 5") to the file. The label must be clearly marked (type of air traffic incident) with the report number, the reporting aircraft registration or flight number, aircraft type, incident UTC date and UTC time, and the UTC date the file is to be destroyed.

103–109. RESERVED.

CHAPTER 8. AIR TRAFFIC INCIDENTS

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

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

(1) NMAC's.

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

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

(4) Pilot deviations.

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

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

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

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

(1) FAA Form 8020-21 for NMAC's, HATR's, and OHR's (see paragraphs 111 to 113).

(2) FAA Form 8020-17 for pilot deviations including reckless flying incidents observed by air traffic (see paragraph 114). For reckless flying incidents not observed by air traffic but reported to air traffic, refer the reporter to the appropriate FSDO.

(3) FAA Form 8020-11 for emergency evacuations observed by air traffic, selected parachute-jumping incidents, maneuvers by pilots due to an emergency and/or TCAS RA that result in the loss of separation, and other incidents which adversely affect the capabilities of air traffic facilities to provide services (see paragraphs 115, 117, and 118). Do not use FAA Form 8020-11 to report vehicle or pedestrian deviations.

NOTE: TCAS RA occurrences that do not result in the loss of separation are not reportable incidents unless FSDO, System Operations Litigation, Safety Investigations, or the service area determines the incident is of such significance that it should be reported on FAA Form 8020-11.

(4) FAA Form 8020-24 is to be used to report vehicle or pedestrian deviations, including those that result in an accident (see paragraph 116).

(5) Other incidents including forcible seizure of aircraft (hijack), hazardous materials, sonic boom complaints, complaints of noise or damage allegedly caused by civil aircraft, and unidentified flying objects are handled as described in paragraph 119.

c. Methods of Data Collection and Disposal. The methods of data collection for air traffic incidents parallel that for accidents. Information is given on data collection (Chapter 4) and certification (Appendix 3), personnel statements (paragraph 91), re-recording, transcription, and retention of voice recordings (paragraphs 93, 94, and 100).

111. NEAR MIDAIR COLLISIONS (NMAC).

a. When a pilot or flight crewmember announces the intent to file a NMAC report, obtain the following information that is requested on FAA Form 8020-21, Page one. Complete FAA Form 8020-21; Page one (see Appendix 1) via the air traffic quality assurance (ATQA) web application.

NOTE: Item 10. Brief description of NMAC and comments. This description must include, however not be limited to, pertinent actions of the pilot(s) involved and air traffic control, and pilot's or flight crewmember's comments and/or concerns as reported.

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

(1) ATCT.

(2) AFSS or FSS.

(3) ARTCC.

(4) FSDO.

c. Make every effort to locate and identify the other aircraft. If the identity of the other aircraft is determined, obtain the same data as from the reporting flightcrew if the flightcrew is on the frequency being used. If the traffic load does not permit this, receive information over an alternate frequency. If the aircraft is not on the frequency, arrange to have the pilot call the air traffic facility or for an FAA representative to meet the pilot, using the guidelines in paragraph 111b.

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

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

(2) The second and third characters are the abbreviation of the FAA region (not the service area) in which the deviation occurred.

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

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

C	-	ARTCC	R	-	TRACON
Z	-	FASO or Other	F	-	AFSS or FSS
T	-	ATCT			

(4) The fifth through seventh characters are the facility location identifier (e.g., ZNY) or the FSDO identification (e.g., 025). For combined TRACON and ATCT operations, use the appropriate location identifier; e.g., the O'Hare TRACON would use "C90" and the O'Hare ATCT would use "ORD." See the latest edition of FAA Order 7350.7, Location Identifiers.

(5) The eighth and ninth characters are the calendar year in which the NMAC occurred; e.g., 05 for 2005.

(6) The last three characters are the sequential NMAC number for the year by reporting facility; e.g., NMAC's would be numbered 001 to 999 in 2005 at a given facility.

e. Transmit or arrange to be transmitted information from paragraph 111a along with the incident report number in numerical order within three hours of the NMAC notification by:

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

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

(a) Director, Safety Investigations.

(b) Director, Safety Evaluations.

(c) The service area director.

(d) The responsible air traffic facility, if appropriate.

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

f. Immediately notify Safety Investigations, the service area, and the Washington Operations Center through the Regional Operations Center by telephone when any of the following NMAC's occurs:

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

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

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

(4) Actual or potential press coverage.

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

g. The facility providing air traffic services, regardless of airspace, to the reporting aircraft at the time of the occurrence must:

(1) Remove the tapes and make a certified cassette re-recording and a certified re-recording to replace the original marked "Original" (see paragraph 100c) of all voice transmissions pertaining to the NMAC from 5 minutes before to 5 minutes after the occurrence.

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

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

(3) Obtain, when possible, an NTAP or a data reduction plot for 5 minutes before until 5 minute after the NMAC.

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

(1) The service area director.

(2) Regional Flight Standards division.

(3) FSDO responsible for the investigation.

i. If a facility learns of an NMAC report when the tapes may no longer be available, conduct an investigation based on the data available.

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

k. Complete FAA Form 8020-19 via the ATQA web application to correct a NMAC report number (see Appendix 1). Keep the original of FAA Form 8020-19 and distribute copies as soon as possible by mail to all recipients of the corresponding FAA Form 8020-21 (see paragraph 111h).

l. The air traffic facility must retain the original FAA Form 8020-21, and related information in the facility's files in accordance with paragraph 102, except that the package must be labeled "NEAR MIDAIR COLLISION REPORT."

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

a. Program and Reportable Events.

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

(2) Reports cover events that occur during aircraft operations. Reportable events include those which, in the observer's opinion, create a potential for injury to personnel or damage to aircraft resulting from air traffic control services or procedures, landing systems, rules of the air (IFR and VFR operations), and airspace management; i.e., hazards associated with the use of military operations areas, military training routes, or local terminal airspace.

b. Receipt of HATR and Designation of Investigating Facility. The USAF files HATR's as appropriate. Notification will be as follows:

(1) The USAF unit flying safety office must notify FAA by transmitting the HATR to the appropriate service area if a civil aircraft or FAA services are involved.

(2) The service area must:

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

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

(c) Coordinate the designation of the investigating FAA air traffic facility with the Major Command (MAJCOM) having jurisdiction of the USAF facility if both USAF and FAA facilities are involved. An information copy of the HATR will be sent to Headquarters, AFFSA/XA, 1535 Command Drive, Suite D-309, Andrews AFB, Maryland 20762-7002; (240) 857-2175. If unable to determine which MAJCOM to contact, contact HQ AFCC for assistance.

(d) Forward the HATR to the appropriate FAA air traffic facility.

c. Air Traffic Facility Action.

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

(2) Upon receipt of the HATR:

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

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

(1) Director, Safety Investigations.

(2) The service area director.

(3) Regional Flight Standards division.

(4) Appropriate Flight Standards District Office.

(5) Air Force Inspection and Safety Center (AFISC)/SEFA, Kirtland AFB, New Mexico 87117-5671 (without attachments).

(6) HQ AFFSA/XA, 1535 Command Drive, Suite D-309, Andrews AFB, Maryland 20762-7002; (240) 857-2175 (without attachments).

(7) Appropriate FAA regional Air Force representative (without attachments).

(8) Originating USAF unit flying safety office (without attachments).

(9) Appropriate MAJCOM's of facility or aircraft involved.

(3) An FAA air traffic facility receiving a hard copy HATR of an NMAC directly from the USAF must complete FAA Form 8020-21 via the ATQA web application, attach a hard copy to the HATR, and mail copies to all the addresses in paragraph 112c(2)(b) within 10 calendar days of the facility's receipt of the HATR.

(4) The FAA air traffic facility must retain the original HATR, FAA Form 8020-21, and related information in the facility's files in accordance with paragraph 102, except that the package must be labeled "NEAR MIDAIR COLLISION REPORT (HATR)."

113. U.S. ARMY OPERATIONAL HAZARD REPORTS (OHR).

a. The Program and Reportable Events.

(1) The OHR program is the Army system to collect information on NMAC's and other hazardous air traffic situations. This program complements but does not replace similar reporting programs sponsored by NASA and FAA.

(2) Reports cover events that occur during aircraft operations. Reportable events include those which, in the observer's opinion, create a potential for injury to personnel or damage to aircraft resulting from air traffic control services or procedures, landing systems, rules of the air (IFR and VFR operations), and airspace management; i.e., hazards associated with the use of military operations areas, military training routes, or local terminal airspace.

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

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

(2) The service area must:

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

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

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

(d) Forward the OHR to the appropriate FAA air traffic facility.

c. Air Traffic Facility Action.

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

(2) Upon receipt of the OHR:

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

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

(1) Director, Safety Investigations.

(2) The service area director.

(3) Regional Flight Standards division.

(4) Appropriate Flight Standards District Office.

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

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

(3) An FAA air traffic facility receiving a hard copy OHR of an NMAC directly from the Army must complete FAA Form 8020-21 via the ATQA web application, attach a hard copy to the OHR, and mail it to all the addressees in paragraph 113c(2)(b) within 10 calendar days of the facility's receipt of the OHR.

(4) The FAA air traffic facility must retain the original OHR, FAA Form 8020-21, and related information in the facility's files in accordance with paragraph 102, except that the package must be labeled "NEAR MIDAIR COLLISION REPORT (OHR)."

114. PILOT DEVIATIONS. When it appears that the actions of a pilot constitute a pilot deviation, which includes selected ARTCC electronically detected deviations (see paragraph 114l), controlled area intrusions (see paragraph 114m), and/or reckless flying (see paragraph 114o):

a. Notify the pilot, workload permitting, using the following phraseology:

"(aircraft identification) possible pilot deviation advise you contact (facility) at (telephone number)."

b. Compile information pertinent to the incident.

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

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

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

(2) The second and third characters are the abbreviation of the FAA region (not the service area) in which the deviation occurred.

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

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

(4) The fifth through seventh characters are the facility location identifier (e.g., ZNY) or FSDO identification code (e.g., 025). For combined TRACON and ATCT operations, use the appropriate location identifier (e.g., the O'Hare TRACON would use "C90" and the O'Hare ATCT would use "ORD.") See the latest edition of FAA Order 7350.7.

(5) The eighth and ninth characters are the calendar year in which the pilot deviation occurred (e.g., 05 for 2005).

(6) The last three characters are the sequential pilot deviation number for the year by reporting facility (e.g., pilot deviations would be numbered 001 to 999 in 2005 at a given facility).

e. Complete page one of FAA Form 8020-17 (see Appendix 1) via the ATQA web application.

NOTE: Item 7. Brief description of deviation and comments. This description must include, however not be limited to, pertinent actions of the pilot(s) involved and air traffic control, and pilot's or flight crewmember's comments and/or concerns as reported.

f. Transmit or arrange to be transmitted information from paragraph 114e in numerical order within three hours of the detection of a pilot deviation by:

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

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

(a) Director, Safety Investigations.

(b) The service area director.

(c) Flight Standards Service, AFS-1.

g. For significant pilot deviations (e.g., involving air carriers, air taxis, or prominent persons), immediately notify Safety Investigations, the service area, and the Washington Operations Center through the Regional Operations Center by telephone.

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

(1) The service area director.

(2) Regional Flight Standards division.

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

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

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

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

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

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

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

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

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

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

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

(a) Certified partial transcript of the recorded communications.

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

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

o. Reckless flying incidents should be treated as follows:

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

(2) For incidents reported to air traffic by the public or others but not observed by air traffic, a verbal report of the reported incident will be made to the FSDO or the caller will be asked to call the FSDO. For such incidents and reckless flying incidents reported to the FSDO directly, the FSDO will then transmit information from paragraph 114e by NADIN message via the Regional Operations Center and complete and file FAA Form 8020-17 as specified in paragraph 114h with the:

(a) Regional Flight Standards division.

(b) Acquisition and Business Services, Information Technology, Technical Services.

p. The Office of the Chief Counsel has instructed the Regional Counsel offices to notify the service areas on their distribution lists about the outcome of final enforcement actions on controlled area intrusions. The service area must then notify the reporting controller, through the air traffic facility manager or acting manager, of the outcome of the enforcement action.

q. Complete FAA Form 8020-19 via the ATQA web application to correct an incident report number (see Appendix 1). Keep the original of FAA Form 8020-19 and distribute copies by mail to all recipients of the corresponding FAA Form 8020-17 (see paragraph 114h).

r. The air traffic facility must retain the original FAA Form 8020-17, and related information in the facility's files in accordance with paragraph 102, except that the package must be labeled "PILOT DEVIATION REPORT."

115. FAA FORM 8020-11, INCIDENT REPORT.

a. When a report is requested by the FSDO or when the requirement for a report is required by paragraph 110b(3), prepare FAA Form 8020-11 within 10 calendar days. Maneuvers by pilots due to an emergency and/or TCAS RA that result in the loss of separation must be reported to the Washington Operations Center and Safety Investigations, through the Regional Operations Center, as soon as practical and, in every case, within 3 hours of the occurrence. For vehicle or pedestrian deviations, use FAA Form 8020-24; do not use FAA Form 8020-11 (see paragraph 116).

b. Reports must be numbered beginning with number 1 and continuing in numerical sequence without regard to year. The number must be preceded by the 3-character facility identifier and the facility type identifier (e.g., ARTCC, TRACON, ATCT, AFSS). Examples: "ZTL-ARTCC-95," "D10-TRACON-04," "HNL-ATCT-13," "SAT-FCF/AFSS-11."

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

d. Include the following statement under "Remarks" unless determined otherwise by the facility air traffic manager or acting manager:

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

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

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

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

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

(1) The service area director.

(2) The adjacent service area director, when required.

(3) Director, Safety Investigations.

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

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

j. The air traffic facility must retain the original FAA Form 8020-11, and related information in the facility's files in accordance with paragraph 102, except that the package must be labeled "INCIDENT PACKAGE." The facility may elect to indicate the type of incident on the label (i.e., "TCAS RA MANEUVER," "EMERGENCY MANEUVER," etc.).

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

a. Complete page one of FAA Form 8020-24 (see Appendix 1) via the ATQA web application.

NOTE: Item 7. Description of deviation and comments. This description must include, however not be limited to, pertinent actions of the pilot(s) involved and air traffic control, and pilot's or flight crewmember's comments and/or concerns as reported.

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

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

(2) The second and third characters are the abbreviation of the FAA region (not the service area) in which the deviation occurred.

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

(4) The fifth through seventh characters are the facility location identifier (e.g., DIA). See the latest edition of FAA Order 7350.7.

(5) The eighth and ninth characters are the calendar year in which the vehicle or pedestrian deviation occurred; e.g., 05 for 2005.

(6) The last three characters are the sequential vehicle or pedestrian deviation number for the year by reporting facility; e.g., vehicle or pedestrian deviations would be numbered 001 to 999 in 2005 at a given facility.

c. Transmit, or arrange to be transmitted, information from paragraph 116a in numerical order within 3 hours of the detection of a vehicle or pedestrian deviation by:

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

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

(a) Director, Safety Investigations.

(b) The service area director.

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

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

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

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

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

(1) The service area director.

(2) Regional Airports division responsible for the investigation.

(3) Director, Safety Investigations.

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

i. Complete FAA Form 8020-19 via the ATQA web application to correct an incident report number (see Appendix 1). Keep the original of this form and distribute copies by mail to all recipients of the corresponding FAA Form 8020-24 (see paragraph 116g).

j. The air traffic facility must retain the original FAA Form 8020-24, and related information in the facility's files in accordance with paragraph 102, except that the package must be labeled "VEHICLE OR PEDESTRIAN DEVIATION."

117. EMERGENCY EVACUATIONS. An emergency evacuation, while considered an aircraft incident (see paragraph 65), will be reported on FAA Form 8020-11 and the form forwarded to the appropriate FSDO for investigation. Do not use FAA Form 8020-3 or FAA Form 8020-9. If the evacuation results in a serious injury or a fatality, the evacuation is considered an aircraft accident and the pertinent procedures will be followed. The reporting facility must retain documentation as described in paragraph 115j.

118. PARACHUTE-JUMPING INCIDENTS. If air traffic is notified of a parachute-jumping incident for an aircraft under its control, air traffic must call the appropriate FSDO and ask if FAA Form 8020-11 should be filed. If notified of an incident for an aircraft not under its control, the information must be forwarded to the appropriate FSDO. The reporting facility must retain documentation as described in paragraph 115j.

119. MISCELLANEOUS INCIDENTS.

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

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

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

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

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

120. FLIGHT STANDARDS. When a Flight Standards inspector receives notification of an aircraft accident or an aircraft incident from a source other than air traffic, the inspector must immediately notify the appropriate air traffic facility and provide the information needed to complete FAA Form 8020-9.

121–129. RESERVED.

CHAPTER 9. AIRCRAFT ACCIDENT INVESTIGATION RESPONSIBILITIES

SECTION 1. OFFICE OF ACCIDENT INVESTIGATION

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

131. REGIONAL FLIGHT STANDARDS DIVISION RESPONSIBILITIES. The manager of the regional Flight Standards division is responsible for ensuring that aircraft accidents and incidents in the region's geographic area of responsibility are investigated and reported in a manner that ensures the proper discharge of FAA responsibilities.

132. DESIGNATION OF THE FAA IIC. An FAA IIC must be assigned to all aviation accident and incident investigations. The FAA IIC must direct and control all FAA participation in the investigation. The selection of the FAA IIC may be made by the responsible district office manager or by the regional Flight Standards division manager. In certain instances, however, the FAA IIC may be assigned by AAI-100 in coordination with the regional Flight Standards manager. The Safety Service, Safety Investigations or service area may assign a representative for a military accident when air traffic is the only FAA element involved. The flight standards inspector who first receives notification of an aviation accident or incident will be the FAA IIC until relieved of this responsibility by the FSDO manager or the Flight Standards division manager.

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

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

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

134. TECHNICAL OPERATIONS AVIATION SYSTEM STANDARDS RESPONSIBILITIES.

a. The FICO is the focal point for post-accident or incident flight inspection notifications. Upon receiving notification of an accident or incident that may have involved navigation problems or of an accident related to a navigation or communication facility, the FICO duty officer must coordinate with the appropriate Technical Operations Aviations System Standards, Flight Inspection Field Office (FIFO) or Technical Operations Aviations System Standards, Technical Support Team. The FIFO must:

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

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

b. The Technical Operations Aviations System Standards, Technical Support Team must:

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

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

135. WASHINGTON HEADQUARTERS "GO TEAM."

a. The Office of Accident Investigation, through AAI-100, will assume FAA responsibility for investigating selected accident and incidents and will designate the FAA IIC and a team of technical specialists ("Go Team") as necessary. AAI-100 will give the appropriate regional Flight Standards division manager the name of the designated FAA IIC, who will usually be selected from AAI-100, and the "Go Team" members' names when applicable. The headquarters FAA IIC will assume responsibility for investigating and reporting the accident or incident upon arrival at the scene. The interim FAA IIC will remain on scene to provide support and assistance until relieved by the headquarters-assigned FAA IIC.

b. The Vice President of Technical Operations Services, the Assistant Administrator for Security and Hazardous Materials, the offices of the Chief Counsel, Aviation Medicine, and Airport Safety and Standards; Flight Standards Service; the Safety Investigations and the appropriate Aircraft Certification Directorate must each designate representatives and alternates to serve as "Go Team" members as required by the FAA IIC for the on-scene investigation.

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

136. ADDITIONAL INFORMATION. For additional information regarding aircraft accident investigation responsibilities, see FAA Order 8020.11.

137–139. RESERVED.

SECTION 2. AIR TRAFFIC SERVICES

140. GENERAL. When air traffic procedures are involved or are suspected of being involved in an aircraft accident or incident, air traffic aspects are included in the accident investigation. Air traffic personnel must cooperate to the fullest extent possible with personnel who are charged with conducting the investigation. Air traffic's participation in the on-scene accident investigation is considered complete when the FAA IIC advises the FAA air traffic representative of its completion and leaves the air traffic facility. If the on-scene investigation of the air traffic facility is to be reconvened, the FAA IIC must coordinate such reconvening with Safety Investigations or the service area as appropriate.

141. AIR TRAFFIC ACCIDENT REPRESENTATIVE.

a. The air traffic manager or acting manager of the facility responsible for the development of the accident package is designated as the on-scene air traffic representative until the arrival of either the service area- or headquarters-designated air traffic representative.

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

142. AIR TRAFFIC ACCIDENT REPRESENTATIVE RESPONSIBILITIES. The FAA air traffic accident representative must:

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

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

(1) Ensure that technical operations personnel are notified.

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

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

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

e. Arrange, through direct contact with air traffic personnel involved in the accident, for the protection of their well-being as required and provide them with a briefing on investigation procedures and their right to counsel during any interview. Provide personnel with information on their rights as they pertain to NTSB requests for drug or toxicology tests.

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

g. Conduct an investigation of all air traffic aspects of the accident or incident to confirm the adequacy of equipment, procedures, and personnel. Promptly advise Safety Investigations and the appropriate service area of any deficiencies noted and the recommended corrective actions.

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

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

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

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

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

143–149. RESERVED.

SECTION 3. TECHNICAL OPERATIONS SERVICES

150. INTRODUCTION. This section defines Technical Operations Services responsibilities and actions following an aircraft accident/incident. The goals of Technical Operations Services activities are to insure the continued safe operation of the NAS, investigate potentially involved facilities in a timely manner, restore operation of facilities removed from service in a timely manner, and provide appropriate accident-related facility documentation to cognizant authorities.

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

152. OVERVIEW OF TECHNICAL OPERATIONS SERVICES ACTIVITIES. A Technical Operations Services Aircraft Accident Representative (AFAAR) is responsible for decisions related to the treatment of facilities that may have been involved in an accident. Upon notification of accidents not obviously due to aircraft-related reasons (e.g., fuel exhaustion, nose-wheel collapse), the AFAAR and FAA air traffic personnel promptly develop a candidate list of facilities for consideration. This list is reduced by defined principles, based on the circumstances surrounding the accident, to a minimum list of facilities. These facilities are then either removed from service or deemed appropriate to remain in service due to operational assessments, based on a joint FAA air traffic and Technical Operations Services decision. The AFAAR determines the activities necessary to return each facility to service – typically certification, flight inspection, or a combination of these and advises the Operational Control Center (OCC) for implementation by field personnel. The OCC provides status of activities to all concerned entities. An accident package of appropriate facility documentation is assembled and distributed.

153. RESPONSIBILITIES.

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

b. The Director for Safety and Operational Support is the principle staff element of Technical Operations Services for oversight of Technical Operations Services Aircraft accident policy.

c. The National Operations Office is the focal point for all aircraft accident matters for Technical Operations Services, and functions as the national ATO AFAAR. The national AFAAR is responsible for:

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

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

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

(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 for Safety and Operational Support, and service area directors).

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

(6) Providing an annual program review to the Director for Safety and Operational Support.

d. The service area directors or their designees are responsible for:

(1) Designating Service Area AFAARs. AFAAR duties cannot be further delegated beyond those designated.

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

(3) Submitting proposed service area supplements to FAA Order 8020.16 to the national AFAAR for formal coordination. This level of oversight is intended to assure consistent policy interpretation and implementation for Technical Operations Services accident responses.

e. The service area AFAAR's are responsible for:

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

(2) Being the focal point for service area assistance and coordination activities to the national AFAAR.

(3) Performing the tasks described in paragraph 156-167.

(4) Conducting, on at least a semi-annual basis, informal joint critiques of their responses and decisions as AFAAR's.

f. The service area OCC is responsible for:

(1) Establishing and documenting a procedure between the Regional Operations Center(s) (ROC's) and OCC to ensure service area AFAAR's are notified of accidents/incidents.

(2) Providing written notification to the national AFAAR and appropriate service area personnel of the names and phone numbers of the service area AFAAR's.

(3) Upward reporting of information concerning aircraft accidents.

(4) Removing the requested potentially suspect facilities from service, on an unscheduled (code 89) basis as directed by the service area AFAAR.

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

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

(1) Ensuring service area and national documentation on Technical Operations Services procedures are available to all employees who may have action regarding aircraft accidents. (See FAA Order 6000.15, General Maintenance Handbook for NAS Facilities, for additional guidance and requirements on this subject.)

