



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

**ORDER**  
**JO 8020.16A**

**Effective Date:**  
December 27, 2010

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

---

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 centers, 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.

This order cancels FAA Order 8020.16, dated September 13, 2005, including all associated notices. Significant changes have been made to creating Aircraft Accident Packages, required records in Formal and Informal Aircraft Accident Files, data required for Pilot Deviations, electronic data retention and certification, and forms used by air traffic.

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

A handwritten signature in black ink, appearing to read "Henry P. Krakowski".

Henry P. Krakowski  
Chief Operating Officer  
Air Traffic Organization

---

Distribution: A-W-1; A-W(HL/HP/EE/ST) -2;  
A-W(GC/IA/PA/AS/CS/AI/IR/FS/TA/TP/TX/NS/OP/VN) -3;  
A-X(CC/GC/IA/PA) -2; A-X(HR/CD/FS/AM/AF/AT/AS/CS) -3;  
A-Y(CC/GC/PA/CS/HR) -2; A-Y(CS/HR/AY) -3;  
A-Z(CC/GC/PA/CS/HR) -2; AAR-400/AAR-422(2 ea); A-FOF-0(STD)

Initiated By: AJV-4  
Mission Support, Litigation Liaison Office



## Explanation of Changes

Direct questions through appropriate facility/service center office staff to Mission Support, Litigation Liaison Office.

### a. 12. Safety Risk Management (SRM) Analysis

This paragraph has been added.

### b. 62. Operations Centers

Notification procedures have been updated to include Order JO 1030.3, Incident Response Order.

### c. 65. Aircraft Accident and Incident Notification Reporting

Procedures on what, how, and when to report aircraft accidents and incidents have been clarified or expanded.

### d. 70. Determination of Air Traffic Facility Responsible for Final Data Collection

This change cancels and incorporates N JO 8020.184, Determination of Air Traffic Facility Responsible for Final Data Collection, effective March 20, 2010.

### e. 71. Formal Accident File/Package Data Collection

The process for downgrading a formal accident file/package was clarified. The requirement to prepare an informal accident file when a formal accident file/package is not prepared was made clearer. FSS vendor responsibilities were spelled out. More examples of pertinent data were given. The requirement to perform an ARTS clock comparison was removed. This change cancels N JO 8020.182, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, effective January 1, 2010.

### f. 72. Data Collection and Certification by Selected Facilities

References to FSS equipment/processes were modernized. The DEN was added. Computer certification statements were moved.

### g. 73. Radar and Computer Data

A new paragraph detailing the expanded amount and types of radar and computer data now required was added.

### h. 74. Correction Memorandums

A new paragraph explaining the process for correction memorandums was added.

### i. 81. Support Facilities

Facilities providing normal services was clarified.

### j. 82. Content, Assembly, and Distribution of Formal Accident Package

The requirement to place the accident package number and aircraft identification in the lower left hand footer was added (transcriptions excluded). Certification Memorandums were removed from the accident package contents. The provision for electronic copies, instead of paper copies, was included. Use of the ATO Portal for personnel logs was recommended. The requirement for towers or combined tower/TRACONS to include all positions (FAA Form 7230-10) of operation in the accident package was clarified. Weather certification statements were modified. Distribution procedures were modified. This change cancels N JO 8020.182, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, effective January 1, 2010.

### k. 83. Certification of the Air Traffic Aircraft Accident Package

This memorandum was removed from the accident package content. This change cancels N JO 8020.182, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, effective January 1, 2010.

### l. 84. Informal Accident File Data Collection

A certified index, radar and computer data were added to the list of required contents.

### m. 91. FAA Form 8020-26, Personnel Statements

FAA Form 8020-26, Personnel Statement, was amended to delete the Equipment Attachment. Also in Block 10, Text of Statement, an individual now will check the box "Comment" if they wish to provide any facts pertaining to said accident or check the box "No Comment" if they have no information to add, with one exception. The "Comment" box must be utilized for air traffic incidents. This change cancels N JO 8020.182, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, effective January 1, 2010.

### n. 114. Pilot Deviations

Added clarification to NORDO processing. This change cancels N JO 8020.188, Pilot Deviations, effective August 28, 2010.

**o. 119. Miscellaneous Incidents**

This change added procedures for retaining data pertaining to tarmac delays. This change cancels and incorporates N JO 8020.186, Tarmac Delay Data Retention, effective April 29, 2010.

**p. 156. Decisions**

Clarified Technical Operations processes regarding equipment as it pertains to accidents/incidents. Added clarification that a suspect facility must remain in the same operational condition as at the time of the accident/incident.

**q. Appendix A. Forms Used by Air Traffic**

FAA Form 8020-3 has changed. The current version is dated 10/10. Please remove unused outdated versions from operating quarters, quality assurance offices, etc., and replace them with the 10/10 edition. Changes include adding the Domestic Events Network (DEN), and Operational Control Center (OCC). Note well: the DEN number must be redacted from all copies of the 8020-3 leaving the facility for a FOIA request, accident package, etc.

The OCC is tasked with determining what, if any, NAS facilities are suspected of being involved in an aircraft

accident/incident. (For example, a navigational aid sending erroneous information to a pilot.) The particulars of the accident/incident will determine whether or not the OCC is called. Paragraph 156a(1) and (2) gives guidance on when to call the OCC, “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....” While there may be a duplication of information given to the ROC/WOC and/or to the SMO, it is necessary for the OCC to receive timely information when equipment failure/malfunction may have contributed to the accident. The following number will route you to the OCC for your area of the country: (866) 432-2622.

**r. Appendix F. Definitions**

Definitions were moved to an appendix and modified or added to reflect changes in the ATO (for example, unmanned aircraft systems) pertaining to litigation.

**s.** Additional editorial/format changes were made where necessary.

**Table of Contents**

<i>Paragraph</i>	<i>Page</i>
<b>Chapter 1. General</b>	
1. Purpose of This Order .....	1
2. Audience .....	1
3. Where to Find This Order .....	1
4. Cancellation .....	1
5. Explanation of Changes .....	1
6. Distribution .....	1
7. Authority to Change This Order .....	1
8. Supplements .....	2
9. Definitions .....	2
10. Related Publications .....	2
11. Forms and Reports .....	2
12. Safety Risk Management (SRM) Analysis .....	2
13. FAA Responsibilities in Aircraft Accident Investigations .....	2
14. Responsibilities of Regional Divisions, Aircraft Certification Directorates, Service Areas, Service Centers, and Flight Service Program Offices in Aircraft Accident Investigations .....	3
15. FAA and NTSB Accident and Incident Investigation Agreements .....	3
16. Post-Accident or Incident Drug Testing .....	4
17. FAA Investigator-in-Charge (IIC) .....	4
18. FAA Participants .....	4
19. Other FAA Personnel .....	4
20. FAA Safety Recommendation Program .....	4
21. Training .....	5
22-29. <u>RESERVED</u> .....	5
<b>Chapter 2. FAA Elements Involved in Notification, Investigation, and Reporting</b>	
30. Office of Accident Investigation and Prevention .....	6
31. Operations Centers .....	7
32. Air Traffic Organization (ATO) .....	7
33. Flight Standards Service .....	8
34. Office of Aviation Medicine .....	9
35. Office of Airport Safety and Standards .....	9
36. Office of the Chief Counsel .....	9
37. Assistant Administrator for Security and Hazardous Materials .....	9
38. Aircraft Certification Service .....	9
39. Office of Communications .....	9
40. Office of International Aviation .....	10
41-59. <u>RESERVED</u> .....	10
<b>Chapter 3. Air Traffic and Other Initial Notification and Reporting Responsibilities</b>	
60. General .....	11
61. FAA Contract Facilities (FCF) .....	11
62. Operations Center .....	11
63. Notification of Other Operations Centers .....	12
64. National Transportation Safety Board (NTSB) .....	12
65. Aircraft Accident and Incident Notification and Reporting .....	12
66. Completing and Transmitting FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice .....	14
67. Military Notification to the FAA When the FAA Is Involved In a Military Aircraft Accident .....	16
68-69. <u>RESERVED</u> .....	16

**Chapter 4. Air Traffic Aircraft Accidents/Incidents Data Collection**

70. Determination of Air Traffic Facility Responsible for Final Data Collection .....17  
 71. Formal Accident File/Package Data Collection .....17  
 72. Data Collection and Certification by Selected Facilities .....19  
 73. Radar and Computer Data .....20  
 74. Correction Memorandums .....21  
 75-79. RESERVED .....21

**Chapter 5. Formal and Informal Air Traffic Aircraft Accident Files**

80. Numbering of Air Traffic Formal Accident File/Package and Informal Accident File .....22  
 81. Support Facilities .....22  
 82. Content, Assembly, and Distribution of Formal Accident Package .....23  
 83. Certification of the Air Traffic Aircraft Accident Package .....26  
 84. Informal Accident File Data Collection .....26  
 85-89. RESERVED .....27

**Chapter 6. Preparation of Forms, Personnel Statements, Certified Indexes, Voice Recordings, and Transcripts**

90. FAA Form 8020-6, Report of Aircraft Accident .....28  
 91. FAA Form 8020-26, Personnel Statements .....29  
 92. Certified Index .....31  
 93. Copies of Voice Recordings .....31  
 94. Transcription of Voice Recordings .....33  
 95. Automated Aircraft Accident Package Program .....35  
 96-99. RESERVED .....35

**Chapter 7. Retention of Formal and Informal Air Traffic Aircraft Accident Files, and Air Traffic Incident Files**

100. Security of Records .....36  
 101. Retention of Voice Data .....36  
 102. Retention and Disposal of Aircraft Accident Records .....36  
 103-109. RESERVED .....37

**Chapter 8. Air Traffic Incidents**

110. Air Traffic Incident Notification and Reporting .....38  
 111. Near Midair Collisions (NMAC) .....39  
 112. U.S. Air Force (USAF) Hazardous Air Traffic Reports (HATR) .....41  
 113. U.S. Army Operational Hazard Reports (OHR) .....42  
 114. Pilot Deviations .....43  
 115. FAA Form 8020-11, Incident Report .....46  
 116. Vehicle and Pedestrian Deviations .....47  
 117. Emergency Evacuations .....48  
 118. Parachute-Jumping Incidents .....48  
 119. Miscellaneous Incidents .....48  
 120. Flight Standards .....50  
 121. Retention and Disposal, Contents, and Labeling of Air Traffic Incident Records .....50  
 122. Request for Information and Records Furnished Outside of the FOIA Process .....50  
 123. Knowledge Services Network (KSN) .....51  
 124-129. RESERVED .....51

## Chapter 9. Aircraft Accident Investigation Responsibilities

### Section 1. Office of Accident Investigation and Prevention

130. Office of Accident Investigation and Prevention Responsibilities .....	52
131. Regional Flight Standards Division Responsibilities .....	52
132. Designation of the FAA IIC .....	52
133. Possible Involvement of Navigation Facilities .....	52
134. Technical Operations Aviation System Standards Responsibilities .....	52
135. Washington Headquarters "Go Team" .....	53
136. Additional Information .....	53
137–139. <u>RESERVED</u> .....	53

### Section 2. Air Traffic Services

140. General .....	54
141. Air Traffic Accident Representative .....	54
142. Air Traffic Accident Representative Responsibilities .....	54
143–149. <u>RESERVED</u> .....	55

### Section 3. Technical Operations Services

150. Introduction .....	56
151. Scope .....	56
152. Overview of Technical Operations Services Activities .....	56
153. Responsibilities .....	56
154. Aircraft Accident Representative .....	57
155. Process .....	58
156. Decisions .....	58
157. Field Work .....	61
158. Documentation .....	62
159. Preserving, Copying, and Releasing Reports and Records .....	63
160. Field Response for Post Aircraft Accident Data .....	63
161-169. <u>RESERVED</u> .....	64
FIG 9-3-1. Aircraft Accident/Incident TOAAR Checklist .....	65
FIG 9-3-2. Facility Restoral Checklist .....	67
FIG 9-3-3. Aircraft Accident/Incident Package Cover Page .....	69
FIG 9-3-4. Technical Operations Services Post-Aircraft Accident Process .....	70

### Section 4. Office of the Chief Counsel

170. General .....	71
171. Extent of Legal Participation .....	71
172. Additional Information .....	71
173–179. <u>RESERVED</u> .....	71

## Chapter 10. Public Release of Accident and Incident Information

180. General .....	72
181. Military Aircraft Information .....	72
182. Public Requests for Reports .....	72
183. FOIA Request for Accident or Incident Investigation Documents .....	72
184–189. <u>RESERVED</u> .....	73

Paragraph

Page

**Appendix A. Forms Used by Air Traffic..... A-1**

*FIG A-1.* FAA Form 8020-3, Facility Accident/Incident Notification Record ..... A-2

*FIG A-2.* FAA Form 8020-6, Report of Aircraft Accident ..... A-3

*FIG A-3.* FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) ..... A-4

*FIG A-4.* FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice ..... A-5

*FIG A-4.* FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice (continued) ..... A-6

*FIG A-6.* FAA Form 8020-17, Preliminary Pilot Deviation Report (Page 2) ..... A-9

*FIG A-6.* FAA Form 8020-17, Preliminary Pilot Deviation Report (Page 3) ..... A-10

*FIG A-6.* FAA Form 8020-17, Preliminary Pilot Deviation Report (Page 4) ..... A-11

*FIG A-7.* FAA Form 8020-19, Reclassification of Aviation Incident Report ..... A-12

*FIG A-8.* FAA Form 8020-21, Preliminary Near Midair Collision Report ..... A-13

*FIG A-8.* FAA Form 8020-21, Preliminary Near Midair Collision Report (continued) ..... A-14

*FIG A-8.* FAA Form 8020-21, Preliminary Near Midair Collision Report (continued) ..... A-15

*FIG A-9.* FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report ..... A-16

*FIG A-9.* FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report (continued) ..... A-17

*FIG A-9.* FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report (continued) ..... A-18

*FIG A-10.* FAA Form 8020-26, Personnel Statement ..... A-19

**Appendix B. Example of Air Traffic Aircraft Accident Package ..... B-1**

**Appendix C. Determination of Air Traffic Facility Responsible for  
Final Data Collection Flow Chart ..... C-1**

**Appendix D. Cassette Tape and Computer Diskette- Recordable (CD-R) Labeling ..... D-1**

**Appendix E. Original Documentation Transfer ..... E-1**

*FIG E-1.* Example of Original Documentation ..... E-2

**Appendix F. Definitions ..... F-1**



## Chapter 1. General

### 1. Purpose of This Order

This order prescribes FAA ATO procedures and responsibilities for aircraft accident and incident notification, investigation, and reporting.

### 2. Audience

This order applies to ATO employees and anyone using ATO directives.

### 3. Where to Find This Order

This notice is available on the MyFAA employee Web site at [https://employees.faa.gov/tools\\_resources/orders\\_notices/](https://employees.faa.gov/tools_resources/orders_notices/) and on the air traffic publications Web site at [http://www.faa.gov/air\\_traffic/publications/](http://www.faa.gov/air_traffic/publications/).

### 4. Cancellation

FAA Order 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, dated September 13, 2005, including all associated notices, is canceled.

### 5. Explanation of Changes

This revision:

- a. Incorporates editorial changes.
- b. Reflects recent organizational and procedural changes.
- c. Updates ATO procedures related to the collection of documents and other items associated with an aircraft accident or incident and incorporates updated procedures for pilot deviations, including those involving security temporary flight restrictions.

### 6. Distribution

This order is intended for all Assistant Administrators, Associate Administrators, and heads of offices and services; division level in the offices of Labor Management Relations, Environment and Energy, Aviation Policy, Planning and Environment; branch level in the offices of Chief Counsel, International Aviation, Communications, Aviation Safety, Aviation Safety Analytical Services, Aviation Safety - Air Traffic Safety Oversight, Rulemaking, Airport Safety, Airports, Security and Hazardous Materials, Accident Investigation and Prevention, Aerospace Medicine; Aircraft Certification Service and Flight Standards Services; Air Traffic Organization Senior Vice Presidents and Vice Presidents, Service Area Directors, Managers, service centers, Flight Service Program Operations Director, and field facilities, National Airspace System (NAS) Transition and Implementation; NAS Operations; and Aviation System Standards; regional division level in Regional and Center Operations, International Aviation, and Communications; regional branch level in Human Resource Management, Certification Directorates, Flight Standards Services, Aerospace Medicine, Technical Operations, Airports, and Security and Hazardous Materials; Aeronautical Center division level in Operations Center, Center Counsel, and Communications; and branch level in Security and Hazardous Materials, Human Resource Management, and FAA Academy; Technical Center division level in Operations Center, Center Counsel, Communications, Security and Hazardous Materials, and Human Resource Management; and a standard distribution to all field offices and facilities.

### 7. Authority to Change This Order

Only the Director of Technical Operations or Director of Mission Support, Litigation Liaison Office, 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 Litigation Liaison Office.

## 8. Supplements

Supplements to this order must be approved prior to implementation. One copy of each line of business, service center, office, or facility supplement to this order must be sent to the Office of Accident Investigation and Prevention through the Litigation Liaison Office.

## 9. Definitions

See [Appendix F](#), Definitions, for a complete list of definitions for terms used in this order.

## 10. Related Publications

The following publications are the primary references to be used in coordination with provisions of this order:

- a. FAA Order 8020.11, Aircraft Accident and Incident Notification, Investigation, and Reporting
- b. FAA Order JO 7210.3, Facility Operation and Administration
- c. FAA Order JO 7210.56, Air Traffic Quality Assurance
- d. FAA Order JO 1030.3, Initial Event Response
- e. FAA Order JO 7110.65, Air Traffic Control
- f. FAA Order JO 7110.10, Flight Services

## 11. Forms and Reports

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

## 12. Safety Risk Management (SRM) Analysis

This order has no effect on the National Airspace System (NAS).

## 13. FAA Responsibilities in Aircraft Accident Investigations

The responsibilities of the FAA pertinent to aircraft accident investigations in accordance with Sections 40113 and 44702 of title 49 United States Code (U.S.C.) 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 certifying civil aircraft airworthiness, for certifying 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) Airman medical qualifications were involved.

- (8) There was a violation of Federal Aviation Regulations.
- (9) Airport security standards or operations were involved.

c. Support the National Transportation Safety Board (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 investigator-in-charge (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; that is, 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 U.S.C.

(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 U.S.C. (See Air Force Regulation AFJ191-206, 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. Title 49 Code of Federal Regulations (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.

#### **14. Responsibilities of Regional Divisions, Aircraft Certification Directorates, Service Areas, Service Centers, and Flight Service Program Offices 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, service center, and Flight Service Program Office (FSPO) 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, service center, Flight Services Information Area Group (FSIAG), directorate, or staff responsibilities and provide assistance and required reports to the FAA IIC.

#### **15. 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) The 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, the NTSB will make available to the FAA all documents, reports, and other evidence from the investigation and any tentative recommendations so that the 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 the FAA in a 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.

## **16. Post-Accident or Incident Drug Testing**

Post-accident drug testing must be conducted in accordance with current Department of Transportation (DOT) and FAA directives.

## **17. 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 Office of the Chief Counsel or the Regional Counsel. The FAA IIC reports to AVP-1 through the Manager, Accident Investigation Division. (NTSB and the military service use the term "FAA coordinator" during NTSB or military service-conducted investigations.)

## **18. 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 office that has been authorized access to the accident scene but have not been assigned as participants are subject to the requirements of [paragraphs 18a](#) and [18b](#). These personnel must provide the FAA IIC with reproducible copies of all investigation reports which they prepare or receive.

## **19. 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.

## **20. 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.

**21. 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. Basic Aircraft Accident Investigation, Course 00035
- b. Advanced Aircraft Accident Investigation, Course 00003
- c. Basic Rotorcraft Accident Investigation, Course 00007. This course is sponsored by TSI and conducted at the Bell Helicopter Customer Training Academy, Fort Worth, Texas.
- d. Human Factors in Aircraft Accident Investigation, Course 00008
- e. Aircraft Cabin Safety Investigation, Course 00379

**22-29. RESERVED**



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

### 30. Office of Accident Investigation and Prevention

**a. Director of Accident Investigation and Prevention.** The overall mission of the Office of Accident Investigation and Prevention 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.** 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 near midair collisions (NMAC), 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 office 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 offices, 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 and Prevention duty officer for purposes of coordination and notification.
- (13) Operates the FAA Office of Accident Investigation and Prevention duty room, including management of the automated information-dissemination program and the accident and incident briefing program.

**c. Recommendation and Analysis Division.** 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 databases 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. Refer to FAA Order JO 1030.3 for appropriate notification procedures.

### 32. Air Traffic Organization (ATO)

**a. The Office of Safety, System Operations Services, Acquisition and Business Services, En Route and Oceanic Services, and Terminal Services.** The ATO participates in the investigation of aircraft accidents and incidents when FAA air traffic control or aeronautical communications facilities are involved. Service area directors, service center directors, and the Flight Service Program Operations Director 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 ensure the continued safe operation of the NAS, investigate potentially involved facilities in a timely manner, restore operations of facilities removed from service, and provide appropriate accident-related facility documentation.

**c. Aviation System Standards.**

(1) The Director of Aviation System Standards must ensure that the appropriate 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. 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.



## (2) Aviation System Standards must:

(a) At the request of the NTSB, FAA IIC/Coordinator (AVS), the FAA Accident Investigation Division, National Technical Operations Aircraft Accident Representative (NTOAAR) or Technical Operations Services Aircraft Accident Representative (TOAAR), schedule a flight inspection of facilities after an accident or incident.

(b) Provide flight inspection results to the FAA IIC or TOAAR.

**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. The Office of Safety, 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; that is, air traffic operational errors or deviations, the service center director or FSPO 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 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. The Aviation Data Systems Branch 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. Their purpose 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 toxicological services to the NTSB without reimbursement in accordance with the existing Memorandum of Agreement between the FAA and the 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 title 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 the FAA Accident Investigation Division 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, follow notification procedures as outlined in this chapter.

- a. Any FAA or FAA contract facility (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, flight service station).
- 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; that is, Department of State, the FAA Aeronautical Fixed Telecommunications Network, or by any expeditious means appropriate to the accident or incident circumstances.
- c. For incidents/accidents involving UAS contact the Unmanned Aircraft Program Office, 202-385-4636, through the Regional Operations Center (ROC).
- d. 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 facilities to initiate preliminary notification of aircraft accidents and aircraft incidents, except for emergency evacuations, which require FAA Form 8020-11, Incident Report. If requested by the FSDO, the Litigation Liaison Office, service center, Flight Service Program Office, or Safety Investigations and Evaluations, FAA Form 8020-11 will also be completed for selected aircraft incidents.
- e. 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 A](#) for copies of the forms).

### 61. FAA Contract Facilities (FCF)

Unless indicated in the following paragraphs or specifically directed by the FAA Accident Investigation Division, the FAA IIC, or the Litigation Liaison Office, in complying with this order, FCFs 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 copies of voice data, etc., concerning an aircraft accident or incident to the FAA, except as outlined in this order.

#### **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 (that is, FAA and FCF).*

#### **EXAMPLES-**

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

*"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 [that is, FAA and FCF].)*

### 62. Operations Center

When a notification of an aircraft accident or incident, or an air traffic incident is received from any source, the Washington Operations Center (WOC) or ROC operations officer must contact the appropriate offices and representatives for conferences or briefings as necessary. Notification will be conducted following FAA Order JO 1030.3, Initial Event Response.

- a. When the reported occurrence is one that requires regional or Washington notification in accordance with [paragraph 65](#), the ROC 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 ROC officer must confer with the Flight Inspection Central Operations (FICO) and the TOAAR located at the appropriate operations control center (OCC). Also, Aviation System Standards must be included whenever notification is received that an FAA aircraft is involved in an accident or incident.

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

**e.** The WOC Operations Officer compiles all the accident and incident messages received each day for the Accident Investigation Division Duty Room. Each working day, the FAA Accident Investigation Division telecopies to the Aviation Data Systems Branch a list of accidents derived from the WOC compilation.

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

**g.** The WOC must notify the Environment, Energy, and Employee Safety Division 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 ROC officer must provide information to other ROCs when events occurring in the ROC 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 WOC Operations Officer, are of official interest.

### **64. National Transportation Safety Board (NTSB)**

**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. Aircraft Accident and Incident Notification and Reporting**

The definition of an aircraft accident is in [appendix F](#). An aircraft accident or aircraft incident differs from an air traffic incident, which includes NMACs, pilot deviations, vehicle or pedestrian deviations, and other occurrences. Air traffic incidents are discussed in [chapter 8](#). This paragraph is broken into three categories: what to report, how to Report, and when to report.

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

(1) All known and suspected accidents. An example of a suspected accident is the simultaneous unexplained loss of radio communications and radar contact with an aircraft. For accidents where the aircraft has not been physically located, air traffic facilities must immediately contact the service center Quality Control Group through the ROC. (FAA

Flight Service Stations [FSS] normally contact Alaskan FSIAG [AFSIAG].) The service center Quality Control Group will then contact Safety Search and Rescue.

(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/incidents:

(a) Accidents/Incidents 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/Incidents in which hazardous materials are being transported.

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

(d) Other accidents/incidents which the reporting facility or FSDO personnel believe warrant telephone notification of the ROC or the WOC.

(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. How to Report.**

(1) Any air traffic facility first receiving notification of a known or suspected accident/incident must make and record notification using FAA Form 8020-3, which is a list of contacts (see [appendix A](#)). There may be more than one 8020-3 for an aircraft accident/incident. The air traffic facility having jurisdiction over the accident site, if different from the facility receiving initial notification, must also complete FAA Form 8020-3. Managers must ensure that copies of FAA Form 8020-3 with telephone numbers inserted are available and updated periodically. 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 to report air traffic incidents. See [chapter 8](#) for reporting air traffic incidents.

(2) All air traffic facilities (except FSSs) 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 Airport Traffic Control Tower (ATCT) and all satellite airports.*

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

**c. When to Report.**

- (1) Overdue and missing aircraft.

(b) Air traffic facilities must immediately contact the service center Quality Control Group through the ROC when an aircraft becomes overdue or missing. The service center Quality Control Group will then contact Safety Search and Rescue.

- (b) Issue an alert notice (ALNOT) in accordance with FAA orders.

(2) Air traffic facilities must notify the ROC of all known and suspected aircraft accidents/incidents within 2 hours of becoming aware of any of the following:

**NOTE-**

*The ROC will notify the WOC of accidents/incidents within 2 hours of the original accident/incident report.*

- (a) Air carrier, air taxi, or commuter aircraft.

- (b) Aircraft operating under instrument flight rules (IFR) or special visual flight rules (SVFR).

(c) For all other accidents/incidents, the determination of whether Safety Investigations and Evaluations 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/incidents when a weather briefing was provided within 24 hours of the accident/incident. 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 center, or FSPO in consultation with the facility. Although not all-inclusive, an example of minimum service may be a visual flight rules (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.

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

(e) Accidents/Incidents 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.

- (f) Accidents/Incidents in which hazardous materials are being transported.

**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.

**a. Completing FAA Form 8020-9.**

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

(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 serves as 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 3 hours of the detection of the known or suspected accident/incident to the ROC via fax or email, or by National Airspace Data Interchange Network (NADIN)/Network Enterprise Management Center (NEMC) message, using immediate (DD) precedence where it will then be forwarded, as necessary, to:

- (a) FAA, Washington Operations Center, Washington, D.C.
- (b) NTSB, Washington, D.C.
- (c) FAA service center with jurisdiction over the area in which the accident/incident occurred. If the aircraft was under the control of an FAA facility in another service center, both service centers must be addressed.
- (d) The Headquarters Flight Service Safety and Operations (FSSOPS) or AFSIAG, as appropriate.
- (e) Aerospace Medical Research Division, AAM-600, Mike Monroney Aeronautical Center.
- (f) U.S. Air Force Rescue Coordination Center (AFRCC), 650 Florida Avenue, Tyndall Air Force Base, Florida, 32403-5017.
- (g) El Paso, Texas, Intelligence Center (EPIC).
- (h) The appropriate civil aeronautical authority for accidents involving aircraft of Canadian or Mexican registry in accordance with ICAO Annex 13.

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

- (a) An air traffic facility receives initial notification more than 24 hours after the aircraft accident/incident.
- (b) There is an aerial application (agricultural) or industrial accident/incident.

(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 center 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 in [paragraph 70](#), must forward a copy of FAA Form 8020-9 to the responsible facility. If the responsible facility cannot be determined, the service center 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.

(7) When transmitting information from FAA Form 8020-9 via NADIN/NEMC, 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.

**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/incident 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.

(5) Complete FAA Form 8020-9, item F, in all cases. If the name of the FAA IIC for the accident/incident is unknown, the office(s) notified should be indicated; for example, 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 Accidents/Incidents 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 (see [Appendix C](#), Determination of Air Traffic Facility Responsible for Final Data Collection Flow Chart):

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

(2) Aircraft on IFR flight plans under the control of a military-staffed facility: the ARTCC in whose area the accident/incident 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 Litigation Liaison Office through the appropriate service center.

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

**NOTE-**

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

(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/incident occurred (at time of occurrence).

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

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

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

(b) The last FCF facility that communicated with the aircraft will conduct the final collection of all accident/incident information involving FCFs of the same vendor. If more than one vendor is involved, the last FCF that communicated with the aircraft for each vendor will conduct a final collection. No information from an FAA facility will be included.

b. When permitted by the service center, or FSPO, it is possible and permissible that data collection will vary between FAA and FCF facilities. This is determined by the type and/or level of service provided (see [paragraph 71](#)).

c. The ATO does not need to establish a file for agricultural, ultralight, balloon, and/or industrial accidents/incidents unless requested by the FAA Accident Investigation Division, the FAA IIC, the Litigation Liaison Office, the service center, or FSPO.

### 71. Formal Accident File/Package Data Collection

Initiate a formal accident file/package for all investigations, including military investigations, when air traffic facilities may be or are involved in the accident. The determination may be made to downgrade the file after consultation with the service center, or FSPO and the Litigation Liaison Office.

a. Continue the 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 SVFR which resulted in fatalities or serious injuries.

(3) 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 in accordance with [paragraph 71a\(1\)-\(3\)](#).

(4) When requested by the FAA IIC, the Litigation Liaison Office, service center, or FSPO.

**b.** 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. 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 center, or FSPO in consultation with the facility or after coordination with the Litigation Liaison Office. 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 separation, sequencing, and/or vectoring to a VFR aircraft within Class B airspace.

(1) If a determination has been made that no formal accident file/package will be prepared, the service center or FSPO may request the facility(ies) that provided air traffic service(s) or pertinent information prepare an informal accident file in accordance with [paragraph 84](#), unless a determination of a nonoccurrence has been made (see [paragraph 71g\(2\)](#)).

(2) 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.

**c.** Obtain documentation as follows:

(1) After the preliminary notification, appropriate facilities along the flight route must be requested to provide pertinent documentation (see [paragraph 71c\(6\)](#)).

(a) AFSIAG - The FSS in whose flight plan area the accident occurs must deliver the request to each Direct User Access Terminal System (DUATS) vendor.

(b) Contracted Flight Service Station (FCFSS) – Information regarding possible services provided by an FCFSS will be coordinated through the FSPO as follows: The reporting facility can obtain information about FCFSS services through notification of the ROC (per [paragraph 65](#)). The ROC will notify the Central Region ROC of the accident and the Central Region ROC will contact the FSPO. (The FCFSS will also query each DUATS vendor for services provided.)

(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 radar and computer data. Unless otherwise advised by the Litigation Liaison Office, retention must be in accordance with [chapter 7](#).

(4) Particular attention must be given to the handling of voice recordings to avoid damage and 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.

(5) Responding facilities must furnish the requesting facility with one copy of pertinent records, certified indexes, and/or normal service statements. Information obtained from military facilities may not be in FAA format.

(6) Examples of pertinent documentation include but are not limited to FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice; FAA Form 8020-26, Personnel Statements; 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; radar data; pilot reports (PIREP) and weather data; Significant Meteorological Information (SIGMET); Airmen's Meteorological Information (AIRMET); notice to airmen (NOTAM); FAA Form 7233-1, Flight Plan; video maps; nonpublished NOTAMs; 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 based on the level of service provided.

**d.** The formal accident file must contain:

- (1) The accident package.
- (2) Voice recordings made in accordance with [paragraph 93](#).

(3) 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 JO 8020.16A or via written direction from the Litigation Liaison Office. Pertinent information, may include, but not be limited to

- (a) Charts (for example, minimum vector altitude (MVA), approach plates).
- (b) Quality Assurance Review (QAR).
- (c) Radar data and computer data (see [paragraph 73](#)).
- (d) Letters of agreement.
- (e) Facility directives.
- (f) Email or other communications containing exchanges of information relevant to the facts of the

accident.

**e.** Include a copy of transcripts (full or partial, as appropriate) and certified copies of recordings prepared by all involved FCFs in the FAA air traffic formal accident file, not package. When there is an accident/incident with no FAA air traffic involved, FCFs do not need to forward data. No other FCF documents will be retained in the FAA air traffic formal accident file without the permission of the FAA Accident Investigation Division or the Litigation Liaison Office.

**f.** The formal accident file must be labeled as described in [paragraph 102a](#).

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

- (1) Downgraded to an aircraft incident, the responsible originating facility (see [paragraph 70](#)) will assemble an informal accident file instead of a formal accident file and must notify all supporting facilities after coordination with the service center, or FSPO.
- (2) Determined to be a nonoccurrence, the responsible air traffic facility (see [paragraph 70](#)) will coordinate with the appropriate service center, or FSPO regarding retention of documentation.

## **72. Data Collection and Certification by Selected Facilities**

### **a. FAA FSS Facilities and FCFSS Facilities.**

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

(a) The facility must compile all pertinent EVR/Contact History data and produce two printouts.

(b) Certify one printout as the original and one printout as the copy. The certified copy may be retained electronically.

(2) The facility must include the certified copy in the accident file. The certified original may be kept in a separate secured area. The certified original must be retained for the same period as the accident package.

(3) 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.

**b. Facilities Not Providing ATC Services.** When requested by the FAA IIC, the FAA Accident Investigation Division, the Litigation Liaison Office, Safety Investigations and Evaluations, service center, FSPO, or the air traffic facility responsible for final data collection (see [paragraph 70](#)), any air traffic facility having any pertinent documentation, audio, 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. Air Traffic Control System Command Center (ATCSCC).**

(1) When it has been determined by the FAA IIC, the Litigation Liaison Office, Safety Investigations and Evaluations, the service center, or FSPO that the ATCSCC may have information pertinent to an accident or incident, the ATCSCC will be requested to retain data, documentation, and/or copies of recordings in accordance with this order and local directives.

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

**d. Domestic Events Network (DEN).** When it has been determined by the FAA IIC, the Litigation Liaison Office, Safety Investigations and Evaluations, the service center, or FSPO that the DEN may have information pertinent to an accident or incident, the DEN will be requested to retain data, documentation, and/or copies of recordings when coordinated with the Litigation Liaison Office.

## 73. Radar and Computer Data

### a. Data Collection.

(1) For aircraft accidents/incidents or suspected aircraft accidents/incidents, pertinent computer data, such as Data Analysis and Reduction Tool (DART), Continuous Data Recording (CDR), and National Track Analysis Program (NTAP) must be extracted onto an electronic storage media (for example, diskette, computer diskette – recordable [CD-R], zip diskette, etc.). After extraction, the data must be reviewed to ensure the completeness and accuracy of the transferred data onto the electronic storage media.

(2) To protect original computer data from possible damage, arrangements must be made to re-record or reproduce all pertinent data as soon as possible after an accident/incident. The data must reflect the same time period as all copies of recordings pertinent to the accident/incident and/or pertinent captured data of the accident/incident.

(3) Radar and Automation data recorded by the Host Computer System (HOST)/Standard Terminal Automation Replacement System (STARS)/Automated Radar Terminal System (ARTS) platforms must be retained in sufficient quantity in order to be able to reasonably recreate the event on the automation platform that recorded the data. In order to do that, facilities must retain data as follows:

(a) STARS – retain CDR data extracted from the STARS Data Reduction and Analysis Tool (DR&A) required to replay the event on a STARS Terminal Controller Workstation display.

(b) Common Automated Radar Terminal System (CARTS) – retain a CDR Time Selected Output (CDTSO) so that the data can be replayed on the CARTS RETRACK system.

(c) HOST/En Route Automation Modernization (ERAM) – retain data so that the event can be replayed on a HOST/ERAM display or if replay capability is not available on the HOST system, then retain a SATORI playback file of the event along with the System Analysis Recording (SAR) and display system replacement (DSR) information.

(d) Airport Surface Detection Equipment (ASDE) and Safety Logic Systems – Retain data so that it can be replayed on the original system as well as be converted to other electronic formats (for example, .avi).

(4) Data that is preserved in any other equipment not listed above that contributes to a more complete understanding of the accident needs to be retained (for example, low level windshear systems, pre-departure clearance messages, status information displays, etc.) if the capability exists.

(5) Refer to [Appendix D](#), Cassette Tape and Computer Diskette- Recordable (CD-R) Labeling for labeling examples.

**b. Radar and Computer Data Certification.**

(1) A certification statement is signed by the manager of the air traffic facility, or the acting manager or support specialist. This certified data becomes the official printed historical document after the recording media has been returned to service.

"I certify this data is derived from computer recordings from [UTC date and UTC time] to [UTC date and UTC time]."

(2) A certification statement is signed by the person at the aeronautical information system replacement (AIS-R) host facility that fulfills the data request:

"I certify this data is derived from the AIS-R 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 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."

**74. Correction Memorandums**

When it is discovered that data has not been collected in accordance with FAA orders and directives, a memorandum must be prepared to explain when it was discovered, why it happened, and the steps that will be taken to ensure the same error will not happen again.

**75-79. 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 (for example, ARTCC, terminal radar approach control [TRACON], ATCT, FSS, FCT, FCFSS). Do not use a separate numbering system for formal accident files/packages and informal accident files.

**EXAMPLES-**

ZTL-ARTCC-0095

D10-TRACON-0004

HNL-ATCT-0013

JUN-FSS-0044

OLM-FCT-0001

PRC-FCFSS-0022

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. FCFs 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 FCFs 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. Support Facilities

a. Facilities that provided normal services to the subject aircraft are those that did not have control over the aircraft just prior to or at the time of the accident, or have pertinent transmissions with the subject aircraft. After coordination with the facility responsible for preparing the aircraft accident file (see [paragraph 70](#)), these supporting facilities must submit a normal service statement. Forward the original document and retain a copy.

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."

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 B](#)).

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 71c\(6\)](#)).

f. Other than normal services:

(1) Supporting facilities must provide all documents as required in [paragraph 71c](#), as appropriate, to the facility responsible for preparing the air traffic accident package.

(2) Supporting facilities must retain all radar and computer data as required in [paragraphs 71-73](#).

(3) Supporting facilities must retain all items mentioned in the above sub-paragraph in an accident file for their facility using the responsible facility's accident file number.

## 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, and facility memoranda (see [appendix B](#)). Include items in the accident package as required. 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 (holding) 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](#)). The facility preparing the accident package must assemble the original package. Additionally, the facility must prepare four paper copies or an electronic copy.

### NOTE-

*Upon coordination with the FAA IIC, the facility may elect to prepare electronic copies of accident packages for distribution.*

(2) FCFs must prepare one copy and retain the original. The copy must be forwarded as described in [paragraphs 82d](#). The copies must not include original signatures.

(3) Unless requested by the FAA Accident Investigation Division, the Litigation Liaison Office, or a competent authority, all classified or security sensitive information and/or documentation and information protected under the Privacy Act (for example, 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. When redacting, 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 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(s) or flight number(s). Except for transcripts (see [paragraph 94](#)) the accident number and registration(s) or flight number(s) must be in the lower left hand footer. Assemble the package in the following order:

(1) Certification. The certification memorandum must be placed on top of the completed package and delivered with the package. The Certification Memorandum is no longer a part of the formal accident package.

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

(3) Section 2. FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) (see [paragraph 90](#)). Each facility having provided air traffic services or having communication with the subject aircraft must submit FAA Form 8020-6-1. Place FAA Forms 8020-6-1 in chronological order of contact, or comments concerning or about the subject aircraft.

(4) Section 3. Normal Service Statement(s) and Certified Indexes (see [paragraph 81b](#) and [paragraph 92](#)). The certification signature must be the same as the typed name of the facility manager or acting facility manager. Do not use "for" to sign as the certifier.

(5) Section 4. FAA Form 7230-4, Daily Record of Facility Operation. Include FAA Form 7230-4 from the date of the accident and the date it was reported, if different.

(6) Section 5. Personnel Logs. If the facility has more than one area of specialization, then include all personnel logs of every area of specialization having contact with the subject aircraft. Use of the ATO Portal is recommended; however, facilities utilizing Cru-ART are required to include a memorandum listing those employees on Regular Days Off (RDO). (See [appendix B](#).) Redact any type of leave taken only on copies of the personnel logs.

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

(a) Towers or combined tower/TRACON and FSS. 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 7. Facility Layout Chart. Identify the facility being depicted on the chart. If positions of operation are identified by other than traditional abbreviations, include a legend.

(9) Section 8. Airport Diagram. For all aircraft accidents on or within one mile of the airport property, provide an airport diagram. The airport diagram must include the name of the airport and, since printed or copied diagrams are not to scale, include the statement "this diagram not to scale" on the diagram.

(10) Section 9. Flight Progress Strips and/or In-Flight Contact Record. Make sure the name of the facility providing the flight progress strips or contact records is indicated.

(11) Section 10. Transcriptions of Voice Recordings (see [paragraph 94](#)).

(12) Section 11. FAA Form 8020-3, Facility Accident/Incident Notification Record, (see [appendix A](#), [Figure A-1](#)).

(13) Section 12. Personnel Statements (see [paragraph 91](#)).

(14) Section 13. Weather Products. Weather that was pertinent to the aircraft accident/incident and/or available to the facility (regardless if issued to the flightcrew) and the source of the weather. This includes, but is not limited, PIREPs, SIGMETs, AIRMETs, and weather-related NOTAMs. Certified weather may be obtained from the National Climatic Data Center. In Alaska, FAA air traffic facilities can also obtain certified weather for inclusion in a formal accident file from an associated FSS.

(a) AIS-R 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 the attached copy of the [*weather product(s)*] originated from [*source*] is an accurate copy of the original."

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

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

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

"I certify the attached copy of the [*weather product(s)*] originated from the [*source*] (example, "Memphis Center Weather Service Unit") is an accurate copy of the original."

- (d) NEXRAD or similar weather presentations.

“I certify the attached chart is an accurate reproduction of NEXRAD information displayed on [*type of equipment or display*] at the [*facility*] on 12/27/10.”

- (e) Air traffic facilities that do not take weather observations must obtain certified weather from the National Climatic Data Center.

- (f) The FSS and FCFSS will use their respective weather product(s) to obtain weather.

- (15) Section 14. Non-published applicable NOTAMs.
- (16) Section 15. FAA Form 7233-2, Preflight Briefing Log, or automated equivalent.
- (17) Section 16. FAA Form 7233-1, Flight Plan, or automated equivalent.
- (18) Section 17. Other. Include any other materials deemed pertinent.

#### **d. Distribution.**

(1) The 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 (see [paragraph 100](#)). Facilities must distribute the copy(ies) of the package as follows:

- (a) FAA terminal, TRACON, and en route facilities; and FCT facilities.

- (i) Two complete packages or one electronic package (exception for FCTs: one package, paper or electronic) to the appropriate service center within 30 calendar days of the accident. After review, the service center will forward one copy of the package to the Litigation Liaison Office within 45 calendar days of the accident.

- (ii) After the Litigation Liaison Office has reviewed and released the package, send two complete packages or one electronic package to the FAA IIC (the FAA Accident Investigation Division or FSDO, as appropriate). (Exception for FCTs: forward the one and only copy to the FAA IIC.) The FAA IIC must forward one copy (for FCTs, the one and only copy) to the NTSB within 60 calendar days of the accident.

- (b) FAA FSS facilities.

- (i) Two complete packages or one electronic package to the FSPO within 30 calendar days of the accident. After review, the FSPO will forward one copy of the package to the Litigation Liaison Office within 45 calendar days of the accident.

- (ii) After the Litigation Liaison Office has reviewed and released the package, the AFSIAG must send two complete packages or one electronic package to the FAA IIC (the FAA Accident Investigation Division or FSDO, as appropriate). The FAA IIC must forward one copy to the NTSB within 60 calendar days of the accident.

- (c) Should corrections to the FAA or FCT 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(s).

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

- (a) To the FSPO. After review for compliance with applicable FAA orders and directives, the FSPO will forward the one and only copy of the package to the Litigation Liaison Office on a Quarterly Review Basis. If the package is not part of the Quarterly Review process, the FSPO will return the copy of the package to the facility for distribution to the FAA IIC who will then forward it to the NTSB within 60 calendar days after the accident. Quarterly Review periods include October, January, April, and July.

- (b) 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 [paragraph 82d\(2\)\(a\)](#). A memorandum from the FCF manager or acting manager must accompany any change(s) with a complete explanation of the change.

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

### 83. Certification of the Air Traffic Aircraft Accident Package

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

“I certify that air traffic aircraft accident package, [*air traffic aircraft accident package number*], has been reviewed and is complete.”

b. A copy of the certification memorandum will accompany the completed air traffic aircraft accident package that is forwarded to the service center or FSPO (see [appendix B](#)).

#### **NOTE-**

*The certification memorandum is not part of the accident package, but is retained in the accident file. If any corrections are made after the certification statement is made and signed, a new “Information Memorandum” must be created, signed and dated—summarizing the corrections made.*

### 84. Informal Accident File Data Collection

a. When an aircraft accident/incident does not require data collection in accordance with [paragraph 71](#), data must be retained in an informal file.

b. The facility retaining the informal file must notify other facilities that may have supporting data. Supporting facilities must forward a copy of the Certified Index to the responsible facility. The data that is maintained in a supporting facility must include the responsible facility’s informal file number.

c. The file must include the original:

- (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) FAA Form 8020-26 (see [paragraph 91](#)).
- (7) FAA Form 7230-10, Position Logs.
- (8) FAA Form 7230-4, Daily Record of Facility.
- (9) One certified copy of the recording in .wav format on CD-R or other storage medium, or two certified copies of the recording on cassette tape; one will be marked “Original Copy” and one will be marked “Working Copy” (see [paragraph 93](#)).
- (10) Include a copy of all transcripts and certified copies of recordings prepared by all involved FCFs 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 the FAA Accident Investigation Division or the Litigation Liaison Office.
- (11) Radar and Computer Data (see [paragraph 73](#)).
- (12) Certified Index.
- (13) Other pertinent items.

- d. Affix a 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.
- e. 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 Recordings, 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 A](#)). 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.
- (3) For any information that is unknown at the time this form is prepared enter "unknown."

#### b. Form Instructions.

- (1) Report Number. Reports must be numbered as described in [paragraph 80](#).
- (2) Block 1. Aircraft identification and type. If more than one aircraft is involved, list one aircraft identification and type in Item 1. List the additional aircraft information on the 8020-6-1. If there are more than two aircraft, list each additional aircraft's information on the 8020-6-1.
- (3) Block 2. Date/Time of Accident (UTC).
- (4) Block 3. Location of Accident. City, state, and specify the location of accident (that is, location on airport, distance from runway, distance from prominent landmarks, street address, etc.). Be as specific as possible; however, do not use latitude/longitude.
- (5) Block 4. Nature of Accident. A brief factual statement of the accident must be included if known. Examples: taxiing collisions, landed with gear up, crashed on final approach. When the information is not known or can only be surmised, enter "unknown."
- (6) Block 5. Type of Flight. State the type of flight plan on which the aircraft was operating (VFR, IFR, SVFR, defense visual flight rules [DVFR], and no flight plan).
- (7) Block 6. Flightcrew. If known, enter the name of each flightcrew member and flight attendant(s), his or her position, address (City and State only), and extent of injury (uninjured, injured, fatality, unknown). Give extent of injuries as known at time of report preparation.
- (8) Block 7. Passenger Data. If known, include number aboard aircraft, number uninjured, numbered injured, and number fatalities. Do not include passenger names, addresses, and/or extent of injuries, or flightcrew information (see Block 6).
- (9) Block 8. Aircraft Damage. (This should be obtained from FSDO.)
- (10) Block 9. Property Damage. (This should be obtained from FSDO.)
- (11) Block 10. Operational Status of Navigational Aids/Lights/Communication.
- (12) Block 11. Weather Data. Weather data must be written out in plain language. Numbers must be spelled out. The Section 1 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. 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. PIREPs should be included in the weather products section.

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

(a) List the names of personnel involved (that is, first, middle initial, last) (described in [paragraph 91d\(6\)](#)) in chronological order. 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.

(b) The operating initials for each controller must be typed to the right of their name and enclosed in parenthesis (see [appendix B](#)).

(c) List the facility involved.

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

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

(14) Block 13. Signature of Facility Manager. The facility manager or the acting facility manager must sign this block. Type the facility manager or the acting facility manager's name in this item.

(15) Block 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 B](#)). If the text of the summary does not include the aircraft identification (ACID), then add the ACID in the upper or lower margin.

## 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. If an individual had contact with the aircraft at more than one operational position (this does not refer to combined positions) then the individual shall complete a separate 8020-26 for each position.

(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 name the weather and/or other information used in the briefing, the origin of the data, and the effective time.

(2) For the purposes of this paragraph or other associated references, the person identified above and completing FAA Form 8020-26, Personnel Statements, Block 10, 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 Freedom of Information Act (FOIA) or litigation activities including pretrial discovery, depositions, and actual court testimony.

(2) The text of the statement (Block 10) is to be hand printed neatly, in ink, and signed by the personnel listed in Block 6 (that is, witness). The signature of the witness certifies the accuracy of the statement. The personnel statement must not be edited or typed.