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

154. AIRCRAFT ACCIDENT REPRESENTATIVE. Each service area must designate an adequate number of AFAAR's to meet operational requirements. Newly appointed AFAAR's must complete the national AFAAR training course (Transportation Safety Institute #00100, AF Responsibilities in Response to Aircraft Accidents) as soon as it becomes available.

a. For any given accident, one of the designated AFAAR's is the AFAAR-of-record (hereafter referred to as the accident AFAAR). During the time between appointment and completion of the national course, new AFAAR's must not function as the accident AFAAR until they have participated in at least two critique sessions with their trained peers, as defined in paragraph 153e.

b. The service area must publish to the national AFAAR, at a minimum, the identity of the AFAAR's and their phone numbers (typically work and home phone, pager, and cellular telephone).

c. The accident AFAAR must make the decisions described in paragraph 155 for each accident requiring notification. A suggested worksheet for accident AFAAR activities and decisions is provided in Figure 3-1.

155. PROCESS. The Technical Operations Services response to aircraft accidents/incidents consists of the three major activities defined below, and is complete when all the steps defined for each activity have been accomplished. A flow chart showing the sequence of events is included in Figure 3-4.

a. Decisions. This activity includes notifying the AFAAR(s), propagating the identity of the accident AFAAR, determining the scope of NAS equipment and facility involvement, if any, and defining the prudent level of investigative activities (see paragraph 156).

b. Field work. This activity includes callout of personnel, establishing as-found equipment/facility status, accomplishment of appropriate investigative efforts on equipment and facilities, and notification of status to appropriate regional and national entities (see paragraph 157).

c. Documentation. This activity includes assembly, proofing, authentication, and retention of the official Technical Operations Services accident package (see paragraph 158).

156. DECISIONS. It is important that decision-making about possible Technical Operations Services facility and equipment involvement occur as soon as possible after the accident, typically within one hour of notifying the AFAAR. There are four major steps to this decision-making:

a. Provide timely notification of the aircraft accidents/incident. OCC must establish a procedure with the ROC to insure that the AFAAR's are notified of the accident/incident without delay, and that the identity of the accident AFAAR is promptly communicated to all concerned parties. The procedure must define a method to ensure a timely response from service area AFAAR's.

(1) Accidents 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, etc.) may be excluded from this notification procedure, if the person or office making this determination is known.

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

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

(4) For IFR accidents not excluded from notification by subparagraphs 156a(1), 156a(2), and 156a(3) above, and which involve two service areas (e.g., the crash site is within one service area's boundary, but some or all of the facilities supporting the accident flight are maintained or overseen by another), the AFAAR to be notified is selected from the service area whose air traffic control facility was handling the accident aircraft at the time of accident or disappearance (this rule may be ignored if the affected AFAAR's agree, and very little time is required to obtain the agreement).

(5) For VMC accidents not excluded from notification by subparagraphs 156a(1), 156a(2), and 156a(3) above, and which involve multiple regions, the AFAAR to be notified is selected from the service area within whose boundary the accident occurred.

(6) For IFR accidents not excluded from notification by subparagraphs 156a(1), 156a(2), and 156a(3) above, that occur outside the U.S. border, involving aircraft under U.S. air traffic control, the AFAAR to be notified is selected from the service area whose air traffic control facility was handling the accident aircraft at the time of accident or disappearance.

b. Define potential Technical Operations Services involvement. When advised of accidents for which notification is required (see paragraph 156a), the accident AFAAR (consulting with air traffic personnel as required) must compile as quickly as possible a list of facilities for subsequent Technical Operations Services investigative action. Typically, this is accomplished by generating an initial list of all facilities potentially in use by the pilot or air traffic personnel handling the accident/incident aircraft. This initial list is then minimized, by excluding some facilities from further consideration, using the principles listed in this paragraph. For simpler accident scenarios being handled by experienced AFAAR's, these two steps may be combined into a single step.

(1) The initial candidate list is composed of two facility types:

(a) Facilities which provide data that is routinely used for accident investigation and documentation (i.e., VRS, LLWAS, TDWR, and 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 characterize the accident environment. However, depending on the accident circumstances, some of these facilities may be considered potentially suspect (see the next subparagraph). The National Network Control Center (NNCC) archives data from other weather facilities such as AWOS/ASOS; data from automation facilities supporting separation of aircraft is archived at the request of air traffic personnel in accordance with other sections of this order.

(b) Facilities that are potentially suspect in their operation, i.e., all facilities that were or may have been in IFR and/or Instrument Meteorological Conditions (IMC) use, by air traffic and/or the subject aircraft (this facility type includes visual aids are used during the visual phase of an IFR approach).

(2) The initial candidate list of facilities must be reduced by the accident AFAAR to a smaller list, as quickly as possible, by applying the exclusion principles listed below.

> **NOTE**: Facilities officially out of service at the time of the accident/incident need not be considered further, but their status (i.e., physically off, radiating in a test status) should be noted.

The basis for the decisions should be documented in the AFAAR worksheet or in sufficiently detailed notes (see paragraph 156c for actions to be taken for facilities remaining on the list after applying the exclusion principles).

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

(b) En route navigation facilities (i.e., VOR, DME, NDB, TACAN, and the Wide Area Augmentation System (WAAS)) may be excluded from further consideration for all VFR accidents, and for IFR accidents if their performance is validated by their subsequent use by other aircraft in en route or terminal operations (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 paragraph 156b2(c)).

(c) Terminal navigation facilities (i.e., ILS/MLS and their subsystems, approach lighting systems, Local Area Augmentation Systems (LAAS), and en route navigation facilities upon which terminal approaches are based) may be excluded from further consideration for all VFR accidents, and for IFR accidents if any of the following three items is true:

(1) The accident aircraft is known by a reliable source to have remained outside their service volumes or have passed through the service volumes.

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

(3) Subsequent aircraft have been cleared to use, and have used, them in IFR operations, and there have been no pilot-reported abnormalities within the twelve hours preceding the AFAAR's consideration.

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

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

(2) The accident aircraft was cleared for an IFR approach during which the accident occurred below or near the Decision Height (DH)/Minimum Descent Altitude (MDA) for that approach (i.e., 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 (VNAV), e.g., Flight Management System (FMS), approaches.

(e) General visual aids (i.e., ODALS, REIL) may be excluded from further consideration if the accident/incident occurred during daylight hours under VMC.

(f) Global Navigation Satellite Systems (GNSS) such as the U.S. Global Position System (GPS) must be excluded from further consideration by the AFAAR. GPS supports non-precision or Lateral/Vertical Navigation (LNAV/VNAV) approaches without requiring any augmentation by systems such as WAAS or LAAS. These approaches use various airborne avionics features and the "raw" or unaided GPS signals, for which no FAA-maintained ground facilities are involved. When an accident occurs involving only raw GPS signals for navigation, the U.S. Air Force provides a technical analysis of the status of GPS signals to the FAA, when requested by the NOCC.

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

c. Define the prudent level of investigative action required. The list resulting from paragraph 156b consists of facilities providing data that is routinely used for accident investigation and documentation, and facilities that are potentially suspect in their operation.

(1) Facilities providing data that is routinely used for accident investigation and documentation (i.e., VRS, LLWAS, TDWR, and RVR) must be left in service and their data archived (see paragraph 157b (1)).

(2) Potentially suspect facilities must be removed from service and an appropriate NOTAM issued, unless an air traffic/Technical Operations Services operational analysis dictates otherwise, until one of the prudent levels of investigative action defined in paragraph 156c(3) allows restoration to service. An operational decision to leave a potentially suspect facility in service must determine that the importance of continued operation outweighs the probability of that facility or equipment having been a factor in the accident. The accident AFAAR should consult with the service area director or designee as required. The basis (e.g., operational conditions or constraints, subsequent users, normal indications, no intermittent anomalies, etc.) for this decision should be documented in the AFAAR checklist.

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

(a) Confirmation of proper operation, by measurement of key performance parameters, is required for facilities not subject to certification (e.g., lighted visual aids). See Appendix 3 of FAA Order 6000.15 for a list of facilities normally requiring certification. This post-accident confirmation must be based only on performance checks that do not require equipment adjustments.

(b) Certification is required for all facilities identified by the AFAAR, other than those identified in paragraph 150c(3)(a). In addition, flight inspection may be required for some facilities (see paragraph 156c(3)(c)).

(1) Several methods of supporting a certification may be available, as defined by certification policy in FAA Order 6000.15 and there is no restriction on the method used unless the restriction is defined by the AFAAR. For example, a Remote Center Air-Ground (RCAG) facility certification might be accomplished by obtaining user reports, rather than necessitating a site visit; a facility certification may be issued remotely via RMM where available and appropriate; in some cases, a partial certification may be issued to restore a facility or service.

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

(c) Depending upon facility type and accident conditions, a flight inspection, followed by a facility certification, may be necessary or appropriate. No adjustments must be made to any facility awaiting post-accident flight inspection.

(1) A flight inspection is necessary when requested by the NTSB or the FAA IIC. The accident AFAAR should convey all known relevant facts to these requestors to minimize unnecessary flight inspections.

(2) A flight inspection may be necessary to confirm proper facility operation (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, etc.).

d. The accident AFAAR must contact the OCC to request:

(1) Archiving (see paragraph 157b(1)) of information produced by facilities providing data that is routinely used for accident investigation and documentation (per paragraph 156c(1)).

(2) Immediate removal from service of each potentially suspect facility identified in paragraph 156c(2). This is a risk management action, and must not involve any manually commanded changes in facility status or operation – i.e., this action should not cause any facility to cease its normal function or cease radiating signals.

(3) Implementation and appropriate reporting of the action determined in paragraph 156c(3).

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

a. Upon request and as defined by the accident AFAAR, the OCC must promptly initiate the actions required of Technical Operations Services. These actions may include removal from service, certification, checking of Key Performance Parameters, documentation, and restoration.

(1) Immediately remove the requested potentially suspect facilities from service, on an unscheduled (code 89, other) basis. This is a risk management action, and must not involve any manually commanded changes in facility status or operation – i.e., this action should not cause any facility to cease its normal function or cease radiating signals. Request NOTAM's be published to accurately reflect the interruptions.

(2) Call out an ATSS to archive information produced by facilities (identified by the accident AFAAR) which provide data that is routinely used for accident investigation and documentation. No observer or certification is required for these facilities.

(3) Call out an ATSS to restore, by the method determined by the AFAAR, each facility removed from service.

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

(b) For Non-Federal facilities, contact the facility sponsor or the service area designee (depending on the local Memorandum of Agreement with the sponsor), who in turn must contact the maintaining technician, to effect the as-found documentation and subsequent restoration. If a non-federal maintenance technician is not available to document as-found conditions in a timely manner, the OCC should request that the non-federal sponsor provide immediate facility access, for an FAA ATSS with certification authority on the facility type involved, to accomplish the as-found documentation (but not the restoration).

(4) Locate and dispatch an observer for each potentially suspect facility removed from service, unless waived by the accident AFAAR as described in paragraph 157a(4)(c). The observer is a second person who will attest that the recorded findings and actions by the evaluator represent a true and accurate description of the witnessed activities. The OCC must contact the accident AFAAR when a significant delay (typically more than one hour) is experienced in locating an observer.

(a) For all aircraft accident- or 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 desired credentials is not available, the observer does not need to be technically qualified or to be an FAA employee. The observer should be (in decreasing order of preference) an ATSS certified on the facility type, an FAA employee without certification credentials on the facility type, an emergency services (e.g., Sheriff or Highway Patrolman), an airport employee, or an adult private citizen.

(b) For all aircraft accident- or incident-related restoration site visits to non-federally-maintained facilities, the observer must be an FAA ATSS with certification authority on any facility type.

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

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

(6) Promptly notify the AFAAR of the results of all accident/incident-related restoration activities.

b. Upon notification, ATSS personnel contacted by the OCC must:

(1) Promptly archive (i.e., download, protect, or retain by the appropriate method) all volatile data from facilities (identified by the accident AFAAR) which provide data that is routinely used for accident investigation and documentation. Contact the accident AFAAR for additional instructions as required, and to coordinate release of any such data. Log all activities in accordance with FAA Order 6000.15.

(2) Promptly execute the Facility Restoral checklist in Figure 3-2 for each facility removed from service as a result of an accident/incident investigation. The checklist is complete when the facility has been returned to service.

c. If the accident AFAAR is notified that a facility cannot be restored to service without corrective action (e.g., the facility was damaged by the aircraft, or a certification parameter is found out-of-tolerance), the AFAAR must perform the following in the sequence shown:

(1) Confirm that as-found conditions at the facility are properly documented.

(2) Notify the FAA IIC if that person is known and available, and appropriate service area personnel.

(3) Request the OCC to initiate the necessary restoration activities.

158. DOCUMENTATION. To close out Technical Operations Services' post-accident/incident activities, the Technical Operations Services accident documentation package must be assembled.

a. The package must be assembled by the service area designated office performing the certification and restoration of FAA facilities, or responsible for the oversight of non-Federal facility verification. If multiple service area were involved in the activities, a service area designated office in the service area of the accident AFAAR is responsible. If more than one service area designated office were involved, the accident AFAAR must assign the responsible service area designated office based on extent of involvement.

b. The package must be assembled, reviewed, and signed by the service area designated office manager within fifteen working days of the date of the accident/incident.

c. If any of the facilities involved remains out of service beyond the 15-day date, the package assembled by the end of the 15-day date is considered an interim package. The required data for the facilities with delayed restoration must be added to the interim package when available. The final package must be completed, reviewed, and signed by the service area designated office manager within ten working days of the last facility restoration.

d. Originals of facility records and printouts of electronic data, such as logs and equipment screens, must be taken into custody by the service area designated office manager as soon as possible. The minimum contents of the package are defined in the package cover sheet/checklist in Figure 3-3. The package must be assembled with the completed cover sheet and placed in an envelope labeled with date, time, accident location, and registration (tail) number of the accident aircraft. A legible copy of the package must be made and compared against the original prior to any release of the original records. After comparison, the original accident package must be promptly forwarded to the National Operations Office (National Operations Office-NAAR, 13600 EDS Drive, Suite 100, Herndon, VA 20171-3233). The copy of the package must be retained in a locked file until confirmation is received that the original package has arrived at the National Operations Office.

159. PRESERVING, COPYING, AND RELEASING REPORTS AND RECORDS. The following requirements apply to the preservation, copying, and release of records associated with aircraft accidents.

a. The originals of these records are subject to the retention periods described in the latest edition of FAA Order 1350.15.

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

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

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

160-189. RESERVED.

FIGURE 3-1. AIRCRAFT ACCIDENT/INCIDENT AFAAR WORKSHEET

1. List the name of the person notifying the AFAAR of the aircraft accident:

Name of Accident AFAAR	Notified by; (person, organization)
	Time notified (All times in UTC)

2. List the aircraft identification, type, accident location, and time below:

Aircraft Type	**Aircraft ID**	**Flight Plan Type**
		VFR: ____ IFR: ____ None: ____
		VFR: ____ IFR: ____ None: ____
		VFR: ____ IFR: ____ None: ____
		VFR: ____ IFR: ____ None: ____

Location of accident/incident, if known: _____

Date/Time of accident/incident: _____

3. Advise the OCC and others concerned, of your (AFAAR) location and telephone number.

4. Keep the FAA IIC and the OCC informed of progress, unusual problems, and significant findings.

5. The Accident AFAAR must contact the IIC, if available, and Air Traffic representatives if required for early coordination of activities and preparation of the initial list of candidate facilities described in paragraph 156b of this order. This usually can be accomplished through the Regional Communications Center (ROC) or the OCC. The initial list of facilities will contain all those that may have been or were used by the aircraft involved.

6. The Accident AFAAR, with the help of Air Traffic personnel as required, may reduce the initial list by removing facilities per the principles documented in paragraph 156b of this order. Document the basis for those that are removed.

7. Facilities Identified by the AFAAR, the FAA IIC, and by air traffic on FAA Form 8020-9 are those **not** "Subsequently Removed from List" in the following table:

FIGURE 3-1. AIRCRAFT ACCIDENT/INCIDENT AFAAR WORKSHEET (continued)

Initial Candidate List of Facilities

Facility ID/Type	Subsequently Removed From List	Basis for Removal from List

Use the following blank lines for other notes as required:

FIGURE 3-2. FACILITY RESTORAL CHECKLIST

Figure 3-2 is required for each facility removed from service as identified by the accident AFAAR or designee.

NOTE: The following line will be completed later as required in step 3c.
Log Data Uploaded: Date: _____ Time: _____ Initials: _____

1. Complete the following initial items:

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

Facility: _____ Ident: _____

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

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

Facility	**ATSS who last certified facility**

(2) An observer will normally be required; however, under certain conditions the observer requirement may be waived by the AFAAR. Has the observer requirement been waived by the AFAAR? **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 accident/incident) at facility. This is your "unofficial" observation of the general weather conditions upon your arrival at the facility. See the following example text. _____

FIGURE 3-2. FACILITY RESTORAL CHECKLIST (continued)

Examples of typical initial log entries: (not necessary to use word-for-word)

2310 arrived site to initiate certification and/or restoration of facility in a post-aircraft accident/incident.
2315 presently the weather conditions are overcast and snowing with 2 feet of snow on the ground.
2316 found GS was operating on commercial power with no alarms or transfers indicated. Air traffic reported no pilot reports of malfunction of this facility during the last (x) hours (where x = approximate number of hours).

2. Initiate action to certify and restore facility.

a. If the facility is shutdown, record the status of the equipment in the facility log. Reset the equipment, and MAKE NO ADJUSTMENTS. If the facility fails to restore to normal after resetting, notify the accident AFAAR immediately for further instructions. If the facility resets successfully, continue with the next step.

b. Immediately record as-found technical data (see paragraph 3 below), MAKING NO ADJUSTMENTS. IF OUT-OF-TOLERANCE CONDITIONS ARE FOUND, notify the accident AFAAR immediately for further instructions.

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

d. Once as-found technical data has been recorded (see paragraph 3 below), and any flight inspection activities have been completed, corrective maintenance in support of facility restoration may begin. Record as-left technical data (see paragraph 3 below).

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

3. Documentation of the condition of the facility.

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

FIGURE 3-2. FACILITY RESTORAL CHECKLIST (continued)

b. Authentication of Technical Readings: An authentication statement must be entered immediately below each set (as found, as left) of parameter values, on each TPR form, and on each screen printed, identifying whether the values are "as found" or "as left." The authentication statement is not necessary on copies of electronic log pages. If no adjustment or other maintenance was accomplished, a single statement will suffice. The authentication statement to be used on each set of readings on each TPR and each page of RMM screens is as follows:

I certify that the above post-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:

Signature_____

Name_____

Title_____

Observer:

Signature_____

Name_____

Title_____

Note: In the above authentication statement, compose, select, or modify the text in parentheses 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.

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

d. 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 restoration coordination is complete.

b. This completes the facility restoral process.

FIGURE 3-3. AIRCRAFT ACCIDENT/INCIDENT PACKAGE COVER PAGE

Minimum Package Contents:

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

2. Hardcopy printout of all Technical Operations Services control center (e.g., SOC, OCC) accident/incident LAD screens

3. Technical data (for each facility removed from service): **Initials**

   a. Facility Restoral Checklist, Figure 3-2 (page 1 only). _____
   Reviewed for completeness? _____

   b. Hardcopy 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 and "Aircraft Accident" paragraph, if any, in maintenance technical handbooks? _____
   Nominal values listed where appropriate? _____
   Signed by supervisor (each page, in header)? _____
   Authenticated (each page, per paragraph 3b of Figure 3-2)? _____

ATSS personnel who completed the facility restoral process:

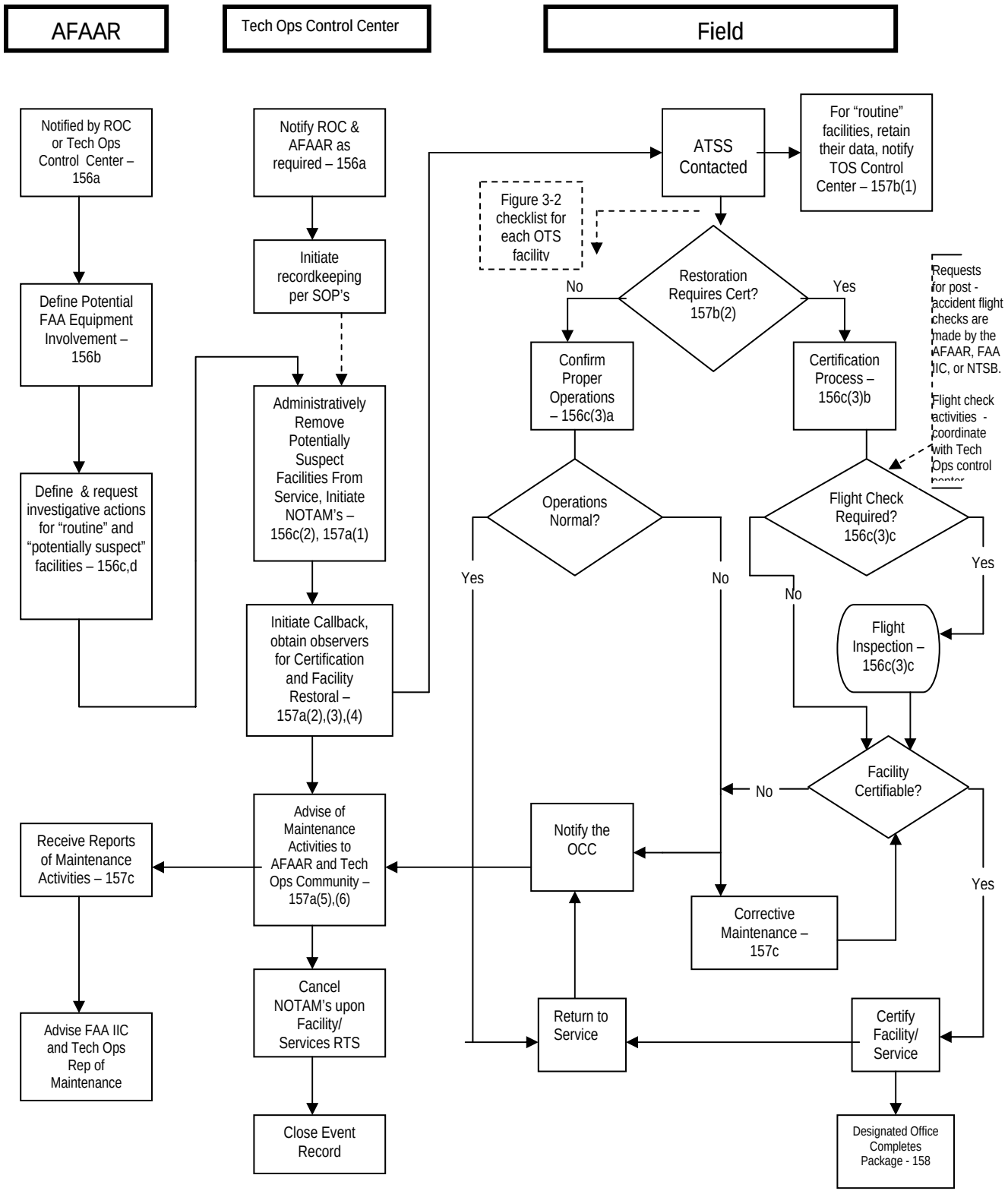
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)

Service Area designated office manager who reviewed this package:

(Signature)	(Date)	(Service Area Designated Office)

NOTE: See FAA Order 8020.16, Chapter 9, Section 3, Technical Operations Services, for instructions on custody, retention, release, and other handling instructions for aircraft accident/incident related documents.

FIGURE 3-4. TECHNICAL OPERATIONS SERVICES
POST-AIRCRAFT ACCIDENT PROCESS



SECTION 4. OFFICE OF THE CHIEF COUNSEL

190. GENERAL. The provision of legal representation, counsel, and advice to the Office of the Administrator and other FAA offices and services, when required in connection with accident investigations, is a primary function of the Office of the Chief Counsel (AGC) and should be given a high priority at all times.

191. EXTENT OF LEGAL PARTICIPATION. The legal services required in an accident investigation vary by accident. Many FAA investigations conducted under Title 49 United States Code do not require substantial legal services. Some, however, demand full legal participation. In each accident investigation involving FAA, it is the responsibility of AGC to provide the appropriate level of legal participation.

192. ADDITIONAL INFORMATION. For addition information regarding the legal participation, designation of legal representative, and responsibilities, see FAA Order 8020.11.

193–199. RESERVED.

SECTION 5. CRIMINAL INCIDENTS

200. STATUTORY PROVISIONS. The willful or malicious damage or destruction of Federal installations, airports, aircraft, air navigation facilities or interference with crewmembers or passengers or other crimes against air commerce or aircraft are Federal offenses and punishable under 18 U.S.C. or 49 U.S.C. Appendix. The significant U.S.C. sections which could involve an incident within the purview of this order are.

a. 18 U.S.C. 32, Destruction of Aircraft or Aircraft Facilities.

b. 18 U.S.C. 1361, Government Property or Contracts.

c. 18 U.S.C. 1362, Communication Lines, Station, or System.

d. 18 U.S.C. 1364, Interference with Foreign Commerce by Violence.

e. 18 U.S.C. 2117, Breaking or Entering Carrier Facilities.

f. 49 U.S.C. Appendix 1472(c), Interference with Air Navigation.

g. 49 U.S.C. Appendix 1472(i), Aircraft Piracy.

h. 49 U.S.C. Appendix 1472(j), Interference with Flight Crewmembers or Flight Attendants.

i. 49 U.S.C. Appendix 1472(k), Certain Crimes Aboard Aircraft in Flight.

j. 49 U.S.C. Appendix 1472(l), Carrying Weapons or Explosives Aboard Aircraft.

k. 49 U.S.C. Appendix 1472(m), False Information.

l. 49 U.S.C. Appendix 1472(o), Interference with Aircraft Accident Investigation.

201. HANDLING OF POSSIBLE CRIMINAL INCIDENTS. The following provisions will serve as a guide to FAA personnel who may be involved either directly or indirectly in matters concerning criminal acts against airports, navigational facilities, aircraft, air carriers, passengers, or crewmembers (also see the Criminal Investigations chapter in the latest edition of FAA Order 2150.3, Compliance and Enforcement Program):

a. Generally, any FAA employee receiving information on criminal acts involving an aircraft should verbally report the information to the nearest CASFO manager who will in turn notify the Federal Bureau of Investigation (FBI) or appropriate Federal, State, or local law enforcement agency. In an emergency, this notification should be made through the Regional Operations Center. It may also be appropriate to notify the pilot in command and the aircraft operator. The operator and concerned authorities can then determine the required action, such as flight cancellation, immediate landing, or inspection of baggage, facilities, and aircraft.

b. In instances of a criminal act, or the discovery of an explosive or incendiary device aboard an aircraft, or an attempt at a criminal act, or receipt of warning of a criminal act, the air carrier, aircraft owner, or operator is expected to notify FAA and the FBI. FAA personnel, after receipt of information on such an incident, must immediately notify their supporting security element who in turn will notify the FBI, regardless of whether or not this was done by non-FAA personnel.

c. FAA personnel should exercise the utmost discretion in carrying out their responsibilities to avoid unfavorable public reaction. Therefore, any information received should be discussed only with the individuals or organizations involved and with law enforcement agencies. When a criminal act has occurred or an explosive or incendiary device is discovered aboard an aircraft, inspectors must not release such information to the news media. Any information released to the news media should come only from the individuals or organizations involved or the FBI.

202. SECURITY CLASSIFICATION AND CLEARANCE.

a. Security matters will be administered in accordance with applicable military regulations. However, all classified information should be handled and processed in accordance with the latest edition of FAA Order 1600.2, Safeguarding Controls and Procedures for Classified National Security Information and Sensitive Unclassified Information. The regional Civil Aviation Security division should be contacted on security issues and requirements.

b. The commander of the unit of a military aircraft involved in a mishap and the commander responsible for the mishap investigation are responsible for the security of classified matters and material from the aircraft involved in the mishap.

c. Official notification of military authorities about employee security clearances must be made by the appropriate regional Civil Aviation Security division. Presentation of FAA credentials does not convey any information about an employee's security clearance.

203–209. RESERVED.

CHAPTER 10. NATIONAL TRANSPORTATION SAFETY BOARD ACCIDENT AND INCIDENT HEARINGS AND DEPOSITIONS

210. NATIONAL TRANSPORTATION SAFETY BOARD. NTSB investigates civil aircraft accidents and incidents and coordinates with the FAA IIC in its conduct of the investigation. NTSB may investigate aircraft or air traffic incidents; in both cases, NTSB has the same authority as in accident investigations.

211. GENERAL. The rules governing NTSB accident hearings and depositions (testimony under oath) appear in 49 CFR 845.

212. HEARING AND DEPOSITION SCHEDULING. When notified that depositions are to be taken or that an NTSB accident investigation public hearing is to be held, AAI-100 will contact the assigned hearing officer to determine NTSB's requirement for FAA witnesses. Immediately thereafter, AAI-100 will contact the FAA IIC and the Litigation Division, AGC-400, for the purpose of coordinating FAA's efforts in preparing for the hearing or deposition.

213. FAA SPOKESPERSON(S).

a. The FAA spokesperson(s) for the prehearing conference and for the formal hearing will be designated by AAI-100.

b. The FAA spokesperson represents and speaks for the FAA. The FAA spokesperson should develop a comprehensive line of questions. The spokesperson will be permitted to question FAA and non-FAA witnesses.

c. The Litigation Division, AGC-400, is responsible for providing legal counsel and procedural briefings to FAA personnel who are designated as hearing witnesses.

214. FAA REPRESENTATION AT PREHEARING CONFERENCES AND HEARINGS.

a. FAA representatives at the prehearing conference and the hearing will be the FAA spokesperson, the FAA IIC, an AAI-100 representative, and those FAA technical specialists designated by the spokesperson with the advice of the appropriate FAA elements. The number of FAA representatives should be minimized and limited to personnel whose advice and assistance are essential for the proper representation of FAA.

b. Witnesses do not normally attend prehearing conferences. However, if attendance is required, FAA employee witnesses must be accompanied by one or more of the following:

(1) The FAA IIC.

(2) The employee's supervisor.

(3) A legal representative from AGC-400 or the Regional Counsel, if the witness requests.

(4) A representative for the ATO.

215. DEPOSITIONS. The NTSB may elect to take depositions in lieu of conducting a public hearing. The purpose of NTSB-taken depositions in accident and incident investigations is the same as for hearings as described in 49 CFR 845.2.

216. FAA EMPLOYEES AS WITNESSES AT NTSB HEARINGS AND DEPOSITIONS. FAA employees will confer with the FAA spokesperson, legal representatives, and other personnel as deemed necessary by the FAA spokesperson, prior to testifying at an accident or incident hearing deposition. Each FAA witness must be thoroughly familiar with all facts revealed during the investigation that are within the witness's area of responsibility and technical specialty. The witness should have pertinent manuals, handbooks, and other material available for reference. The FAA spokesperson will review any documentary evidence to be introduced by an FAA employee. Suggested guidelines for the conduct of FAA witnesses follow.

a. Prepare a brief oral statement outlining your qualifications, duties, and capacity of employment with FAA including:

(1) Full name.

(2) Business address.

(3) Date employed by FAA.

(4) Major duties.

(5) Years of aviation experience.

(6) Type of aviation experience.

(7) FAA certificates held.

(8) Additional qualifications.

b. Relax. Take your time on the witness stand.

c. Ascertain that the question is complete before answering. Do not anticipate portions of the question.

d. Be sure you fully understand the question before answering.

e. Ask for a rereading or rephrasing if the question is not understood.

f. Answer all questions directly and concisely.

g. Confine your answers specifically to the questions asked.

h. Be brief. Do not volunteer information.

i. Answer questions with a "yes" or "no" when possible without elaboration.

j. Answer questions with which you are not directly familiar by stating that you have no knowledge regarding the question.

k. Do not offer conjecture or give your personal opinion.

l. Do not guess. State that you do not know the answer when you do not know it.

m. Advise the FAA spokesperson privately and as soon as possible when you have additional information on a matter covered by specific questions.

n. Consult the applicable source material in advance if you anticipate questions on 14 CFR, operation specifications, FAA directives, an air carrier's manual, instrument approach procedures, etc.. Have material available for reference and quotation, if necessary.

217. EXHIBITS AND TRANSCRIPTS.

a. Exhibits. The NTSB will provide AAI-100 with a set of exhibits before NTSB hearings and after NTSB depositions (the latter for a fee).

b. Transcripts. AAI-100 will obtain and retain a transcript of NTSB hearings and depositions from the NTSB-designated court-reporting firm.

218–219. RESERVED.

CHAPTER 11. PUBLIC RELEASE OF ACCIDENT AND INCIDENT INFORMATION

220. GENERAL.

a. Public disclosure of FAA records under the Freedom of Information Act (FOIA) is addressed in paragraph 223.

b. Media requests made outside of the FOIA should be referred to the Office of Communications.

c. Requests for information related to NTSB activities, investigations, etc., must be referred to the NTSB's Office of Government, Public, and Family Affairs, any NTSB field office, or to the NTSB's IIC. FOIA requests must be handled in accordance with paragraph 223.

221. MILITARY AIRCRAFT INFORMATION. Information on military aircraft or personnel involved in an accident or incident must not be released by the FAA. Requests for such information must be referred to the commander of the appropriate military aviation facility nearest to the accident or incident scene or to the Public Affairs Office of the appropriate military service.

222. PUBLIC REQUEST FOR REPORTS.

a. Aircraft Accident Reports. The agency is not authorized to release to the public copies of NTSB aircraft accident or incident reports and/or files maintained by the FAA except as noted below. The requester should be informed that aircraft accident reports can be obtained from the National Transportation Safety Board, Public Inquiries Section, 490 L'Enfant Plaza East, SW., Washington, D.C. 20594.

b. FAA Form 8020-11, Incident Report; and FAA Form 8020-23, FAA Accident/Incident Report. Requests for copies of FAA Form 8020-11 (the preliminary form) must be sent to the facility where the incident occurred. Public request for reports of incident investigations conducted by FAA (FAA Form 8020-23) must be referred to the Aviation Data Systems Branch, AFS-620, Federal Aviation Administration, Mike Monroney Aeronautical Center, P.O. Box 25082, Oklahoma City, Oklahoma 73125. Requests for reports of incident investigations conducted by NTSB are addressed as in paragraph 222a.

c. FAA Form 8020-21, Preliminary Near Midair Collision Report; and FAA Form 8020-15, Investigation of Near Midair Collision Report. Copies of NMAC reports are maintained by the Acquisition and Business Services, Information Technology, Technical Services. Requests for copies must be addressed to that office at 800 Independence Avenue, SW., Washington, D.C. 20591.

d. FAA Form 8020-17, Preliminary Pilot Deviation Report; and FAA Form 8020-18, Investigation of Pilot Deviation Report. Copies of pilot deviation reports are maintained by Acquisition and Business Services, Information Technology, Technical Services. Requests for copies must be addressed as in paragraph 222c.

e. FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report; and FAA Form 8020-25, Investigation of Vehicle or Pedestrian Deviation Report. Copies of vehicle and pedestrian deviation reports are maintained by Acquisition and Business Services, Information Technology, Technical Services. Requests for copies must be addressed as in paragraph 222c.

f. FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice. Requests for dissemination must be coordinated with and approved by AAI-100.

223. FOIA REQUEST FOR ACCIDENT OR INCIDENT INVESTIGATION DOCUMENTS.

a. This section applies to FOIA (5 U.S.C. 552) requests for records that were created or obtained during investigations by FAA personnel as participants in NTSB-conducted investigations (referred to as major accident investigations) and during on-site investigations by FAA personnel.

b. Documents that were created by or originated with the FAA as part of the investigation, and are responsive to the request, must be gathered and reviewed for releasability. The release determination must be made in accordance with the FOIA exemptions set forth in 5 U.S.C. 552(b). The use of exemption of 7(a) is appropriate if the release of records could reasonably be expected to interfere with an ongoing FAA investigation.

c. Prior to the release of any records regarding aircraft accidents or incidents under FOIA, coordinate with the FAA IIC.

d. Responsive documents that were created by or originated with NTSB are to be specifically sent to NTSB for a release determination. Referral of NTSB documents should be accomplished by sending a copy of both the incoming request and the responsive documents to NTSB with a request that NTSB make a release determination and provide the FAA with a copy of their response to the requester. The referral should be directed to the FOIA Officer, Public Inquiries Section, National Transportation Safety Board, 490 L'Enfant Plaza East, SW., Washington, D.C. 20594.

224–229. RESERVED.

APPENDIX 1. FORMS USED BY AIR TRAFFIC

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

FACILITY ACCIDENT/INCIDENT NOTIFICATION RECORD

Aircraft Identification
Date
Airport

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

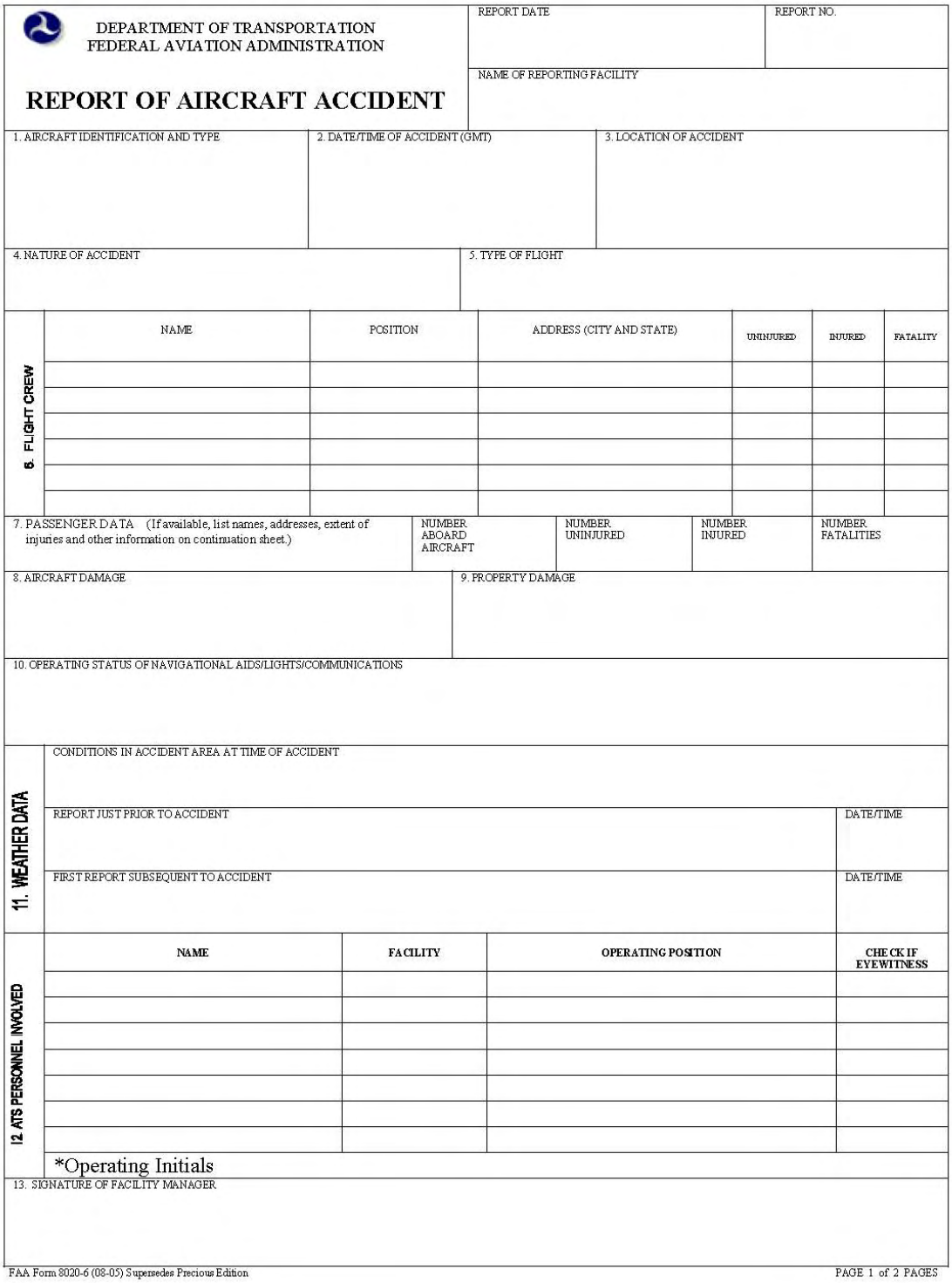
	Phone No.	Time	Initials	
			Caller	Recipient
Airport Emergency Equipment				
Additional Emergency Equipment				
Search and Rescue				
*Washington Operations Center (WOC)				
Region Operations Center (ROC)				
Air Traffic Manager				
Flight Standards District Office (FSDO)				
System Safety Investigations				
National Transportation Safety Board (NTSB)				
System Maintenance Organization Manager				
Law Enforcement				
National Weather Service (NWS)				
Military Authority				
Airport Authority				
Aircraft Operator				

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

*Accidents requiring telephone notification to Washington shall be made immediately following notification for emergency equipment and/or search and rescue.

FAA Form 8020-3 (08-05) Supersedes Previous Edition

FIGURE 2. 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 (GMT)	3. LOCATION OF ACCIDENT

4. NATURE OF ACCIDENT	5. TYPE OF FLIGHT

6. FLIGHT CREW

NAME	POSITION	ADDRESS (CITY AND STATE)	UNINJURED	INJURED	FATALITY

7. PASSENGER DATA (If available, list names, addresses, extent of injuries and other information on continuation sheet.)	NUMBER ABOARD AIRCRAFT	NUMBER UNINJURED	NUMBER INJURED	NUMBER FATALITIES

8. AIRCRAFT DAMAGE	9. PROPERTY DAMAGE

10. OPERATING STATUS OF NAVIGATIONAL AIDS/LIGHTS/COMMUNICATIONS

11. WEATHER DATA

CONDITIONS IN ACCIDENT AREA AT TIME OF ACCIDENT	
REPORT JUST PRIOR TO ACCIDENT	DATE/TIME
FIRST REPORT SUBSEQUENT TO ACCIDENT	DATE/TIME

12. ATS PERSONNEL INVOLVED

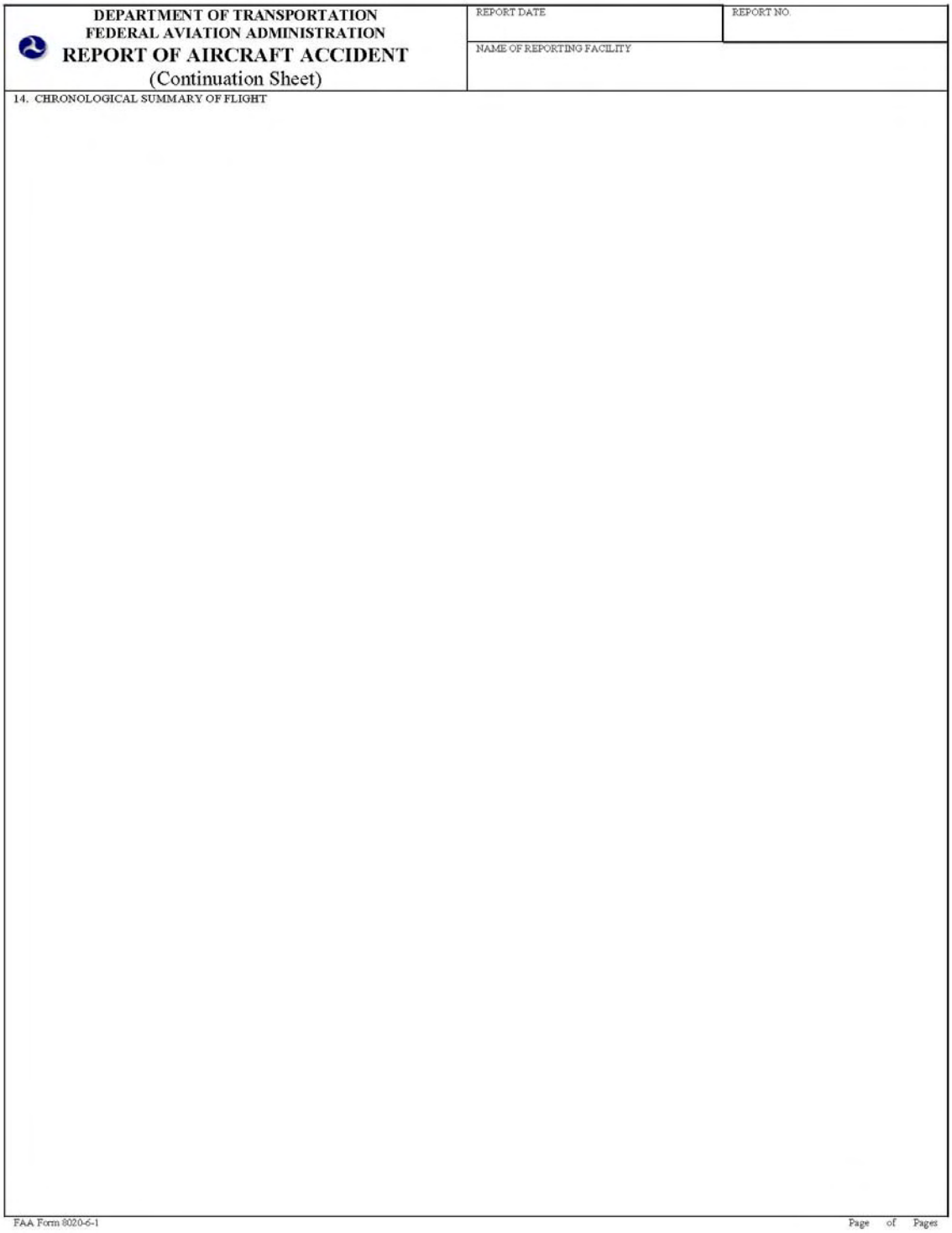
NAME	FACILITY	OPERATING POSITION	CHECK IF EYEWITNESS

*Operating Initials

13. SIGNATURE OF FACILITY MANAGER

FAA Form 8020-6 (08-05) Supersedes Precious Edition PAGE 1 of 2 PAGES

FIGURE 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

FAA Form 8020-6-1 Page of Pages

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

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

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:		
	6. WEATHER DATA:		
	7. AIRCRAFT DAMAGE: A ☐ DESTROYED B ☐ SUBSTANTIAL C ☐ MINOR D ☐ FIRE E ☐ NONE		
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 (10-03) Supersedes Previous Edition Page 1 NSN 0052-00-036-8003

FIGURE 4. FAA Form 8020-9 (continued)

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

I STATUS OF POTENTIALLY INVOLVED AIRWAY FACILITIES
(CHECK [√] MARK STATUS AS INDICATED BY MONITOR OR REPORTED BY A.F. TECHNICIAN)

1. FACILITY TYPE:	2. LOCATION RUNWAY IDENTIFIER:	3. JUST PRIOR TO OCCURRENCE: 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 (10-03) Supersedes Previous Edition Page 2 NSN 0052-00-036-8003

FIGURE 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:

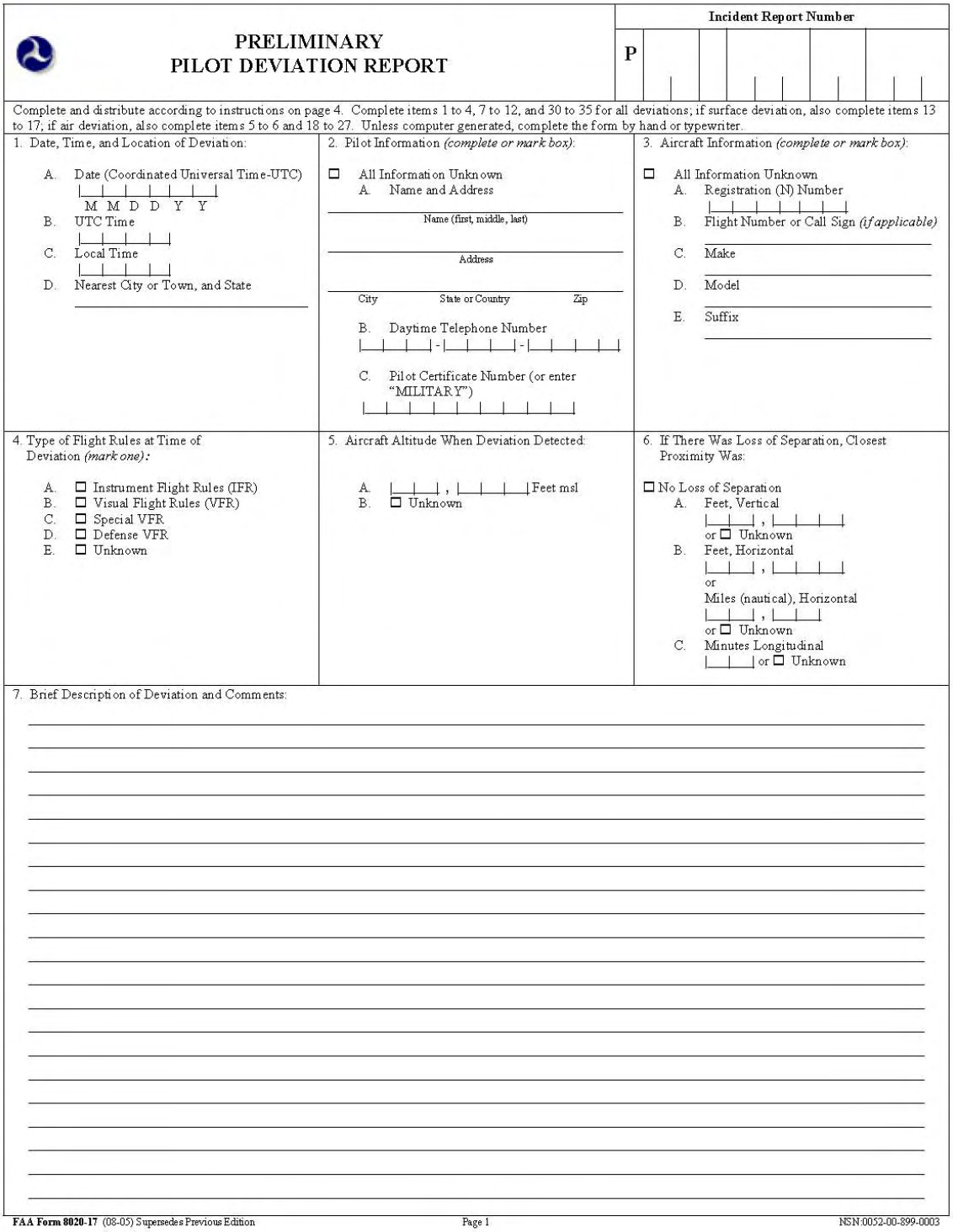
SUMMARY OF INCIDENT:

REMARKS:

ATTACHMENTS:	FORWARDED	
	DATE:	SIGNATURE OF FACILITY MANAGER:

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

FIGURE 6. FAA Form 8020-17, Preliminary Pilot Deviation Report



PRELIMINARY
PILOT DEVIATION REPORT

Incident Report Number
P

Complete and distribute according to instructions on page 4. Complete items 1 to 4, 7 to 12, and 30 to 35 for all deviations; if surface deviation, also complete items 13 to 17; if air deviation, also complete items 5 to 6 and 18 to 27. Unless computer generated, complete the form by hand or typewriter.