**c. Prior to statement preparation, personnel (that is, 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; for example, "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) Block 1. Name of Reporting Facility.
- (2) Block 2. Report Number. Reports must be numbered as described in appropriate paragraphs for the type of accident or incident.
- (3) Block 3. Aircraft Identification and Type.
- (4) Block 4. Location of Accident/Incident. (City and State.)
- (5) Block 5. Date/Time of Accident/Incident (UTC).
- (6) Block 6. Name. Witness' name (i.e., first, middle initial, last) (see [paragraph 90b\(13\)\(a\)](#)) and, in parentheses, his or her operating initials used on personnel logs and/or position logs.
- (7) Block 7. Title. Title of the witness (ATCS, SATCS, ATA)
- (8) Block 8. Position and Time (UTC). The identifier 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 equivalent).

**NOTE-**

*The facility may elect to have items 1 through 8 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.*

- (9) Block 9. Ensure this information is read and understood before completing the form.
- (10) Block 10. Text of Statement.

(a) Check the box "Comment" if you wish to 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.

(b) Check the box "No Comment" if you have no information to add. This box may not be checked for personnel statements involving air traffic incidents ([paragraph 110](#)). A complete, factual narrative is required in these incidents.

(c) Indicate if the personnel statement is the original or a supplemental statement (see [paragraph 91g](#)).

- (11) Block 11. Signature of Witness. Once signed, the signature will certify the accuracy of the statement.
- (12) Block 12. Date of Signature. The date that the original or supplemental statement was actually signed.

**e. Forward a copy of the personnel 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 the 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 Block 10.

## 92. Certified Index

Each facility must prepare a certified index listing each document being held by the facility (see [appendix B](#)). 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, but not be limited to, personnel statements, radar and computer data, voice recordings, and copies of recordings being retained as a result of the accident. The certified index must be signed by the facility manager or acting facility manager using the following format:

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

## 93. Copies of Voice Recordings

Facilities use a variety of voice recording systems. When the recording system records voice data into its mechanism (hard drive, tape) this order refers to the voice data as the "recording." The first copy of the recording is defined as the "Original Copy;" any subsequent copy(ies) are referred to as the "Working Copy." When a facility must store voice data, the following principles apply for any recording system. Certify the original copy and working copies. Clearly mark the contents of the copies and of the recording (for example, label the original copy you placed on a CD-R, write an electronic tag on the hard drive where the recording is stored). Protect the recording from being altered. Ensure any certified copies include a time track/channel (provided the voice recording system has a time channel). Check all certified copies for adequate quality of voice and time. Certified copies of the recording must include all communications (and time track) pertinent to the accident from a period of 5 minutes before the initial contact to 5 minutes after last contact. (FCFSS facilities do not need to include 5 minutes before initial contact, nor 5 minutes after last contact.)

### **NOTE-**

*The term "contact" is defined as communication and/or coordination with or about the subject aircraft. ("Contact" would include any voice data of the air traffic control specialist/facility attempting to communication with/about the subject aircraft). Therefore, stored voice data (original copy or working copies) must include all communications and/or coordination pertaining to the subject aircraft even if a transmission is not completed or acknowledged. This definition may be extended to include transmissions and/or coordination involving search and rescue efforts, crash-fire rescue, "attention all aircraft" broadcasts, weather advisories, recorded phone lines, as well as all Automatic Terminal Information Service (ATIS) recordings made during the time the subject aircraft was under air traffic control. Due to the infinite number of possibilities involved, facilities must coordinate questionable exceptions with the service center, or FSPO.*

**a.** All the storage media on which the original or working copies 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 copy.

**b.** Each position of operation will be certified separate and independent of other positions.

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

"This copy is being prepared by [facility]. The subject concerns [type of accident] 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]. The position(s) of operation being copied is [position, for example, local control, ground control, R34R, etc.]"

"I certify that the following is a true copy of the original recorded transmissions pertaining to the [type of incident]. My name is [name]. I am employed as [title] at [facility]."

**d.** The copy of each position of operation will be preceded by a statement naming the position and the UTC start and stop times of the copy as follows:

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

**e.** Conclude the copy with the following statement:

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

**f.** Digital Voice Recorder System (DVRS)

(1) Facilities using a DVRS may elect to produce a wave (.wav) file instead of cassette tape for the original and working copy(ies) of the recording. To ensure the 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 than 16-bits.

(2) The .wav file must include two channels (time in Inter Range Instrumentation Group [IRIG]-B format on the right channel and voice on the left channel). The certification statements and other required verbal statements remain the same and must be a part of the .wav file. Other digital formats (.mp3, .wmv, etc.) for certified copies of the recording are not permitted.

(3) When naming copies, ensure the .wav files are in chronological sequence of flight if more than one .wav file is included in the storage media (see [appendix D](#)).

(4) When a digital audio tape (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 there.”

**g.** Digital Audio Legal Recorder (DALR)

(1) Air traffic facilities using DALR must produce an original copy and working copy(ies). The original copy is held in a folder containing the .htm and the .xml file and .jpg which accompany and authenticate the .wav file also in the folder. The working copy need only contain the .wav file. To ensure audio quality is sufficient to fulfill the requirements of this order, sampling rates must not be lower than 8 kHz and resolution must not be lower than 16-bits. Part-time facilities need not turn off the DALR system when the facilities close.

(2) The .wav file must include two channels (time in IRIG-B format on the right channel and voice on the left channel). The certification statements and other required verbal statements remain the same and must be a part of the .wav file. Other digital formats (.mp3, .wmv, etc.) for certified copies of original voice data are not permitted.

(3) When naming copies, ensure the .wav files are in chronological sequence of flight if more than one .wav file is included on the storage media (see [appendix D](#)).

**h** Tape Reel and Copies on Cassette Tape

(1) To protect the recording from possible damage, arrangements must be made to preserve the original and to copy all pertinent voice data as soon as possible after an accident.

(2) Do not use the speaker-to-microphone method. Copies of the recording must be made using stereo equipment and digital time. Record time on the right track and data on the left track. Create two certified copies on cassette tape. Mark the first copy as “Original Copy” and the second copy as “Working Copy”. (Additional copies, as needed, may be made from the “Working Copy.”)

**i.** When voice data for time periods in excess of that described in [paragraph 93](#) are released via a FOIA request, the facility must also retain a copy of the certified copy and keep a record of to whom it was released and by what authority.

**j.** After the accident package is completed, any request for a working copy of the voice data must include a memorandum, and at a minimum, state the date the working copy was made and identify for whom it was made. The

memorandum must be prepared following the format in paragraph 94d(1)(a) through (1)(e) and refer to "Working Copy of Voice Data" instead of "Transcripts."

**k.** Coordination for release of ATC voice communications to Public Affairs must be accomplished through the Litigation Liaison Office and the service centers.

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

#### **94. Transcription of Voice Recordings**

**a.** Typewritten transcriptions (full or partial) must be prepared for all formal accident packages or when requested by the FAA IIC, the Litigation Liaison Office, Safety Investigations and Evaluations, service center, or the FSPO. The standard practice is to make a partial transcript. However, when specifically requested by the FAA Accident Investigation Division, the Litigation Liaison Office, Safety Investigations and Evaluations, the service center, or the FSPO, make a full typewritten transcription. (Full transcripts include all communications recorded at the specific position regardless of source.)

(1) Unless advised otherwise, transcripts include 5 minutes before initial contact until 5 minutes after the last contact (see [paragraph 93](#)).

(2) Each operational position (for example, ground control, local control, radar, radar associate, etc.) must be transcribed separately. Do not integrate different operational positions into the transcription unless requested by the FAA Accident Investigation Division, the Litigation Liaison Office, the service center, or FSPO.

(3) The partial transcript must contain all recorded communications about the subject aircraft as described and prepared in [paragraph 93](#).

(4) The full transcript must contain all recorded 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, the Litigation Liaison Office, Safety Investigations and Evaluations, the service center, or FSPO, or when notified that litigation is pending.

**c.** When informed that litigation is pending on a particular accident, and upon being instructed by the Litigation Liaison Office, the service center, or FSPO, 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 93](#)). 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 (for example, ground control, local control, radar, radar associate, etc.) must be transcribed separately. Do not integrate different operational positions into the transcription unless requested by the Litigation Liaison Office. 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 voice 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 (FCFs use company letterhead):

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

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

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

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

Aircraft Accident; [*aircraft identification*],  
[*nearest city, state, of the accident location*],  
[*UTC date*]."

(e) For the first line of the body of the memorandum, type, "This transcription covers the [*facility*] [*operational position*] position for the time period from [*UTC date and UTC time*] to [*UTC date and UTC time*]."

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

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

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

Signature

Name

Title

Name of Facility

(2) Facilities indicated in the transcription must be spelled out using the facility name, followed by the appropriate abbreviation: (ARTCC, ATCT, CCF, FCT, NFCT, FC FSS, CERAP, FSS, IATSC, RAPCON, RATCF, or TRACON.) Air carriers must be indicated by the appropriate company designator from the latest edition of FAA Order 7340.2, 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:

(i) If a transmission begins with or extends through a cardinal minute, the next cardinal minute must be indicated (see [appendix B](#)).

(ii) If 4 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; for 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 and possession (i've, i'm, i'll, pilot's, etc.). For spoken numbers, spell the numbers out exactly as spoken. If the recording is unintelligible, insert unintelligible in parentheses (for example, (unintelligible)) in the proper location. When an interpretation of a garbled word or portion of a word is required, the interpretation must be enclosed in parentheses and preceded by an asterisk. An asterisk (\*) footnote following the transcription must read:

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

**NOTE-**

*The transcription must be verbatim. If questionable language or other improper verbiage is used, it is mandatory the transcript accurately reflect the voice recording(s). If necessary, and only after obtaining permission from the FAA Accident Investigation Division or the Litigation Liaison Office, the language may be redacted from copies but not originals.*

(5) After the first page, 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."

e. Coordination for release of transcripts of voice recordings to Public Affairs must be accomplished through the Litigation Liaison Office and the service centers.

f. FAA Order JO 1030.3 requires a "draft transcript" within 48 hours of the event. A draft transcript may be a handwritten timeline and need not follow the requirements of a certified transcript.

### **95. Automated Aircraft Accident Package Program**

A software program designed to prepare accident packages has been developed and approved for use. Facilities access the program through the ATO Portal.

### **96-99. RESERVED**

## Chapter 7. Retention of Formal and Informal Air Traffic Aircraft Accident Files, and Air Traffic Incident Files

### 100. Security of Records

The proper security, retention, and disposal of aircraft accident and aircraft incident files are the responsibility of the facility manager. The file and any original documents it contains must be kept in a secure filing cabinet. Removal, destruction, and/or transfer of any documents or other data contained within the original aircraft accident or aircraft incident file must be documented. The facility must obtain written instructions (i.e., chain-of-custody) before the release of documents or other data contained within the file. The chain-of-custody, at a minimum, will contain the name, title, position, telephone number, date, and signature of the person releasing custody and the name, title, position, telephone number, date, and signature accepting custody of the documents, etc. (see [Appendix E](#), Original Documentation Transfer). The original chain-of-custody document is to be retained in the aircraft accident or aircraft incident file. When transferring custody, it is best to do this in person; however, when impracticable, use an approved over night delivery service with signature of the person accepting delivery.

### 101. Retention of Voice Data

Voice data must be retained as follows.

- a. For an aircraft accident or incident:
  - (1) Requiring a formal accident file – 5 years.
  - (2) Requiring an informal accident file – 2½ years.
- b. For an air traffic incident – 2½ years.
- c. For nonoccurrence – 45 Days
- d. For FOIA – retain in accordance with FAA Order 1350.15 (2 or 6 years from date of final response to requestor).
- e. Upon the request of the FAA Accident Investigation Division, the FAA IIC, the Litigation Liaison Office, or Safety Investigations and Evaluations, original recordings (for example, the DAT tape) must be held until written release is obtained.
- f. Request for information and records furnished outside the FOIA process documentation has a 2 ½ year retention (see [paragraph 122](#)).

### 102. Retention and Disposal of Aircraft Accident Records

Retain aircraft accident records as follows:

- 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(s) or flight number(s), aircraft type(s), 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. 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 the Litigation Liaison Office that all litigation has been completed. The file must then be destroyed upon receipt of the Litigation Liaison Office 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.

**NOTE-**

*A copy of all incoming FOIA requests and agency's responses must be retained in the accident file. Because FOIA responses have different retention requirements than the accident file, there must be a complete FOIA file that is kept separate and distinct from the accident file. This complete file should contain everything relative to the FOIA request, including a copy of all responsive records that were released, as well as, those that were withheld in accordance with the FOIA exemptions. If, for limited resources, you cannot reproduce a separate file that contains all medias provided (for example, DVDs, cassette tapes, CD-Rs, etc.), a copy of the*

*outside label of each medium should be retained in the file so that you are fully aware of what was released and where to go to get the information should you need to. The Litigation Liaison Office and/or the FOIA Staff (ARC-40) must be able to access the complete FOIA file for litigation purposes upon request.*

**b. Copies of Formal Accident Files Containing Originals and Informal Accident Files Containing Originals or Copies.** Retain as above except that the date the file will be destroyed must be 2½ years after the accident date.

**c. Radar and Computer Data.** After the DART, CDR, and/or NTAP extraction, the electronic storage medium must be clearly marked (see [paragraph 102a](#)) and retained in the Air Traffic Accident File. The original computer tapes, disks, or disk packs, optical discs, etc., must be returned to service after 45 calendar days except when holds are placed by the Litigation Liaison Office, Safety Investigations and Evaluations, service center, 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. When a tape is being held for FOIA requests, obtain a release from the Litigation Liaison Office after the FOIA hold has expired. This is to ensure that the Office of the Chief Counsel, Litigation Division, is aware of FOIA activity. Coordination for release of radar and computer data to Public Affairs must be accomplished through the Litigation Liaison Office and the service centers.

**d. Data Held at the Request of Another Facility/Office.** 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.

**e. FSSs.** FSSs must retain the certified original computer data reduction for 5 years for a formal file.

**f. AIS-R Host Facilities.** AIS-R host facilities must forward the original historical package to the requesting facility 15 calendar days after the date of the accident.

**g. AIS-R Facilities Preparing an Accident Package.** AIS-R facilities (host and non-host) 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.

**h. FAA Forms 8020-3 and 8020-9 and other documentation.**

(1) 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 2 ½ years.

(2) 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 2 ½ years.

(3) 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 for 2 ½ years.

(4) Facility requests to reduce the 2 ½ year retention to a 45 day hold may be granted by the service center or FSPO after approval from the Litigation Liaison Office.

**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 that 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. 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) NMACs.
- (2) U.S. Air Force Hazardous Air Traffic Reports (HATR).
- (3) U.S. Army Operational Hazard Reports (OHR).
- (4) Pilot deviations.
- (5) Vehicle or pedestrian deviations.
- (6) Incidents which adversely affect the capabilities of air traffic facilities to provide services.
- (7) Maneuvers by pilots due to an emergency and/or Traffic Alert and Collision Avoidance System (TCAS) Resolution Advisory (RA) that result in the loss of separation.
- (8) Any other air traffic incident that in the opinion of the reporting facility or person, requires notification (for example, interference with flightcrew; loss of separation due to aircraft equipment failure or weather).
- (9) Unmanned aircraft system loss of control link events resulting in the unmanned aircraft executing any autonomous pre-programmed maneuver in controlled airspace, or failing to return to the pilot in charge's (PIC) control as planned following an expected loss of the control link due to satellite coverage. See [paragraph 119h](#) for details.

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

- (1) FAA Form 8020-21 for NMACs, HATRs, and OHRs (see [paragraphs 111, 112, and 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 that adversely affect the capabilities of air traffic facilities to provide services (see [paragraphs 115, 117, and 118](#)). TCAS RA occurrences that do not result in the loss of separation are not reportable incidents unless FSDO, the Litigation Liaison Office, Safety Investigations and Evaluations, or the service center 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, personnel statements ([paragraph 91](#)), transcription (when requested), retention of voice recordings, radar and computer data ([paragraphs 73, 93, 94, 101, and 121](#)).

**111. Near Midair Collisions (NMAC)**

**a.** When a pilot or flightcrew member announces the intent to file a NMAC report, obtain the required information, and complete Page 1 of FAA Form 8020-21 (see [appendix A](#)) via the Air Traffic Quality Assurance (ATQA) web application or manually when ATQA is unavailable.

**NOTE-**

*Block10. Brief description of NMAC and comments. This description must include, but not be limited to, pertinent actions of the pilot(s) involved and air traffic control, and pilot's or flightcrew member's comments and/or concerns as reported.*

**b.** If the reporting flightcrew member's desire to be met at their destination, or if it is not feasible, obtain the information via radio, provide pilot or flightcrew member the contact number of facility to obtain information.

**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 center) 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	-	FSDO or other	F	-	FSS or FCFSS
T	-	ATCT			

(4) The fifth through seventh characters are the facility location identifier (for example, ZNY) or the FSDO identification (for example, 025). For combined TRACON and ATCT operations, use the appropriate location identifier; for example, 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, for reference.

(5) The eighth and ninth characters are the calendar year in which the NMAC occurred; for example, 12 for 2012.

(6) The last three characters are the sequential NMAC number for the year by reporting facility; for example, NMACs would be numbered 001 to 999 in 2012 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 3 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/NEMC message using immediate (DD) precedence to:

(a) Director, Safety Investigations and Evaluations.

(b) Service center director or FSPO director.

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

(d) Director, Flight Standards Service.

**f.** Immediately notify Safety Investigations and Evaluations, the service center, or the FSPO Director, and the WOC through the ROC by telephone when any of the following NMACs occurs:

- (1) Significant NMACs (for example, 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) Produce one certified copy of the recording .wav format on CD-R or other storage media, or two certified copies of the recording on cassette tape (one will be marked "Original Copy" and one will be marked "Working Copy") (see [paragraph 93](#)). Capture all voice transmissions that directly pertain to the NMAC, from 5 minutes before initial contact to 5 minutes after last contact of the occurrence. When pertinent recorded telephone conversations (see FAA Order 7210.3, paragraph 3-3-2d) will assist the investigation, copies of those recordings must be included.
- (2) Obtain personnel statements (see [paragraph 91](#)) from all air traffic personnel involved in the NMAC.
- (3) Obtain, when possible, an NTAP or CDR (see [paragraph 73](#)) for 5 minutes before until 5 minute after the occurrence.

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

- (1) Director, Safety Investigations and Evaluations.
- (2) Service center director or FSPO director.
- (3) Regional Flight Standards Division.
- (4) 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 flightcrew member can initiate the filing of a 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; for example, 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 A](#)). 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 121](#), except that the file 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 NMACs 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 HATRs 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 center or FSPO if a civil aircraft or FAA services are involved.

(2) The service center or FSPO 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 (HQ) Air Force Flight Standards Agency (AFFSA)/A3A, Bldg 4 Room 20, 6500 S. MacArthur Blvd., Oklahoma City, OK 73169; hqaffsa.a3a@tinker.af.mil. If unable to determine which MAJCOM to contact, contact the HQ AFFSA 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; for example, transcription (when requested) and personnel statements.

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

(i) Director, Safety Investigations and Evaluations.

(ii) Service center director or FSPO director.

(iii) Regional Flight Standards Division.

(iv) Appropriate Flight Standards District Office.

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

(vi) HQ AFFSA/A3A, Bldg 4 Room 20, 6500 S. MacArthur Blvd., Oklahoma City, OK 73169; hqaffsa.a3a@tinker.af.mil.

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

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

(ix) Appropriate MAJCOMs 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 file 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 NMACs 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; that is, 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 Department of Army (DA) Form 2696-R, Operational Hazard Report, as appropriate. Notification will be as follows:

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

(2) The service center or FSPO 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, AL 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; for example, transcription (when requested) and personnel statements.

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

(i) Director, Safety Investigations and Evaluations.

(ii) Service center director or FSPO director.

(iii) Regional Flight Standards Division.

- (iv) Appropriate Flight Standards District Office.
- (v) Commander, U.S. Army Safety Center, Attn: CSSC-SDA, Administrator Quality Control/Data Administration, Fort Rucker, Alabama 36362-5363 (without attachments).
- (vi) 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 121](#), except that the file 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](#)), intrusions into airspace with regulatory requirements to obtain authorization from or establish communications with air traffic control (see [paragraph 114m](#)), spillouts that resulted in a loss of standard separation (see [paragraph 114n](#)), pilot action not consistent with title 14 CFR requirements (see [paragraph 114o](#) and [paragraph 114p](#)), and/or incidents that may be considered as reckless (see [paragraph 114q](#)):

### a. Notify the pilot:

- (1) Workload permitting, using the following phraseology:

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

- (2) When workload does not permit for the immediate notification of the pilot, alternative actions should be attempted to make sure the pilot is made aware of the possible deviation. Suggestions include making the notification on the next frequency the pilot is assigned or possibly contacting the owner of the aircraft as soon as possible. Whatever alternatives are decided upon, the individuals involved will use their best judgment.

### b. Document the incident on FAA Form 7230-4.

### c. Compile information pertinent to the incident.

- (1) If the pilot was in radio communication with the facility, determine all conversations or contacts pertinent to the pilot deviation. Record all voice transmissions, from 5 minutes before to 5 minutes after these conversations or contacts. When pertinent recorded telephone conversations (see FAA Order JO 7210.3) will assist the investigation, these recordings must be included. (When speaking with the pilot, verify name, certificate number, and two telephone numbers of the pilot in command). Make voice recordings in accordance with [paragraph 93](#).

- (2) If requested by the Litigation Liaison Office, Safety Investigations and Evaluations, or regional counsel, also prepare and forward within 10 administrative days of the request, a certified partial transcript of the recorded communications.

- (3) Obtain radar and computer data (NTAP, CDR, or ASDE-X) in a readable format as soon as possible after a pilot deviation. The data must reflect the same time period as all voice recordings pertinent to the pilot deviation and/or pertinent captured data of the pilot deviation.

- (4) The facility filing the pilot deviation must notify other facilities that may have supporting data to ensure all involved facilities retain the original data in a file using the reporting facility's pilot deviation number. Facilities must forward copies of the data to the reporting facility within four administrative days. This data must include, but not be limited to, personnel statements, and when available, radar data, certified recordings, and NOTAMs.

- (5) Contact associated FCFs for supporting documentation, which must include but not be limited to personnel statements, and when available, certified recordings of weather briefings, flight plan filings or control instructions. FCFs must forward copies of the data to the reporting facility within 4 administrative days.

**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 center) 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 (for example, ZNY) or FSDO identification code (for example, 025). For combined TRACON and ATCT operations, use the appropriate location identifier (for example, the O'Hare TRACON would use "C90" and the O'Hare ATCT would use "ORD.") See the latest edition of FAA Order 7350.7 for guidance.

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

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

**e.** Complete Page 1 of FAA Form 8020-17 (see [appendix A](#)) via the ATQA web application or manually when ATQA is unavailable.

(1) Provide the method that notification of the possible deviation to the pilot (see [paragraph 114a](#)) was made. If the notification to the pilot was not provided over the frequency by air traffic control, it will be necessary to explain why.

(2) The description of the pilot deviation must include, however not be limited to, pertinent actions of the pilot(s) involved and air traffic control, and the pilot's or flightcrew's comments and/or concerns as reported.

**f.** Transmit or ensure transmittal of information from [paragraph 114e](#), in numerical order, within 4 hours of the detection of the pilot deviation by:

(1) Telephone, facsimile, or in accordance with a service center agreement to the Regional Flight Standards Division and the FSDO or the Certificate Holding District Office (CHDO).

**NOTE-**

*Responsible CHDO offices may be located via the FAA Website (advanced search).*

*<http://find.faa.gov/appspriv/National/EmployeeDirectory/FAADIR.nsf/SearchForm?openForm&TS=A&UPG=AS>*

(a) For air carrier and air taxis (that is, air carrier operators certificated under title 14 CFR, Parts 121, 129, and 135, or air operators under Part 125 and program managers of fractional ownership programs under Part 91, subpart K) to the CHDO.

(b) For all other pilot deviations, the FSDO with jurisdiction over the area in which the pilot deviation occurred.

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

- (a) Director, Safety Investigations and Evaluations.
- (b) Service center director or FSPO director.
- (c) Flight Standards Service.

**g.** For significant pilot deviations (for example, involving air carriers, air taxis, or prominent persons), immediately notify Safety Investigations and Evaluations, the service center or FSPO, and the WOC through the ROC by telephone.

**h.** Complete FAA Form 8020-17 via the Air Traffic Quality Assurance (ATQA) web application. If ATQA is unavailable, complete the FAA Form 8020-17 manually. Keep the original and mail, fax, or transmit, in accordance with a service center agreement, one copy each within 10 calendar days of the detection of the pilot deviation to the:

- (1) Service center director or FSPO director.
- (2) Regional Flight Standards Division.
- (3) FSDO or CHDO with investigative jurisdiction for the pilot deviation. Enclosures should include voice recordings, radar data, NOTAMs, and other pertinent data. Provide transcripts when requested by the Litigation Liaison Office, Safety Investigations and Evaluations, or regional counsel.
- (4) FCFSS. Additionally, the FCFSS must transmit a copy of Form 8020-17 to the FSPO.