1. Date, Time, and Location of Deviation:
   - A. Date (Coordinated Universal Time-UTC) |_|_|_|_|_|_| M M D D Y Y
   - B. UTC Time |_|_|_|_|
   - C. Local Time |_|_|_|_|
   - D. Nearest City or Town, and State _____

2. Pilot Information *(complete or mark box)*:
   - ☐ All Information Unknown
   - A. Name and Address
     _____ Name (first, middle, last)
     _____ Address
     _____ City State or Country Zip
   - B. Daytime Telephone Number |_|_|_| - |_|_|_| - |_|_|_|_|
   - C. Pilot Certificate Number (or enter "MILITARY") |_|_|_|_|_|_|_|_|_|_|

3. Aircraft Information *(complete or mark box)*:
   - ☐ All Information Unknown
   - A. Registration (N) Number |_|_|_|_|_|_|
   - B. Flight Number or Call Sign *(if applicable)* _____
   - C. Make _____
   - D. Model _____
   - E. Suffix _____

4. Type of Flight Rules at Time of Deviation *(mark one)*:
   - A. ☐ Instrument Flight Rules (IFR)
   - B. ☐ Visual Flight Rules (VFR)
   - C. ☐ Special VFR
   - D. ☐ Defense VFR
   - E. ☐ Unknown

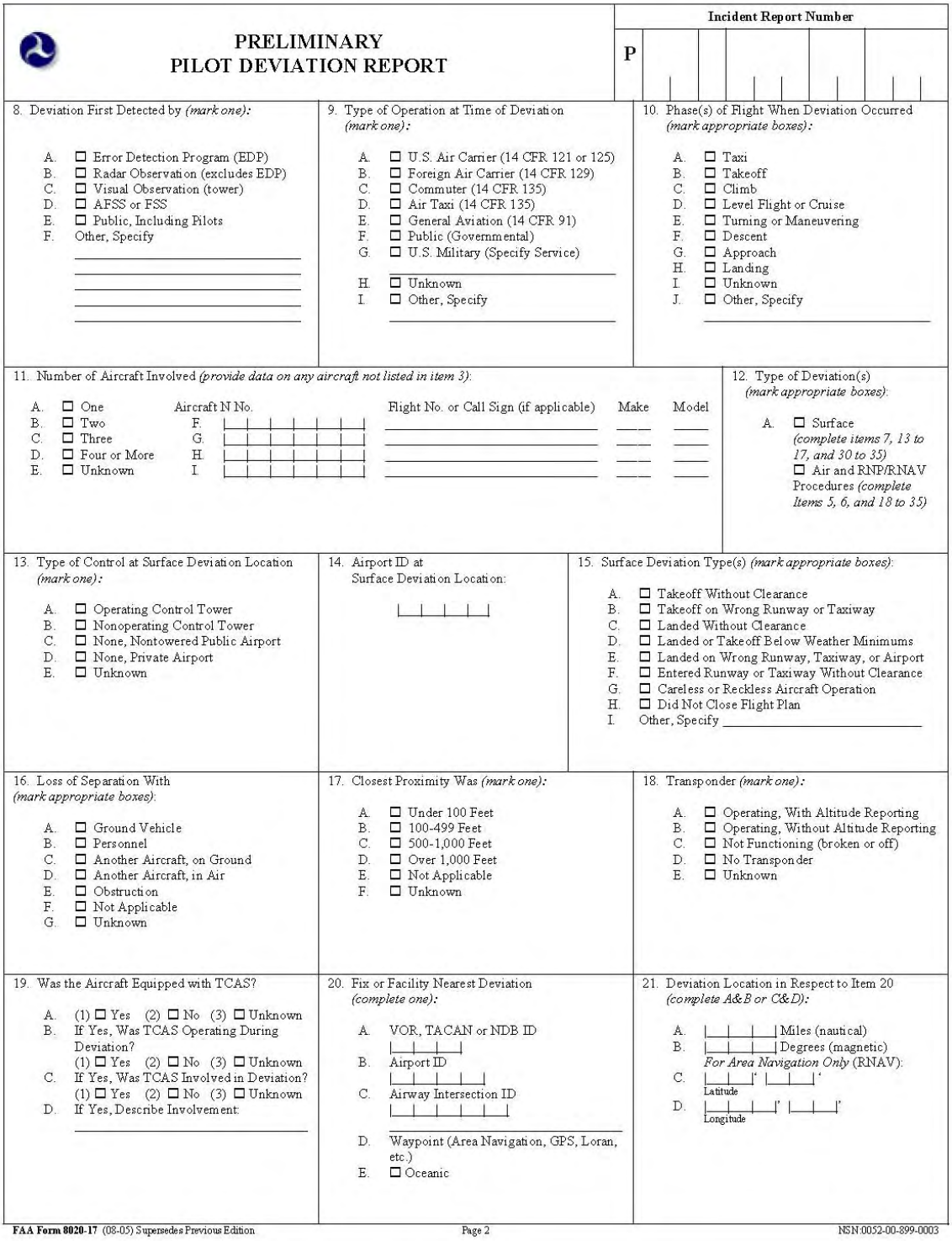
5. Aircraft Altitude When Deviation Detected:
   - A. |_|_|_| , |_|_|_|_| Feet msl
   - B. ☐ Unknown

6. If There Was Loss of Separation, Closest Proximity Was:
   - ☐ No Loss of Separation
   - A. Feet, Vertical |_|_|_| , |_|_|_|_| or ☐ Unknown
   - B. Feet, Horizontal |_|_|_| , |_|_|_|_| or Miles (nautical), Horizontal |_|_|_| , |_|_|_| or ☐ Unknown
   - C. Minutes Longitudinal |_|_|_| or ☐ Unknown

7. Brief Description of Deviation and Comments:

FAA Form 8020-17 (08-05) Supersedes Previous Edition Page 1 NSN:0052-00-899-0003

FIGURE 6. FAA Form 8020-17 (continued)



PRELIMINARY
PILOT DEVIATION REPORT

Incident Report Number
P

8. Deviation First Detected by *(mark one):*

A. ☐ Error Detection Program (EDP)
B. ☐ Radar Observation (excludes EDP)
C. ☐ Visual Observation (tower)
D. ☐ AFSS or FSS
E. ☐ Public, Including Pilots
F. Other, Specify _____

9. Type of Operation at Time of Deviation *(mark one):*

A. ☐ U.S. Air Carrier (14 CFR 121 or 125)
B. ☐ Foreign Air Carrier (14 CFR 129)
C. ☐ Commuter (14 CFR 135)
D. ☐ Air Taxi (14 CFR 135)
E. ☐ General Aviation (14 CFR 91)
F. ☐ Public (Governmental)
G. ☐ U.S. Military (Specify Service) _____
H. ☐ Unknown
I. ☐ Other, Specify _____

10. Phase(s) of Flight When Deviation Occurred *(mark appropriate boxes):*

A. ☐ Taxi
B. ☐ Takeoff
C. ☐ Climb
D. ☐ Level Flight or Cruise
E. ☐ Turning or Maneuvering
F. ☐ Descent
G. ☐ Approach
H. ☐ Landing
I. ☐ Unknown
J. ☐ Other, Specify _____

11. Number of Aircraft Involved *(provide data on any aircraft not listed in item 3):*

A. ☐ One
B. ☐ Two
C. ☐ Three
D. ☐ Four or More
E. ☐ Unknown

	Aircraft N No.	Flight No. or Call Sign (if applicable)	Make	Model
F.	|_|_|_|_|_|_|		__	____
G.	|_|_|_|_|_|_|		__	____
H.	|_|_|_|_|_|_|		__	____
I.	|_|_|_|_|_|_|		__	____

12. Type of Deviation(s) *(mark appropriate boxes):*

A. ☐ Surface *(complete items 7, 13 to 17, and 30 to 35)*
☐ Air and RNP/RNAV Procedures *(complete Items 5, 6, and 18 to 35)*

13. Type of Control at Surface Deviation Location *(mark one):*

A. ☐ Operating Control Tower
B. ☐ Nonoperating Control Tower
C. ☐ None, Nontowered Public Airport
D. ☐ None, Private Airport
E. ☐ Unknown

14. Airport ID at Surface Deviation Location:
|_\|_\|_\|_\|_\|

15. Surface Deviation Type(s) *(mark appropriate boxes):*

A. ☐ Takeoff Without Clearance
B. ☐ Takeoff on Wrong Runway or Taxiway
C. ☐ Landed Without Clearance
D. ☐ Landed or Takeoff Below Weather Minimums
E. ☐ Landed on Wrong Runway, Taxiway, or Airport
F. ☐ Entered Runway or Taxiway Without Clearance
G. ☐ Careless or Reckless Aircraft Operation
H. ☐ Did Not Close Flight Plan
I. Other, Specify _____

16. Loss of Separation With *(mark appropriate boxes):*

A. ☐ Ground Vehicle
B. ☐ Personnel
C. ☐ Another Aircraft, on Ground
D. ☐ Another Aircraft, in Air
E. ☐ Obstruction
F. ☐ Not Applicable
G. ☐ Unknown

17. Closest Proximity Was *(mark one):*

A. ☐ Under 100 Feet
B. ☐ 100-499 Feet
C. ☐ 500-1,000 Feet
D. ☐ Over 1,000 Feet
E. ☐ Not Applicable
F. ☐ Unknown

18. Transponder *(mark one):*

A. ☐ Operating, With Altitude Reporting
B. ☐ Operating, Without Altitude Reporting
C. ☐ Not Functioning (broken or off)
D. ☐ No Transponder
E. ☐ Unknown

19. Was the Aircraft Equipped with TCAS?

A. (1) ☐ Yes (2) ☐ No (3) ☐ Unknown
B. If Yes, Was TCAS Operating During Deviation?
(1) ☐ Yes (2) ☐ No (3) ☐ Unknown
C. If Yes, Was TCAS Involved in Deviation?
(1) ☐ Yes (2) ☐ No (3) ☐ Unknown
D. If Yes, Describe Involvement: _____

20. Fix or Facility Nearest Deviation *(complete one):*

A. VOR, TACAN or NDB ID
|_\|_\|_\|
B. Airport ID
|_\|_\|_\|_\|
C. Airway Intersection ID
|_\|_\|_\|_\|_\|
D. Waypoint (Area Navigation, GPS, Loran, etc.) _____
E. ☐ Oceanic

21. Deviation Location in Respect to Item 20 *(complete A&B or C&D):*

A. |_\|_\|_\| Miles (nautical)
B. |_\|_\|_\| Degrees (magnetic)
For Area Navigation Only (RNAV):
C. |_\|_\|' |_\|_\|' Latitude
D. |_\|_\|_\|' |_\|_\|' Longitude

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FIGURE 6. FAA Form 8020-17 (continued)

Incident Report Number
P

PRELIMINARY PILOT DEVIATION REPORT

22. Location in Traffic Pattern During Deviation *(mark one)*:
    - A. ☐ Upwind
    - B. ☐ Crosswind
    - C. ☐ Entry or Downwind Leg
    - D. ☐ Base Leg
    - E. ☐ Final Approach
    - F. ☐ Departure Leg or Exit
    - G. ☐ Not in Traffic Pattern
    - H. ☐ Fix/Waypoint
    - I. ☐ Unknown
    - J. Other, Specify ____________________

23. Operational Control of Aircraft *(mark a maximum of three)*:
    - A. ☐ Class A Airspace
    - B. ☐ Class B Airspace
    - C. ☐ Class C Airspace
    - D. ☐ Class D Airspace
    - E. ☐ Class E Airspace
    - F. ☐ Class G Airspace
    - G. ☐ Special Use Airspace, Specify ______
    - H. ☐ Within Terminal Radar Service Area
    - I. ☐ Towered Airport
    - J. ☐ Nontowered Airport
    - K. ☐ Unknown
    - L. ☐ Other, Specify ________________

24. Location ID of Facility(ies) Providing Air Traffic Service During Deviation *(complete appropriate boxes)*:
    - A. |___|___|___| ARTCC
    - B. |___|___|___| TRACON
    - C. |___|___|___| RAPCON, RATCF, or ARAC
    - D. |___|___|___| ATCT
    - E. |___|___|___| AFSS or FSS
    - F. ☐ None
    - G. ☐ Unknown
    - H. ☐ Other, Specify ________________

25. Preliminary Information Indicates the Air Deviation Type Was *(mark appropriate boxes)*:
    - A. ☐ ATC Altitude Clearance Deviation
    - B. ☐ ATC Course Clearance Deviation
    - C. ☐ Airspeed Clearance Violation
    - D. ☐ Airspace Clearance Violation
    - E. ☐ Flying VFR when IFR Required
    - F. ☐ Pilot Unqualified for Aircraft or Condition
    - G. ☐ Required Aircraft Equipment Not Operating
    - H. ☐ Careless or Reckless Aircraft Operation
    - I. ☐ Unauthorized Low Level flying
    - J. ☐ Missed Compulsory Reporting Point
    - K. ☐ Lateral Track Conformity (RNP/RNAV)
    - L. ☐ Vertical Track Conformity (RNP/RNAV)
    - M. ☐ Phraseology (RNP/RNAV)
    - N. ☐ ATC Automation (RNP/RNAV)
    - O. ☐ Charting Issues (RNP/RNAV)
    - P. ☐ Database Issues (RNP/RNAV)
    - Q. ☐ Other, Specify ________________
    - R. ☐ Noncompliance with Other Regulations (Specify FAR numbers [2]):

    (1) | | | |.| | | |( ) (2) | | | |.| | | |( )

26. Preliminary Information Indicates the Airspace Violation Was of *(mark one)*:
    - A. ☐ Class A Airspace
    - B. ☐ Class B Airspace
    - C. ☐ Class C Airspace
    - D. ☐ Class D Airspace
    - E. ☐ Class E Airspace
    - F. ☐ Special Use Airspace, Specify ________________
    - G. ☐ None
    - H. ☐ Unknown
    - I. ☐ Other, Specify ________________

27. If ATC altitude or Course Clearance Deviation, Maximum Deviation Was:
    - A. |__|__|, |__|__|__| Feet, Vertical or ☐ Unknown
    - B. |__|__|, |__|__|__| Feet, Horizontal

    or
    |__|__|, |__|__| Miles (nautical), Horizontal or ☐ Unknown

28. RNP/RNAV Procedure Type *(mark one)*:
    - A. ☐ Standard Instrument Departure (SID)
    - B. ☐ Standard Terminal Arrival (STAR)
    - C. ☐ Other, Specify ________________

29. RNP/RNAV Procedure Name in Respect to Item 28
    - A. ☐ SID Name ________________
    - B. ☐ STAR Name ________________
    - C. ☐ Other, Specify ________________

30. Other Reports Filed or To Be Filed *(mark appropriate boxes and complete)*:
    - A. ☐ Incident Report (FAA Form 8020-11), Specify No(s). ________
    - B. ☐ Preliminary Near Midair Collision Report (FAA Form 8020-21), Specify No(s). ________
    - C. ☐ Preliminary Operational Error/Deviation Report (FAA Form 7210-2), Specify No(s). ________
    - D. ☐ Other (including TCAS), Specify ________
    - E. ☐ None

31. Attachments *(specify, e.g., pilot statement or flight progress strip, or mark box)*: ☐ No Attachments

32. Reporting Office:
    - A. |_A_|___|___| FAA Region
    - B. |___|___|___| Location ID
    - C. |___|___|___| - |___|___|___| - |___|___|___|___| Telephone No.

33. Name of Individual Completing Form:

    ____
    Type or Print

34. Facility Manager Approving Form:
    - A. Signature ________________
    - B. Name ________________
      Type or Print
    - C. Date |__|__|__|__|__|__|
      M M D D Y Y

35. Report Distributed to:
    - A. |_A_|___|___| FAA Region Flight Standards ID |___|___|
    - B. Others, Specify ________________

FAA Form 8020-17 (08-05) Supersedes Previous Edition Page 3 NSN:0052-00-899-0003

FIGURE 6. FAA Form 8020-17 (continued)

INSTRUCTIONS

I. General

The incident report number and Items 1 to 7 of FAA Form 8020-17 must be completed and the information transmitted or arrangements made to transmit it in numerical order within 3 hours of the detection of a pilot deviation by: (1) telephone, facsimile, or in accordance with a regional agreement to the FSDO with jurisdiction over the area in which the pilot deviation occurred; and (2) by facsimile or National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence to FAA headquarters and others. If the pilot deviation is significant, the above information should be communicated immediately by telephone to FAA headquarters. The remainder of the form must be completed and mailed by first class mail within 10 calendar days of the pilot deviation. The definition of a pilot deviation and instructions on distribution of FAA Form 8020-17 are in FAA Order 8020.16, "Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting."

If a pilot deviation resulted in a near midair collision, FAA Form 8020-17 and FAA Form 8020-21, "Preliminary Near Midair Collision Report," both must be completed and distributed. Assign the two reports different incident report numbers.

Complete Items 1 to 4, 7 to 12, and 30 to 35 for all deviations; if surface deviation, also complete Items 13 to 17; if air deviation, also complete Items 5 to 6 and 18 to 27. If the categories given are inadequate, complete "Other, Specify." Provide comments in Item 7, not the margins. Sign and date the form (Item 34) before distribution.

II. Incident Report Number

Each facility completing FAA Form 8020-17 is responsible for assigning a unique 12-character number to each reported pilot deviation. The first character is **P**, for Pilot Deviation. The second and third characters are the abbreviation of the FAA region in which the deviation occurred:

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

The fourth character identifies the type of facility completing the form:

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

For combined TRACON and ATCT operations, use the character for the TRACON or ATCT reporting the pilot deviation.

The fifth through seventh characters are the facility location identifier (see FAA Order 7350.6), e.g., **ZNY**; or FSDO ID, e.g., **025**. The eighth and ninth characters are the calendar year in which the incident occurred, e.g., **03** for 2003.

The last three characters are the sequential incident report number for the year, by reporting facility and type of incident (e.g., pilot deviations would be numbered **001** to **999** in 2003 at a given facility).

III. Abbreviations

The following abbreviations are used:

AFSS	- Automated Flight Service Station
ARAC	- Army Radar Approach Control
ARTCC	- Air Route Traffic Control Center
ATCT	- Airport Traffic Control Tower
CFR	- Code of Federal Regulations
FSDO	- Flight Standards District Office
FSS	- Flight Service Station
GPS	- Global Positioning System
HATR	- Hazardous Air Traffic Report
MSL	- Mean Sea Level
NDB	- Nondirectional Beacon
RAPCON	- Radar Approach Control
RATCF	- Radar Air Traffic Control Facility
TACAN	- Tactical Air Navigation
TCAS	- Traffic Alert and Collision Avoidance System
TRACON	- Terminal Radar Approach Control
VOR	- Very High Frequency Omni Directional Range Station

FAA Form 8020-17 (08-05) Supersedes Previous Edition Page 4 NSN:0052-00-899-0003

FIGURE 7. FAA Form 8020-19, Reclassification of Aviation Incident Report

RECLASSIFICATION OF AVIATION INCIDENT REPORT

Complete this form to reclassify a preliminary incident report (FAA Forms 8020-17, 8020-21, or 8020-24) or to correct a report number on those forms. Complete all items and forward in accordance with the instructions below and in FAA Order 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting. Unless computer generated, complete the form by hand or typewriter.

1. Original Incident Report Number From FAA Forms 8020-17, 8020-21, or 8020-24: |_|_|_|_|_|_|_|_|_|_|_|_|_|_|

2. Date and Time of Incident:

   A. Date (Coordinated Universal Time-UTC) |_|_|_|_|_|_|_|_|
   M M D D Y Y

   B. UTC Time |_|_|_|_|

   C. Local Time |_|_|_|_|

   D. Nearest City or Town, and State _____

3. Reclassifying Facility or Office:

   A. FAA Region |A|_|_|

   B. Location ID *(complete one)*:

   (1) Air Traffic Control (e.g., VNY) |_|_|_|

   (2) Flight Standards (e.g. 25) |_|_|

4. Incident Reclassified as *(mark one)*:

   A. ☐ Operational Error or Deviation *(complete Item 5A)*

   B. ☐ Pilot Deviation *(complete Item 5B)*

   C. ☐ Report Number Correction *(complete Item 5B)*

   D. ☐ Insufficient Evidence to Investigate *(complete Item 5C)*

   E. ☐ No Incident *(complete Item 5D)*

   F. ☐ Other, Specify _____

5. New Incident Report Number *(complete one)*:

   A. Operational Error or Deviation |_|_|_|_|_|_|_|_|_|_|_|_|_|_|

   B. Pilot Deviation, Near Midair Collision, or Vehicle or Pedestrian Deviation |_|_|_|_|_|_|_|_|_|_|_|_|_|_|

   C. ☐ Reclassified as "Insufficient Evidence to Investigate"

   D. ☐ Reclassified as "No Incident"

   E. ☐ Not Applicable

6. Reclassification Reason and Comments *(comments optional)*:

   _____

   _____

   _____

   _____

7. Facility Manager or Inspector Approving Form:

   A. Signature _____

   B. Name _____
   Type or Print

   C. Date |_|_|_|_|_|_|_|_|
   M M D D Y Y

8. Report Distributed to:

   A. Acquisition and Business Services, Technical Services Program

   B. Others, List

   _____

   _____

   _____

   _____

   _____

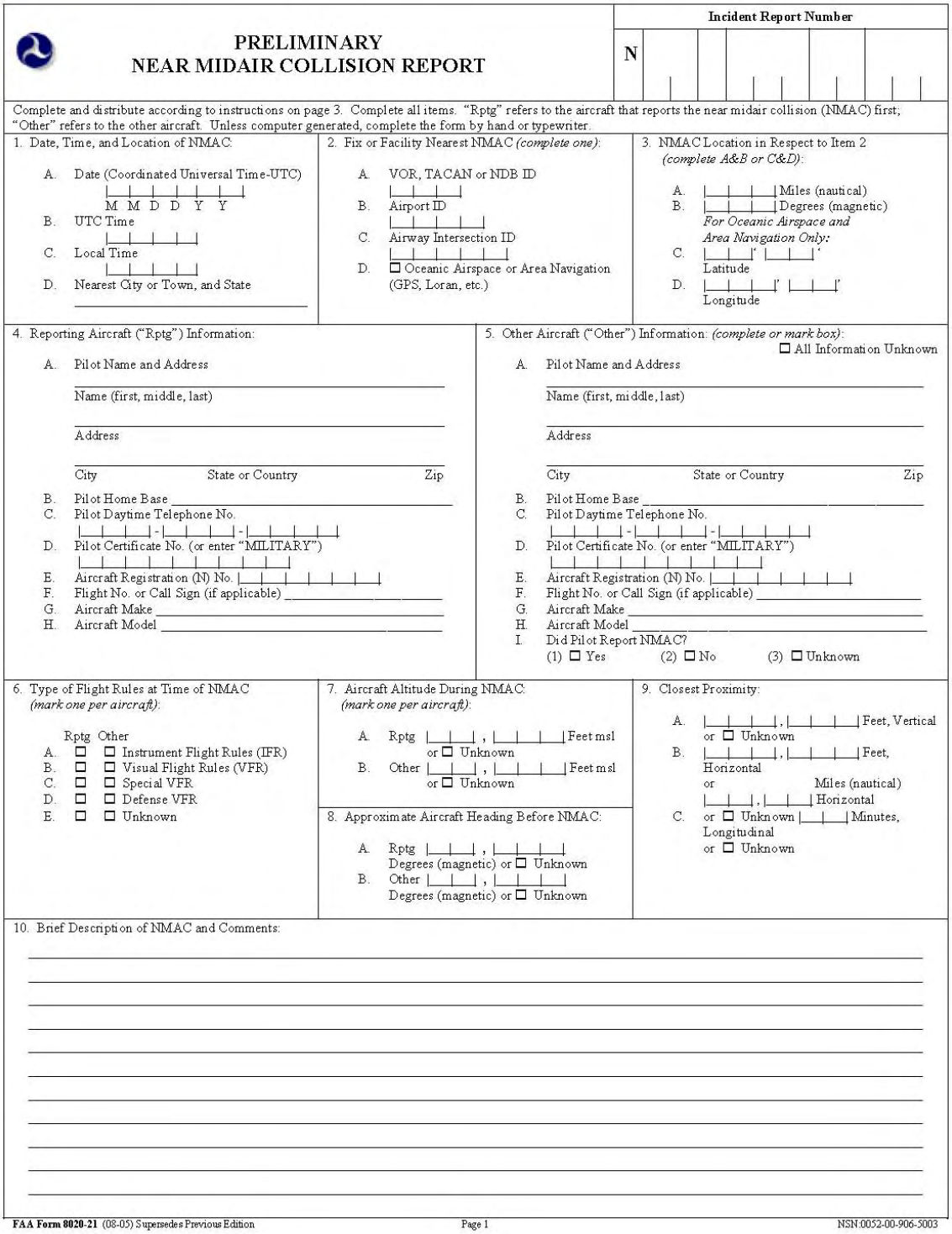
INSTRUCTIONS

Reclassification of an incident should be based on new or additional information that was not available when the preliminary report was filed. Air Traffic Control will only use this form to correct a report number. An investigative report does not have to be completed for an incident that is reclassified as "Insufficient Evidence to Investigate" or "No Incident."

The distribution of the completed FAA Form 8020-19 should be the same as for the corresponding preliminary incident report. Forward copies to the organization responsible for the incident investigation and to the organizations that received the preliminary report, including Acquisition and Business Services, Technical Services Program. Sign and date the form (Item 7) before distribution.

FAA Form 8020-19 (08-05) Supersedes Previous Edition NSN:0052-00-899-2002

FIGURE 8. FAA Form 8020-21, Preliminary Near Midair Collision Report



PRELIMINARY
NEAR MIDAIR COLLISION REPORT

Incident Report Number
N

Complete and distribute according to instructions on page 3. Complete all items. "Rptg" refers to the aircraft that reports the near midair collision (NMAC) first; "Other" refers to the other aircraft. Unless computer generated, complete the form by hand or typewriter.

1. Date, Time, and Location of NMAC:
   - A. Date (Coordinated Universal Time-UTC) |_|_|_|_|_|_|
     M M D D Y Y
   - B. UTC Time |_|_|_|_|
   - C. Local Time |_|_|_|_|
   - D. Nearest City or Town, and State _____

2. Fix or Facility Nearest NMAC *(complete one)*:
   - A. VOR, TACAN or NDB ID |_|_|_|
   - B. Airport ID |_|_|_|_|
   - C. Airway Intersection ID |_|_|_|_|_|
   - D. ☐ Oceanic Airspace or Area Navigation (GPS, Loran, etc.)

3. NMAC Location in Respect to Item 2 *(complete A&B or C&D)*:
   - A. |_|_|_| Miles (nautical)
   - B. |_|_|_| Degrees (magnetic)

   For Oceanic Airspace and Area Navigation Only:
   - C. |_|_|° |_|_|' Latitude
   - D. |_|_|_|° |_|_|' Longitude

4. Reporting Aircraft ("Rptg") Information:
   - A. Pilot Name and Address
     _____ Name (first, middle, last)
     _____ Address
     _____ City State or Country Zip
   - B. Pilot Home Base _____
   - C. Pilot Daytime Telephone No. |_|_|_|-|_|_|_|-|_|_|_|_|
   - D. Pilot Certificate No. (or enter "MILITARY") |_|_|_|_|_|_|_|_|_|_|
   - E. Aircraft Registration (N) No. |_|_|_|_|_|
   - F. Flight No. or Call Sign (if applicable) _____
   - G. Aircraft Make _____
   - H. Aircraft Model _____

5. Other Aircraft ("Other") Information: *(complete or mark box)*: ☐ All Information Unknown
   - A. Pilot Name and Address
     _____ Name (first, middle, last)
     _____ Address
     _____ City State or Country Zip
   - B. Pilot Home Base _____
   - C. Pilot Daytime Telephone No. |_|_|_|-|_|_|_|-|_|_|_|_|
   - D. Pilot Certificate No. (or enter "MILITARY") |_|_|_|_|_|_|_|_|_|_|
   - E. Aircraft Registration (N) No. |_|_|_|_|_|
   - F. Flight No. or Call Sign (if applicable) _____
   - G. Aircraft Make _____
   - H. Aircraft Model _____
   - I. Did Pilot Report NMAC?
     (1) ☐ Yes (2) ☐ No (3) ☐ Unknown

6. Type of Flight Rules at Time of NMAC *(mark one per aircraft)*:

	Rptg	Other	
A.	☐	☐	Instrument Flight Rules (IFR)
B.	☐	☐	Visual Flight Rules (VFR)
C.	☐	☐	Special VFR
D.	☐	☐	Defense VFR
E.	☐	☐	Unknown

7. Aircraft Altitude During NMAC *(mark one per aircraft)*:
   - A. Rptg |_|_|_| , |_|_|_|_| Feet msl or ☐ Unknown
   - B. Other |_|_|_| , |_|_|_|_| Feet msl or ☐ Unknown

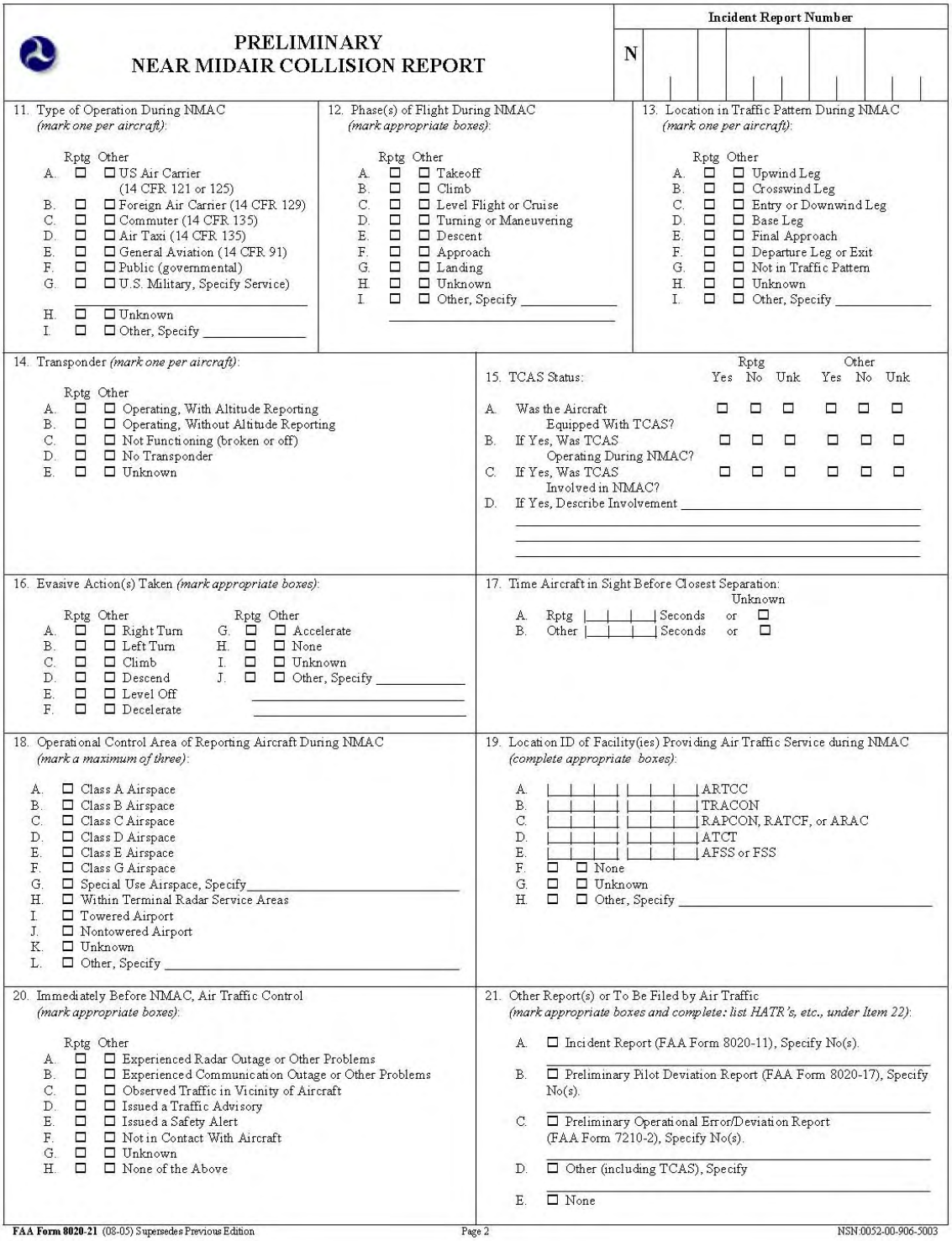
8. Approximate Aircraft Heading Before NMAC:
   - A. Rptg |_|_|_| , |_|_|_|_| Degrees (magnetic) or ☐ Unknown
   - B. Other |_|_|_| , |_|_|_|_| Degrees (magnetic) or ☐ Unknown

9. Closest Proximity:
   - A. |_|_|_|_| , |_|_|_|_| Feet, Vertical or ☐ Unknown
   - B. |_|_|_|_| , |_|_|_|_| Feet, Horizontal or Miles (nautical) |_|_|_| , |_|_|_| Horizontal
   - C. or ☐ Unknown |_|_|_| Minutes, Longitudinal or ☐ Unknown

10. Brief Description of NMAC and Comments:
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

FAA Form 8020-21 (08-05) Supersedes Previous Edition Page 1 NSN:0052-00-906-5003

FIGURE 8. FAA Form 8020-21 (continued)



PRELIMINARY
NEAR MIDAIR COLLISION REPORT

Incident Report Number
N

11. Type of Operation During NMAC *(mark one per aircraft)*:

	Rptg	Other	
A.	☐	☐	US Air Carrier (14 CFR 121 or 125)
B.	☐	☐	Foreign Air Carrier (14 CFR 129)
C.	☐	☐	Commuter (14 CFR 135)
D.	☐	☐	Air Taxi (14 CFR 135)
E.	☐	☐	General Aviation (14 CFR 91)
F.	☐	☐	Public (governmental)
G.	☐	☐	U.S. Military, Specify Service) _____
H.	☐	☐	Unknown
I.	☐	☐	Other, Specify _____

12. Phase(s) of Flight During NMAC *(mark appropriate boxes)*:

	Rptg	Other	
A.	☐	☐	Takeoff
B.	☐	☐	Climb
C.	☐	☐	Level Flight or Cruise
D.	☐	☐	Turning or Maneuvering
E.	☐	☐	Descent
F.	☐	☐	Approach
G.	☐	☐	Landing
H.	☐	☐	Unknown
I.	☐	☐	Other, Specify _____

13. Location in Traffic Pattern During NMAC *(mark one per aircraft)*:

	Rptg	Other	
A.	☐	☐	Upwind Leg
B.	☐	☐	Crosswind Leg
C.	☐	☐	Entry or Downwind Leg
D.	☐	☐	Base Leg
E.	☐	☐	Final Approach
F.	☐	☐	Departure Leg or Exit
G.	☐	☐	Not in Traffic Pattern
H.	☐	☐	Unknown
I.	☐	☐	Other, Specify _____

14. Transponder *(mark one per aircraft)*:

	Rptg	Other	
A.	☐	☐	Operating, With Altitude Reporting
B.	☐	☐	Operating, Without Altitude Reporting
C.	☐	☐	Not Functioning (broken or off)
D.	☐	☐	No Transponder
E.	☐	☐	Unknown

15. TCAS Status:

	Rptg Yes	Rptg No	Rptg Unk	Other Yes	Other No	Other Unk
A. Was the Aircraft Equipped With TCAS?	☐	☐	☐	☐	☐	☐
B. If Yes, Was TCAS Operating During NMAC?	☐	☐	☐	☐	☐	☐
C. If Yes, Was TCAS Involved in NMAC?	☐	☐	☐	☐	☐	☐

D. If Yes, Describe Involvement _____

16. Evasive Action(s) Taken *(mark appropriate boxes)*:

	Rptg	Other		Rptg	Other	
A.	☐	☐	Right Turn	G. ☐	☐	Accelerate
B.	☐	☐	Left Turn	H. ☐	☐	None
C.	☐	☐	Climb	I. ☐	☐	Unknown
D.	☐	☐	Descend	J. ☐	☐	Other, Specify _____
E.	☐	☐	Level Off			
F.	☐	☐	Decelerate			

17. Time Aircraft in Sight Before Closest Separation:

A.	Rptg	|__|__|__| Seconds	or	Unknown ☐
B.	Other	|__|__|__| Seconds	or	☐

18. Operational Control Area of Reporting Aircraft During NMAC *(mark a maximum of three)*:

A.	☐	Class A Airspace
B.	☐	Class B Airspace
C.	☐	Class C Airspace
D.	☐	Class D Airspace
E.	☐	Class E Airspace
F.	☐	Class G Airspace
G.	☐	Special Use Airspace, Specify_____
H.	☐	Within Terminal Radar Service Areas
I.	☐	Towered Airport
J.	☐	Nontowered Airport
K.	☐	Unknown
L.	☐	Other, Specify _____

19. Location ID of Facility(ies) Providing Air Traffic Service during NMAC *(complete appropriate boxes)*:

A.	|__|__|__| |__|__|__|	ARTCC
B.	|__|__|__| |__|__|__|	TRACON
C.	|__|__|__| |__|__|__|	RAPCON, RATCF, or ARAC
D.	|__|__|__| |__|__|__|	ATCT
E.	|__|__|__| |__|__|__|	AFSS or FSS
F.	☐	None
G.	☐	Unknown
H.	☐	Other, Specify _____

20. Immediately Before NMAC, Air Traffic Control *(mark appropriate boxes)*:

	Rptg	Other	
A.	☐	☐	Experienced Radar Outage or Other Problems
B.	☐	☐	Experienced Communication Outage or Other Problems
C.	☐	☐	Observed Traffic in Vicinity of Aircraft
D.	☐	☐	Issued a Traffic Advisory
E.	☐	☐	Issued a Safety Alert
F.	☐	☐	Not in Contact With Aircraft
G.	☐	☐	Unknown
H.	☐	☐	None of the Above

21. Other Report(s) or To Be Filed by Air Traffic *(mark appropriate boxes and complete: list HATR's, etc., under Item 22)*:

A. ☐ Incident Report (FAA Form 8020-11), Specify No(s). _____

B. ☐ Preliminary Pilot Deviation Report (FAA Form 8020-17), Specify No(s). _____

C. ☐ Preliminary Operational Error/Deviation Report (FAA Form 7210-2), Specify No(s). _____

D. ☐ Other (including TCAS), Specify _____

E. ☐ None

FAA Form 8020-21 (08-05) Supersedes Previous Edition Page 2 NSN:0052-00-906-5003

FIGURE 8. FAA Form 8020-21 (continued)

PRELIMINARY
NEAR MIDAIR COLLISION REPORT

Incident Report Number: N

22. Attachments *(specify, e.g., pilot statement or flight progress strip, or mark box)*: ☐ No Attachments

23. Reporting Office:
A. |A|__|__| FAA Region
B. |__|__|__| Location ID
C. |__|__|__|-|__|__|__|-|__|__|__|__| Telephone No.

24. Name of Individual Completing Form:
Type or Print

25. Facility Manager Approving Form:
A. Signature
B. Name
Type or Print
C. Date |__|__|__|__|__|__| M M D D Y Y

26. Report Distributed to:
A. |A|__|__| FAA Region Flight Standards ID |__|__|
B. Others, Specify

INSTRUCTIONS

I. General

The incident report number and Items 1, 2, 3, 4E and/or F, 4G, 5E and/or F, 5G, and 6 to 10 of FAA Form 8020-21 must be completed and the information transmitted or arrangements made to transmit it in numerical order within 3 hours of the NMAC notification by: (1) telephone, facsimile, or in accordance with a regional agreement to the FSDO with jurisdiction over the area in which the NMAC occurred; and (2) by facsimile or National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence to FAA headquarters and others. If the NMAC is significant, the above information should be communicated immediately by telephone to FAA headquarters. The remainder of the form must be completed and mailed by first class mail within 10 calendar days of the notification of a NMAC. The definition of a NMAC and instructions on distribution of FAA Form 8020-21 are in FAA Order 8020.16, "Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting."

If both aircraft involved in the NMAC report the event, designate the first reporting aircraft as "Rptg" and the second as "Other." If more than two aircraft are involved (except for formations when one form should be completed for the entire formation), complete an additional form(s) and assign the form(s) the same incident report number as the primary form. Report the number of forms and which form is the primary form in Item 10.

Complete all items. If the categories given are inadequate, complete "Other, Specify." If data for both the reporting and other aircraft appear under "Other, Specify," provide the reporting aircraft data first, followed by the other aircraft data. Provide comments in Item 10, not the margins. Sign and date the form (Item 25) before distribution.

II. Incident Report Number

Each facility completing FAA Form 8020-21 is responsible for assigning a unique 12-character number to each reported NMAC. The first character is **N**, for NMAC. The second and third characters are the abbreviation of the FAA region in which the incident occurred:

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

The fourth character identifies the type of facility completing the form:

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

For combined TRACON and ATCT operations, use the character for the TRACON or ATCT reporting the NMAC.

The fifth through seventh characters are the facility location identifier (see FAA Order 7350.6), e.g., **ZNY**; or FSDO ID, e.g., **025**. The eighth and ninth characters are the calendar year in which the incident occurred, e.g., **03** for 2003.

The last three characters are the sequential incident report number for the year, by reporting facility and type of incident (e.g., NMAC's would be numbered **001** to **999** in 2003 at a given facility).

III. Abbreviations

The following abbreviations are used:

AFSS	-	Automated Flight Service Station
ARAC	-	Army Radar Approach Control
ARTCC	-	Air Route Traffic Control Center
ATCT	-	Airport Traffic Control Tower
CFR	-	Code of Federal Regulations
FSDO	-	Flight Standards District Office
FSS	-	Flight Service Station
GPS	-	Global Positioning System
HATR	-	Hazardous Air Traffic Report
MSL	-	Mean Sea Level
NDB	-	Nondirectional Beacon
RAPCON	-	Radar Approach Control
RATCF	-	Radar Air Traffic Control Facility
TACAN	-	Tactical Air Navigation
TCAS	-	Traffic Alert and Collision Avoidance System
TRACON	-	Terminal Radar Approach Control
VOR	-	Very High Frequency Omni directional Range Station

FAA Form 8020-21 (08-05) Supersedes Previous Edition Page 3 NSN:0052-00-906-5003

FIGURE 9. FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report

PRELIMINARY
VEHICLE OR PEDESTRIAN DEVIATION REPORT

Incident Report Number
V

Air Traffic Control should complete this form after observing a vehicle or pedestrian deviation (V/PD) or receiving a report of one. Complete and distribute according to the instructions on page 3. Unless computer generated, complete the form by hand or typewriter.

1. Date, Time, and Location of Deviation:
   - A. Date (Coordinated Universal Time-UTC) |_|_|_|_|_|_| M M D D Y Y
   - B. UTC Time |_|_|_|_|
   - C. Local Time |_|_|_|_|
   - D. Airport ID at Surface Deviation Location |_|_|_|_|
   - E. Nearest City or Town, and State _____

2. Type of Deviation *(mark one)*:
   - A. ☐ Vehicle (excludes bicycles; includes aircraft being repositioned; *complete remainder of form, except item 14)*
   - B. ☐ Pedestrian (includes bicycles; *complete items 5 to 11, and 14 to 22)*

3. If There Was Loss of Separation *(mark one)*:
   - A. ☐ Yes, Closest Proximity Was
     1. Horizontal _____ Feet
     2. Vertical _____ Feet
   - B. ☐ No

4. Vehicle Information *(report bicycles in item 14)*:
   - A. Type *(mark one)*
     1. ☐ Tug
     2. ☐ Baggage or Cargo Truck
     3. ☐ Fuel Truck
     4. ☐ Aircraft Being Relocated by Non-pilot
     5. ☐ Snow Removal Equipment
     6. ☐ Mower
     7. ☐ Construction Equipment
     8. ☐ Motorcycle
     9. ☐ Car (includes sport-utility vehicles)
     10. ☐ Other Trucks (includes buses, vans, etc.)
     11. Other, Specify _____
   - B. License/Tail No _____
   - C. State of License _____
   - D. Call Sign *(if applicable)* _____
   - E. Make _____
   - F. Model _____
   - G. If Vehicle Was Escorted, Specify _____

5. Surface Detection Equipment:
   - A. ☐ No Surface Detection Equipment at the Airport *(skip to item 6)*
   - B. Equipment Was Operational (1) ☐ Yes (2) ☐ No (3) ☐ Unknown
   - C. Equipment Was On (1) ☐ Yes (2) ☐ No (3) ☐ Unknown
   - D. Movement Was Detected by Equipment ASDE/AMASS Only (1) ☐ Yes (2) ☐ No (3) ☐ Unknown
   - E. There Was an Alert (1) ☐ Yes (2) ☐ No (3) ☐ Unknown
   - F. There Was a Response to Alert (1) ☐ Yes (2) ☐ No (3) ☐ Unknown

6. Environmental Conditions *(mark appropriate boxes)*:
   - A. ☐ Clear
   - B. ☐ Cloudy Day
   - C. ☐ Rain ( ) Light/Moderate ( ) Heavy
   - D. ☐ Thunderstorm
   - E. ☐ Snow ( ) Light/Moderate ( ) Heavy
   - F. ☐ Freezing Rain
   - G. ☐ Fog
   - H. ☐ Snow on Pavement
   - I. ☐ Slush
   - J. ☐ Other, Specify _____
   - K. ☐ Prevailing Visibility _____ (Statue Miles)
     ☐ Runway Visual Range _____ (Feet)
     ☐ Runway Visibility Value _____ (Statue Miles)
   - L. ☐ Temperature _____ Fahrenheit
   - M. ☐ Ceiling _____ Feet

7. Deviation Occurred on the Following Movement Area(s) *(mark appropriate boxes, describe pertinent non-movement areas in item 10)*:
   - A. ☐ Runway, Specify _____
   - B. ☐ Taxiway, Specify _____
   - C. ☐ Intersection, Specify _____
   - D. ☐ Other, Specify _____

8. A Clearance Was Issued or Amended to Preclude a Loss of Separation or Collision Hazard *(mark one)*:
   - A. ☐ Yes, Specify _____
   - B. ☐ No

9. Did Pilot, Driver, or Pedestrian Take or Request an Evasive Action to Avoid a Collision Hazard *(mark one)*:
   - A. ☐ Yes, Specify _____
   - B. ☐ No
   - C. ☐ Unknown

10. Description of Deviation and Comments:

FAA Form 8020-24 (08-05) Supersedes Previous Edition Page 1 NSN:0052-00-922-4002

FIGURE 9. FAA Form 8020-24 (continued)