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

- (1) Army. US Army Aeronautical Services Agency, Attn: Director of Policy, Plans and Programs, 9325 Gunston Road, Bldg, 1466 Suite N319, Fort Belvoir, VA 22060-5582.
- (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 center 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 2<sup>nd</sup> Street, S.W., 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 airspace with regulatory requirement to obtain authorization from or establish and maintain communications with air traffic control; intrusions into Class A or Class B airspace without authorization; into Class C or Class D airspace without establishing communications with air traffic control; or for airports within Class E and G airspace with an operational control tower the area within 4 nautical miles from an airport, up to and including 2,500 feet above ground level without establishing communications with air traffic control, take all actions as for a pilot deviation. For NORDO aircraft, the facility where the aircraft went NORDO is responsible for initiating the 8020-17. The facility where contact was re-established, as well as any other involved facility, must retain the information in accordance with [paragraph 114c](#).

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

**o.** For pilot action not consistent with title 14 CFR requirements involving flight without authorization into Prohibited Areas, Restricted Areas, Air Defense Identification Zones, Washington D.C. Metropolitan Special Flight Rules Area/Flight Restricted Zone, and flight not complying with Temporary Flight Restrictions issued under title 14 CFR, or Special Security Instructions issued under title 14 CFR Section 99.7, that have been established at locations designated by the FAA Administrator, take action as follows:

- (1) Notification to the pilot will be completed in accordance with [paragraph 114a](#).
- (2) Within 15 minutes of the occurrence, notify the DEN air traffic security coordinator and verbally provide information pertinent to the incident. This notification is in addition to reporting requirements defined in FAA Order JO 7610.4, Special Operations.
- (3) If requested by the DEN air traffic security coordinator, prepare a pilot deviation in accordance with [paragraph 114](#). In some instances, especially involving Presidential movement, there may be little lead time in disseminating NOTAM information to the aviation community. The shortness of lead time may not relieve pilots of the responsibility for avoiding these areas or complying with flight restrictions. Aircraft that encroach on these areas are



subject to being intercepted by armed military fighters as well as having a pilot deviation filed on the pilot in command of the aircraft.

**p.** For pilot action not consistent with title 14 CFR requirements involving other activities; including prohibited aerobatic flight and departure or landing when prohibited by title 14 CFR requirements will be treated as follows:

- (1) Notification to the pilot will be completed in accordance with [paragraph 114a](#).
- (2) Compile and document the pertinent information accordance with [paragraphs 114b](#) and [114c](#).

**q.** Flying incidents that may be considered as reckless 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 not observed by but reported to air traffic, direct the caller to relay the information to the FSDO. For such reports, the FSDO will then transmit information from [paragraph 114e](#) by NADIN/NEMC message via the ROC and complete and file FAA Form 8020-18 as specified in [paragraph 114h](#) with the:

- (a) Regional Flight Standards Division.
- (b) ATO Finance, Information Technology Office, and Technical Services Group.

**r.** If an FSDO is requesting supporting documentation regarding a possible pilot deviation incident, then the air traffic facility should also categorize the "incident" as a pilot deviation and, therefore, retain that documentation for 2 ½ years.

**s.** The Office of the Chief Counsel has instructed the Regional Counsel offices to notify the Litigation Liaison Office about the outcome of final enforcement actions on pilot deviations. The Litigation Liaison Office may then notify the reporting facility through the service centers or the FSPO of the outcome of the enforcement action.

**t.** Complete FAA Form 8020-19 via the ATQA web application to correct an incident report number (see [appendix A](#)). 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](#)).

**u.** The air traffic facility must retain the original FAA Form 8020-17, and related information in the facility's files in accordance with [paragraph 121](#), except that the file 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 [paragraphs 110a\(6\)-\(8\)](#) and [110b\(3\)](#), prepare FAA Form 8020-11 within 10 calendar days. In addition, maneuvers by pilots due to an emergency and/or TCAS RA that result in the loss of separation must be reported to the WOC and Safety Investigations and Evaluations, through the ROC, as soon as practical and, in every case, within 3 hours of the occurrence.

**b.** Reports must be numbered beginning with number 01 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 (for example, ARTCC, TRACON, ATCT, FSS, FCT, FCFSS).

### ***EXAMPLES-***

*ZTL-ARTCC-95*

*D10-TRACON-04*

*HNL-ATCT-13*

*PRC-FCFSS-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 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 certified recordings, 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) Service center director or FSPO director.
- (2) Director, Safety Investigations and Evaluations.
- (3) Requesting FSDO or the FSDO responsible for the investigation.
- (4) The appropriate military office, following [paragraph 114](#).

**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 center will furnish listings of the FSDOs 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 121](#), except that the file must be labeled "INCIDENT FILE." The facility may elect to indicate the type of incident on the label (for example, "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 A](#)) via the ATQA web application or manually when ATQA is unavailable.

### **NOTE-**

*Block 7. Description of deviation and comments. This description must include, but not be limited to, pertinent actions of the pilot(s) involved and air traffic control, and pilot's or flightcrew'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 center) 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 (for example, HSV). See the latest edition of FAA Order 7350.7 for guidance.
- (5) The eighth and ninth characters are the calendar year in which the vehicle or pedestrian deviation occurred; for example, 12 for 2012.
- (6) The last three characters are the sequential vehicle or pedestrian deviation number for the year by reporting facility; for example, vehicle or pedestrian deviations would be numbered 001 to 999 in 2012 at a given facility.

c. Transmit, or arrange to be transmitted, information from FAA Form 8020-24 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 center agreement to the Regional Airports Division with jurisdiction over the area in which the vehicle or pedestrian deviation occurred.

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

(a) Director, Safety Investigations and Evaluations.

(b) Service center director or FSPO director.

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

(d) For significant vehicle or pedestrian deviations (for example, involving air carriers, air taxis, or prominent persons), immediately notify the Regional Airports Division, Safety Investigations and Evaluations, and the WOC through the ROC by telephone.

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

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

f. Complete FAA Form 8020-24 via the ATQA web application and attach all pertinent data; for example, airport diagram. Retain the original in the facility files 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) Service center director or FSPO director.

(2) Regional Airports Division responsible for the investigation.

(3) Director, Safety Investigations and Evaluations.

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

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

i. The air traffic facility must retain the original FAA Form 8020-24, and related information in the facility's files in accordance with [paragraph 121](#), except that the file 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 WOC through the ROC. Report on the DEN in accordance with FAA Order JO 7610.4.

**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 title 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. This may also be reported to the DEN in accordance with FAA Order JO 7610.4.

**f. Investigations and Security Events.** At the direction of Safety Investigations and Evaluations, the Litigation Liaison Office, or System Operations Security, retain radar data, voice data, and other pertinent documents concerning these events.

**g. Tarmac Delay Data Retention.** When the facility where the tarmac delay incident occurred is notified by the pilot-in-command or the service center that an aircraft has exceeded the Three-hour Tarmac Rule, assemble an incident file containing, but not limited to, the following records:

*NOTE—*

*This notification may be initially received at a facility other than the facility where the delay actually occurred.*

- (1) Flight progress strip and/or flight plan data including delay information sent to the aircraft via pre-departure clearance (PDC) message.
- (2) Phone call to aircraft operations or other form of communication.
- (3) Audio files in accordance with [paragraph 93](#), from 5 minutes before initial contact or first PDC message until 5 minutes after last contact with the facility.
- (4) FAA Form 7230-4, containing the Quality Assurance Review (QAR) entry and its results.
- (5) FAA Form 7230-10, Position Logs, for the period contained in the audio files.
- (6) Radar data (for example, CDR and ASDE-X).
- (7) Completed FAA Form 8020-26, Personnel Statement from the Operations Manager (or equivalent), of each involved facility.
- (8) The reporting facility must request supporting documentation from other facilities involved. The supporting facility must forward copies of supporting documentation to the requesting facility and file originals under the reporting facility's file number.
- (9) The file must be labeled as “Three-hour Tarmac Rule Incident” and include the following:
  - (a) The aircraft call sign.
  - (b) Date and UTC time when the flight exceeded the Three-hour Tarmac Rule.
- (10) Records must be retained for 1 year.

**h. Unmanned Aircraft Systems (UAS).**

(1) UAS Loss of Control Link ("Lost Link"). UAS lost Link events have the potential to distract controllers, add to the workload, or result in other reportable types of events; for example, accident, NMAC, etc. The full extent of UAS lost link impacts have yet to be fully assessed. However, two types of lost link events are to be reported regardless of their effect on the NAS:

(a) Any lost link event that results in the unmanned aircraft executing any autonomous pre-programmed maneuver in controlled airspace, regardless of its duration or eventual recovery of the control link.

(b) Any planned lost link event where the PIC is unable to reestablish the link within 5 minutes of the expected time.

(2) Events meeting either of these criteria are to be reported to the ROC for forwarding to the ATO Manager, Unmanned Aircraft Systems, and the Aviation Safety Unmanned Aircraft Program Office. Provide the following information:

(a) Date/Time (Z).

(b) Location.

(c) UAS call sign.

(d) Type of UAS.

(e) Duration of control link loss.

(f) Brief description of the event, including:

(i) How the event ended (for example, control link re-established, pre-programmed flight to designated recovery point, etc.)

(ii) Air traffic impact of the event (for example, priority assigned, increased separation provided, other aircraft vectored to avoid unmanned aircraft, etc).

**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. 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, unless the Litigation Liaison Office, Safety Investigations and Evaluations, the service center, or FSPO requests otherwise.

**b.** The files must contain the original forms, the original air traffic employee personnel statements and other supporting documents, voice recordings in accordance with [paragraph 93](#), and other original data from which information was provided to the investigating authority.

**c.** Affix a 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(s) or flight number(s), aircraft type(s), incident UTC date and UTC time, and the UTC date the file is to be destroyed.

**122. Request for Information and Records Furnished Outside of the FOIA Process**

When a request is received from within or outside the agency, the following must be accomplished:

**a.** Coordinate with the service center, or FSPO who may need to coordinate with Headquarters.

**b.** Maintain a facility file including a copy of the request, the data released, and documentation authorizing the release.

- c. Retain the file for 2 ½ years.
- d. File numbering is at the facility's discretion.

**123. Knowledge Services Network (KSN)**

KSN is an ATO-provided FAA enterprise service for secure, internet-based virtual office and collaboration capability. For more information concerning the use of KSN for transferring documentation, please contact your respective service center.

**124-129. RESERVED**

## **Chapter 9. Aircraft Accident Investigation Responsibilities**

### **Section 1. Office of Accident Investigation and Prevention**

#### **130. Office of Accident Investigation and Prevention Responsibilities**

In accordance with the latest edition of FAA Order 1100.2, Organization - FAA Headquarters, the Director of Accident Investigation and Prevention develops FAA policy and procedural instructions governing accident or incident investigation and reporting. When the circumstances of an accident or incident warrant headquarters participation, the Director of Accident Investigation and Prevention, through the Manager, Accident Investigation Division, 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 the FAA Accident Investigation Division in coordination with the Regional Flight Standards Manager. Safety Investigations and Evaluations or service center 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 TOAAR, make the final determination as to the requirement for a flight inspection of a navigation facility involved or suspected of being involved in an 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 Aviation System Standards, Flight Inspection Field Office (FIFO) or Aviation System Standards, Technical Support Team. The FIFO must:

- (1) Conduct flight inspection as requested by the FAA IIC or TOAAR.
  - (2) Ensure that the FAA IIC and TOAAR are informed of the facility's operational status after completion of the flight inspection.
- b. The Aviation System Standards, Flight Inspection Central Operations 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 and Prevention, through the Accident Investigation Division, 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. The FAA Accident Investigation Division will give the appropriate Regional Flight Standards Division Manager the name of the designated FAA IIC, who will usually be selected from the FAA Accident Investigation Division, 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 Evaluations 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. The "Go Team" FAA IIC will keep AVP-1, through the Accident Investigation Division, 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 a meeting reconvening with Safety Investigations and Evaluations, the service center, or FSPO as appropriate.

### 141. Air Traffic Accident Representative

a. The facility 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 center, FSPO, 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 NOTAMs.

c. Establish a 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 and air traffic's principal contact for information and documents. Determine, within 1 hour of notification, with air traffic personnel, the TOAAR, and the FAA IIC (if available) or appropriate Flight Standards personnel, if a flight inspection is required.

d. Establish and maintain contact with the Litigation Liaison Office or 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 rights to counsel during any interview. Provide personnel with information on their rights as they pertain to NTSB requests for drug or toxicology tests.

#### **NOTE-**

*The Litigation Liaison Office can provide assistance on rights to counsel during any interview.*

f. Ensure that all original documentation is protected, including the original voice recordings, radar, and computer data. The low-level windshear alert system data must be transferred to a cassette/CD-R and preserved with the original accident documents. The release of any original document, voice recording, personnel statement, radar, or computer data without the written approval of the Litigation Liaison Office 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 Evaluations and the appropriate service center or FSPO of any deficiencies noted and the recommended corrective actions.

**h.** Provide the FAA IIC with written description of recordings, or timelines, and voice recordings 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 the National Transportation Safety Board (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 the FAA Accident Investigation Division 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 appropriate 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 title 49 U.S.C. 40102(a)(4). This includes all federal, non-federal, and contract facilities, regardless of the maintaining organization, for which Technical Operations 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

The TOAAR 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 (for example, fuel exhaustion, nose-wheel collapse), the TOAAR and FAA air traffic personnel promptly develop a candidate list of facilities for consideration. This list is reduced by defined principles, based on the circumstances surrounding the 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 TOAAR determines the activities necessary to return each facility to service – typically certification, flight inspection, or a combination of these and advises the OCC for implementation by field personnel. The OCC provides status of activities to all concerned entities. An 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 Group is the focal point for all aircraft accident matters for Technical Operations Services, and functions as the NTOAAR. The NTOAAR 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 TOAARs.
  - (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 (for example, 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.** Service area directors or their designees are responsible for:

- (1) Designating an adequate number of service area TOAARs to meet operational requirements. TOAAR duties cannot be further delegated beyond those designated. The service area director must publish annually to the NTOAAR, at a minimum, the identity of the TOAARs and their work contact information.
- (2) Participating in substantial accident risk management decisions when requested by the TOAAR.
- (3) Submitting proposed Service Area supplements to FAA Order JO 8020.16 to the National TOAAR 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 TOAARs 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) Performing the tasks described in [paragraph 156](#).
- (3) Conducting, on at least a semi-annual basis, informal joint critiques of their responses and decisions as TOAARs.

**f.** The Service Area OCC is responsible for:

- (1) Establishing and documenting a procedure between the ROCs and OCC or System Operations Center (SOC) to ensure service area TOAARs are notified of accidents/incidents.
- (2) Designating TOAAR trained personnel to be a focal point for service area assistance and coordination activities with the NTOAAR.
- (3) Providing written notification to the NTOAAR and appropriate service center personnel of the names and work contact information of the service area TOAARs.

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

- (1) Upward reporting of information concerning aircraft accidents.
- (2) Removing the requested potentially suspect facilities from service as directed by the service area TOAAR.
- (3) Initiating activities necessary to return each facility to service as directed by the service area TOAAR.

**h.** The Technical 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 TOAAR.

**154. Aircraft Accident Representative**

**a.** For any given accident, one of the designated TOAARs is the Duty TOAAR. Newly appointed TOAARs must complete the National TOAAR training course (Transportation Safety Institute #00100, Technical Operations Response to Aircraft Accidents) as soon as a class becomes available. During the time between appointment and completion of the national course, new TOAARs must not function as the Duty TOAAR until they have participated in at least two critique sessions with their trained peers, as defined in [paragraph 153e\(3\)](#).

**b.** The Duty TOAAR must make the decisions described in [paragraph 156](#) for each accident requiring notification. The decisions and information must be recorded on the TOAAR Checklist. The completed checklist must be pasted into the aircraft accident log (Reference: FAA Order 6000.15, appendix 9, paragraph 7b). An example of the TOAAR checklist is in [Figure 9-3-1](#).

## 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 9-3-4](#).

**a. Decisions.** This activity includes notifying the TOAAR(s), propagating the identity of the Duty TOAAR, determining the scope of NAS equipment and facility involvement, if any, and defining the prudent level of investigative activities (see [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 TOAAR. There are four major steps to this decision-making:

**a.** Provide timely notification of the aircraft accidents/incident. The OCC must establish a procedure with the ROC to ensure that the TOAARs are notified of the accident/incident without delay, and that the identity of the Air Traffic Manager or representative, FAA IIC, or NTSB IIC is promptly communicated to all concerned parties. The procedure must define a method to ensure a timely response is received from Service Area TOAARs.

(1) Accidents which are clearly related to the aircraft condition or to a failure aboard the aircraft (for example, 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 has appropriate authority.

(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 [paragraphs 156a\(1\)-\(3\)](#) above, and which involve two service areas (for example, 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 TOAAR 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 step may be ignored if the affected TOAARs agree, and very little time is required to obtain the agreement).

(5) For VMC accidents not excluded from notification by [paragraphs 156a\(1\)-\(3\)](#), and which involve multiple service areas, the TOAAR to be notified is selected from the service area within whose boundary the accident occurred.

(6) For IFR accidents not excluded from notification by [paragraphs 156a\(1\)-\(3\)](#), that occur outside the U.S. border, involving aircraft under U.S. air traffic control, the TOAAR to be notified is selected from the Service Area whose air traffic control facility was handling the accident aircraft at the time of accident or disappearance.

**b.** Define potential Technical Operations Services involvement. When advised of accidents for which notification is required (see [paragraph 156a](#)), the Duty TOAAR (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 candidate list and an archive list of all facilities potentially in use by the pilot or air traffic personnel handling the accident/incident aircraft. This initial candidate list is then minimized, by excluding some

facilities from further consideration, using the principles listed in this paragraph. For simpler accident scenarios being handled by experienced TOAARs, these two steps may be combined into a single step.

(1) The initial candidate and archive lists are composed of:

(a) Archive List: Facilities which provide data that is routinely used for accident investigation and documentation (for example, voice recorder system [VRS], Low-Level Windshear Alert System [LLWAS], Terminal Doppler Weather Radar [TDWR], and runway visual range [RVR]; multiple RVR sensors on the same runway must be treated as a single system). These facilities generally do not provide navigation services to pilots or separation services to controllers, but characterize the accident environment. Depending on the accident circumstances, some of these facilities may be considered potentially suspect (see the [paragraph 156b\(2\)](#)). The NWS archives data from other weather facilities such as AWOS/ASOS. Data from communication and automation facilities supporting separation of aircraft is archived at the request of air traffic personnel in accordance with other sections of this order.

(b) Initial Candidate List: Facilities that are potentially suspect in their operation, for example, 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) Suspect List: The initial candidate list of facilities must be reduced by the duty TOAAR to a smaller list, as quickly as possible, by applying the exclusion principles listed below. This list is considered the suspect list.

**NOTE-**

*Facilities officially out of service at the time of the accident/incident need not be considered further, but their status (for example, physically off, radiating in a test status) should be noted. The basis for the decisions must be documented in the TOAAR checklist. The completed checklist must be pasted in to the aircraft accident log. The checklist template must then be discarded. (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 (for example, VHF Omnidirectional Range [VOR], distance measuring equipment [DME], non-directional beacon [NDB], tactical air navigation [TACAN], and the Wide Area Augmentation System (WAAS)) may be excluded from further consideration for all VFR 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 (for example, VOR, NDB), that facility may be excluded only by applying the principle in [paragraph 156b2\(c\)](#)).

(c) Terminal navigation facilities (for example, instrument landing system [ILS]/VOR 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 four items is true:

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

(ii) The accident occurs or the aircraft disappears while still in the en route phase of flight (for example, 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 (for example, 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.

(iii) 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 TOAAR's consideration.

(iv) Remote Maintenance Monitoring (RMM) equipment (that is normally used for certification of the candidate facility under assessment) does not report any alarms and indicates the equipment is operating normally.

(d) Visual approach navigation aids (for example, visual approach slope indicator [VASI], precision approach path indicator [PAPI]) and their pilot-operated radio control equipment may be excluded from further consideration unless:

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

(ii) The accident aircraft was cleared for an IFR approach during which the accident occurred below or near the decision height (DH)/decision altitude (DA)/minimum descent altitude (MDA) for that approach (for example, 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); for example, Flight Management System (FMS), approaches.

(e) General visual aids (for example, omnidirectional approach lighting system [ODALS], runway end identifier lights [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 TOAAR. 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 involving only raw GPS signals for navigation occurs, 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 TOAAR 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 (for example, VRS, LLWAS, TDWR, and RVR) must be left in service and their data archived (see [paragraph 157b\(1\)](#)).

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

(3) The Duty TOAAR 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 (for example, lighted visual aids). See appendix C 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 TOAAR, other than those identified in [paragraph 156c\(3\)\(a\)](#). In addition, flight inspection may be required for some facilities (see [paragraph 156c\(3\)\(c\)](#)).

(i) 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 TOAAR. 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.

(ii) 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.

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

(ii) A flight inspection may be necessary to confirm proper facility operation (for example, 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 duty TOAAR 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) Immediately remove from service each potentially suspect facility identified in [paragraph 156c\(2\)](#). The suspect facility must remain in the same operational condition as at the time of the accident. This is a risk management action, and must not involve any manually commanded changes in facility status or operation (for example, this action should not cause any facility to cease its normal function or cease radiating signals).

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

## 157. Field Work

In the event a suspect facility lies within a SOC's area of responsibility, the requirements of [paragraphs 156d](#) and [157](#) also apply to the SOC under the direction of the Duty TOAAR. The field work is composed primarily of actions by the OCC or SOC and the responding Airway Transportation System Specialist(s) (ATSS):

**a.** Upon request and as defined by the duty TOAAR, the OCC or SOC 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. This is a risk management action, and must not involve any manually commanded changes in facility status or operation; that is, this action should not cause any facility to cease its normal function or cease radiating signals. Request NOTAMs be published to accurately reflect the interruptions.

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

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

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

(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 or SOC should request that the non-federal sponsor provide



immediate facility access, for an FAA ATSS with certification authority on the facility type involved, to accomplish the as-found documentation (but not the restoration).

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

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

(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 TOAAR may waive the requirement for an observer.

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

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

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

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

(2) Request the OCC or SOC to initiate the necessary restoration activities. Promptly execute the Facility Restoral checklist in [Figure 9-3-2](#) for each facility removed from service as a result of an accident/incident investigation. The checklist is complete when the facility has been returned to service.

**b.** If the duty TOAAR is notified that a facility cannot be restored to service without corrective action (for example, the facility was damaged by the aircraft, or a certification parameter is found out-of-tolerance), the TOAAR must perform the following in the sequence shown:

- (1) Confirm that as-found conditions at the facility are properly documented.
- (2) Notify the FAA IIC 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 System Support Center (SSC) performing the technical evaluation and restoration of FAA facilities, or responsible for the oversight of non-Federal facility verification. If multiple Service Areas were involved in the activities, the SSC in the Service Area of the Duty TOAAR is responsible for coordinating with the other SSCs and completing the package. If several SSCs were involved, the Duty TOAAR must assign the SSC responsible for completion of the package based on extent of involvement.

**b.** The package must be assembled, reviewed, and signed by the SSC manager within 15 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 SSC manager within 10 working days of the last facility restoration.

**d.** Originals of facility records, originals of archived data and printouts of electronic data, such as logs and equipment screens, must be taken into custody by the SSC manager as soon as possible. The minimum contents of the package are defined in the package cover sheet/checklist in [Figure 9-3-3](#). The package must be assembled with the completed cover sheet and placed in an envelope labeled with date, time, accident location, and registration (tail) number(s) 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 Group (National Operations Group -NTOAAR, 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 Group.

### **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 NTOAAR that the original package has been received. The NTOAAR is the (eventual) custodian for all original aircraft accident packages.

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

**d.** Request for records or technical information relating to or associated with an aircraft accident must be coordinated with the NTOAAR prior to release (see [paragraph 160](#) for further guidance).

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

### **160. Field Response for Post Aircraft Accident Data**

The ATO Office of Safety/Quality Assurance has been established as the ATO on-site representative for major aircraft accidents. The ATO Office of Safety/Quality Assurance has requested a single point of contact within the Technical Operations organization from which to obtain post aircraft accident Technical Operations data in an expedient manner.

**a.** Any and all requests for post aircraft accident data will be coordinated by the ATO Office of Safety/Quality Assurance with the National Operations Group (NOG). If a field facility receives a request for data during the preliminary investigation, they will inform the requestor that it is being processed and contact the NOCC at (703) 904-4488 or email [7-awa-nocc@faa.gov](mailto:7-awa-nocc@faa.gov). Please provide the NOCC with, at a minimum, the following information:

- (1) Person or Organization requesting the data with their phone number.
- (2) Facility ID.
- (3) Facility Type.

**b.** The NOCC will contact NOG Data Request Group. The NTOAAR is the primary contact for the Data Request Group. The NTOAAR or someone from the Data Request Group will contact the OCC/field regarding the request.

c. To meet the ATO Office of Safety/Quality Assurance requirement for a single point of contact, it is our goal to have all requests processed directly through the NOG. Additionally, the NOG Data Request responder will ensure that NTSB's data requests, through the ATO Office of Safety/Quality Assurance on-site representative, are clearly defined.

**161-169. RESERVED**



*FIG 9-3-1*  
**Aircraft Accident/Incident TOAAR Checklist**

**Checklist – Part I**

TOAAR of Record (full name):

TOAAR of Record Location:

Incident/Accident Reported By: (include organization)

Aircraft Registration Number:

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

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

Summary of Accident/Incident Report:

Aircraft Damage:

Surrounding Area (ground damage):

Persons on Board (POB):

Fatalities/Injuries:

Flying/Injuries:

Flying Conditions:  IMC  VMC

Flight Plan Filed:  Yes  No    Type:  IFR  VFR  
 UNKN

Weather Conditions:

ATC Info (last radio contact etc):

\_\_\_\_\_ If no further TOAAR action is required, (i.e., hard landing, collapsed gear etc.), log reason and use the statement “No further TOAAR action required IAW 8020.16, 156a(1) – (3)”.

Further TOAAR action required?  Yes  No

If yes, continue with checklist.

If no, paste this completed Checklist Part I into the Aircraft Accident Event Administrative Log and close the log IAW locally established procedures.

*FIG 9-3-1*  
**Aircraft Accident/Incident TOAAR Checklist (continued)**

**Checklist – Part II**

**Archive List**

If the accident occurred during approach, landing or departure from an airport; list below the available facilities at that airport which provide data that is routinely used for accident investigation and documentation IAW 8020.16 Para 156b(1)(a) (i.e., LLWAS, TDWR, RVR, ASDE): Archive the available data or state why the available data was not archived.

Note: Equipment is not to be removed from service.

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

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

**Candidate List**

List facilities that are potentially suspected in their operation IAW 8020.16 Para 156b(1)(b).

**Removed from Candidate List**

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

**Suspect List**

List all facilities that are suspect that could not be removed from Candidate List and require ATSS action IAW 8020.16 Para 156b(2). If there are no facilities on the suspect list, close Aircraft Accident Administrative Log with the comment "No Tech Ops Involvement".

Equipment to be certified:

Certification Results:

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

**FIG 9-3-2**  
**Facility Restoral Checklist**

Figure 9-3-2 is required for each facility removed from service as identified by the Duty TOAAR.

**NOTE-**The following line will be completed later as required in step 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 Duty TOAAR. Based on circumstances and approval from the Duty TOAAR, you may be authorized to proceed.

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

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

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

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

**c.** Upon arriving at the facility, log the following information: (check off)

(1) Arrival date and time at facility \_\_\_\_\_

(2) Reason for facility visit \_\_\_\_\_

(3) Current weather conditions (not at time of 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. \_\_\_\_\_

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).

*FIG 9-3-2*  
**Facility Restoral Checklist (continued)**

**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 TOAAR immediately for further instructions. If the facility resets successfully, continue with the next step.

**b.** Immediately record as-found technical data (see [paragraph 3](#) below), MAKING NO ADJUSTMENTS. IF OUT-OF-TOLERANCE CONDITIONS ARE FOUND, notify the accident TOAAR 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 coordinated with flight inspection personnel.

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

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

**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.

**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: _____	Observer: _____
Signature _____	Signature _____
Name _____	Name _____
Title _____	Title _____

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

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

**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.

**Completion:**

**e.** Confirm restoration coordination is complete.

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



**FIG 9-3-3**  
**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 (for example, SOC, OCC) accident/incident LAD screens.

- |                                                                                                                                                                                                                                                                                                                  |                                                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| <p>3. Technical data (for each facility removed from service):</p>                                                                                                                                                                                                                                               | <p>Initials</p>                                     |
| <p>a. Facility Restoral Checklist, <a href="#">Figure 9-3-2</a> (page 1 only).<br/>Reviewed for completeness?</p>                                                                                                                                                                                                | <p>_____</p> <p>_____</p>                           |
| <p>b. Hardcopy printout of <u>all</u> facility log entries, regardless of the logging method used, covering the period beginning with removal from service and ending with restoration to service.<br/>Do the log pages contain the proper certification statement?</p>                                          | <p>_____</p> <p>_____</p>                           |
| <p>c. A complete, original set of Technical Performance Record Forms.<br/>Data entered per FAA Order 6000.15?<br/>Nominal values listed where appropriate?<br/>Signed by supervisor (each page, in header)?<br/>Authenticated (each page, per <a href="#">paragraph 3b</a> of <a href="#">Figure 9-3-2</a>)?</p> | <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> |
| <p>d. Any archived original data from the list of facilities developed in <a href="#">paragraph 156b(1)(a)</a>.</p>                                                                                                                                                                                              | <p>_____</p>                                        |

ATSS personnel who completed the facility restoral process:

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

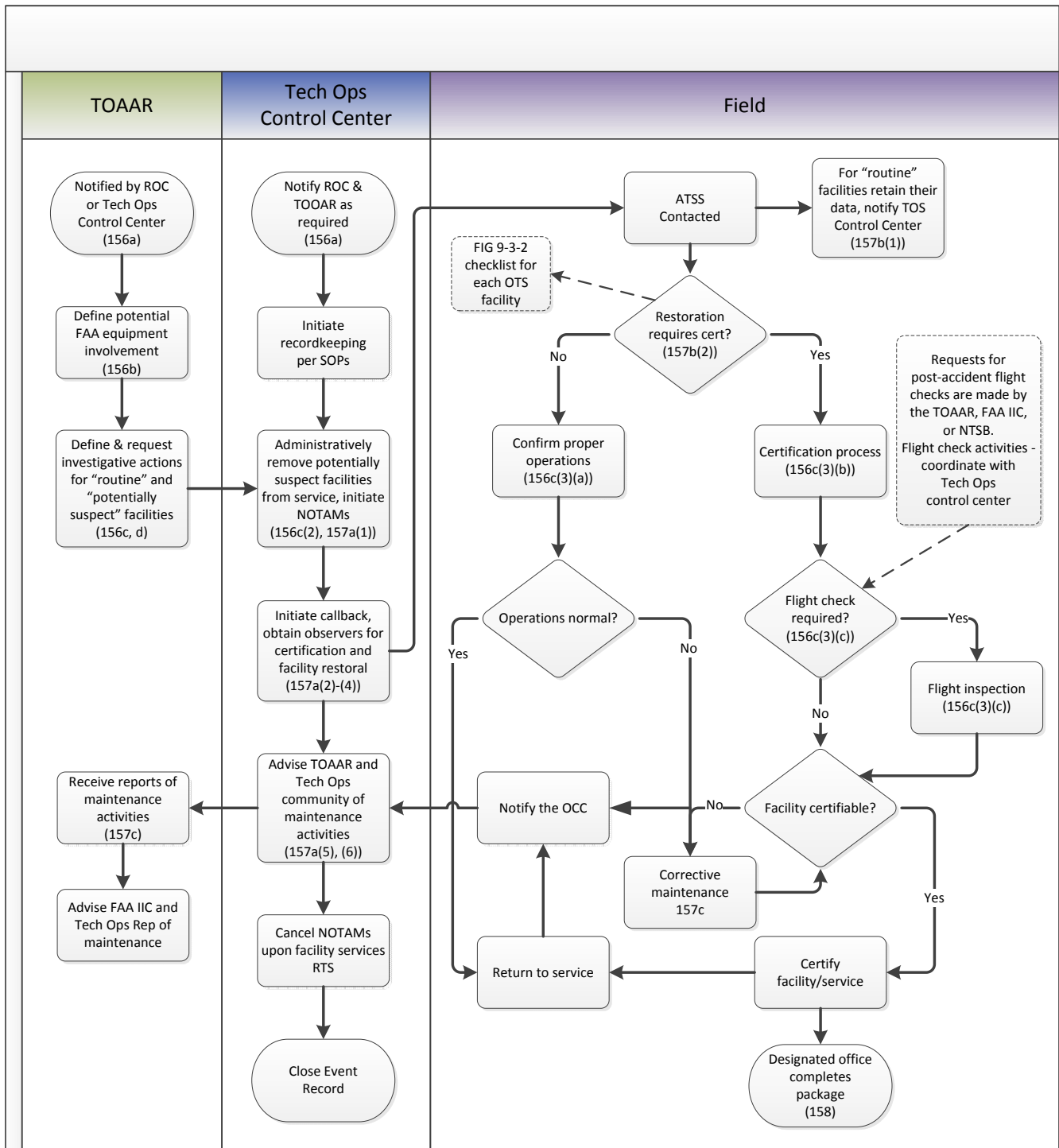
Service center-named office manager who reviewed this package:

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

**NOTE-**  
See FAA Order JO 8020.16A, [Chapter 9, Section 3, Technical Operations Services](#), for instructions on custody, retention, release, and other handling instructions for aircraft accident/incident related documents.



**FIG 9-3-4**  
**Technical Operations Services Post-Aircraft Accident Process**





## **Section 4. Office of the Chief Counsel**

### **170. 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 and enforcement actions, is a primary function of the Office of the Chief Counsel and should be given a high priority at all times.

### **171. Extent of Legal Participation**

The legal services required in an accident investigation vary by accident. Many FAA investigations conducted under title 49 U.S.C. do not require substantial legal services. Some, however, demand full legal participation. In each accident investigation involving FAA, it is the responsibility of the Office of the Chief Counsel to provide the appropriate level of legal participation.

### **172. Additional Information**

For additional information regarding the legal participation, designation of legal representative, and responsibilities, see FAA Order 8020.11.

### **173–179. RESERVED**



## Chapter 10. Public Release of Accident and Incident Information

### 180. General

- a. Public disclosure of FAA records under the Freedom of Information Act (FOIA) is addressed in [paragraph 183](#).
- 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 183](#).

### 181. 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.

### 182. Public Requests 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, 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 182a](#).
- 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 182c](#).
- 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 182c](#).
- f. **FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice.** Requests for dissemination must be coordinated with and approved by the FAA Accident Investigation Division.

### 183. 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 enforcement investigation.

c. Prior to the release of any records under FOIA regarding aircraft accidents or incidents, where an FAA investigation is still on-going, 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.

**184–189. RESERVED**



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

		Page No.
<b>FIG A-1</b>	FAA Form 8020-3, Facility Accident/Incident Notification Record	<a href="#">A-2</a>
<b>FIG A-2</b>	FAA Form 8020-6, Report of Aircraft Accident	<a href="#">A-3</a>
<b>FIG A-3</b>	FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)	<a href="#">A-4</a>
<b>FIG A-4</b>	FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice	<a href="#">A-5</a>
<b>FIG A-5</b>	FAA Form 8020-11, Incident Report	<a href="#">A-7</a>
<b>FIG A-6</b>	FAA Form 8020-17, Preliminary Pilot Deviation Report	<a href="#">A-8</a>
<b>FIG A-7</b>	FAA Form 8020-19, Reclassification of Aviation Incident Report	<a href="#">A-12</a>
<b>FIG A-8</b>	FAA Form 8020-21, Preliminary Near Midair Collision Report	<a href="#">A-13</a>
<b>FIG A-9</b>	FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report	<a href="#">A-16</a>
<b>FIG A-10</b>	FAA Form 8020-26, Personnel Statement	<a href="#">A-19</a>



*FIG A-1*  
**FAA Form 8020-3, Facility Accident/Incident Notification Record**



## FACILITY ACCIDENT/INCIDENT NOTIFICATION RECORD

Aircraft Identification
Date
Airport


The order and number of call 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)				
Domestic Events Network (DEN)				
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				
Operational Control Center (OCC)				
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.




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

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION  <b>REPORT OF AIRCRAFT ACCIDENT</b>		Report Date:	Report Number:				
		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	Unknown
7. Passenger Data: <small>(If available, list names, addresses, extent of injuries and other information on continuation sheet.)</small>			Number Aboard	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							



*FIG A-3*  
FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)

 <b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION</b> <b>REPORT OF AIRCRAFT ACCIDENT</b> (Continuation Sheet)	REPORT DATE	REPORT NO.
	NAME OF REPORTING FACILITY	

14. CHRONOLOGICAL SUMMARY OF FLIGHT





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

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

**FIG A-4**  
**FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice (continued)**

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

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



 <b>U.S. DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION INCIDENT REPORT</b>		
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 DATE: <span style="float: right;"><input type="checkbox"/> Day <input type="checkbox"/> Night</span>	INCIDENT NO:
AGENCY/AIRCRAFT IDENTIFICATION:		
NAME(S) OF PERSONNEL OR PILOT:		
SUMMARY OF INCIDENT:		
REMARKS:		
ATTACHMENTS:	FORWARDED	
	DATE:	SIGNATURE OF FACILITY MANAGER:



FIG A-6  
**FAA Form 8020-17, Preliminary Pilot Deviation Report (Page 1)**

 <h2 style="margin: 0;">PRELIMINARY PILOT DEVIATION REPORT</h2>	<b>Incident Report Number</b>				
	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.

<p>1. Date, Time, and Location of Deviation:</p> <p>A. Date (Coordinated Universal Time-UTC)  <table border="1" style="width: 100%; height: 20px; text-align: center;"> <tr> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> </tr> <tr> <td>M</td><td>M</td><td>D</td><td>D</td><td>Y</td><td>Y</td> </tr> </table> </p> <p>B. UTC Time  <table border="1" style="width: 100%; height: 20px; text-align: center;"> <tr> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> </tr> </table> </p> <p>C. Local Time  <table border="1" style="width: 100%; height: 20px; text-align: center;"> <tr> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> </tr> </table> </p> <p>D. Nearest City or Town, and State  <hr style="width: 100%;"/> </p>							M	M	D	D	Y	Y											<p>2. Pilot Information (<i>complete or mark box</i>):</p> <p><input type="checkbox"/> All Information Unknown</p> <p>A. Name and Address  <hr style="width: 100%;"/> <small>Name (first, middle, last)</small>  <hr style="width: 100%;"/> <small>Address</small>  <hr style="width: 100%;"/> <small>City                          State or Country                          Zip</small> </p> <p>B. Daytime Telephone Number  <table border="1" style="width: 100%; height: 20px; text-align: center;"> <tr> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> <td style="width: 10px;">-</td> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> <td style="width: 10px;">-</td> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> </tr> </table> </p> <p>C. Pilot Certificate Number (or enter "MILITARY")  <table border="1" style="width: 100%; height: 20px; text-align: center;"> <tr> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> </tr> </table> </p>					-					-																	<p>3. Aircraft Information (<i>complete or mark box</i>):</p> <p><input type="checkbox"/> All Information Unknown</p> <p>A. Registration (N) Number  <table border="1" style="width: 100%; height: 20px; text-align: center;"> <tr> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> </tr> </table> </p> <p>B. Flight Number or Call Sign (<i>if applicable</i>)  <hr style="width: 100%;"/> </p> <p>C. Make  <hr style="width: 100%;"/> </p> <p>D. Model  <hr style="width: 100%;"/> </p> <p>E. Suffix  <hr style="width: 100%;"/> </p>							
M	M	D	D	Y	Y																																																				
				-					-																																																
<p>4. Type of Flight Rules at Time of Deviation (<i>mark one</i>):</p> <p>A. <input type="checkbox"/> Instrument Flight Rules (IFR)</p> <p>B. <input type="checkbox"/> Visual Flight Rules (VFR)</p> <p>C. <input type="checkbox"/> Special VFR</p> <p>D. <input type="checkbox"/> Defense VFR</p> <p>E. <input type="checkbox"/> Unknown</p>	<p>5. Aircraft Altitude When Deviation Detected:</p> <p>A. <table border="1" style="width: 100%; height: 20px; text-align: center;"> <tr> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> <td style="width: 10px;">,</td> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> </tr> </table> Feet msl</p> <p>B. <input type="checkbox"/> Unknown</p>				,				<p>6. If There Was Loss of Separation, Closest Proximity Was:</p> <p><input type="checkbox"/> No Loss of Separation</p> <p>A. Feet, Vertical  <table border="1" style="width: 100%; height: 20px; text-align: center;"> <tr> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> </tr> </table>         or <input type="checkbox"/> Unknown</p> <p>B. Feet, Horizontal  <table border="1" style="width: 100%; height: 20px; text-align: center;"> <tr> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> </tr> </table>         Or          Miles (nautical), Horizontal  <table border="1" style="width: 100%; height: 20px; text-align: center;"> <tr> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> </tr> </table>         or <input type="checkbox"/> Unknown</p> <p>C. Minutes Longitudinal  <table border="1" style="width: 100%; height: 20px; text-align: center;"> <tr> <td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td><td style="width: 15px;"> </td> </tr> </table>         or <input type="checkbox"/> Unknown</p>																																																
			,																																																						
<p>7. Brief Description of Deviation and Comments:</p> <p>Notification Made To Pilot (<i>mark one</i>): <input type="checkbox"/> YES – ATC Frequency    <input type="checkbox"/> YES – Other (<i>provide explanation</i>)    <input type="checkbox"/> NO (<i>provide explanation</i>)</p> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>																																																									

FIG A-6  
FAA Form 8020-17, Preliminary Pilot Deviation Report (Page 2)



 <b>PRELIMINARY PILOT DEVIATION REPORT</b>		<b>Incident Report Number</b>				
		<b>P</b>				
<b>8. Deviation First Detected by (mark one):</b> <input type="checkbox"/> Error Detection Program (EDP) <input type="checkbox"/> Radar Observation (excludes EDP) <input type="checkbox"/> Visual Observation (tower) <input type="checkbox"/> AFSS or FSS <input type="checkbox"/> Public, Including Pilots Other, Specify _____ _____ _____ _____ _____		<b>9. Type of Operation at Time of Deviation (mark one):</b> <input type="checkbox"/> U.S. Air Carrier (14 CFR 121 or 125) <input type="checkbox"/> Foreign Air Carrier (14 CFR 129) <input type="checkbox"/> Commuter (14 CFR 135) <input type="checkbox"/> Air Taxi (14 CFR 135) <input type="checkbox"/> General Aviation (14 CFR 91) <input type="checkbox"/> Public (Governmental) <input type="checkbox"/> U.S. Military (Specify Service) _____  <input type="checkbox"/> Unknown <input type="checkbox"/> Other, Specify _____ _____		<b>10. Phase(s) of Flight When Deviation Occurred (mark appropriate boxes):</b> A. <input type="checkbox"/> Taxi B. <input type="checkbox"/> Takeoff C. <input type="checkbox"/> Climb D. <input type="checkbox"/> Level Flight or Cruise E. <input type="checkbox"/> Turning or Maneuvering F. <input type="checkbox"/> Descent G. <input type="checkbox"/> Approach H. <input type="checkbox"/> Landing I. <input type="checkbox"/> Unknown J. <input type="checkbox"/> Other, Specify _____ _____		
<b>11. Number of Aircraft Involved (provide data on any aircraft not listed in item 3):</b> A. <input type="checkbox"/> One      Aircraft N No.      Flight No. or Call Sign (if applicable)      Make      Model B. <input type="checkbox"/> Two      F. _____ C. <input type="checkbox"/> Three      G. _____ D. <input type="checkbox"/> Four or More      H. _____ E. <input type="checkbox"/> Unknown      I. _____					<b>12. Type of Deviation(s) (mark appropriate boxes):</b> A. <input type="checkbox"/> Surface (complete items 7, 13 to 17, and 30 to 35) B. <input type="checkbox"/> Air and RNP/RNAV Procedures (complete Items 5, 6, and 18 to 35)	
<b>13. Type of Control at Surface Deviation Location (mark one):</b> A. <input type="checkbox"/> Operating Control Tower B. <input type="checkbox"/> Nonoperating Control Tower C. <input type="checkbox"/> None, Nontowered Public Airport D. <input type="checkbox"/> None, Private Airport E. <input type="checkbox"/> Unknown		<b>14. Airport ID at Surface Deviation Location:</b> _____		<b>15. Surface Deviation Type(s) (mark appropriate boxes):</b> A. <input type="checkbox"/> Takeoff Without Clearance B. <input type="checkbox"/> Takeoff on Wrong Runway or Taxiway C. <input type="checkbox"/> Landed Without Clearance D. <input type="checkbox"/> Landed or Takeoff Below Weather Minimums E. <input type="checkbox"/> Landed on Wrong Runway, Taxiway, or Airport F. <input type="checkbox"/> Entered Runway or Taxiway Without Clearance G. <input type="checkbox"/> Careless or Reckless Aircraft Operation H. <input type="checkbox"/> Did Not Close Flight Plan I. <input type="checkbox"/> Other, Specify _____		
<b>16. Loss of Separation With (mark appropriate boxes):</b> A. <input type="checkbox"/> Ground Vehicle B. <input type="checkbox"/> Personnel C. <input type="checkbox"/> Another Aircraft, on Ground D. <input type="checkbox"/> Another Aircraft, in Air E. <input type="checkbox"/> Obstruction F. <input type="checkbox"/> Not Applicable G. <input type="checkbox"/> Unknown		<b>17. Closest Proximity Was (mark one):</b> A. <input type="checkbox"/> Under 100 Feet B. <input type="checkbox"/> 100-499 Feet C. <input type="checkbox"/> 500-1,000 Feet D. <input type="checkbox"/> Over 1,000 Feet E. <input type="checkbox"/> Not Applicable F. <input type="checkbox"/> Unknown		<b>18. Transponder (mark one):</b> A. <input type="checkbox"/> Operating, With Altitude Reporting B. <input type="checkbox"/> Operating, Without Altitude Reporting C. <input type="checkbox"/> Not Functioning (broken or off) D. <input type="checkbox"/> No Transponder E. <input type="checkbox"/> Unknown		
<b>19. Was the Aircraft Equipped with TCAS?</b> A. (1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown B. If Yes, Was TCAS Operating During Deviation? (1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown C. If Yes, Was TCAS Involved in Deviation? (1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown D. If Yes, Describe Involvement: _____		<b>20. Fix or Facility Nearest Deviation (complete one):</b> A. VOR, TACAN or NDB ID _____ B. Airport ID _____ C. Airway Intersection ID _____  D. Waypoint (Area Navigation, GPS, Loran, etc.) _____ E. <input type="checkbox"/> Oceanic		<b>21. Deviation Location in Respect to Item 20 (complete A&amp;B or C&amp;D):</b> A. _____ Miles (nautical) B. _____ Degrees (magnetic) For Area Navigation Only (RNAV): C. _____ Latitude D. _____ Longitude		

FIG A-6  
FAA Form 8020-17, Preliminary Pilot Deviation Report (Page 3)