PRELIMINARY
VEHICLE OR PEDESTRIAN DEVIATION REPORT

Incident Report Number
V

11. A Piloted Aircraft Was Operating on the Runway When the V/PD Occurred *(mark appropriate boxes)*:

A. ☐ Yes (complete items 11C to 11H)
B. ☐ No *(skip to item 12)*
C. Make _____
D. Model _____
E. Flight Number or Call sign *(if applicable)*
_____
F. Registration (N) Number
|_|_|_|_|_|_|
G. Pilot's Name _____
H. ☐ Pilot Accepted LAHSO Clearance

12. Vehicle Equipment and Communication with ATC *(mark one)*:

A. ☐ No Communication Equipment
B. ☐ 2-Way Radio Used
C. ☐ Telephone Used
D. ☐ Headlights Flashed
E. ☐ Flashing Lights Operating on Vehicle
F. ☐ Flag Flown
G. ☐ Equipment Not Operational, Specify _____
H. ☐ Vehicle's Equipment Unknown
I. ☐ Communication Difficulty With ATC, Specify _____
J. ☐ Unable to Start Vehicle
K. ☐ Other, Specify _____

13. Driver Information:

A. Name _____
B. Employed By
1. ☐ Airline
2. ☐ Airport Employee
3. ☐ Airport Tenant
4. ☐ Airport Contractor
5. ☐ FAA
6. ☐ Military Branch
7. ☐ Other Government
8. ☐ Airline Passenger
9. ☐ Airport Visitor
10. ☐ Taxi/Limo Service
11. ☐ General Aviation
12. ☐ Unknown
13. ☐ Other, Specify _____
C. Employer Name and Address *(if applicable)*
_____
_____
_____
_____
_____

14. Pedestrian Information (includes bicycles):

A. Name _____
B. Employed By
1. ☐ Airline
2. ☐ Airport Employee
3. ☐ Airport Tenant
4. ☐ Airport Contractor
5. ☐ FAA
6. ☐ Military Branch
7. ☐ Other Government
8. ☐ Airline Passenger
9. ☐ Airport Visitor
10. ☐ Taxi/Limo Service
11. ☐ General Aviation
12. ☐ Unknown
13. ☐ Other, Specify _____
C. Employer Name and Address *(if applicable)*
_____
_____
_____
_____
_____

15. Deviation Area Was Visible From the Tower *(mark one)*:

A. ☐ Yes
B. ☐ No
C. ☐ Partially, Specify _____

16. Deviation First Detected By *(mark one)*:

A. Tower Personnel Observation of
1. ☐ Movement Area
2. ☐ Airport Surface Detection Equipment (ASDE)
B. ☐ ASDE With Airport Movement Area Safety System (AMASS)
C. ☐ Airport Security
D. ☐ Public, Including Pilot
E. ☐ Other, Specify _____

17. Movement Area Had *(mark appropriate boxes)*:

A. ☐ Recent Runway or Taxiway Configuration Changes
B. ☐ Construction Activity
C. ☐ Portion Closed by Notice to Airmen, Specify Closed Area _____
D. ☐ Other, Specify _____
E. ☐ None of the Above

18. Attachment(s):

A. ☐ Airport Diagram (REQUIRED)
B. ☐ Other, Specify _____
_____
_____
_____

19. Airport Management Notified of Deviation:

A. Airport Manager's Name _____
B. Local Date
|_|_|_|_|_|_|
M M D D Y Y
C. Local Time
|_|_|_|_|

20. Name of Individual Completing Form:

A. Name (type or print)
_____
B. Telephone Number
( ) - _____ - _____

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FIGURE 9. FAA Form 8020-24 (continued)

PRELIMINARY
VEHICLE OR PEDESTRIAN DEVIATION REPORT

Incident Report Number

V | | | | | | | | | | | |

21. Facility Manager Approving Form:

A. Signature _____
B. Name (type or print)
_____
C. Local Date
|_|_|_|_|_|_|
M M D D Y Y

22. Report Distributed to:

A. |A|_|_| FAA Region
B. Division Offices
☐ Airports
☐ Air Traffic
☐ Flight Standards (only if 11A is checked)
C. Others
☐ Airport Manager
☐ AAS-300
☐ System Safety Investigations
☐ Acquisition and Business Services, Technical Services Program
☐ System Safety, Runway Operational Safety and Operational Services
☐ _____

INSTRUCTIONS

I. General

The incident report number and Items 1 to 10 of FAA Form 8020-24 must be completed and information transmitted or arrangements made to transmit it in numerical order within 3 hours of the detection of a V/PD. Transmit by: (1) telephone, facsimile, or in accordance with regional agreement to the Airports Division Office with jurisdiction over the area in which the V/PD occurred, and (2) by facsimile or National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence to FAA headquarters and others. If the V/PD is significant (e.g., involving air carriers, air taxis, or prominent persons), the above information should be communicated immediately by telephone to FAA headquarters. The form must be completed and mailed by first class mail within 10 calendar days of the V/PD. The definition of a V/PD and instructions on distribution of FAA Form 8020-24 are in FAA Order 8020.16, "Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting." A V/PD that leads to an accident should also be reported as a V/PD using this form. If more than one vehicle or pedestrian was involved, file a single report based on the first vehicle or pedestrian involved in the deviation. Describe the other participants in Item 10.

If the categories given are inadequate, complete "Other, Specify." Sign and date the form (Item 21) before distribution.

II. Incident Report Number

Each facility completing FAA Form 8020-24 is responsible for assigning a unique 12-character number to each reported V/PD. The first character is V, for V/PD.

The second and third characters are the abbreviation of the FAA region in which the deviation occurred:

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

The fourth character identifies the type of facility completing the form:

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

For combined TRACON or ATCT operations, use the character for the TRACON or ATCT reporting the V/PD.

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

The eighth and ninth characters are the calendar year in which the V/PD occurred; e.g., 04 for 2004.

The last three characters are the sequential V/PD number for the year by reporting facility; e.g., V/PD's would be numbered 001 to 999 in 2004 at a given facility.

III. Abbreviations

The following abbreviations are used:

AFSS - Automated Flight Service Station
ARTCC - Air Route Traffic Control Center
ATCT - Airport Traffic Control Tower
FSDO - Flight Standards District Office
FSS - Flight Service Station
TRACON - Terminal Radar Approach Control

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FIGURE 10. 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 ACCIDENT/INCIDENT:	5. DATE/TIME OF ACCIDENT/INCIDENT (UTC):	6. EQUIPMENT ATTACHMENT: ☐ YES ☐ NO
7. NAME (OPERATING INITIALS):	8. TITLE:	9. POSITION AND TIME (UTC):

10. COMPLETE IN ACCORDANCE WITH FAA ORDER 8020.16, AIR TRAFFIC ORGANIZATION, AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION, INVESTIGATION, AND REPORTING, PARAGRAPH 91, FAA FORM 8020-26, PERSONNEL STATEMENTS. THE PURPOSE OF THIS STATEMENT IS TO PROVIDE ANY FACTS WITHIN YOUR PERSONAL KNOWLEDGE THAT WILL PROVIDE A COMPLETE UNDERSTANDING OF THE CIRCUMSTANCES SURROUNDING THIS ACCIDENT/ INCIDENT. SPECULATIONS, HEARSAY, OPINIONS, CONCLUSIONS, AND/OR OTHER EXTRANEOUS DATA ARE NOT TO BE INCLUDED IN THIS STATEMENT. THIS STATEMENT MAY BE RELEASED TO THE PUBLIC THROUGH THE FREEDOM OF INFORMATION ACT OR LITIGATION ACTIVITIES INCLUDING PRETRIAL DISCOVERY, DEPOSITIONS, AND ACTUAL COURT TESTIMONY. THIS STATEMENT IS TO BE HAND PRINTED AND SIGNED BY YOU, AND YOUR SIGNATURE BELOW CERTIFIES THE ACCURACY OF THIS STATEMENT. IT WILL NEITHER BE EDITED NOR TYPED AND, ONCE SIGNED, WILL CONSTITUTE YOUR ORIGINAL STATEMENT.

11. TEXT OF STATEMENT: ☐ ORIGINAL ☐ SUPPLEMENTAL

12. SIGNATURE OF WITNESS:	13. DATE OF SIGNATURE:

FAA Form 8020-26 (08-05)

APPENDIX 2. EXAMPLE OF AIR TRAFFIC AIRCRAFT ACCIDENT PACKAGE

a. Accident Package Labeling (paragraph 82c).

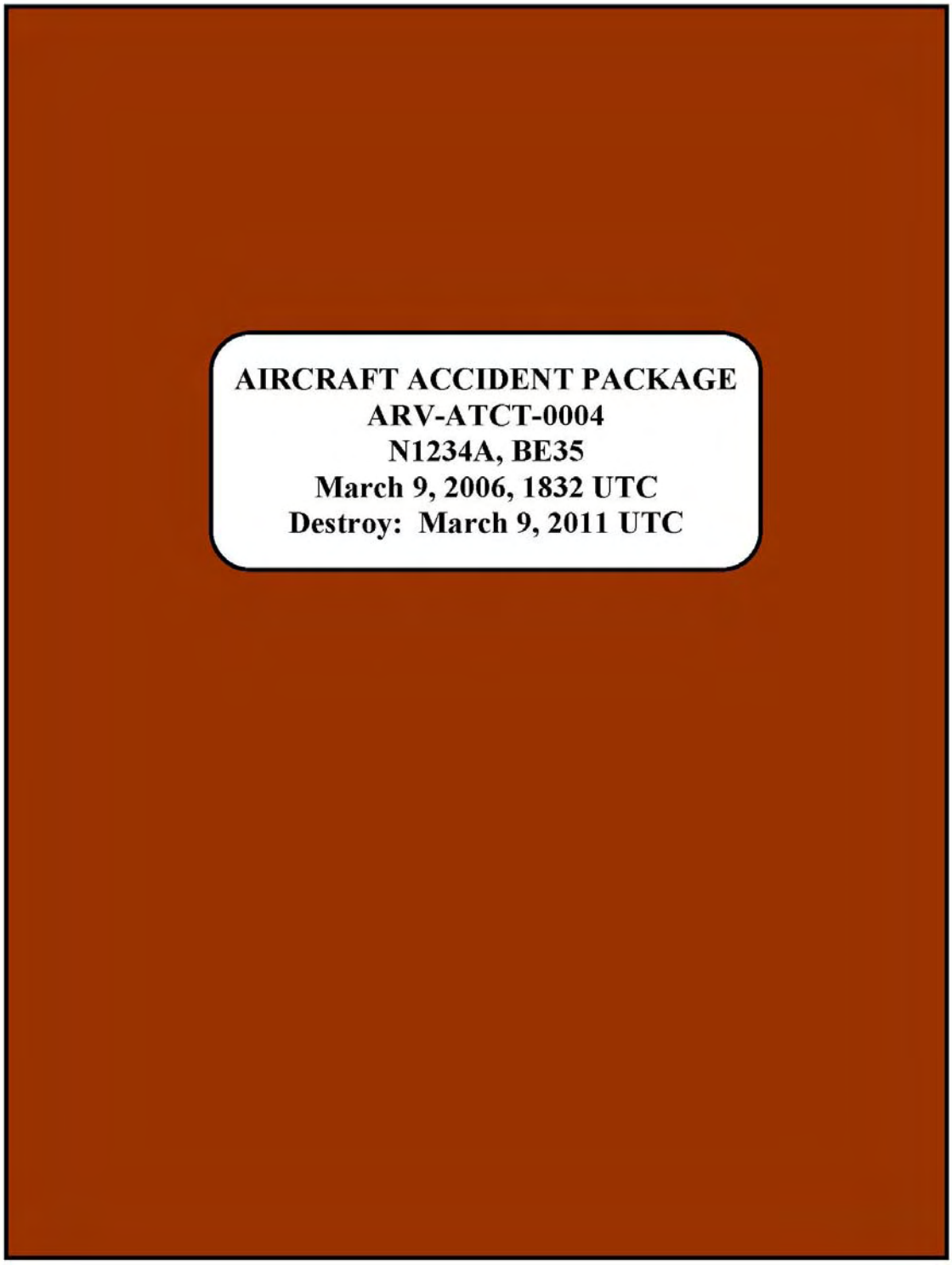
Assemble package in a top-fastening hard cover binder with a cover label, dividers, and sections. Affix a gummed label (maximum size 3" x 5") to the front cover. The label must be clearly marked "AIRCRAFT ACCIDENT PACKAGE" with the facility accident number, aircraft registration or flight number, aircraft type, accident UTC date and UTC time, and the UTC date the package is to be destroyed (the original accident package -- 5 years; copies of the original package -- 2½ years).

Example of label on original:

AIRCRAFT ACCIDENT PACKAGE
ARV-ATCT-0004
N1234A, BE35
March 9, 2006, 1832 UTC
Destroy: March 9, 2011 UTC

Example of label on copy of the original:

AIRCRAFT ACCIDENT PACKAGE
ARV-ATCT-0004
N1234A, BE35
March 9, 2006, 1832 UTC
Destroy: September 9, 2008 UTC


AIRCRAFT ACCIDENT PACKAGE
ARV-ATCT-0004
N1234A, BE35
March 9, 2006, 1832 UTC
Destroy: March 9, 2011 UTC

b. Package Divider Sheet (paragraph 82c).

Include a Table of Contents page that lists each section number and content. Insert a sheet of plain paper between each section with the section number and title of the section centered on the page. If the information called for by a specific section is unavailable or not pertinent, use that section number for the next required item so that the numbers remain in sequence. All information in each section must be in the chronological order beginning with the first facility having contact with the aircraft and then in order of involvement. Every page (including the section divider sheets) must reference the accident number and aircraft registration or flight number.

ARV-ATCT-0004
N1234A

Section 1.
Table of Contents

c. Table of Contents (paragraph 82c(1)).

Select appropriate items necessary for each package and assemble in the order listed. The table of contents included is an example of items for inclusion in a typical accident package. If the documentation dictates more or fewer items be included, adjust the number of the section accordingly (paragraph 82c). The table of contents should list only those items included in the package; i.e., if Section 14 only includes PIREP's, do not list NOTAM's, SIGMET's, and AIRMET's.

The accident package data received from other facilities must be incorporated behind the appropriate sections; i.e., normal services statement(s), personnel statements, etc. Arrange this material and forms from other facilities under the appropriate section and in chronological order beginning with the first facility having contact with the aircraft and then in order of involvement.

SECTION 1.	Table of Contents
SECTION 2.	Certification
SECTION 3.	FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)
SECTION 4.	Normal Service Statements and Certified Indexes
SECTION 5.	FAA Form 7230-4, Daily Record of Facility Operation
SECTION 6.	Personnel Log
SECTION 7.	FAA Form 7230-10, Position Logs
SECTION 8.	Facility Layout Chart
SECTION 9.	Airport Diagram
SECTION 10.	Flight Progress Strip
SECTION 11.	Transcriptions of Voice Recordings
SECTION 12.	FAA Form 8020-3, Facility Accident/Incident Notification Record
SECTION 13.	FAA Form 8020-26, Personnel Statements
SECTION 14.	Weather Products
SECTION 15.	Non-published NOTAM's
SECTION 16.	FAA Form 7233-2, Preflight Briefing Log
SECTION 17.	FAA Form 7233-1, Flight Plan
SECTION 18.	Other

ARV-ATCT-0004
N1234A

TABLE OF CONTENTS

Notes:

ARV-ATCT-0004
N1234A

Section 2.
Certification

d. Certification of the Air Traffic Aircraft Accident Package (paragraph 83).

An Information Memorandum addressed to the Manager, System Operations Litigation, from the service area director or the service area director's designee, must be prepared. This memorandum will certify that the service area director or the service area director's designee is attesting to the completeness and accuracy of the entire Air Traffic Aircraft Accident Package. The memorandum will provide the following certification:

"I hereby certify that Air Traffic Aircraft Accident Package, (insert air traffic aircraft accident package number), has been reviewed, and it is complete and accurate."

An Information Memorandum addressed to the service area 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 accident package number), has been reviewed, and it is complete and accurate."

Federal Aviation Administration

Memorandum

Date: April 1, 2006

From: Area Director of Central Terminal Operations

To: Manager, System Operations Litigation

Subject: **INFORMATION**: Certification Statement
Aircraft Accident; N1324A
Airville, AR., March 9, 2006

I hereby certify that Air Traffic Aircraft Accident Package, ARV-ATCT-0004, has been reviewed, and it is complete and accurate.

Thomas P. Carmody

Thomas P. Carmody

Notes:

Federal Aviation Administration

Memorandum

Date: March 11, 2006

From: Manager, Airville ATCT

To: Area Director of Central Terminal Operations

Subject: **INFORMATION**: Certification Statement
Aircraft Accident; N1324A
Airville, AR., March 9, 2006

I hereby certify that Air Traffic Aircraft Accident Package, ARV-ATCT-0004, has been reviewed, and it is complete and accurate.

Evan Ketchock

Evan Ketchock

Notes:

ARV-ATCT-0004
N1234A

Section 3.
FAA Form 8020-6, Report of Aircraft Accident,
and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)

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

The report must be typewritten in clear language. Any drafts must be destroyed at the time the typewritten FAA Form 8020-6 is signed.

REPORT DATE. The date the report is written or rewritten. This might not be the date it was typed.

REPORT NUMBER. The report number will be the accident report number as explained in paragraph 80. The name of the reporting facility is listed as done in the example.

NAME OF REPORTING FACILITY. Facility name (three-letter identifier in parenthesis), then the facility type (ATCT, AFSS, etc.) Example: Airville (ARV) ATCT, Bridgeport (BDR) FCF/AFSS, Hartford (HFD) FCF/ATCT.

LOCATION OF ACCIDENT. (i.e., distance to nearest city, State; or airport, distance from runway, location on airport, etc., be as specific as possible; do not use latitude/longitude).

NATURE OF ACCIDENT. A brief statement of the nature of the accident must be included if known. Examples: midair or taxiing collisions, landed with gear up, crashed on final approach. When the information is not known or can only be surmised, enter "unknown."

TYPE OF FLIGHT. State briefly the nature of flight and type of flight plan on which the aircraft was operating. Examples: local VFR, cross-country, no flight plan, and IFR flight plan.

FLIGHT CREW. Enter the name of each flight crewmember, his or her position (examples: pilot, flight engineer, flight attendant), address (City and State only), and extent of injury (uninjured, injured, fatality). Give extent of injuries as known at time of report preparation. If unknown, contact the FAA IIC for assistance or information.

PASSENGER DATA. Include number aboard aircraft, number uninjured, numbered injured, and number fatalities. If unknown, contact the FAA IIC for assistance or information. Do not include passenger names, addresses, and/or extent of injuries, or flightcrew information.

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

AIR TRAFFIC PERSONNEL INVOLVED. List the full 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 parenthesis.

SIGNATURE OF FACILITY MANAGER. The air traffic manager or the acting air traffic manager must sign this block.

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

REPORT OF AIRCRAFT ACCIDENT

REPORT DATE: March 10, 2006
REPORT NO.: ARV-ATCT-0004
NAME OF REPORTING FACILITY: Airville (ARV) ATCT

1. AIRCRAFT IDENTIFICATION AND TYPE	2. DATE/TIME OF ACCIDENT (GMT)	3. LOCATION OF ACCIDENT
N1234A Beechcraft Bonanza (BE35)	March 9, 2006; 1832 UTC	Airville Airport, AR., 1500 feet southwest from approach end of runway four

4. NATURE OF ACCIDENT	5. TYPE OF FLIGHT
Crashed on final approach	Cross country - IFR Flight Plan

6. FLIGHT CREW

NAME	POSITION	ADDRESS (CITY AND STATE)	UNINJURED	INJURED	FATALITY
R. L. Smith	Pilot	Airville, AR		X	

7. PASSENGER DATA (If available, list names, addresses, extent of injuries and other information on continuation sheet.)	NUMBER ABOARD AIRCRAFT	NUMBER UNINJURED	NUMBER INJURED	NUMBER FATALITIES
	3	1	2	0

8. AIRCRAFT DAMAGE	9. PROPERTY DAMAGE
Destroyed	Utility Power Pole

10. OPERATING STATUS OF NAVIGATIONAL AIDS/LIGHTS/COMMUNICATIONS
Normal

11. WEATHER DATA

CONDITIONS IN ACCIDENT AREA AT TIME OF ACCIDENT
Airville SPECI - 1220 CST: wind zero three zero degrees at seven knots, visibility one statute mile, light snow, ceiling one thousand overcast, altimeter three zero zero seven

REPORT JUST PRIOR TO ACCIDENT	DATE/TIME
Airville SPECI - 1220 CST: wind zero three zero degrees at seven knots, visibility one statute mile, light snow, ceiling one thousand overcast, altimeter three zero zero seven	03/09/06 1820 UTC
FIRST REPORT SUBSEQUENT TO ACCIDENT	**DATE/TIME**
Airville METAR - 1253 CST: wind zero three zero degrees at seven knots, visibility one statute mile, light snow, ceiling nine hundred broken, temperature one, dew point zero, altimeter three zero zero seven	03/09/06 1853 UTC

12. ATS PERSONNEL INVOLVED

NAME	FACILITY	OPERATING POSITION	CHECK IF EYEWITNESS
Fred R. Folum *(KO)	ARV ATCT	Approach Control	
Archie Who (WO)	ARV ATCT	Local Control	X

*Operating Initials

13. SIGNATURE OF FACILITY MANAGER
Evan Ketchock
Evan Ketchock

FAA Form 8020-6 (08-05) Supersedes Previous Edition PAGE of PAGES

f. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) (paragraph 82c(3) and paragraph 90b(11)).

A complete summary of the entire flight must describe all pertinent communications, emergency assistance, and other air traffic services provided to the aircraft. Each facility having "worked" or having "contact" with the subject aircraft must submit FAA Form 8020-6-1. These forms must be placed in Section 2 and in the chronological order of flight.

At the beginning of the chronology, type the UTC date of the aircraft accident, then two lines below the date center the statement:

"**ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED.**"

Use the continuation sheets to list any information for which insufficient space is provided on the first page of the form. Items continued from page 1 must be numbered, captioned, and marked "continued" to correspond with the continued item. Example: "8. Aircraft Damage, Continued."

This page does not have a signature block at the bottom.

At the end of the written report, type an underscore line completely across the page and directly under this type:

"No More Follows."

Example:

_____

No More Follows

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

REPORT DATE	REPORT NO.
March 10, 2006	ARV-ATCT-0004

NAME OF REPORTING FACILITY
Flyway (FLY) FSS

14. CHRONOLOGICAL SUMMARY OF FLIGHT

March 9, 2006

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

1610 The pilot of N1234A called the Flyway FSS by telephone, obtained a preflight pilot brief for an IFR flight from Flyway, OK, via V999 to Airville, AR, and filed an IFR flight plan.

1628 The pilot of N1234A called the Flyway FSS by radio requesting airport advisory service and IFR clearance was issued by the Fort Worth ARTCC, Flyway V999 Airville, maintain 7,000.

1630 N1234A departed Flyway airport and the pilot left Flyway FSS frequency to establish radio contact with Fort Worth ARTCC.

No More Follows

FAA Form 8020-6-1 Page of Pages

Notes:

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

REPORT OF AIRCRAFT ACCIDENT
(Continuation Sheet)

REPORT DATE	REPORT NO.
March 10, 2006	ARV-ATCT-0004

NAME OF REPORTING FACILITY
Fort Worth ARTCC (ZFW)

14. CHRONOLOGICAL SUMMARY OF FLIGHT

March 9, 2006

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

1628 The pilot of N1234A called the Flyway FSS by radio requesting airport advisory service and IFR clearance was issued by the Fort Worth ARTCC, Flyway V999 Airville, maintain 7,000.

1630 N1234A departed Flyway airport and the pilot established radio contact with Fort Worth ARTCC.

1631 N1234A climbed to 7,000 feet and proceeded to fly V999 level at 7,000 feet without incident or comment from the pilot.