 <b>PRELIMINARY PILOT DEVIATION REPORT</b>		<b>Incident Report Number</b>																																											
		P																																											
<p>22. Location in Traffic Pattern During Deviation (mark one):</p> <p>A. <input type="checkbox"/> Upwind</p> <p>B. <input type="checkbox"/> Crosswind</p> <p>C. <input type="checkbox"/> Entry or Downwind Leg</p> <p>D. <input type="checkbox"/> Base Leg</p> <p>E. <input type="checkbox"/> Final Approach</p> <p>F. <input type="checkbox"/> Departure Leg or Exit</p> <p>G. <input type="checkbox"/> Not in Traffic Pattern</p> <p>H. <input type="checkbox"/> Fix/Waypoint</p> <p>I. <input type="checkbox"/> Unknown</p> <p>J. Other, Specify _____ _____</p>	<p>23. Operational Control of Aircraft (mark a maximum of three):</p> <p>A. <input type="checkbox"/> Class A Airspace</p> <p>B. <input type="checkbox"/> Class B Airspace</p> <p>C. <input type="checkbox"/> Class C Airspace</p> <p>D. <input type="checkbox"/> Class D Airspace</p> <p>E. <input type="checkbox"/> Class E Airspace</p> <p>F. <input type="checkbox"/> Class G Airspace</p> <p>G. <input type="checkbox"/> Special Use Airspace, Specify _____</p> <p>H. <input type="checkbox"/> Within Terminal Radar Service Area</p> <p>I. <input type="checkbox"/> Towered Airport</p> <p>J. <input type="checkbox"/> Nontowered Airport</p> <p>K. <input type="checkbox"/> Unknown</p> <p>L. <input type="checkbox"/> Other, Specify _____</p>	<p>24. Location ID of Facility(ies) Providing Air Traffic Service During Deviation (complete appropriate boxes):</p> <table style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 5%; border: 1px solid black;">A.</td><td style="width: 5%; border: 1px solid black;"></td><td style="width: 5%; border: 1px solid black;"></td><td style="width: 5%; border: 1px solid black;"></td><td style="width: 80%; border: 1px solid black;">ARTCC</td></tr> <tr><td style="border: 1px solid black;">B.</td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;">TRACON</td></tr> <tr><td style="border: 1px solid black;">C.</td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;">RAPCON, RATCF, or ARAC</td></tr> <tr><td style="border: 1px solid black;">D.</td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;">ATCT</td></tr> <tr><td style="border: 1px solid black;">E.</td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;">AFSS or FSS</td></tr> <tr><td style="border: 1px solid black;">F.</td><td colspan="4" style="border: 1px solid black;"><input type="checkbox"/> None</td></tr> <tr><td style="border: 1px solid black;">G.</td><td colspan="4" style="border: 1px solid black;"><input type="checkbox"/> Unknown</td></tr> <tr><td style="border: 1px solid black;">H.</td><td colspan="4" style="border: 1px solid black;"><input type="checkbox"/> Other, Specify _____</td></tr> </table>				A.				ARTCC	B.				TRACON	C.				RAPCON, RATCF, or ARAC	D.				ATCT	E.				AFSS or FSS	F.	<input type="checkbox"/> None				G.	<input type="checkbox"/> Unknown				H.	<input type="checkbox"/> Other, Specify _____			
A.				ARTCC																																									
B.				TRACON																																									
C.				RAPCON, RATCF, or ARAC																																									
D.				ATCT																																									
E.				AFSS or FSS																																									
F.	<input type="checkbox"/> None																																												
G.	<input type="checkbox"/> Unknown																																												
H.	<input type="checkbox"/> Other, Specify _____																																												
<p>25. Preliminary Information Indicates the Air Deviation Type Was (mark appropriate boxes):</p> <p>A. <input type="checkbox"/> ATC Altitude Clearance Deviation</p> <p>B. <input type="checkbox"/> ATC Course Clearance Deviation</p> <p>C. <input type="checkbox"/> Airspeed Clearance Violation</p> <p>D. <input type="checkbox"/> Airspace Clearance Violation</p> <p>E. <input type="checkbox"/> Flying VFR when IFR Required</p> <p>F. <input type="checkbox"/> Pilot Unqualified for Aircraft or Condition</p> <p>G. <input type="checkbox"/> Required Aircraft Equipment Not Operating</p> <p>H. <input type="checkbox"/> Careless or Reckless Aircraft Operation</p> <p>I. <input type="checkbox"/> Unauthorized Low Level flying</p> <p>J. <input type="checkbox"/> Missed Compulsory Reporting Point</p> <p>K. <input type="checkbox"/> Lateral Track Conformity (RNP/RNAV)</p> <p>L. <input type="checkbox"/> Vertical Track Conformity (RNP/RNAV)</p> <p>M. <input type="checkbox"/> Phraseology (RNP/RNAV)</p> <p>N. <input type="checkbox"/> ATC Automation (RNP/RNAV)</p> <p>O. <input type="checkbox"/> Charting Issues (RNP/RNAV)</p> <p>P. <input type="checkbox"/> Database Issues (RNP/RNAV)</p> <p>Q. <input type="checkbox"/> Other, Specify _____</p> <p>R. <input type="checkbox"/> Noncompliance with Other Regulations</p> <p>(Specify FAR numbers [2]):</p> <p>(1)                     (2)                    </p>	<p>26. Preliminary Information Indicates the Airspace Violation Was of (mark one):</p> <p>A. <input type="checkbox"/> Class A Airspace</p> <p>B. <input type="checkbox"/> Class B Airspace</p> <p>C. <input type="checkbox"/> Class C Airspace</p> <p>D. <input type="checkbox"/> Class D Airspace</p> <p>E. <input type="checkbox"/> Class E Airspace</p> <p>F. <input type="checkbox"/> Special Use Airspace, Specify _____</p> <p>G. <input type="checkbox"/> None</p> <p>H. <input type="checkbox"/> Unknown</p> <p>I. <input type="checkbox"/> Other, Specify _____</p>																																												
<p>27. If ATC altitude or Course Clearance Deviation, Maximum Deviation Was:</p> <p>A.       ,         Feet, Vertical or <input type="checkbox"/> Unknown</p> <p>B.       ,         Feet, Vertical</p> <p>or</p> <p>        ,         Miles (nautical), Horizontal or <input type="checkbox"/> Unknown</p>	<p>28. RNP/RNAV Procedure Type (mark one):</p> <p>A. <input type="checkbox"/> Standard Instrument Departure (SID)</p> <p>B. <input type="checkbox"/> Standard Terminal Arrival (STAR)</p> <p>C. <input type="checkbox"/> Other, Specify _____</p>																																												
<p>29. RNP/RNAV Procedure Name in Respect to Item 28</p> <p>A. <input type="checkbox"/> SID Name _____</p> <p>B. <input type="checkbox"/> STAR Name _____</p> <p>C. <input type="checkbox"/> Other, Specify _____</p>	<p>30. Other Reports Filed or To Be Filed (mark appropriate boxes and complete):</p> <p>A. <input type="checkbox"/> Incident Report (FAA Form 8020-11), Specify No(s). _____</p> <p>B. <input type="checkbox"/> Preliminary Near Midair Collision Report (FAA Form 8020-21), Specify No(s). _____</p> <p>C. <input type="checkbox"/> Preliminary Operational Error/Deviation Report (FAA Form 7210-2), Specify No(s). _____</p> <p>D. <input type="checkbox"/> Other (including TCAS), Specify _____</p> <p>E. <input type="checkbox"/> None</p>																																												
<p>31. Attachments (specify, e.g., pilot statement or flight progress strip, or mark box): <input type="checkbox"/> No Attachments</p>		<p>32. Reporting Office:</p> <p>A.   A         FAA Region</p> <p>B.         Location ID</p> <p>C.                     Telephone No.</p>																																											
<p>34. Facility Manager Approving Form:</p> <p>A. Signature _____</p> <p>B. Name _____</p> <p>C. Date               Type or Print</p>	<p>33. Name of Individual Completing Form: _____ Type or Print</p> <p>35. Report Distributed to:</p> <p>A.   A         FAA Region _____ Flight Standards ID        </p> <p>Others, Specify _____</p>																																												

*FIG A-6*  
**FAA Form 8020-17, Preliminary Pilot Deviation Report (Page 4)**

**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:

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

The fourth character identifies the type of facility completing the form:

- |                          |                   |
|--------------------------|-------------------|
| <b>C</b> - ARTCC         | <b>R</b> - TRACON |
| <b>F</b> - AFSS or FSS   | <b>T</b> - ATCT   |
| <b>Z</b> - 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 |



FIG A-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 8020.11, 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. ATX-400

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 ATX-400. Sign and date the form (Item 7) before distribution.



FIG A-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.

<p>1. Date, Time, and Location of NMAC:</p> <p>A. Date (Coordinated Universal Time-UTC)        _____        M M D D Y Y</p> <p>B. UTC Time        _____</p> <p>C. Local Time        _____</p> <p>D. Nearest City or Town, and State        _____</p>	<p>2. Fix or Facility Nearest NMAC (complete one):</p> <p>A. VOR, TACAN or NDB ID        _____</p> <p>B. Airport ID        _____</p> <p>C. Airway Intersection ID        _____</p> <p>D. <input type="checkbox"/> Oceanic Airspace or Area Navigation (GPS, Loran, etc.)</p>	<p>3. NMAC Location in Respect to Item 2 (complete A&amp;B or C&amp;D):</p> <p>A. _____ Miles (nautical)</p> <p>B. _____ Degrees (magnetic)  <i>For Oceanic Airspace and Area Navigation Only:</i></p> <p>C. _____' _____'        Latitude</p> <p>D. _____' _____'        Longitude</p>
--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

<p>4. Reporting Aircraft ("Rptg") Information:</p> <p>A. Pilot Name and Address        _____        Name (first, middle, last)</p> <p>_____ Address</p> <p>_____ City _____ State or Country _____ Zip</p> <p>B. Pilot Home Base _____</p> <p>C. Pilot Daytime Telephone No.        _____ - _____ - _____</p> <p>D. Pilot Certificate No. (or enter "MILITARY")        _____</p> <p>E. Aircraft Registration (N) No. _____</p> <p>F. Flight No. or Call Sign (if applicable) _____</p> <p>G. Aircraft Make _____</p> <p>H. Aircraft Model _____</p>	<p>5. Other Aircraft ("Other") Information: (complete or mark box): <input type="checkbox"/> All Information Unknown</p> <p>A. Pilot Name and Address        _____        Name (first, middle, last)</p> <p>_____ Address</p> <p>_____ City _____ State or Country _____ Zip</p> <p>B. Pilot Home Base _____</p> <p>C. Pilot Daytime Telephone No.        _____ - _____ - _____</p> <p>D. Pilot Certificate No. (or enter "MILITARY")        _____</p> <p>E. Aircraft Registration (N) No. _____</p> <p>F. Flight No. or Call Sign (if applicable) _____</p> <p>G. Aircraft Make _____</p> <p>H. Aircraft Model _____</p> <p>I. Did Pilot Report NMAC?        (1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown</p>
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

<p>6. Type of Flight Rules at Time of NMAC (mark one per aircraft):</p> <p>Rptg Other</p> <p>F. <input type="checkbox"/> <input type="checkbox"/> Instrument Flight Rules (IFR)</p> <p>G. <input type="checkbox"/> <input type="checkbox"/> Visual Flight Rules (VFR)</p> <p>H. <input type="checkbox"/> <input type="checkbox"/> Special VFR</p> <p>I. <input type="checkbox"/> <input type="checkbox"/> Defense VFR</p> <p>E. <input type="checkbox"/> <input type="checkbox"/> Unknown</p>	<p>7. Aircraft Altitude During NMAC: (mark one per aircraft):</p> <p>A. Rptg _____, _____ Feet msl        or <input type="checkbox"/> Unknown</p> <p>B. Other _____, _____ Feet msl        or <input type="checkbox"/> Unknown</p> <p>8. Approximate Aircraft Heading Before NMAC:</p> <p>A. Rptg _____, _____ Degrees (magnetic) or <input type="checkbox"/> Unknown</p> <p>B. Other _____, _____ Degrees (magnetic) or <input type="checkbox"/> Unknown</p>	<p>9. Closest Proximity:</p> <p>A. _____, _____ Feet, Vertical        or <input type="checkbox"/> Unknown</p> <p>B. _____, _____ Feet, Horizontal        or _____ Miles (nautical)        _____, _____ Horizontal</p> <p>C. or <input type="checkbox"/> Unknown _____ Minutes, Longitudinal        or <input type="checkbox"/> Unknown</p>
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

10. Brief Description of NMAC and Comments:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

FIGA-8  
FAA Form 8020-21, Preliminary Near Midair Collision Report (continued)

<b>PRELIMINARY NEAR MIDAIR COLLISION REPORT</b>		<b>Incident Report Number</b>																																																																																															
		N																																																																																															
<b>11. Type of Operation During NMAC</b> <i>(mark one per aircraft):</i> <table style="width: 100%; border: none;"> <tr> <td style="text-align: center;">Rptg</td> <td style="text-align: center;">Other</td> <td></td> </tr> <tr> <td>A. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>US Air Carrier (14 CFR 121 or 125)</td> </tr> <tr> <td>B. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Foreign Air Carrier (14 CFR 129)</td> </tr> <tr> <td>C. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Commuter (14 CFR 135)</td> </tr> <tr> <td>D. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Air Taxi (14 CFR 135)</td> </tr> <tr> <td>E. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>General Aviation (14 CFR 91)</td> </tr> <tr> <td>F. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Public (governmental)</td> </tr> <tr> <td>G. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>U.S. Military, Specify Service _____</td> </tr> <tr> <td>H. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Unknown</td> </tr> <tr> <td></td> <td><input type="checkbox"/></td> <td>Other, Specify _____</td> </tr> </table>		Rptg	Other		A. <input type="checkbox"/>	<input type="checkbox"/>	US Air Carrier (14 CFR 121 or 125)	B. <input type="checkbox"/>	<input type="checkbox"/>	Foreign Air Carrier (14 CFR 129)	C. <input type="checkbox"/>	<input type="checkbox"/>	Commuter (14 CFR 135)	D. <input type="checkbox"/>	<input type="checkbox"/>	Air Taxi (14 CFR 135)	E. <input type="checkbox"/>	<input type="checkbox"/>	General Aviation (14 CFR 91)	F. <input type="checkbox"/>	<input type="checkbox"/>	Public (governmental)	G. <input type="checkbox"/>	<input type="checkbox"/>	U.S. Military, Specify Service _____	H. <input type="checkbox"/>	<input type="checkbox"/>	Unknown		<input type="checkbox"/>	Other, Specify _____	<b>12. Phase(s) of Flight During NMAC</b> <i>(mark appropriate boxes):</i> <table style="width: 100%; border: none;"> <tr> <td style="text-align: center;">Rptg</td> <td style="text-align: center;">Other</td> <td></td> </tr> <tr> <td>A. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Takeoff</td> </tr> <tr> <td>B. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Climb</td> </tr> <tr> <td>C. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Level Flight or Cruise</td> </tr> <tr> <td>D. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Turning or Maneuvering</td> </tr> <tr> <td>E. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Descent</td> </tr> <tr> <td>F. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Approach</td> </tr> <tr> <td>G. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Landing</td> </tr> <tr> <td>H. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Unknown</td> </tr> <tr> <td>I. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Other, Specify _____</td> </tr> </table>		Rptg	Other		A. <input type="checkbox"/>	<input type="checkbox"/>	Takeoff	B. <input type="checkbox"/>	<input type="checkbox"/>	Climb	C. <input type="checkbox"/>	<input type="checkbox"/>	Level Flight or Cruise	D. <input type="checkbox"/>	<input type="checkbox"/>	Turning or Maneuvering	E. <input type="checkbox"/>	<input type="checkbox"/>	Descent	F. <input type="checkbox"/>	<input type="checkbox"/>	Approach	G. <input type="checkbox"/>	<input type="checkbox"/>	Landing	H. <input type="checkbox"/>	<input type="checkbox"/>	Unknown	I. <input type="checkbox"/>	<input type="checkbox"/>	Other, Specify _____	<b>13. Location in Traffic Pattern During NMAC</b> <i>(mark one per aircraft):</i> <table style="width: 100%; border: none;"> <tr> <td style="text-align: center;">Rptg</td> <td style="text-align: center;">Other</td> <td></td> </tr> <tr> <td>A. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Upwind Leg</td> </tr> <tr> <td>B. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Crosswind Leg</td> </tr> <tr> <td>C. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Entry or Downwind Leg</td> </tr> <tr> <td>D. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Base Leg</td> </tr> <tr> <td>E. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Final Approach</td> </tr> <tr> <td>F. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Departure Leg or Exit</td> </tr> <tr> <td>G. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Not in Traffic Pattern</td> </tr> <tr> <td>H. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Unknown</td> </tr> <tr> <td>I. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Other, Specify _____</td> </tr> </table>				Rptg	Other		A. <input type="checkbox"/>	<input type="checkbox"/>	Upwind Leg	B. <input type="checkbox"/>	<input type="checkbox"/>	Crosswind Leg	C. <input type="checkbox"/>	<input type="checkbox"/>	Entry or Downwind Leg	D. <input type="checkbox"/>	<input type="checkbox"/>	Base Leg	E. <input type="checkbox"/>	<input type="checkbox"/>	Final Approach	F. <input type="checkbox"/>	<input type="checkbox"/>	Departure Leg or Exit	G. <input type="checkbox"/>	<input type="checkbox"/>	Not in Traffic Pattern	H. <input type="checkbox"/>	<input type="checkbox"/>	Unknown	I. <input type="checkbox"/>	<input type="checkbox"/>	Other, Specify _____
Rptg	Other																																																																																																
A. <input type="checkbox"/>	<input type="checkbox"/>	US Air Carrier (14 CFR 121 or 125)																																																																																															
B. <input type="checkbox"/>	<input type="checkbox"/>	Foreign Air Carrier (14 CFR 129)																																																																																															
C. <input type="checkbox"/>	<input type="checkbox"/>	Commuter (14 CFR 135)																																																																																															
D. <input type="checkbox"/>	<input type="checkbox"/>	Air Taxi (14 CFR 135)																																																																																															
E. <input type="checkbox"/>	<input type="checkbox"/>	General Aviation (14 CFR 91)																																																																																															
F. <input type="checkbox"/>	<input type="checkbox"/>	Public (governmental)																																																																																															
G. <input type="checkbox"/>	<input type="checkbox"/>	U.S. Military, Specify Service _____																																																																																															
H. <input type="checkbox"/>	<input type="checkbox"/>	Unknown																																																																																															
	<input type="checkbox"/>	Other, Specify _____																																																																																															
Rptg	Other																																																																																																
A. <input type="checkbox"/>	<input type="checkbox"/>	Takeoff																																																																																															
B. <input type="checkbox"/>	<input type="checkbox"/>	Climb																																																																																															
C. <input type="checkbox"/>	<input type="checkbox"/>	Level Flight or Cruise																																																																																															
D. <input type="checkbox"/>	<input type="checkbox"/>	Turning or Maneuvering																																																																																															
E. <input type="checkbox"/>	<input type="checkbox"/>	Descent																																																																																															
F. <input type="checkbox"/>	<input type="checkbox"/>	Approach																																																																																															
G. <input type="checkbox"/>	<input type="checkbox"/>	Landing																																																																																															
H. <input type="checkbox"/>	<input type="checkbox"/>	Unknown																																																																																															
I. <input type="checkbox"/>	<input type="checkbox"/>	Other, Specify _____																																																																																															
Rptg	Other																																																																																																
A. <input type="checkbox"/>	<input type="checkbox"/>	Upwind Leg																																																																																															
B. <input type="checkbox"/>	<input type="checkbox"/>	Crosswind Leg																																																																																															
C. <input type="checkbox"/>	<input type="checkbox"/>	Entry or Downwind Leg																																																																																															
D. <input type="checkbox"/>	<input type="checkbox"/>	Base Leg																																																																																															
E. <input type="checkbox"/>	<input type="checkbox"/>	Final Approach																																																																																															
F. <input type="checkbox"/>	<input type="checkbox"/>	Departure Leg or Exit																																																																																															
G. <input type="checkbox"/>	<input type="checkbox"/>	Not in Traffic Pattern																																																																																															
H. <input type="checkbox"/>	<input type="checkbox"/>	Unknown																																																																																															
I. <input type="checkbox"/>	<input type="checkbox"/>	Other, Specify _____																																																																																															
<b>14. Transponder</b> <i>(mark one per aircraft):</i> <table style="width: 100%; border: none;"> <tr> <td style="text-align: center;">Rptg</td> <td style="text-align: center;">Other</td> <td></td> </tr> <tr> <td>A. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Operating, With Altitude Reporting</td> </tr> <tr> <td>B. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Operating, Without Altitude Reporting</td> </tr> <tr> <td>C. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Not Functioning (broken or off)</td> </tr> <tr> <td>D. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>No Transponder</td> </tr> <tr> <td>E. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Unknown</td> </tr> </table>		Rptg	Other		A. <input type="checkbox"/>	<input type="checkbox"/>	Operating, With Altitude Reporting	B. <input type="checkbox"/>	<input type="checkbox"/>	Operating, Without Altitude Reporting	C. <input type="checkbox"/>	<input type="checkbox"/>	Not Functioning (broken or off)	D. <input type="checkbox"/>	<input type="checkbox"/>	No Transponder	E. <input type="checkbox"/>	<input type="checkbox"/>	Unknown	<b>15. TCAS Status:</b> <table style="width: 100%; border: none;"> <tr> <td></td> <td style="text-align: center;">Rptg</td> <td style="text-align: center;">Other</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td style="text-align: center;">Yes</td> <td style="text-align: center;">No</td> <td style="text-align: center;">Unk</td> <td style="text-align: center;">Yes</td> <td style="text-align: center;">No</td> <td style="text-align: center;">Unk</td> </tr> <tr> <td>A. Was the Aircraft Equipped With TCAS?</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>B. If Yes, Was TCAS Operating During NMAC?</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>C. If Yes, Was TCAS Involved in NMAC?</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>D. If Yes, Describe Involvement _____</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table>							Rptg	Other						Yes	No	Unk	Yes	No	Unk	A. Was the Aircraft Equipped With TCAS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	B. If Yes, Was TCAS Operating During NMAC?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	C. If Yes, Was TCAS Involved in NMAC?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	D. If Yes, Describe Involvement _____																																				
Rptg	Other																																																																																																
A. <input type="checkbox"/>	<input type="checkbox"/>	Operating, With Altitude Reporting																																																																																															
B. <input type="checkbox"/>	<input type="checkbox"/>	Operating, Without Altitude Reporting																																																																																															
C. <input type="checkbox"/>	<input type="checkbox"/>	Not Functioning (broken or off)																																																																																															
D. <input type="checkbox"/>	<input type="checkbox"/>	No Transponder																																																																																															
E. <input type="checkbox"/>	<input type="checkbox"/>	Unknown																																																																																															
	Rptg	Other																																																																																															
	Yes	No	Unk	Yes	No	Unk																																																																																											
A. Was the Aircraft Equipped With TCAS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																																																																											
B. If Yes, Was TCAS Operating During NMAC?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																																																																											
C. If Yes, Was TCAS Involved in NMAC?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																																																																											
D. If Yes, Describe Involvement _____																																																																																																	
<b>16. Evasive Action(s) Taken</b> <i>(mark appropriate boxes):</i> <table style="width: 100%; border: none;"> <tr> <td style="text-align: center;">Rptg</td> <td style="text-align: center;">Other</td> <td style="text-align: center;">Rptg</td> <td style="text-align: center;">Other</td> <td></td> </tr> <tr> <td>A. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>G. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Accelerate</td> </tr> <tr> <td>B. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>H. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>None</td> </tr> <tr> <td>C. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>I. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Unknown</td> </tr> <tr> <td>D. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>J. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Other, Specify _____</td> </tr> <tr> <td>E. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td><input type="checkbox"/></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td><input type="checkbox"/></td> <td></td> <td></td> <td></td> </tr> </table>		Rptg	Other	Rptg	Other		A. <input type="checkbox"/>	<input type="checkbox"/>	G. <input type="checkbox"/>	<input type="checkbox"/>	Accelerate	B. <input type="checkbox"/>	<input type="checkbox"/>	H. <input type="checkbox"/>	<input type="checkbox"/>	None	C. <input type="checkbox"/>	<input type="checkbox"/>	I. <input type="checkbox"/>	<input type="checkbox"/>	Unknown	D. <input type="checkbox"/>	<input type="checkbox"/>	J. <input type="checkbox"/>	<input type="checkbox"/>	Other, Specify _____	E. <input type="checkbox"/>	<input type="checkbox"/>					<input type="checkbox"/>					<input type="checkbox"/>				<b>17. Time Aircraft in Sight Before Closest Separation:</b> <table style="width: 100%; border: none;"> <tr> <td></td> <td style="text-align: center;">Unknown</td> </tr> <tr> <td>A. Rptg _____ Seconds</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>B. Other  _____  Seconds</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>					Unknown	A. Rptg _____ Seconds	<input type="checkbox"/>	B. Other  _____  Seconds	<input type="checkbox"/>																																														
Rptg	Other	Rptg	Other																																																																																														
A. <input type="checkbox"/>	<input type="checkbox"/>	G. <input type="checkbox"/>	<input type="checkbox"/>	Accelerate																																																																																													
B. <input type="checkbox"/>	<input type="checkbox"/>	H. <input type="checkbox"/>	<input type="checkbox"/>	None																																																																																													
C. <input type="checkbox"/>	<input type="checkbox"/>	I. <input type="checkbox"/>	<input type="checkbox"/>	Unknown																																																																																													
D. <input type="checkbox"/>	<input type="checkbox"/>	J. <input type="checkbox"/>	<input type="checkbox"/>	Other, Specify _____																																																																																													
E. <input type="checkbox"/>	<input type="checkbox"/>																																																																																																
	<input type="checkbox"/>																																																																																																
	<input type="checkbox"/>																																																																																																
	Unknown																																																																																																
A. Rptg _____ Seconds	<input type="checkbox"/>																																																																																																
B. Other  _____  Seconds	<input type="checkbox"/>																																																																																																
<b>18. Operational Control Area of Reporting Aircraft During NMAC</b> <i>(mark a maximum of three):</i> <table style="width: 100%; border: none;"> <tr><td>A. <input type="checkbox"/></td><td>Class A Airspace</td></tr> <tr><td>B. <input type="checkbox"/></td><td>Class B Airspace</td></tr> <tr><td>C. <input type="checkbox"/></td><td>Class C Airspace</td></tr> <tr><td>D. <input type="checkbox"/></td><td>Class D Airspace</td></tr> <tr><td>E. <input type="checkbox"/></td><td>Class E Airspace</td></tr> <tr><td>F. <input type="checkbox"/></td><td>Class G Airspace</td></tr> <tr><td>G. <input type="checkbox"/></td><td>Special Use Airspace, Specify _____</td></tr> <tr><td>H. <input type="checkbox"/></td><td>Within Terminal Radar Service Areas</td></tr> <tr><td>I. <input type="checkbox"/></td><td>Towered Airport</td></tr> <tr><td>J. <input type="checkbox"/></td><td>Nontowered Airport</td></tr> <tr><td>K. <input type="checkbox"/></td><td>Unknown</td></tr> <tr><td>L. <input type="checkbox"/></td><td>Other, Specify _____</td></tr> </table>		A. <input type="checkbox"/>	Class A Airspace	B. <input type="checkbox"/>	Class B Airspace	C. <input type="checkbox"/>	Class C Airspace	D. <input type="checkbox"/>	Class D Airspace	E. <input type="checkbox"/>	Class E Airspace	F. <input type="checkbox"/>	Class G Airspace	G. <input type="checkbox"/>	Special Use Airspace, Specify _____	H. <input type="checkbox"/>	Within Terminal Radar Service Areas	I. <input type="checkbox"/>	Towered Airport	J. <input type="checkbox"/>	Nontowered Airport	K. <input type="checkbox"/>	Unknown	L. <input type="checkbox"/>	Other, Specify _____	<b>19. Location ID of Facility(ies) Providing Air Traffic Service during NMAC</b> <i>(complete appropriate boxes):</i> <table style="width: 100%; border: none;"> <tr><td>A. _____</td><td>ARTCC</td></tr> <tr><td>B. _____</td><td>TRACON</td></tr> <tr><td>C. _____</td><td>RAPCON, RATCF, or ARAC</td></tr> <tr><td>D. _____</td><td>ATCT</td></tr> <tr><td>E. _____</td><td>AFSS or FSS</td></tr> <tr><td>F. <input type="checkbox"/></td><td>None</td></tr> <tr><td>G. <input type="checkbox"/></td><td>Unknown</td></tr> <tr><td>H. <input type="checkbox"/></td><td>Other, Specify _____</td></tr> </table>				A. _____	ARTCC	B. _____	TRACON	C. _____	RAPCON, RATCF, or ARAC	D. _____	ATCT	E. _____	AFSS or FSS	F. <input type="checkbox"/>	None	G. <input type="checkbox"/>	Unknown	H. <input type="checkbox"/>	Other, Specify _____																																																				
A. <input type="checkbox"/>	Class A Airspace																																																																																																
B. <input type="checkbox"/>	Class B Airspace																																																																																																
C. <input type="checkbox"/>	Class C Airspace																																																																																																
D. <input type="checkbox"/>	Class D Airspace																																																																																																
E. <input type="checkbox"/>	Class E Airspace																																																																																																
F. <input type="checkbox"/>	Class G Airspace																																																																																																
G. <input type="checkbox"/>	Special Use Airspace, Specify _____																																																																																																
H. <input type="checkbox"/>	Within Terminal Radar Service Areas																																																																																																
I. <input type="checkbox"/>	Towered Airport																																																																																																
J. <input type="checkbox"/>	Nontowered Airport																																																																																																
K. <input type="checkbox"/>	Unknown																																																																																																
L. <input type="checkbox"/>	Other, Specify _____																																																																																																
A. _____	ARTCC																																																																																																
B. _____	TRACON																																																																																																
C. _____	RAPCON, RATCF, or ARAC																																																																																																
D. _____	ATCT																																																																																																
E. _____	AFSS or FSS																																																																																																
F. <input type="checkbox"/>	None																																																																																																
G. <input type="checkbox"/>	Unknown																																																																																																
H. <input type="checkbox"/>	Other, Specify _____																																																																																																
<b>20. Immediately Before NMAC, Air Traffic Control</b> <i>(mark appropriate boxes):</i> <table style="width: 100%; border: none;"> <tr> <td style="text-align: center;">Rptg</td> <td style="text-align: center;">Other</td> <td></td> </tr> <tr> <td>A. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Experienced Radar Outage or Other Problems</td> </tr> <tr> <td>B. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Experienced Communication Outage or Other Problems</td> </tr> <tr> <td>C. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Observed Traffic in Vicinity of Aircraft</td> </tr> <tr> <td>D. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Issued a Traffic Advisory</td> </tr> <tr> <td>E. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Issued a Safety Alert</td> </tr> <tr> <td>F. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Not in Contact With Aircraft</td> </tr> <tr> <td>G. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>Unknown</td> </tr> <tr> <td>H. <input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>None of the Above</td> </tr> </table>		Rptg	Other		A. <input type="checkbox"/>	<input type="checkbox"/>	Experienced Radar Outage or Other Problems	B. <input type="checkbox"/>	<input type="checkbox"/>	Experienced Communication Outage or Other Problems	C. <input type="checkbox"/>	<input type="checkbox"/>	Observed Traffic in Vicinity of Aircraft	D. <input type="checkbox"/>	<input type="checkbox"/>	Issued a Traffic Advisory	E. <input type="checkbox"/>	<input type="checkbox"/>	Issued a Safety Alert	F. <input type="checkbox"/>	<input type="checkbox"/>	Not in Contact With Aircraft	G. <input type="checkbox"/>	<input type="checkbox"/>	Unknown	H. <input type="checkbox"/>	<input type="checkbox"/>	None of the Above	<b>21. Other Report(s) or To Be Filed by Air Traffic</b> <i>(mark appropriate boxes and complete: list HATR's, etc., under Item 22):</i> <table style="width: 100%; border: none;"> <tr><td>A. <input type="checkbox"/></td><td>Incident Report (FAA Form 8020-11), Specify No(s).</td></tr> <tr><td>B. <input type="checkbox"/></td><td>Preliminary Pilot Deviation Report (FAA Form 8020-17), Specify No(s).</td></tr> <tr><td>C. <input type="checkbox"/></td><td>Preliminary Operational Error/Deviation Report (FAA Form 7210-2), Specify No(s).</td></tr> <tr><td>D. <input type="checkbox"/></td><td>Other (including TCAS), Specify _____</td></tr> <tr><td>E. <input type="checkbox"/></td><td>None</td></tr> </table>				A. <input type="checkbox"/>	Incident Report (FAA Form 8020-11), Specify No(s).	B. <input type="checkbox"/>	Preliminary Pilot Deviation Report (FAA Form 8020-17), Specify No(s).	C. <input type="checkbox"/>	Preliminary Operational Error/Deviation Report (FAA Form 7210-2), Specify No(s).	D. <input type="checkbox"/>	Other (including TCAS), Specify _____	E. <input type="checkbox"/>	None																																																							
Rptg	Other																																																																																																
A. <input type="checkbox"/>	<input type="checkbox"/>	Experienced Radar Outage or Other Problems																																																																																															
B. <input type="checkbox"/>	<input type="checkbox"/>	Experienced Communication Outage or Other Problems																																																																																															
C. <input type="checkbox"/>	<input type="checkbox"/>	Observed Traffic in Vicinity of Aircraft																																																																																															
D. <input type="checkbox"/>	<input type="checkbox"/>	Issued a Traffic Advisory																																																																																															
E. <input type="checkbox"/>	<input type="checkbox"/>	Issued a Safety Alert																																																																																															
F. <input type="checkbox"/>	<input type="checkbox"/>	Not in Contact With Aircraft																																																																																															
G. <input type="checkbox"/>	<input type="checkbox"/>	Unknown																																																																																															
H. <input type="checkbox"/>	<input type="checkbox"/>	None of the Above																																																																																															
A. <input type="checkbox"/>	Incident Report (FAA Form 8020-11), Specify No(s).																																																																																																
B. <input type="checkbox"/>	Preliminary Pilot Deviation Report (FAA Form 8020-17), Specify No(s).																																																																																																
C. <input type="checkbox"/>	Preliminary Operational Error/Deviation Report (FAA Form 7210-2), Specify No(s).																																																																																																
D. <input type="checkbox"/>	Other (including TCAS), Specify _____																																																																																																
E. <input type="checkbox"/>	None																																																																																																