1755 N1234A was handed off from Fort Worth ARTCC to the Memphis ARTCC.

No More Follows

FAA Form 8020-6-1 Page of Pages

Notes:

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT (Continuation Sheet)	REPORT DATE March 10, 2006	REPORT NO. ARV-ATCT-0004
	NAME OF REPORTING FACILITY Memphis ARTCC (ZME)	

14. CHRONOLOGICAL SUMMARY OF FLIGHT

March 9, 2006

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

1755 N1234A was handed off from Fort Worth ARTCC to the Memphis ARTCC.

1756 N1234A proceeded to fly V999 level at 7,000 feet without incident or comment from the pilot.

1820 N1234A was handed off from the Memphis ARTCC to the Airville Approach Control.

No More Follows

FAA Form 8020-6-1 Page of Pages

Notes:

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT (Continuation Sheet)	REPORT DATE March 10, 2006	REPORT NO. ARV-ATCT-0004
	NAME OF REPORTING FACILITY Airville (ARV) ATCT	

14. CHRONOLOGICAL SUMMARY OF FLIGHT

March 9, 2006

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME
UNLESS OTHERWISE SPECIFIED

1820 N1234A was handed off from the Memphis ARTCC to the Airville Approach Control and was vectored for an ILS approach. A clearance to descend to 3,000 was issued.

1821 N1234A reported leaving 7,000.

1827 N1234A was cleared for ILS approach to runway 4.

1829 N1234A reported over the outer marker. N1234A was then cleared to land and given the weather. N1234A acknowledged the information. No further communications were received.

1832 N1234A crashed 1,500 feet from the approach end of runway 4 after striking a utility power pole.

No More Follows

FAA Form 8020-6-1 Page of Pages

Notes:

ARV-ATCT-0004
N1234A

Section 4.
Normal Service Statements and Certified Indexes

g. Normal Service Statement(s) (paragraph 81 and paragraph 82c(4)).

Facilities that provided normal services to the subject aircraft and did not either have control over the aircraft just prior to or at the time of the accident and/or have pertinent transmissions may, after coordination with the facility responsible for preparing the air traffic accident file (see paragraph 70), submit a normal service statement. Those facilities providing normal services must provide a statement certified by the facility manager or acting manager that:

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

The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier.

A NORMAL SERVICE CERTIFICATION REQUIRES THREE SEPARATE DOCUMENTS.

1. Memorandum;
2. Certified Index; and
3. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)

NOTE: The memorandum that is sent to the responsible facility will have an ORIGINAL SIGNATURE on it. This is one of those rare occasions in which an original document will leave your facility regarding an aircraft accident. Remember to make a photocopy of the original memorandum for your accident file.

Personnel at facilities providing normal service certifications do not need to provide personnel statements to the responsible facility. Personnel statements from the air traffic control specialist(s) involved must be prepared and kept in the facility's file.

Facilities providing normal service statements are required to retain all pertinent documentation (see paragraph 71b(7)).

ARV-ATCT-0004

Federal Aviation Administration

Memorandum

Date: March 11, 2006

From: Manager, Flyway FSS, FLY-1

To: Airville ATCT

Subject: **INFORMATION**: Normal Service Statement
Aircraft Accident; N1324A
Airville, AR., March 9, 2006

All services provided by Flyway FSS were normal, and there were no pertinent transmissions.

Bobby R. Norris
Bobby R. Norris

2 Attachments
Certified Index
FAA Form 8020-6-1

h. Certified Indexes (paragraph 81c and paragraph 82c(4)).

A certified index listing each document being held by the facility to support a normal service statement must also be included on a separate sheet. The certified index must list each item that is retained in its original form in the accident file (or package) regardless if the document is individually certified or not. This must include, however not be limited to, computer data, voice recordings, and voice re-recordings being retained as a result of the accident. The certified index must be signed by the facility manager or acting manager using the following format:

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

The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier. The signature must be over his/her typed name, title, and name of facility.

Certified indexes must be dated on plain paper listing each document being held by the facility to support a normal service statement.

ARV-ATCT-0004
N1234A

CERTIFIED INDEX

March 10, 2006

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

FAA Form 7230-4
FAA Form 7230-10
FAA Form 7233-1
FAA Form 7233-2
FAA Form 8020-6-1
Personnel Statements
Personnel Log
Original Voice Recording(s)
Certified Cassette Re-recording(s)

Bobby R. Norris
Bobby R. Norris
Manager, Flyway FSS

Notes:

ARV-ATCT-0004

Federal Aviation Administration

Memorandum

Date: March 11, 2006

From: Manager, Ft. Worth ARTCC, ZFW-1

To: Airville ATCT

Subject: **INFORMATION**: Normal Service Statement
Aircraft Accident; N1324A
Airville, AR., March 9, 2006

All services provided by Ft. Worth ARTCC were normal, and there were no pertinent transmissions.

Leonard Davis

Leonard Davis

2 Attachments
Certified Index
FAA Form 8020-6-1

Notes:

ARV-ATCT-0004
N1234A

CERTIFIED INDEX

March 10, 2006

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

FAA Form 7230-4
FAA Form 7230-10
Personnel Logs
FAA Form 8020-6-1
Flight Progress Strips
Personnel Statements
Original Voice Recording(s)
Certified Cassette Re-recording(s)

Leonard Davis

Leonard Davis
Manager, Fort Worth ARTCC

Notes:

ARV-ATCT-0004

Federal Aviation Administration

Memorandum

Date: March 11, 2006

From: Manager, Memphis ARTCC, ZME-1

To: Airville ATCT

Subject: **INFORMATION**: Normal Service Statement
Aircraft Accident; N1324A
Airville, AR., March 9, 2006

All services provided by Memphis ARTCC were normal, and there were no pertinent transmissions.

Carol J. Biggio
Carol J. Biggio

2 Attachments
Certified Index
FAA Form 8020-6-1

Notes:

ARV-ATCT-0004
N1234A

CERTIFIED INDEX

March 10, 2006

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

FAA Form 7230-4
FAA Form 7230-10
FAA Form 8020-6-1
Flight Progress Strips
Personnel Logs
Personnel Statements
Original Voice Recording(s)
Certified Cassette Re-recording(s)

Carol J. Biggio
Carol J. Biggio
Manager, Memphis ARTCC

Notes:

ARV-ATCT-0004
N1234A

CERTIFIED INDEX

March 10, 2006

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

FAA Form 8020-9
FAA Form 8020-6
FAA Form 8020-6-1
FAA Form 7230-4
Personnel Logs
FAA Form 7230-10
FAA Form 7230-8
FAA Form 8020-3
Facility Layout Chart
Airport Diagram
Personnel Statements
Original Voice Recording(s)
Certified Partial Transcripts

Evan Ketchock

Evan Ketchock
Manager, Airville ATCT

Notes:

ARV-ATCT-0004
N1234A

Section 5.
FAA Form 7230-4, Daily Record of Facility Operation

i. FAA Form 7230-4, Daily Record of Facility Operation (paragraph 71b(4), paragraph 82c(5), and FAA Order 7210.3, paragraph 4-6-4).

Include a copy of FAA Form 7230-4. The facility manager or designee must initial the form in the space provided. Do not correct any mistakes on the form.

If there are any equipment outages listed that may relate to the accident, be sure they are included on FAA Form 8020-6, Item 10.

The aircraft accident must be annotated in the remarks section by the facility receiving initial notification of an accident.

Facilities must compare the accuracy of the ARTS clock with its time source and also compare the voice recorder equipment clock with the ARTS clock. The results of these findings must be noted on FAA Form 7230-4. Facilities utilizing both digital voice recorder systems (DVRS) and Standard Terminal Automation Replacement System (STARS) do not need to make a comparison, instead, an entry of “DVRS/STARS Facility” must be made on FAA Form 7230-4 along with accident entry.

ARV-ATCT-0004

PAGE NO 1

DAILY RECORD OF FACILITY OPERATION

DATE 03/09/06

LOCATION	IDENTIFICATION	TYPE FACILITY	OPERATING POSITION	CHECKED BY	CHIEF
Airville, Arkansas	ARV	ATCT	Area Manager	TR	EK

	TIME (GMT)	REMARKS
	0600	CS on. Previous 7230-4 data noted. WCLC.
E	0710	Frequency 124.1 weak, both receivers.
	1400	IW on.
	1415	WCLC.
E	1645	Line GS-471 inop. Telco. adzd.
E	1659	Line GS-471 ok.
Q	1832	Aircraft accident N1234A Beechcraft Bonanza.
	1833	ARTS clock checked. Voice recorder checked. ARTS clock found to be 2 seconds slower than voice recorder
	2200	TR on.
	2240	WCLC.
	2258	LOC ok.
	0106	DF net check - all ok.
	0559	COB.

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

SIGNATURE OF WATCH SUPERVISOR(S)

Chris Soucy Ivon S. Way

John Beeler

FAA Form 7230-4 (1-94) Supersedes previous edition

Notes:

ARV-ATCT-0004
N1234A

Section 6.
Personnel Log

j. **Personnel Logs** (paragraph 82c(6)).

Include the facilities sign in/out personnel logs or the automated equivalent. If the facility has more than one area of specialization, then include all personnel logs of every area of specialization having contact (see paragraph 93a NOTE) with the subject aircraft.

ARV-ATCT-0004
N1234A

PERSONNEL LOG	1 REGION			2 IDENT			3 FACILITY NAME							4 DATE		
	A	S	W	A	R	V	A	R	V		A	T	C	T	03	09	06

5 NAME	6 CODE	7 INITIALS	8 TIME ON	9 TIME OFF	10 HRS + MIN ON DUTY	11 HRS + MIN LEAVE	12 HRS + MIN NON POS DUTIES	13 REMARKS	14 REMARKS
Chris Soucy Chris Soucy	S	CS	0600	1400	08+00			DESK	Lunch
Ivon Way Ivon S. Way	S	IW	1400	2200	08+00		03+50	DESK	Lunch
Fred Woods S. Fred Woods	S	SW	0748	1600	08+20		02+20	DESK	Lunch
John Beeler John Beeler	S	TR	2200	0600	08+00		01+50	DESK	Lunch
Mary Adams Mary Adams	C	MA	2250	0700	08+10		00+50	ALL	Lunch
Heather Biblow Heather J. Biblow	C	HB	1600	0000	08+00		00+50	GC	Lunch
Mary Bradley Mary Bradley	C	MB	1600	0000	08+00		01+60	GC	Lunch
Sharisse Crawley Sharisse Crawley	C	SC	0750	1500	08+10		00+50	LC	Lunch
M. Durham Mike Durham	C	MD	1300	2100	08+00		00+60	DEPT	Lunch
Fred Folum Fred R. Folum	C	KO	1345	2200	08+20		00+50	ARR	Lunch
Don Gray Don Gray	C	DC	0750	1600	08+10		00+50	DEPT	Lunch
Tony Mello Tony Mello	C	TM	0750	1550	08+00		00+50	ARR	Lunch
Stephanie Myers Stephanie R. Myers	C	IN	1000	1600	06+00	02+00	02+30	ALL	Lunch
Brenda Pitts Brenda Pitts	C	BP				08+00			
Joe Terry Joe Terry	C	DF	1545	0000	08+20		01+10	CD	Lunch
Gina Vicic Gina Vicic	C	RV	0700	1500	08+00		00+50	DEPT	Lunch
D. B. Widdowfield Donald B. Widdowfield	C	DW	1200	1600	04+00	04+00		ALL	Lunch
Archie Who Archie Who	C	WO	1245	2200	08+00		00+50	LC	Lunch

Notes:

ARV-ATCT-0004
N1234A

Section 7.
FAA Form 7230-10, Position Logs

k. FAA Form 7230-10, Position Logs *(or automated equivalent)* (paragraph 82c(7)).

Terminal and AFSS/FSS Facilities. Include all positions regardless if staffed or not.

TRACON and ARTCC Facilities. Include all positions regardless if staffed or not. If the facility has more than one area of specialization, then include all positions of every area of specialization having contact with the aircraft.

Attach to plain paper to reproduce.

Arrange forms in the order of participation.

Be sure that the facility name and date are filled in at the top of the form.

If an automated form is used, a current and valid copy of the waiver must be on file at the facility.

ARV-ATCT-0004
N1234A

POSITION LOG

1 FACILITY ID	2 POSITION IDENTIFIER	3 POS TYPE	4 DATE
A R V		L C	0 3 0 9 0 6

5 TIME ON	6 INITIALS	7 TIME OFF	8 CODE	WHERE COMBINED 9 POSITION IDENTIFIER	WHERE COMBINED 10 POSITION TYPE
0 6 0 0	M A	1 3 5 5	C		
1 3 5 6	S C	1 6 0 5	C		
1 6 0 6	I N	1 8 0 1	C		
1 8 0 2	W O	1 8 4 0	C		
1 8 4 1	S C	2 0 5 0	C		
2 0 5 1	D W	2 2 0 0	C		
2 2 0 1	W O	0 1 1 6	C		
0 1 1 7	D W	0 2 2 2	C		
0 2 2 3	I W	0 4 0 9	C		
0 4 1 0	G S	0 4 5 9	C		
0 5 5 0	D B	0 5 5 9	C		

CODE	C = ATCS or FDS is responsible for position S = Supervisor, staff specialist, manager is responsible for position T = Person signed on is receiving OJT

FAA Form 7230-10 (8-83) Page 1

Notes:

ARV-ATCT-0004
N1234A

POSITION LOG

1 FACILITY ID	2 POSITION IDENTIFIER	3 POS TYPE	4 DATE
A R V		A C	0 3 0 9 0 6

5 TIME ON	6 INITIALS	7 TIME OFF	8 CODE	WHERE COMBINED 9 POSITION IDENTIFIER	WHERE COMBINED 10 POSITION TYPE
0 6 0 0		1 3 5 5	C	L C	
1 3 5 6	K O	1 5 3 0	C		
1 5 3 1	M D	1 7 3 9	C		
1 7 4 0	K O	1 8 4 0	C		
1 8 4 1	D F	2 0 0 1	C		
2 0 0 2	K O	2 1 4 5	C		
2 1 4 6	H B	2 3 3 3	C		
2 3 3 4	M B	0 0 0 0	C		
0 0 0 1	T R	0 1 5 5	C		
0 1 5 6	M B	0 5 5 9	C		

CODE
C = ATCS or FDS is responsible for position
S = Supervisor, staff specialist, manager is responsible for position
T = Person signed on is receiving OJT

FAA Form 7230-10 (8-83) Page 1

Notes:

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N1234A

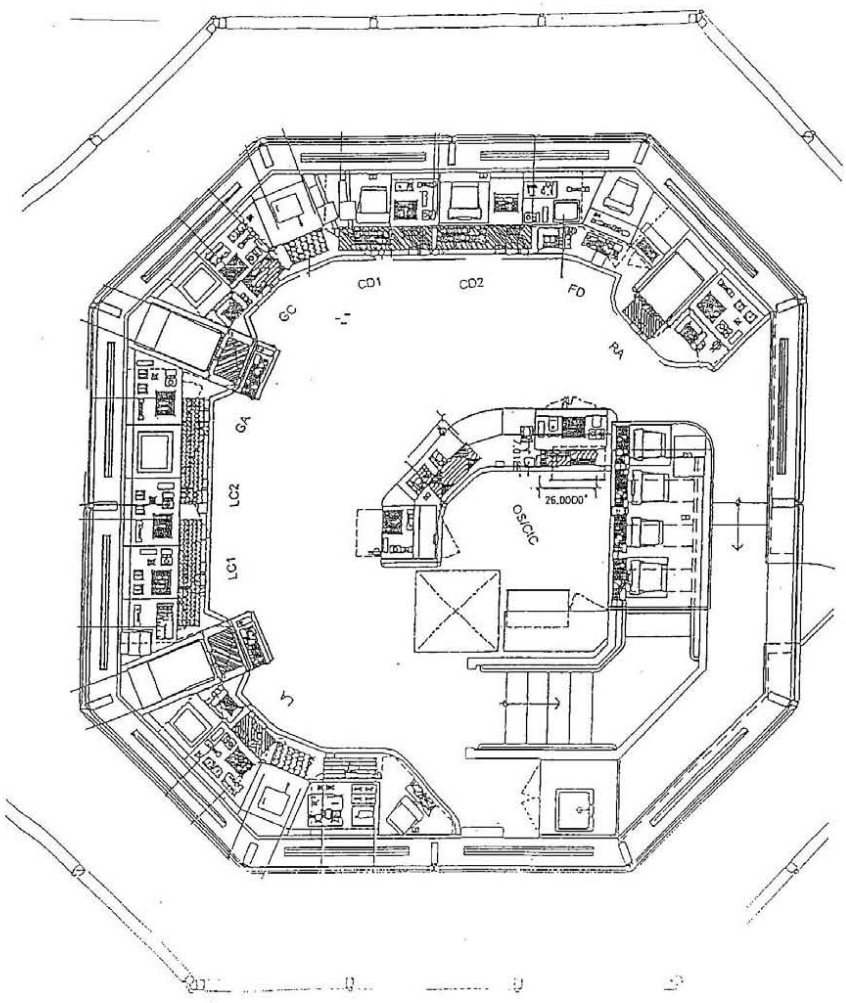
Section 8.
Facility Layout Chart

l. Facility Layout Chart (paragraph 82c(8)).

Mandatory. Include a facility layout chart in the accident package. Each chart must indicate the name of the facility which is being depicted.

ARV-ATCT-0004
N1234A

Airville ATCT



Notes:

ARV-ATCT-0004
N1234A

Section 9.
Airport Diagram

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

For all aircraft accidents on or within one mile of the airport property, provide an airport diagram.

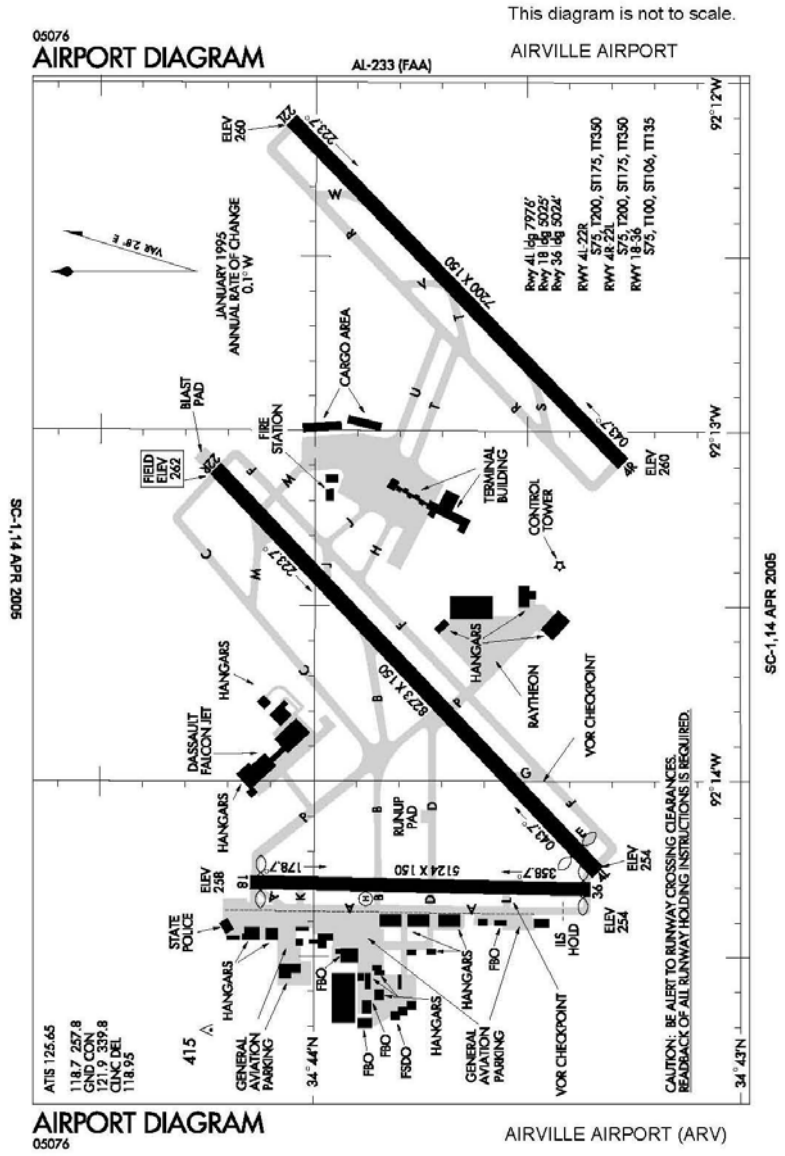
The airport diagram must include the name of the airport.

If the diagram is not to scale, include the statement: "This diagram is not to scale."

A good clean copy of an airport diagram can be obtained at the following web site: http://www.naco.faa.gov/ap_diagrams.asp.

NOTE: The National Aeronautical Charting Office airport diagrams are not to scale.

ARV-ATCT-0004
N1234A



Notes:

ARV-ATCT-0004
N1234A

Section 10.
Flight Progress Strip

n. Flight Progress Strips *(state form numbers and names of each)* 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.

List the forms attached, by name and number, as described below, in the index.

Make sure the name of the facility providing the flight progress strip is indicated.

ARV-ATCT-0004

Airville ATCT

N1234A BE35		1825	BO ARV	(R)		
	HZ					

FAA FORM 7230-8(5-88)

Notes:

ARV-ATCT-0004
N1234A

Section 11.
Transcriptions of Voice Recordings

o. Transcriptions of Voice Recordings (paragraph 82c(11) and paragraph 94).

Transcriptions must be inserted in chronological order beginning with the first facility/position having contact with the aircraft and then in order of involvement. The transcript must be an FAA memorandum (FCF's use company letterhead) and reflect the following information.

Date: type the date the transcription was certified and signed.
From: type name of the facility preparing the transcription, not the facility manager or acting manager's name.
To: type "Aircraft Accident File (facility file number)."
Prepared by: either remove or leave blank.

INFORMATION: (Full/Partial) Transcript
Aircraft Accident; (aircraft identification)
(nearest city, state, of the accident location), (UTC date)

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

List the facilities, position(s), and/or aircraft making transmissions and the standard abbreviation for each. Air carrier flights must be indicated by the company designator and the flight number. These must be listed in chronological order.

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

The transcription must be single spaced. Each contact must be separated by triple spacing. If a cardinal minute is indicated between contacts it must represent one of the triple spaces, and one blank line must be added (either prior to or after the cardinal minute) to meet the triple spacing requirement. If two or more cardinal minutes are indicated, the triple spacing requirement is met and no blank lines are required. If breaks occur during any contact, indicate by three dashes. All cardinal minutes must be indicated unless a transmission beginning with or extending through a cardinal minute in which case the next cardinal minute must be indicated. If four or more cardinal minutes have passed without any transmissions, the grouping of the times is optional. However, if used, the minutes being grouped must be in parentheses and separated by a single dash. The grouped minutes must have a single cardinal minute on the line immediately above and below the grouped minutes.

The transcription must be lower case and verbatim. Abbreviations and punctuation (commas, periods, etc.) must not be used. An apostrophe must be used to indicate contractions (i've, i'm, i'll etc.). Spell all numbers out exactly as spoken. If the recording is unintelligible, insert "unintelligible" in parentheses in the proper location. When an interpretation of a garbled word or portion of a word is required, the interpretation must be enclosed in parentheses and preceded by an asterisk. An asterisked footnote following the transcription must read: "This portion of the re-recording is not entirely clear, but this represents the best interpretation possible under the circumstances."

Center at the end of the transcript, "End of Transcript."

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

Federal Aviation Administration

Memorandum

Date: March 11, 2006

From: Airville ATCT

To: Aircraft Accident File ARV-ATCT-0004

Subject: **INFORMATION**: Partial Transcript
Aircraft Accident; N1324A
Airville, AR., March 9, 2006

This transcription covers the Airville ATCT Approach Control Position for the time period from March 9, 2006, 1815 UTC, to March 9, 2006, 1835 UTC.

Agencies Making Transmissions	Abbreviations
Beechcraft Bonanza N1234A	N1234A
Airville Approach Control, Arrival	A/C
Airville ATCT, Local Control	LC

I hereby certify that the following is a true transcription of the recorded conversations pertaining to the subject aircraft accident involving N1234A.

Archie Who

Archie Who
Support Specialist
Airville ATCT

1815
(1816-1819)
1820

1820:58	N1234A	approach control november one two three four alpha level at seven thousand feet requesting lower

Notes:

ARV-ATCT-0004
N1234A

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1821:10	A/C	november one two three four alpha airville approach control airville altimeter three zero zero seven standby for lower expect i l s runway four
1821:16	N1234A	november one two three four alpha roger
1821:21	A/C	november three four alpha fly heading zero two zero join i l s runway four descend and maintain three thousand
1821:34	N1234A	november one two three four alpha roger i'm out of seven thousand
1822		
(1823-1824)		
1825		
1825:10	A/C	local
1825:15	LC	go ahead
1825:20	A/C	inbound november one two three four alpha is a beechcraft bonanza for an i l s approach will be over the outer marker about one eight three zero kilo oscar
1825:35	LC	whiskey oscar
1826		
1827		
1827:33	A/C	november three four alpha cleared for i l s approach runway four
1827:41	N1234A	november one two three four alpha roger
1828		
1829		
1829:15	A/C	november one two three four alpha contact tower on one one eight point niner five

Notes:

ARV-ATCT-0004
N1234A

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1829:26	N1234A	november one two three four alpha roger one one eight point niner five
1830		
(1831-1834)		
1835		

End of Transcript

Notes:

Federal Aviation Administration

Memorandum

Date: March 11, 2006

From: Airville ATCT

To: Aircraft Accident File ARV-ATCT-0004

Subject: **INFORMATION**: Partial Transcript
Aircraft Accident; N1324A
Airville, AR., March 9, 2006

This transcription covers the Airville ATCT Local Control Position for the time period from March 9, 2006, 1820 UTC, to March 9, 2006, 1838 UTC.

Agencies Making Transmissions	Abbreviations
Airville Approach Control, Arrival	A/C
Airville ATCT, Local Control	LC
Beechcraft Bonanza N1234A	N1234A
Unknown	UNK

I hereby certify that the following is a true transcription of the recorded conversations pertaining to the subject aircraft accident involving N1234A.

Archie Who

Archie Who
Support Specialist
Airville ATCT

1820
(1821-1824)
1825
1825:10 A/C local

Notes:

ARV-ATCT-0004
N1234A

Page 2 of 2

1825:15	LC	go ahead
1825:20	A/C	inbound november one two three four alpha is a beechcraft bonanza for an i l s approach will be over the outer marker about one eight three zero kilo oscar
1825:35	LC	whiskey oscar
1826		
(1827-1828)		
1829		
1829:40	N1234A	(unintelligible) tower this is bonanza one two three four over the outer marker *(now)
1829:46	LC	bonanza one two three four alpha airville tower roger cleared to land airville weather measured ceiling one thousand overcast visibility one light snow showers wind zero three zero at seven altimeter three zero zero seven
1829:57	*UNK	roger
1830		
1831		
1832		
1832:10	LC	bonanza one two three four alpha airville
1833		
(1834-1837)		
1838		

End of Transcript

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

Notes:

ARV-ATCT-0004
N1234A

Section 12.
FAA Form 8020-3, Facility Accident/Incident Notification Record

p. FAA Form 8020-3, Facility Accident/Incident Notification Record (paragraph 65b and paragraph 84c(12)).

The aircraft call sign and the date of the accident must be completed in the upper right hand corner. Be sure the facility name is indicated on the form.

Include attached telephone number listings, if any. If more than one FAA Form 8020-3 was used at the time of the accident, include all copies in the package.

Unless requested by AAI-100, System Operations Litigation, or a competent authority, all classified or security sensitive information and/or documentation; and information protected under the Privacy Act (i.e., home, cellular, and pager telephone numbers of FAA, airport, military, and emergency personnel/offices, etc.), normally made a part of the (formal or informal) air traffic aircraft accident file, including but not limited to the air traffic aircraft accident package, must be redacted or blacked out from all copies. Only the original air traffic accident file and/or package at the originating air traffic facility will retain the original information and/or documentation.

NOTE: The example on the next page is an example of how FAA Form 8020-3 would look in the original, and only the original, air traffic aircraft accident package.

ARV-ATCT-0004

FACILITY ACCIDENT/INCIDENT NOTIFICATION RECORD

Aircraft Identification: N1234A
Date: 03/09/06
Airport: Airville

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

	Phone No.	Time	Initials: Caller	Initials: Recipient
Airport Emergency Equipment	555-1212	1832	WO	DE
Additional Emergency Equipment				
Search and Rescue				
*Washington Operations Center (WOC)	(202) 267-3333	1835	IW	BC
Region Operations Center (ROC)	(817) 555-1919	1835	IW	TM
Air Traffic Manager	555-2345	1832	WO	IV
Flight Standards District Office (FSDO)	Cell 555-9999	1847	IW	KD
System Safety Investigations				
National Transportation Safety Board (NTSB)				
System Maintenance Organization Manager	555-8309	1838	IW	JL
Law Enforcement	555-1321	1834	IW	EN
National Weather Service (NWS)	(817) 555-2501	1838	WO	RV
Military Authority	555-6677			
Airport Authority	555-9343	1838	IW	HO
Aircraft Operator				

Form Updated by (Name, Title, Facility): Archie Who — Date: 03/01/06

*Accidents requiring telephone notification to Washington shall be made immediately following notification for emergency equipment and/or search and rescue.

FAA Form 8020-3 (08-05) Supersedes Previous Edition

q. FAA Form 8020-3, Facility Accident/Incident Notification Record.

The aircraft call sign and the date of the accident must be completed in the upper right hand corner. Be sure the facility name is indicated on the form.

Include attached telephone number listings, if any. If more than one FAA Form 8020-3 was used at the time of the accident, include all copies in the package.

Unless requested by AAI-100, System Operations Litigation, or a competent authority, all classified or security sensitive information and/or documentation; and information protected under the Privacy Act (i.e., home, cellular, and pager telephone numbers of FAA, airport, military, and emergency personnel/offices, etc.), normally made a part of the (formal or informal) air traffic aircraft accident file, including but not limited to the air traffic aircraft accident package, must be redacted or blacked out from all copies. Only the original air traffic accident file and/or package at the originating air traffic facility will retain the original information and/or documentation.

NOTE: The next page is an example of how FAA Form 8020-3 would look in every copy of the air traffic aircraft accident package.

ARV-ATCT-0004

FACILITY ACCIDENT/INCIDENT NOTIFICATION RECORD

Aircraft Identification: N1234A
Date: 03/09/06
Airport: Airville

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

	Phone No.	Time	Initials	
			Caller	Recipient
Airport Emergency Equipment	555-1212	1832	WO	DE
Additional Emergency Equipment				
Search and Rescue				
*Washington Operations Center (WOC)	(202) 267-3333	1835	IW	BC
Region Operations Center (ROC)	[redacted]	1835	IW	TM
Air Traffic Manager	[redacted]	1832	WO	IV
Flight Standards District Office (FSDO)	[redacted]	1847	IW	KD
System Safety Investigations				
National Transportation Safety Board (NTSB)				
System Maintenance Organization Manager	[redacted]	1838	IW	JL
Law Enforcement	555-1321	1834	IW	IN
National Weather Service (NWS)	(817) 555-2501	1838	WO	RV
Military Authority	[redacted]			
Airport Authority	555-9343	1838	IW	HO
Aircraft Operator				

Form Updated by (Name, Title, Facility): Archie Who — Date: 03/01/06

*Accidents requiring telephone notification to Washington shall be made immediately following notification for emergency equipment and/or search and rescue.

FAA Form 8020-3 (08-05) Supersedes Previous Edition

Notes:

ARV-ATCT-0004
N1234A

Section 13.
FAA Form 8020-26, Personnel Statements

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

The purpose of the personnel statement is to provide any facts of knowledge that will provide a more complete understanding of the circumstances surrounding this accident/ incident. The facility may elect to have items 1 through 5 and 7 through 9 completed for the witness prior to providing to the witness for completion. If the facility elects to complete these items in advance, it is mandatory that these items be reviewed with the witness prior to the form being signed.

Ensure that the statement includes operational equipment configuration; i.e., radar channel, moving target indicator, circular polarization, video map, offset or indicator, runway or approach lights, etc., (collect for aircraft accidents only). If a facility has a diagram of the radar display, setting of radar channel, etc., this diagram may be attached to the personnel statement in lieu of a handprinted description. Statements that do not contain equipment criteria must have a single sentence stating such. This will allow for the reader to understand that the omission was not an oversight. The reader of the personnel statement should be able to determine why the equipment configuration has not been included with the personnel statement. Sentences such as "Equipment configuration is not included" do nothing to assist the reader.

The text of the personal statement (item 11) is to be hand printed neatly, in ink, and signed by the person preparing the statement (i.e., witness). The personnel statement will neither be edited nor typed and, once signed, will constitute the original statement.

NAME OF REPORTING FACILITY. Insert the facility name and type (i.e., Lake Front ATCT).
REPORT NUMBER. Use the same format as is required in the appropriate paragraphs.
AIRCRAFT IDENTIFICATION AND TYPE (i.e, N1234A, BE35).
LOCATION OF ACCIDENT/INCIDENT. Use the same description as used in previous forms.
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' name and, in parentheses, his or her operating initials.
TITLE. Title of the witness (i.e., SATCS, ATCS, etc.).
POSITION AND TIME (UTC). Must match FAA Form 7230-10 or automated equilivent (i.e., Local Control, 1305-1412 UTC).
TEXT OF STATEMENT (to be completed by witness). Indicate if the personnel statement is the original or a supplemental statement. Provide any facts of knowledge that will provide a more complete understanding of the circumstances surrounding this accident/ incident. Speculations, hearsay, opinions, conclusions, and/or other extraneous data are not to be included in the personnel statement. This statement is to be handprinted. Included within the text of the personnel statement must be the equipment configuration described in paragraph 91b(2).
SIGNATURE OF WITNESS. Once signed, the signature will certify the accuracy of the statement.
DATE OF SIGNATURE. The date that the original or supplemental statement was actually signed.

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

PERSONNEL STATEMENT

1. NAME OF REPORTING FACILITY:	2. REPORT NUMBER:
Airville ATCT	ARV-ATCT-0004

3. AIRCRAFT IDENTIFICATION AND TYPE: N1234A, BE35

4. LOCATION OF ACCIDENT/INCIDENT:	5. DATE/TIME OF ACCIDENT/INCIDENT (UTC):	6. EQUIPMENT ATTACHMENT:
Airville Airport, AR., 1500 feet southwest from approach end of runway four	March 9, 2006, 1832 UTC	☒ YES ☐ NO
7. NAME (OPERATING INITIALS):	8. TITLE:	9. POSITION AND TIME (UTC):
Fred R. Folum (KO)	ATCS	Approach Control 1740-1840 UTC

10. COMPLETE IN ACCORDANCE WITH FAA ORDER 8020.16, AIR TRAFFIC ORGANIZATION, AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION, INVESTIGATION, AND REPORTING, PARAGRAPH 91, FAA FORM 8020-26, PERSONNEL STATEMENTS. THE PURPOSE OF THIS STATEMENT IS TO PROVIDE ANY FACTS WITHIN YOUR PERSONAL KNOWLEDGE THAT WILL PROVIDE A COMPLETE UNDERSTANDING OF THE CIRCUMSTANCES SURROUNDING THIS ACCIDENT/ INCIDENT. SPECULATIONS, HEARSAY, OPINIONS, CONCLUSIONS, AND/OR OTHER EXTRANEOUS DATA ARE NOT TO BE INCLUDED IN THIS STATEMENT. THIS STATEMENT MAY BE RELEASED TO THE PUBLIC THROUGH THE FREEDOM OF INFORMATION ACT OR LITIGATION ACTIVITIES INCLUDING PRETRIAL DISCOVERY, DEPOSITIONS, AND ACTUAL COURT TESTIMONY. THIS STATEMENT IS TO BE HAND PRINTED AND SIGNED BY YOU, AND YOUR SIGNATURE BELOW CERTIFIES THE ACCURACY OF THIS STATEMENT. IT WILL NEITHER BE EDITED NOR TYPED AND, ONCE SIGNED, WILL CONSTITUTE YOUR ORIGINAL STATEMENT.

11. TEXT OF STATEMENT: ☒ ORIGINAL ☐ SUPPLEMENTAL

I received a hand off on N1234A from the Memphis ARTCC. I issued the pilot of N1234A a descent clearance to 3,000 feet and vectored the aircraft for an ILS approach to runway 4. I cleared the pilot of N1234A for an ILS approach to runway 4, then gave the pilot instructions to contact the local controller.

To the best of my knowledge the operational equipment configuration at the time of the accident/ incident was as indicated on the attached diagram.

12. SIGNATURE OF WITNESS:	13. DATE OF SIGNATURE:
Fred R. Folum	March 16, 2006

FAA Form 8020-26 (09-05)

Notes:

ARV-ATCT-0004
N1234A

INDIVIDUAL DISPLAY/SYSTEM STATUS CHECKLIST

INDIVIDUAL DISPLAY:

Position: Approach Control Date: 03/09/06 Time: 1832 UTC

	Circle One		Setting
MTI/Normal Gate	(ON)	OFF	
Background Video Gain	ON	(OFF)	
Beacon Video Gain	(ON)	OFF	
MTI/Normal Video Gain	(ON)	OFF	
Range Marks	(ON)	OFF	
Sweep Decenter	(ON)	OFF	Offset Point: 10W
Sweep Range	Distance 40		

DISPLAY VIDEO CONTROL PANEL:

Discrete/Sum Button:	DIS	(SUM)	
MAP/COR/COR-UNCOR Buttons:	(MAP)	COR	COR/UNCOR
WX Levels Available:	0		
WX Levels Selected:	2-4		

SYSTEM CONTROL PANEL:

DSP/RX/TX Channel	(A)	B
POLARIZATION	(AUTO)	MANUAL
SCIP Switch	(A)	B
RADAR SOURCE CONTROL	(AUTO)	MANUAL
WEATHER CONTROL	2-Level	(6-Level)

Date: 03/09/06 Time: 1845 UTC
ARV FORM 7210-1

Completed by: Fred R. Tolum

Notes:

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

PERSONNEL STATEMENT

1. NAME OF REPORTING FACILITY	2. REPORT NUMBER
Airville ATCT	ARV-ATCT-0004

3. AIRCRAFT IDENTIFICATION AND TYPE: N1234A, BE35

4. LOCATION OF ACCIDENT/INCIDENT	5. DATE/TIME OF ACCIDENT/INCIDENT (UTC)	6. EQUIPMENT ATTACHMENT
Airville Airport, AR., 1500 feet southwest from approach end of runway four	March 9, 2006, 1832 UTC	☐ YES ☒ NO

7. NAME (OPERATING INITIALS)	8. TITLE	9. POSITION AND TIME (UTC)
Archie Who (WO)	ATCS	Local Control 1802-1840 UTC

10. COMPLETE IN ACCORDANCE WITH FAA ORDER 8020.16, AIR TRAFFIC ORGANIZATION, AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION, INVESTIGATION, AND REPORTING, PARAGRAPH 91, FAA FORM 8020-26, PERSONNEL STATEMENTS. THE PURPOSE OF THIS STATEMENT IS TO PROVIDE ANY FACTS WITHIN YOUR PERSONAL KNOWLEDGE THAT WILL PROVIDE A COMPLETE UNDERSTANDING OF THE CIRCUMSTANCES SURROUNDING THIS ACCIDENT/ INCIDENT. SPECULATIONS, HEARSAY, OPINIONS, CONCLUSIONS, AND/OR OTHER EXTRANEOUS DATA ARE NOT TO BE INCLUDED IN THIS STATEMENT. THIS STATEMENT MAY BE RELEASED TO THE PUBLIC THROUGH THE FREEDOM OF INFORMATION ACT OR LITIGATION ACTIVITIES INCLUDING PRETRIAL DISCOVERY, DEPOSITIONS, AND ACTUAL COURT TESTIMONY. THIS STATEMENT IS TO BE HAND PRINTED AND SIGNED BY YOU, AND YOUR SIGNATURE BELOW CERTIFIES THE ACCURACY OF THIS STATEMENT. IT WILL NEITHER BE EDITED NOR TYPED AND, ONCE SIGNED, WILL CONSTITUTE YOUR ORIGINAL STATEMENT.

11. TEXT OF STATEMENT: ☒ ORIGINAL ☐ SUPPLEMENTAL

Radar approach control coordinated with me on the arrival of N1234A. I was given the information that N1234A was a Beechcraft Bonanza and would be on an ILS approach and that the aircraft would be over the outer marker at about 1830 UTC. At 1829 UTC, N1234A called me over the outer marker, and I issued the 1220 CST special weather and cleared N1234A to land. I was looking toward the final approach course when I saw a bright flash, and I could then see the aircraft hit the ground. I saw flames appear where the aircraft hit. I alerted the emergency equipment and notified the area manager. I also notified the weather service and facility manager.

I certify, to the best of my knowledge and recollection, the above statement is correct.

I do not remember what the various settings of the operational equipment were at the time of the accident.

12. SIGNATURE OF WITNESS	13. DATE OF SIGNATURE
Archie Who	March 16, 2006

FAA Form 8020-26 (09-05)

Notes:

ARV-ATCT-0004
N1234A

Section 14.
Weather Products

s. Weather Products (paragraph 84c(14)).

There are several potential means of obtaining the information required for this section. You may require information from one or more sources depending on the circumstances.

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

AIS, Model 1 AWP Event Reconstruction (EVR), or copies of weather observation forms. Observation forms must be individually certified by the air traffic facility responsible for initiating the record.

The air traffic certification must read:

"I certify that this is a true copy of the original which was available by the controller."

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

"I certify that this is a true copy of the original which has been forwarded to the National Weather Service Records Center."

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

Include the facility name and date on each page.

ARV-ATCT-0004
N1234A

FLYWAY FSS 03/09/06

METAR KFYY 091755Z 32010KT 7SM OVC020 03/M01 A2995 RMK SLP142 VIS SE15

METAR KOKC 091755Z 31010KT 4SM –SHSN BR SCT000 BKN007 02/00 A2996 RMK SLP145 SCT000 –SHSN BR

METAR KMLC 091755Z 35008KT 3/4SM –SHSN VV004 01/M02 A2997 RMK SLP148

METAR KARV 091755Z 34008KT 3SM –SHSN BKN012 01/M02 A2996

SPECI KARV 091820Z 03007KT 1SM –SN OVC010 A3007

SPECI KARV 091837Z 03007KT 1SM –SN BKN009 01/00 A3007

ARV 091810 C5 BKN 2SW -CHC C2X 1/2SW. 14Z C15 BKN 80 OVC OCNL C8 OVC 1SW-. 20Z C35 BKN CHC SW-. 04Z VFR.

I certify that this is a true copy of the original which has been forwarded to the National Weather Service Records Center.

Bobby R. Norris

Bobby R. Norris
Air Traffic Manager
Flyway FSS

NOTE: These items have not been included in this sample. However, if appropriate, include the data or information as outlined in paragraph 72c and place in the appropriate "section" in the accident package.

Section 15.
Non-published NOTAM's

t. Non-published NOTAM's (paragraph 82c(15)).

Include all non-published applicable NOTAM's.

Section 16.
FAA Form 7233-2, Preflight Briefing Log

u. FAA Form 7233-2, Preflight Briefing Log *(or automated equivalent)* (paragraph 82c(16)).

Include only information given to the pilot during the briefing. If pertinent flight route information was omitted, retain that information in the facility accident file.

Section 17.
FAA Form 7233-1, Flight Plan

v. FAA Form 7233-1, Flight Plan *(or automated equivalent)* (paragraph 82c(17)).

If included, type the facility name and date on each page.

If included, enter the name of the facility that accepted the FAA Form 7233-1 at the top of the page.

Ensure that the date the flight plan was filed is entered.

If utilizing a copy of a stored flight plan, include the facility name and date on the page.

Section 18.
Other

w. Other (paragraph 82c(18)).

Include in this section any pertinent data, in any form, that may be deemed pertinent.

APPENDIX 3. CERTIFICATION STATEMENTS

a. Computer Data Certification.

Paragraph 72c(1).

A certification statement is signed by the manager of the air traffic or AWP facility or the acting manager designee:

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

Paragraph 72c(2).

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

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

Paragraph 72c(4).

The following statement is signed by the manager or acting manager of the en route facility when recorded en route host computer data is transferred to a diskette or CD-R:

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

b. Facilities Providing Normal or Routine Services.

Paragraph 81b.

Those facilities providing normal services must provide a statement certified by the facility manager or acting manager that:

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

Paragraph 81c.

A certified index listing each document being held by the facility to support a normal service statement must also be included on a separate sheet (see Appendix 2). The certified index must list each item that is retained in its original form in the accident file (or package) regardless if the document is individually certified or not. This must include, however not be limited to, computer data, voice recordings, and voice re-recordings being retained as a result of the accident. The certified index must be signed by the facility manager or acting manager using the following format:

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

c. Content, Assembly, and Distribution of Formal Accident Package.

Paragraph 82c(14).

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

Paragraph 82c(14)(a).

DAWN, AIS, Model 1 AWP, or OASIS EVR, or copies of weather observation forms must be individually certified by the facility responsible for initiating the record. The air traffic certification must read:

"I certify that this is a true copy of the original which was available to the controller."

Paragraph 82c(14)(b).

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

"I certify that this is a true copy of the original which has been forwarded to the National Weather Service Records Center."

d. Certification of the Traffic Aircraft Accident Package.

Paragraph 83.

An Information Memorandum addressed to the service area 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."

An Information Memorandum addressed to the Manager, System Operations Litigation, from the service area director or the service area director's designee, must be prepared. This memorandum will certify that the service area director or the service area director's designee is attesting to the completeness and accuracy of the entire Air Traffic Aircraft Accident Package. The memorandum will provide the following certification:

"I hereby certify that Air Traffic Aircraft Accident Package, (insert air traffic aircraft accident package number), has been reviewed, and it is complete and accurate."

e. Re-Recording of Voice Recordings.

Paragraph 93c.

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

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

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

Paragraph 93d.

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

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

Paragraph 93e.

Conclude the re-recording with:

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

Paragraph 93h.

When a DAT-to-DAT transfer is requested the following statement, signed by the manager or acting manager of the air traffic facility, will accompany the DAT.

"Please note that the target DAT, during a DAT-to-DAT transfer, may contain an excessive amount of data (voice), well beyond that and in addition to the information requested from the source DAT. Therefore, the target DAT may not be a true representation of the original, we make no representations regarding the completeness of the data or the exactness of the data contained therein."

f. Transcription of Voice Recordings.

Paragraph 94(g).

Certification by the person making the transcription (not the air traffic manager or acting manager unless he or she prepared the transcription) is as follows:

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

Signature

Name

Title

Name of Facility

APPENDIX 4. FIGURE 1. DETERMINATION OF AIR TRAFFIC FACILITY RESPONSIBLE FOR FINAL DATA COLLECTION FLOW CHART

	The FAA air traffic facility with jurisdiction over the flight.	The ARTCC in whose area the accident occurred.	The FAA facility having communication with the aircraft.	The last FAA facility having communication with the aircraft.	The FAA air traffic facility having radar services responsibility for the area in which the accident occurred.	The last FCF having communication with the aircraft.	If more than one vendor is involved, then the last FCF having communication with the aircraft for each vendor.
70a(1). Aircraft on IFR flight plans under the control of an FAA-staffed facility.	X						
70a(2). Aircraft on IFR flight plans under the control of a military-staffed facility.		X					
70a(3). Aircraft not on an IFR flight plan but in communication with an FAA facility.			X				
70a(4). Aircraft not in communication with an FAA facility.				X			
70a(5). Other aircraft.					X		
70a(6). Aircraft that have not communicated with an FAA facility, but have communicated exclusively with an FCF.					X	X	
70a(7)(a). Aircraft that have communicated with both an FAA facility and FCF.				X		X	
70a(7)(b). Aircraft that have communicated with both an FAA facility and more than one FCF.				X			X

APPENDIX 5. CASSETTE TAPE AND COMPUTER DISKETTE - RECORDABLE (CD-R) LABELING

a. Cassette Tape Labeling (paragraph 93f and paragraph 93g).

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

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

NOTE: The following page contains examples of how labeling may be accomplished. 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.

b. FIGURE 1. Examples of Cassette Tape Labeling.

c. CD-R Labeling (paragraph 93f and paragraph 93i).

NOTE: The air traffic facility may elect to produce a wave file (i.e., **.wav*) in lieu of a cassette re-recording. To ensure audio quality is sufficient to fulfill the requirements of this order sampling rates must not be lower than 44.1 kHz and resolution must not be lower 16-bits. The electronic file must include two channels (time in IRIG-B format on the right channel and voice on the left channel). The facility must follow the same procedures outlined throughout this paragraph, except the storage media must be a CD-R or other commonly used storage media. The certification statements and other required verbal statements remain the same and must be a part of the wave file. Other digital methods of re-recordings are not permitted. All the CD-R's or other storage media on which the re-recordings are made must be marked clearly with the aircraft accident number, aircraft identification, the UTC date of the occurrence, facility name, and position(s) with the UTC times encompassing each re-recording. All wave files must be checked to ensure adequate quality of the voice and time channel recordings.

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

NOTE: The following page contains examples of how labeling may be accomplished. 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.

d. FIGURE 2. Examples of CD-R Labeling.