*FIG A-8*  
**FAA Form 8020-21, Preliminary Near Midair Collision Report (continued)**

<p><b>PRELIMINARY NEAR MIDAIR COLLISION REPORT</b></p>	Incident Report Number					
	N					
22. Attachments ( <i>specify, e.g., pilot statement or flight progress strip, or mark box</i> ): <input type="checkbox"/> No Attachments						
23. Reporting Office: A. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> FAA Region B. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Location ID C. <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 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 <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> M M D D Y Y			26. Report Distributed to: A. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> FAA Region      Flight Standards ID <input type="text"/> <input type="text"/> 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:

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

The fourth character identifies the type of facility completing the form:

- |                          |                   |
|--------------------------|-------------------|
| <b>C</b> - ARTCC         | <b>R</b> - TRACON |
| <b>F</b> - AFSS or FSS   | <b>T</b> - ATCT   |
| <b>Z</b> - FSDO or Other |                   |

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 |



**FIG A-9**

**FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report**


 <b>PRELIMINARY VEHICLE OR PEDESTRIAN DEVIATION REPORT</b>		<b>Incident Report Number</b>				
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.						
<b>1. Date, Time, and Location of Deviation:</b>  C. Date (Coordinated Universal Time-UTC) _____ M M D D Y Y D. UTC Time _____ E. Local Time _____ F. Airport ID at Surface Deviation Location _____ G. Nearest City or Town, and State _____		<b>2. Type of Deviation (mark one):</b>  C. <input type="checkbox"/> Vehicle (excludes bicycles; includes aircraft being repositioned; <i>complete remainder of form, except item 14</i> ) D. <input type="checkbox"/> Pedestrian (includes bicycles; <i>complete items 5 to 11, and 14 to 2</i> )		<b>3. If There Was Loss of Separation (mark one):</b>  A. <input type="checkbox"/> Yes, Closest Proximity Was 1. Horizontal _____ Feet 2. Vertical _____ Feet B. <input type="checkbox"/> No		
<b>4. Vehicle Information (report bicycles in item 14):</b>  A. Type ( <i>mark one</i> ) 1. <input type="checkbox"/> Tug 2. <input type="checkbox"/> Baggage or Cargo Truck 3. <input type="checkbox"/> Fuel Truck 4. <input type="checkbox"/> Aircraft Being Relocated by Non-pilot 5. <input type="checkbox"/> Snow Removal Equipment 6. <input type="checkbox"/> Mower 7. <input type="checkbox"/> Construction Equipment 8. Motorcycle 9. <input type="checkbox"/> Car (includes sport-utility vehicles) 10. <input type="checkbox"/> 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 _____		<b>5. Surface Detection Equipment:</b>  A. <input type="checkbox"/> No Surface Detection Equipment at the Airport ( <i>skip to item 6</i> ) B. Equipment Was Operational (1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown C. Equipment Was On (1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown D. Movement Was Detected by Equipment ASDE/AMASS Only (1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown E. There Was an Alert (1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown F. There Was a Response to Alert (1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown		<b>6. Environmental Conditions (mark appropriate boxes):</b>  S. <input type="checkbox"/> Clear T. <input type="checkbox"/> Cloudy Day U. <input type="checkbox"/> Rain ( ) Light/Moderate ( ) Heavy V. <input type="checkbox"/> Thunderstorm W. <input type="checkbox"/> Snow ( ) Light/Moderate ( ) Heavy X. <input type="checkbox"/> Freezing Rain Y. <input type="checkbox"/> Fog Z. <input type="checkbox"/> Snow on Pavement AA. <input type="checkbox"/> Slush BB. <input type="checkbox"/> Other, Specify _____ CC. <input type="checkbox"/> Prevailing Visibility _____ (Statue Miles) <input type="checkbox"/> Runway Visual Range _____ (Feet) <input type="checkbox"/> Runway Visibility Value _____ (Statue Miles) DD. <input type="checkbox"/> Temperature _____ Fahrenheit EE. <input type="checkbox"/> Ceiling _____ Feet		
<b>7. Deviation Occurred on the Following Movement Area(s) (mark appropriate boxes, describe pertinent non-movement areas in item 10):</b>  A. <input type="checkbox"/> Runway, Specify _____ B. <input type="checkbox"/> Taxiway, Specify _____ C. <input type="checkbox"/> Intersection, Specify _____ <input type="checkbox"/> Other, Specify _____		<b>8. A Clearance Was Issued or Amended to Preclude a Loss of Separation or Collision Hazard (mark one):</b>  A. <input type="checkbox"/> Yes, Specify _____ B. <input type="checkbox"/> No		<b>9. Did Pilot, Driver, or Pedestrian Take or Request an Evasive Action to Avoid a Collision Hazard (mark one):</b>  A. <input type="checkbox"/> Yes, Specify _____  B. <input type="checkbox"/> No C. <input type="checkbox"/> Unknown		
<b>10. Description of Deviation and Comments:</b>  _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____						

FIG A-9  
FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report (continued)

<b>PRELIMINARY VEHICLE OR PEDESTRIAN DEVIATION REPORT</b>		<b>Incident Report Number</b>			
		V			
<p>11. A Piloted Aircraft Was Operating on the Runway When the V/PD Occurred (mark appropriate boxes):</p> <p>A. <input type="checkbox"/> Yes (complete items 11C to 11H)</p> <p>B. <input type="checkbox"/> No (skip to item 12)</p> <p>C. Make _____</p> <p>D. Model _____</p> <p>E. Flight Number or Call sign (if applicable) _____</p> <p>F. Registration (N) Number  _ _ _ _ _ _ _ _ _ _ </p> <p>G. Pilot's Name _____</p> <p>H. <input type="checkbox"/> Pilot Accepted LAHSO Clearance</p>		<p>12. Vehicle Equipment and Communication with ATC (mark one):</p> <p>J. <input type="checkbox"/> No Communication Equipment</p> <p>K. <input type="checkbox"/> 2-Way Radio Used</p> <p>L. <input type="checkbox"/> Telephone Used</p> <p>M. <input type="checkbox"/> Headlights Flashed</p> <p>N. <input type="checkbox"/> Flashing Lights Operating on Vehicle</p> <p>O. <input type="checkbox"/> Flag Flown</p> <p>P. <input type="checkbox"/> Equipment Not Operational, Specify _____</p> <p>Q. <input type="checkbox"/> Vehicle's Equipment Unknown</p> <p>R. <input type="checkbox"/> Communication Difficulty With ATC, Specify _____</p> <p>S. <input type="checkbox"/> Unable to Start Vehicle</p> <p>T. <input type="checkbox"/> Other, Specify _____</p>			
<p>13. Driver Information:</p> <p>A. Name _____</p> <p>B. Employed By</p> <p>1. <input type="checkbox"/> Airline</p> <p>2. <input type="checkbox"/> Airport Employee</p> <p>3. <input type="checkbox"/> Airport Tenant</p> <p>4. <input type="checkbox"/> Airport Contractor</p> <p>5. <input type="checkbox"/> FAA</p> <p>6. <input type="checkbox"/> Military Branch</p> <p>7. <input type="checkbox"/> Other Government</p> <p>8. <input type="checkbox"/> Airline Passenger</p> <p>9. <input type="checkbox"/> Airport Visitor</p> <p>10. <input type="checkbox"/> Taxi/Limo Service</p> <p>11. <input type="checkbox"/> General Aviation</p> <p>12. <input type="checkbox"/> Unknown</p> <p>13. <input type="checkbox"/> Other, Specify _____</p> <p>C. Employer Name and Address (if applicable) _____ _____ _____</p>		<p>14. Pedestrian Information (includes bicycles):</p> <p>A. Name _____</p> <p>B. Employed By</p> <p>1. <input type="checkbox"/> Airline</p> <p>2. <input type="checkbox"/> Airport Employee</p> <p>3. <input type="checkbox"/> Airport Tenant</p> <p>4. <input type="checkbox"/> Airport Contractor</p> <p>5. <input type="checkbox"/> FAA</p> <p>6. <input type="checkbox"/> Military Branch</p> <p>7. <input type="checkbox"/> Other Government</p> <p>8. <input type="checkbox"/> Airline Passenger</p> <p>9. <input type="checkbox"/> Airport Visitor</p> <p>10. <input type="checkbox"/> Taxi/Limo Service</p> <p>11. <input type="checkbox"/> General Aviation</p> <p>12. <input type="checkbox"/> Unknown</p> <p>13. <input type="checkbox"/> Other, Specify _____</p> <p>C. Employer Name and Address (if applicable) _____ _____ _____</p>			
<p>15. Deviation Area Was Visible From the Tower (mark one):</p> <p>A. <input type="checkbox"/> Yes</p> <p>B. <input type="checkbox"/> No</p> <p>C. <input type="checkbox"/> Partially, Specify _____</p>	<p>16. Deviation First Detected By (mark one):</p> <p>G. Tower Personnel Observation of</p> <p>1. <input type="checkbox"/> Movement Area</p> <p>2. <input type="checkbox"/> Airport Surface Detection Equipment (ASDE)</p> <p>H. <input type="checkbox"/> ASDE With Airport Movement Area Safety System (AMASS)</p> <p>I. <input type="checkbox"/> Airport Security</p> <p>J. <input type="checkbox"/> Public, Including Pilot</p> <p>K. <input type="checkbox"/> Other, Specify _____</p>		<p>17. Movement Area Had (mark appropriate boxes):</p> <p>K. <input type="checkbox"/> Recent Runway or Taxiway Configuration Changes</p> <p>L. <input type="checkbox"/> Construction Activity</p> <p>M. <input type="checkbox"/> Portion Closed by Notice to Airmen, Specify Closed Area _____</p> <p>N. <input type="checkbox"/> Other, Specify _____</p> <p>O. <input type="checkbox"/> None of the Above</p>		
<p>18. Attachment(s):</p> <p>A. <input type="checkbox"/> Airport Diagram (REQUIRED)</p> <p>B. <input type="checkbox"/> Other, Specify _____ _____ _____</p>					
<p>19. Airport Management Notified of Deviation:</p> <p>D. Airport Manager's Name _____</p> <p>E. Local Date  _ _ _ _ _ _ _ _ _ _  M M D D Y Y</p> <p>F. Local Time  _ _ _ _ _ </p>			<p>20. Name of Individual Completing Form:</p> <p>A. Name (type or print) _____</p> <p>B. Telephone Number ( ) - _____ - _____</p>		



*FIG A-9*  
**FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report (continued)**


<p><b>PRELIMINARY VEHICLE OR PEDESTRIAN DEVIATION REPORT</b></p>	<b>Incident Report Number</b>					
	V					
<p>21. Facility Manager Approving Form:</p> <p>A. Signature _____</p> <p>B. Name (type or print) _____</p> <p>C. Local Date _____</p> <p style="margin-left: 40px;"> _ _ _ _ _ _ _  M M D D Y Y</p>	<p>22. Report Distributed to:</p> <p>C. <u>  A  </u>         FAA Region</p> <p>D. Division Offices  <input type="checkbox"/> Airports  <input type="checkbox"/> Air Traffic  <input type="checkbox"/> Flight Standards (only if 11A is checked)</p> <p>E. Others  <input type="checkbox"/> Airport Manager  <input type="checkbox"/> AAS-300  <input type="checkbox"/> System Safety Investigations  <input type="checkbox"/> Acquisition and Business Services, Technical Services Program  <input type="checkbox"/> System Safety, Runway Operational Safety and Operational Services  <input type="checkbox"/> _____</p>					

**INSTRUCTIONS**

<p><b>I. General</b></p> <p>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.</p> <p>If the categories given are inadequate, complete "Other, Specify." Sign and date the form (Item 21) before distribution.</p> <p><b>II. Incident Report Number</b></p> <p>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</p>	<p>The second and third characters are the abbreviation of the FAA region in which the deviation occurred:</p> <p><b>AL</b> - Alaskan            <b>NE</b> - New England  <b>CE</b> - Central            <b>NM</b> - Northwest Mountain  <b>EA</b> - Eastern            <b>SO</b> - Southern  <b>GL</b> - Great Lakes      <b>SW</b> - Southwest  <b>WP</b> - Western Pacific</p> <p>The fourth character identifies the type of facility completing the form:</p> <p><b>C</b> - ARTCC            <b>R</b> -TRACON  <b>F</b> - AFSS or FSS      <b>T</b> -ATCT  <b>Z</b> - FSDO or Other</p> <p>For combined TRACON or ATCT operations, use the character for the TRACON or ATCT reporting the V/PD.</p> <p>The fifth through seventh characters are the facility location identifier (e.g., ZNY). See the latest edition of FAA Order 7350.6.</p> <p>The eighth and ninth characters are the calendar year in which the V/PD occurred; e.g., 04 for 2004.</p> <p>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.</p> <p><b>III. Abbreviations</b></p> <p>The following abbreviations are used:</p> <p>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</p>
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------



*FIG A-10*  
**FAA Form 8020-26, Personnel Statement**

 <p><b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION</b></p> <p><b>PERSONNEL STATEMENT</b></p>	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. Name (Operating Initials):	7. Title:	8. Position and Time (UTC):
<p>9. Complete in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, Paragraph 91, FAA Form 8020-26, Personnel Statements. The 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.</p>		
<p>10. Text of Statement: <span style="float: right;"><input type="checkbox"/> ORIGINAL    <input type="checkbox"/> SUPPLEMENTAL</span></p> <p align="center"><input type="checkbox"/> COMMENT   <input type="checkbox"/> NO COMMENT</p>		
11. Signature of Witness:		12. Date of Signature:



**Appendix B. Example of Air Traffic Aircraft Accident Package**

	Page No.
a. Certification	B-2
b. Accident Package Labeling	B-3
c. Package Divider Sheet	B-5
d. Table of Contents	B-7
e. FAA Form 8020-6, Report of Aircraft Accident	B-10
f. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)	B-12
g. Normal Service Statement(s)	B-17
h. Certified Indexes	B-19
i. FAA Form 7230-4, Daily Record of Facility Operation	B-25
j. Personnel Logs	B-28
k. FAA Form 7230-10, Position Logs (or automated equivalent)	B-33
l. Facility Layout Chart	B-39
m. Airport Diagram	B-41
n. Flight Progress Strips	B-44
o. Transcriptions of Voice Recordings	B-47
p. FAA Form 8020-3, Facility Accident/Incident Notification Record	B-53
q. FAA Form 8020-26, Personnel Statements	B-57
r. Weather Products	B-61
s. Non-published NOTAMs	B-63
t. FAA Form 7233-2, Pre-Flight Briefing Log (or automated equivalent)	B-63
u. FAA Form 7233-1, Flight Plan (or automated equivalent)	B-63
v. Other	B-63



**a. Certification of the Air Traffic Aircraft Accident Package (paragraph 83).**

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

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

The certification memorandum will accompany the completed air traffic aircraft accident package that is forwarded to the service center, or FSPO).

**NOTE-**

*The certification memorandum is not part of the accident package, but is retained in the accident file. If any corrections are made after the certification statement is made and signed, a new Information Memorandum must be created, signed and dated.*



## Federal Aviation Administration

---

# Memorandum

Date: May 3, 2010

To: Konstantine Nezer, Jr.  
Service Center Director, Central Service Area

*Evan Ketchock*

From: Evan Ketchock  
Manager, Airville Airport Traffic Control Tower

Subject: **INFORMATION:** Certification Statement  
Aircraft Accident, N1234A  
Airville, AR, April 01, 2010

---

I hereby certify that Air Traffic Aircraft Accident Package, ARV-ATCT-0004, has been reviewed and is complete.

**b. Accident Package Labeling (paragraph 82c).**

Washington Headquarters has determined that they will accept electronic (scanned) copies of packages instead of doing binders. Check with your service center to coordinate electronic package submissions thru them.

Assemble package in a top-fastening hard cover binder with a cover label, dividers, and sections. Affix a 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(s) or flight number(s), aircraft type(s), 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**  
**April 1, 2010, 1832 UTC**  
**Destroy: April 1, 2015 UTC**

Example of label on copy of the original:

**AIRCRAFT ACCIDENT PACKAGE**  
**ARV-ATCT-0004**  
**N1234A, BE35**  
**April 1, 2010, 1832 UTC**  
**Destroy: October 1, 2012 UTC**



**AIRCRAFT ACCIDENT PACKAGE**  
**ARV-ATCT-0004**  
**N1234A, BE35**  
**April 1, 2010, 1832 UTC**  
**Destroy: April 1, 2015 UTC**



**c. Package Divider Sheets (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(s) or flight number(s). For consistency, place this information in the lower left hand footer. For placement in transcripts, see [paragraph 94](#).



Section 1.  
Table of Contents

ARV-ATCT-0004  
N1234A



**d. 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 following paragraph 82c. The Table of Contents should list only those items included in the package.

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.	FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)
SECTION 3.	Normal Service Statements and Certified Indexes
SECTION 4.	FAA Form 7230-4, Daily Record of Facility Operation
SECTION 5.	Personnel Log
SECTION 6.	FAA Form 7230-10, Position Logs or Automated Equivalent
SECTION 7.	Facility Layout Chart
SECTION 8.	Airport Diagram
SECTION 9.	Flight Progress Strip
SECTION 10.	Transcriptions of Voice Recordings
SECTION 11.	FAA Form 8020-3, Facility Accident/Incident Notification Record
SECTION 12.	FAA Form 8020-26, Personnel Statements
SECTION 13.	Weather Products
SECTION 14.	Non-published NOTAMs
SECTION 15.	FAA Form 7233-2, Preflight Briefing Log
SECTION 16.	FAA Form 7233-1, Flight Plan
SECTION 17.	Other





**Table of Contents**

SECTION 1.	Table of Contents
SECTION 2.	FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)
SECTION 3.	Normal Service Statements and Certified Indexes
SECTION 4.	FAA Form 7230-4, Daily Record of Facility Operation
SECTION 5.	Personnel Log
SECTION 6.	FAA Form 7230-10, Position Logs
SECTION 7.	Facility Layout Chart
SECTION 8.	Airport Diagram
SECTION 9.	Flight Progress Strip
SECTION 10.	Transcriptions of Voice Recordings
SECTION 11.	FAA Form 8020-3, Facility Accident/Incident Notification Record
SECTION 12.	FAA Form 8020-26, Personnel Statements
SECTION 13.	Weather Products

ARV-ATCT-0004  
N1234A



Section 2.  
FAA Form 8020-6, Report of Aircraft Accident,  
and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)

ARV-ATCT-0004  
N1234A



**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.

**Block 1. Aircraft identification and type.** If more than one aircraft is involved, list one aircraft identification and type in Block 1. List the additional aircraft information on the 8020-6-1. If there are more than two aircraft, list each additional aircraft's information on the 8020-6-1.

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

**NAME OF REPORTING FACILITY.** Facility name, the facility type (ATCT, FSS, etc.), then the three letter identifier in parenthesis. Example: Airville ATCT (ARV), Bridgeport FCFSS (BDR), Hartford FCT (HFD).

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

**NATURE OF ACCIDENT.** A brief factual 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 type of flight plan on which the aircraft was operating. Examples: VFR, IFR, SVFR, DVFR, or no flight plan.

**FLIGHTCREW.** If known, enter the name of each flightcrew member, his or her position (examples: pilot, flight engineer, flight attendant), address (City and State only), and extent of injury (uninjured, injured, fatality, unknown). Give extent of injuries as known at time of report preparation.

**PASSENGER DATA.** If known, include number aboard aircraft, number uninjured, number injured, and number fatalities. 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. 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.

**NOTE-**

*Pilot reports should be in the Weather Products section.*



**AIR TRAFFIC PERSONNEL INVOLVED.** List the names of personnel involved (i.e., first, middle initial, last) (described in paragraph 90b(13)(a)) in chronological order. Personnel at facilities providing normal service statements are not listed in this section. 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 Block 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.

**NOTE-**

*All personnel listed in this section must also have a personnel statement in the accident package.*

**SIGNATURE OF FACILITY MANAGER.** The facility manager or the acting facility manager must sign this block.



 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION  <b>REPORT OF AIRCRAFT ACCIDENT</b>		Report Date: April 29, 2010	Report Number: ARV-ATCT-0004				
		Name of Reporting Facility: Airville ATCT (ARV)					
1. Aircraft Identification and Type: N1234A, BE35		2. Date/Time of Accident (GMT): April 01, 2010; 1832 UTC					
		3. Location of Accident: Airville, AR, 1500 feet southwest from approach end of runway four					
4. Nature of Accident: Crashed on final approach		5. Type of Flight: Cross country flight – IFR Flight Plan					
6. Flight Crew	Name	Position	Address (City and State)	Uninjured	Injured	Fatality	Unknown
	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 3	Number Uninjured 1	Number Injured 2	Number Fatalities 0	
8. Aircraft Damage: Destroyed			9. Property Damage: Utility Power Pole damaged				
10. Operating Status of Navigational Aids/Lights/Communications: Normal							
11. Weather Data	Conditions in Accident Area at Time of Accident: Airville SPECI – 1320 CDT: wind zero three zero at seven knots, visibility one statute mile, light snow showers, ceiling one thousand overcast, altimeter three zero zero seven						
	Report Just Prior to Accident: Airville METAR Automated – 1253 CDT: wind zero one zero at one zero knots, visibility two and one half statute miles, snow, ceiling two thousand broken, two thousand eight hundred broken, four thousand one hundred overcast, temperature minus four, dew point minus eight, altimeter three zero two six					Date 4/1/2010	Time 1753 UTC
	First Report Subsequent to Accident: Airville METAR Automated – 1353 CDT: wind zero one zero at one zero knots, visibility two and one half statute miles, snow, ceiling two thousand broken, two thousand eight hundred broken, four thousand one hundred overcast, temperature minus four, dew point minus eight, altimeter three zero two six					Date 4/1/2010	Time 1853 UTC
12. ATS Personnel Involved	Name	Facility	Operating Position		Check If Eyewitness		
	Jimmy Morin *(TK)	ARV ATCT	AR AR				
	Sela Colby-King (SK)	ARV ATCT	LOCAL LC		X		
*Operating Initials							
13. Signature of Facility Manager   Evan Ketchock							





**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 aid, 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 sheet(s) 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 Block.

***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



 <b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION</b> <b>REPORT OF AIRCRAFT ACCIDENT</b> <small>(Continuation Sheet)</small>	REPORT DATE <b>April 10, 2010</b>	REPORT NO. <b>ARV-ATCT-0004</b>
	NAME OF REPORTING FACILITY <b>Fort Worth ARTCC (ZFW)</b>	

14. CHRONOLOGICAL SUMMARY OF FLIGHT


April 1, 2010

ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME  
UNLESS OTHERWISE SPECIFIED

- 1628 The pilot of N1234A called the Flyway FSS by radio requesting 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 without incident or comment from the pilot.
- 1755 N1234A was handed off from Fort Worth ARTCC to the Memphis ARTCC.

No More Follows



 <b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION</b> <b>REPORT OF AIRCRAFT ACCIDENT</b> <small>(Continuation Sheet)</small>	REPORT DATE <b>April 10, 2010</b>	REPORT NO. <b>ARV-ATCT-0004</b>
	NAME OF REPORTING FACILITY <b>Memphis ARTCC (ZME)</b>	

14. CHRONOLOGICAL SUMMARY OF FLIGHT

April 1, 2010

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



 <b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION</b> <b>REPORT OF AIRCRAFT ACCIDENT</b> (Continuation Sheet)	REPORT DATE <b>April 30, 2010</b>	REPORT NO. <b>ARV-ATCT-0004</b>
	NAME OF REPORTING FACILITY <b>Airville ATCT (ARV)</b>	

14. CHRONOLOGICAL SUMMARY OF FLIGHT

April 1, 2010

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





Section 3.  
Normal Services Statement and Certified Indexes

ARV-ATCT-0004  
N1234A



**g. Normal Service Statement(s) (paragraph 81 and paragraph 82c(4)).**

Facilities that provided normal services to the subject aircraft are those that did not have control over the aircraft just prior to or at the time of the accident, or have pertinent transmissions with the subject aircraft. After coordination with the facility responsible for preparing the aircraft accident file (see paragraph 70), these supporting facilities must submit a normal service statement. Forward the original document and retain a copy.

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.

Supporting facilities providing normal services shall forward Normal Service Statement Memorandum, FAA Form 8020-6-1, and Certified Index to the facility holding the accident package.

***NOTE-***

*The Normal Service Statement Memorandum that is sent to the facility preparing the accident package will have the 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.*

Facilities providing normal service statements are required to retain all pertinent documentation (see paragraph 71c(6)).





## Federal Aviation Administration

---

---

# Memorandum

Date: April 10, 2010

To: Airville Airport Traffic Control Tower

From: *Leonard Davis*  
Leonard Davis, Manager, Fort Worth Air Route Traffic Control Center

Subject: **INFORMATION:** Normal Service Statement  
Aircraft Accident, N1234A  
Airville, AR, April 1, 2010

---

---

All services provided by the Fort Worth Air Route Traffic Control Center were normal, and there were no pertinent transmissions.

Attachments

ARV-ATCT-0004  
N1234A



**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, but not be limited to, radar and computer data and voice recordings being retained as a result of the accident. The Certified Index must be signed by the facility manager or acting facility manager using the following format:

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

The certification signature must be the same as the typed name. Do not use "for" to sign as the certifier. The signature must be over his/her typed name, title, and name of facility.

Certified Indexes must be on plain paper listing each document being held by the facility to support a normal service statement and include the date the Certified Index was signed.





CERTIFIED INDEX

April 10, 2010

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 copies Voice Recording(s) on cassette  
Facility Layout Chart  
Airport Diagram  
Flight Progress Strip  
Transcription of Voice Recording  
NTAP  
DART



Leonard Davis  
Manager, Fort Worth ARTCC

ARV-ATCT-0004  
N1234A





## Federal Aviation Administration

---

---

# Memorandum

Date: April 10, 2010

To: Airville Airport Traffic Control Tower  
*Carol J. Biggio*

From: Carol J. Biggio, Manager, Memphis Air Route Traffic Control Center

Subject: **INFORMATION:** Normal Service Statement  
Aircraft Accident, N1234A  
Airville, AR, April 1, 2010

---

---

All services provided by the Memphis Air Route Traffic Control Center were normal, and there were no pertinent transmissions.

Attachments

ARV-ATCT-0004  
N1234A

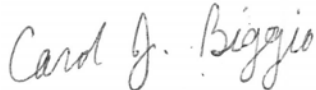


CERTIFIED INDEX

April 10, 2010

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 copies Voice Recording(s)  
NTAP  
DART  
Satori playback file  
System Analysis Recording (SAR) and Display System Replacement (DSR) data



Carol J. Biggio  
Manager, Memphis ARTCC

ARV-ATCT-0004  
N1234A



CERTIFIED INDEX

April 28, 2010

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  
FAA Form 8020-6-1  
FAA Form 8020-9  
FAA Form 8020-3  
FAA Form 8020-26  
Personnel Logs  
Original Voice Recordings  
Certified copies Voice Recordings  
Facility Layout Chart  
Airport Diagram  
Flight Progress Strip  
Transcriptions of Voice Recordings  
CDR Time Selected Output (CDTSO) data



Evan Ketchock  
Manager, Airville ATCT

ARV-ATCT-0004  
N1234A





Section 4.  
FAA Form 7230-4, Daily Record of Facility Operations

ARV-ATCT-0004  
N1234A





**i. FAA Form 7230-4, Daily Record of Facility Operation (paragraph 82c(5) and FAA Order JO 7210.3).**

Include a copy of FAA Form 7230-4. Include FAA Form 7230-4 from the date of the accident and the date it was reported, if different. 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, Block 10.

The aircraft accident must be annotated in the remarks section by the facility receiving initial notification of an accident.



 <b>Daily Record of Facility Operation</b>				Page No. <b>1</b>
U.S. Department of Transportation Federal Aviation Administration				Date <b>04/01/10</b>
Location	Identification	Type Facility	Operating Position	Checked By <b>MS</b>
Airville, AR	ARV	ATCT	ALL	Air Traffic Manager <b>Evan Ketchock</b>
Time (UTC)	REMARKS			
1000 1010 1200 1215 1330 1400 1407 1832 1835 1930 2125 0459	L. Lord on. Carryover from previous log: RWY 22 VASI OTS. WCLC. G. Olson on, above noted. WCLC. RWY 22 VASI RTS. S. Berger on, above noted. WCLC. Aircraft accident N1234A BE35. Runway 4 closed to arrivals, available only for departures. ACN G. Olson on, above noted. Review of air traffic service on N1234A complete. RWY 4 open to arrivals, normal operations. ACN COB.			
<i>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.</i>				
Watch Supervisor(s) Signature		Watch Supervisor(s) Signature		Watch Supervisor(s) Signature
				



Section 5.  
Personnel Log

ARV-ATCT-0004  
N1234A





**j. Personnel Logs (paragraph 82c(6)).**

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](#)) with the subject aircraft. Use of the ATO Portal is recommended; however, facilities utilizing Cru-ART are required to include a memorandum listing those employees on Regular Days Off (RDO). Contract facilities include their equivalent sign in/out personnel logs.

Unless requested by the FAA Accident Investigation Division, the Litigation Liaison Office, or a competent authority, all classified or security sensitive information and/or documentation; and information protected under the Privacy Act, 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 (i.e., the type of leave taken, not the fact that leave was taken; etc.). Only the original air traffic accident file and/or package at the originating air traffic facility will retain the original information and/or documentation.

Be sure to identify the facility.



Example of Portal Document

PERSONNEL LOG		REGION		FACILITY		AREA ID			DATE		
		AAC		ARV		OPERATIONS			MONTH: APR	DAY: 01	YEAR: 2010
NAME	CODE	TIME ON	TIME OFF	HOURS ON DUTY	HOURS ON LEAVE	LEAVE TYPE	HOURS NON POSITION DUTIES ASGNDE	HOURS POSITION DUTIES ASGNDE	REMARKS FOR: ALL ABSENCES FROM FACILITY, TRNG, TDY AND NON POSITIONAL DUTIES		
WALKER, SHIRLEY (SW) 05:00 - 13:00	R	05:00	13:00	08+00			00+23	04+21			
PALMER, RAYMOND (RP) 05:00 - 13:00	R	05:00	13:00	08+00			01+05	04+52			
BEAUDOIN, DIEDRE (DB) 05:15 - 13:15	R	05:15	13:15	08+00			01+11	04+59			
LORD, LOU (IM) 05:00 - 13:00	R	05:00	13:00	08+00			01+36	04+25			
OLSON, GEORGE (DO) 07:00 - 15:00	R	07:00	19:00	14+00			01+38	09+40			
BERGER, SWEN (SB) 09:00 - 17:00	R	09:00	17:00	08+00			01+00	06+00			
MORIN, JIMMY (TK) 10:00 - 18:00	R	10:00	18:00	08+00			00+31	05+25			
COLBY-KING, SELA (SK) 10:00 - 18:00	R	10:00	18:00	08+00			00+45	05+27			
TORGERSON, DALE (DT) 11:00 - 19:00	R	11:00	19:00	08+00			00+30	06+02			
SCOGS, MARK (MS) 11:00 - 19:00					08+00	Leave	00+00	00+00			
MIGHT, CHERYL (CM) RDO											
BOGGAN, LYNNETE (LB) RDO											
YARBER, ANNE (KK) RDO											
ALAWAEN, AMY (AA) RDO											
CHARLES, MARE (CC) RDO											
SUPERVISORY CERTIFICATE	NAME	CODE	TIME ON	TIME OFF	INTLS	NAME	CODE	TIME ON	TIME OFF	INTLS	

THE SIGNATURES ABOVE CERTIFY THAT THE ABOVE ENTRIES ARE CORRECT (Signatures and times in charge are noted on FAA Form 7230-4, Daily Record of Facility Operation)

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

ARV-ATCT-0004  
N1234A



Example of original document.

## ART - Sign On Log

4/1/2010 1:33:00 PM

ARV

Selected Report Dates: 3/31/2010 10:00:00 PM – 4/1/2010 10:00:00 PM

OPINIT	NAME	SHIFT/TYPE	SIGN-IN	SIGN-OUT	LV	OJT	CIC	TOS
SW	WALKER, SHIRLEY <b>REMARKS</b>	05:00-13:00/R	05:00:00	13:00:00				
RP	PALMER, RAYMOND <b>REMARKS</b>	05:00-13:00/R	05:00:00	13:00:00				
IM	LORD, LOU <b>REMARKS</b>	05:00-13:00/R	05:00:00	13:00:00				
DB	BEAUDOIN, DIEDRE <b>REMARKS</b>	05:15-13:15/R	05:15:00	13:15:00				
DO	OLSON, GEORGE <b>REMARKS</b>	07:00-15:00/R	07:00:00	19:00:00				4+00
SB	BERGER, SWEN <b>REMARKS</b>	09:00-17:00/R	09:00:00	17:00:00				
TK	JIMMY, MORIN <b>REMARKS</b>	10:00-18:00/R	10:00:00	18:00:00				
SK	COLBY-KING, SELA <b>REMARKS</b>	10:00-18:00/R	10:00:00	18:00:00				
DT	TORGERSON, DALE <b>REMARKS</b>	11:00-19:00/R	11:00:00	19:00:00				
MS	SCOGS, MARK <b>REMARKS</b>							8+00

ARV-ATCT-0004  
N1234V



Example of RDO Memo



## Federal Aviation Administration

---

---

# Memorandum

Date: April 3, 2010  
To: Aircraft Accident File ARV-ATCT-0004

*Evan Ketchock*

From: Evan Ketchock, Manager

Subject: Personnel Log Amendment,  
Aircraft Accident, N1234A  
Airville, AR, April 1, 2010

---

---

I certify that the following personnel were not scheduled to work on April 1, 2010:

Cheryl Might  
Lynette Boggan  
Anne Yarber  
Amy Alaween  
Mare Charles

ARV-ATCT-0004  
N1234A





Section 6.  
FAA Form 7230-10, Position Logs  
Or Electronic Equivalent

ARV-ATCT-0004  
N1234A



**k. FAA Form 7230-10, Position Logs (or automated equivalent) (paragraph 82c(7)).**

Tower or combined tower/TRACON and FSS or FCFSS 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, regardless if staffed or not, of every area of specialization having contact with the aircraft.

If hand-written logs are utilized in the facility, do not re-write for clarity.

If necessary, attach to plain paper to reproduce.

Arrange forms in the chronological order of participation.

Be sure that the facility name and date are completed at the top of the form.



<b>POSITION LOG</b>					
(1) FACILITY ID	(2) POSITION IDENTIFIER		(3) POS	(4) DATE	
ARV	FD		FD	04/01/2010	
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0500		0959		CLOSED	
1000		0459		CD	CD
<b>CODE:</b> <b>C</b> – ATCS/ATA <b>S</b> – Supervisor/Staff Spec <b>T</b> – Trainee/Developmental <b>M</b> – Trainee/Developmental Monitoring <b>R</b> – Trainee/Developmental Certification/ Evaluation					

<b>POSITION LOG</b>					
(1) FACILITY ID	(2) POSITION IDENTIFIER		(3) POS	(4) DATE	
ARV	CD		CD	04/01/2010	
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0500		0959		CLOSED	
1000		1700		GC	GC
1701	SW	1855	C		
1856		0459		GC	GC
<b>CODE:</b> <b>C</b> – ATCS/ATA <b>S</b> – Supervisor/Staff Spec <b>T</b> – Trainee/Developmental <b>M</b> – Trainee/Developmental Monitoring <b>R</b> – Trainee/Developmental Certification/ Evaluation					

ARV-ATCT-0004  
N1234A



POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER		(3) POS	(4) DATE	
ARV	CC		CC	04/01/2010	
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0500		0959		CLOSED	
1000	IM	0459	S		
1200	DO	1359	S		
1400	SB	1929	S		
1930	DO	2359	S		
0000		0459		CLOSED	
<b>CODE:</b> <b>C</b> – ATCS/ATA <b>S</b> – Supervisor/Staff Spec <b>T</b> – Trainee/Developmental <b>M</b> – Trainee/Developmental Monitoring <b>R</b> – Trainee/Developmental Certification/ Evaluation					

POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER		(3) POS	(4) DATE	
ARV	AR		AR	04/01/2010	
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0500		0959		CLOSED	
1000	RP	1304	C		
1305	DB	1628	C		
1629	RP	1759	C		
1800	TK	2209	C		
2210	SK	2259	C		
2300		0459		CLOSED	
<b>CODE:</b> <b>C</b> – ATCS/ATA <b>S</b> – Supervisor/Staff Spec <b>T</b> – Trainee/Developmental <b>M</b> – Trainee/Developmental Monitoring <b>R</b> – Trainee/Developmental Certification/ Evaluation					

ARV-ATCT-0004  
N1234A





POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER		(3) POS	(4) DATE	
ARV	LOCAL		LC	04/01/2010	
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0500		0959		CLOSED	
1000	SW	1455	C		
1456	RP	1559	C		
1600	SB	1815	S		
1816	SK	2159	C		
2200	DT	2359	C		
0000		0459		CLOSED	
<b>CODE:</b> <b>C</b> – ATCS/ATA <b>S</b> – Supervisor/Staff Spec <b>T</b> – Trainee/Developmental <b>M</b> – Trainee/Developmental Monitoring <b>R</b> – Trainee/Developmental Certification/ Evaluation					

POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER		(3) POS	(4) DATE	
ARV	GC		GC	04/01/2010	
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0500		0959		CLOSED	
1000	SW	1659	C		
1700	DB	2222	C		
2223	TK	2359	C		
0000		0459		CLOSED	
<b>CODE:</b> <b>C</b> – ATCS/ATA <b>S</b> – Supervisor/Staff Spec <b>T</b> – Trainee/Developmental <b>M</b> – Trainee/Developmental Monitoring <b>R</b> – Trainee/Developmental Certification/ Evaluation					

ARV-ATCT-0004  
N1234A



<b>POSITION LOG</b>					
(1) FACILITY ID	(2) POSITION IDENTIFIER		(3) POS	(4) DATE	
ARV	DR		DR	04/01/2010	
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0500		0959		CLOSED	
1000	SW	1722	C		
1723	IM	1759	S		
1800	DO	1929	S		
1930	SB	2159	C		
2200	DT	2359	C		
0000		0459		CLOSED	
<b>CODE:</b> <b>C</b> – ATCS/ATA <b>S</b> – Supervisor/Staff Spec <b>T</b> – Trainee/Developmental <b>M</b> – Trainee/Developmental Monitoring <b>R</b> – Trainee/Developmental Certification/Evaluation					

ARV-ATCT-0004  
N1234A



Section 7.  
Facility Layout Chart

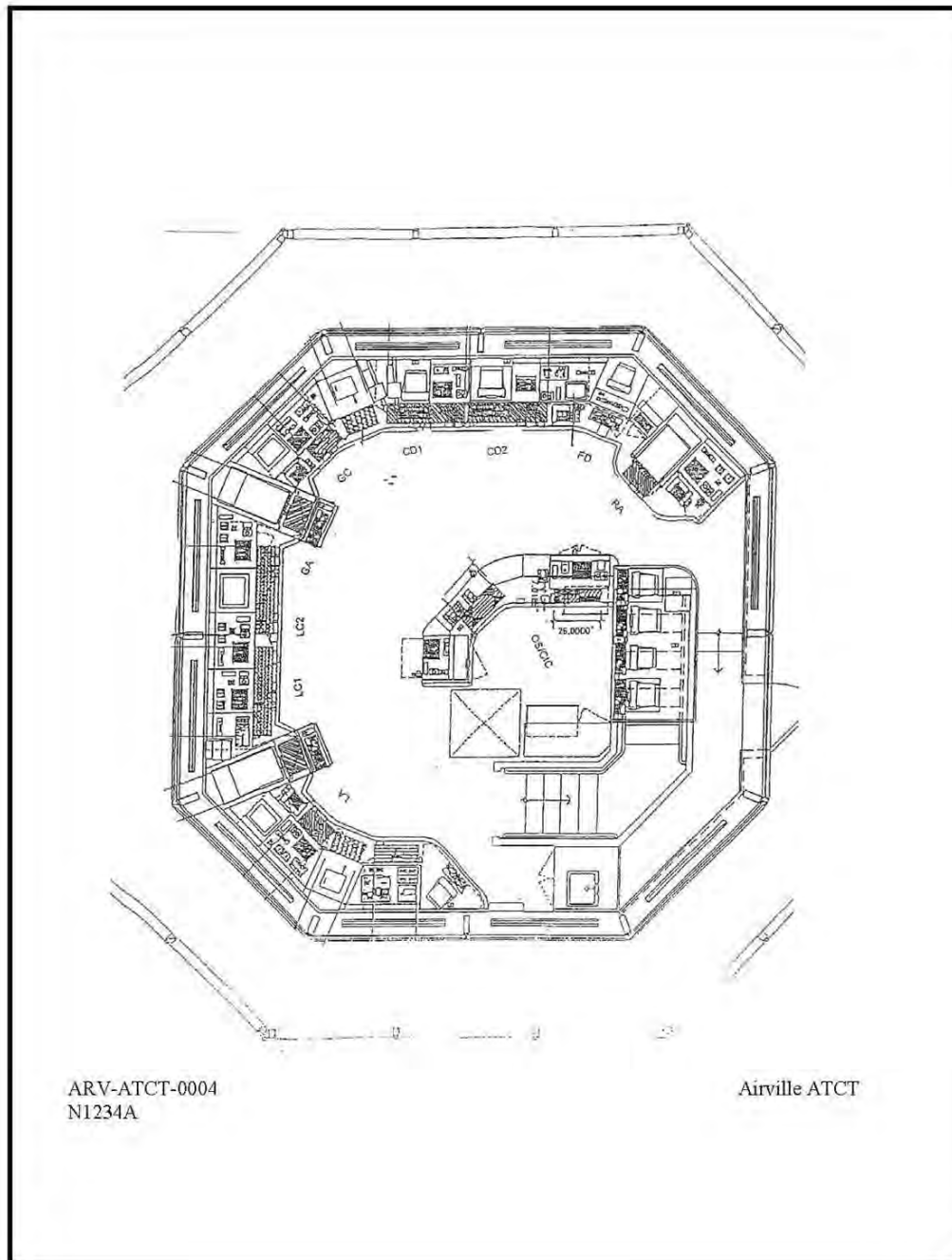
ARV-ATCT-0004  
N1234A



**I. 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 that is being depicted.

If positions of operation are identified using a legend, be sure and include the legend with the facility layout chart.







Section 8.  
Airport Diagram

ARV-ATCT-0004  
N1234A



**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.

Printed or copied diagrams are considered “Not to Scale,” so the statement “This diagram is not to scale” must be included.

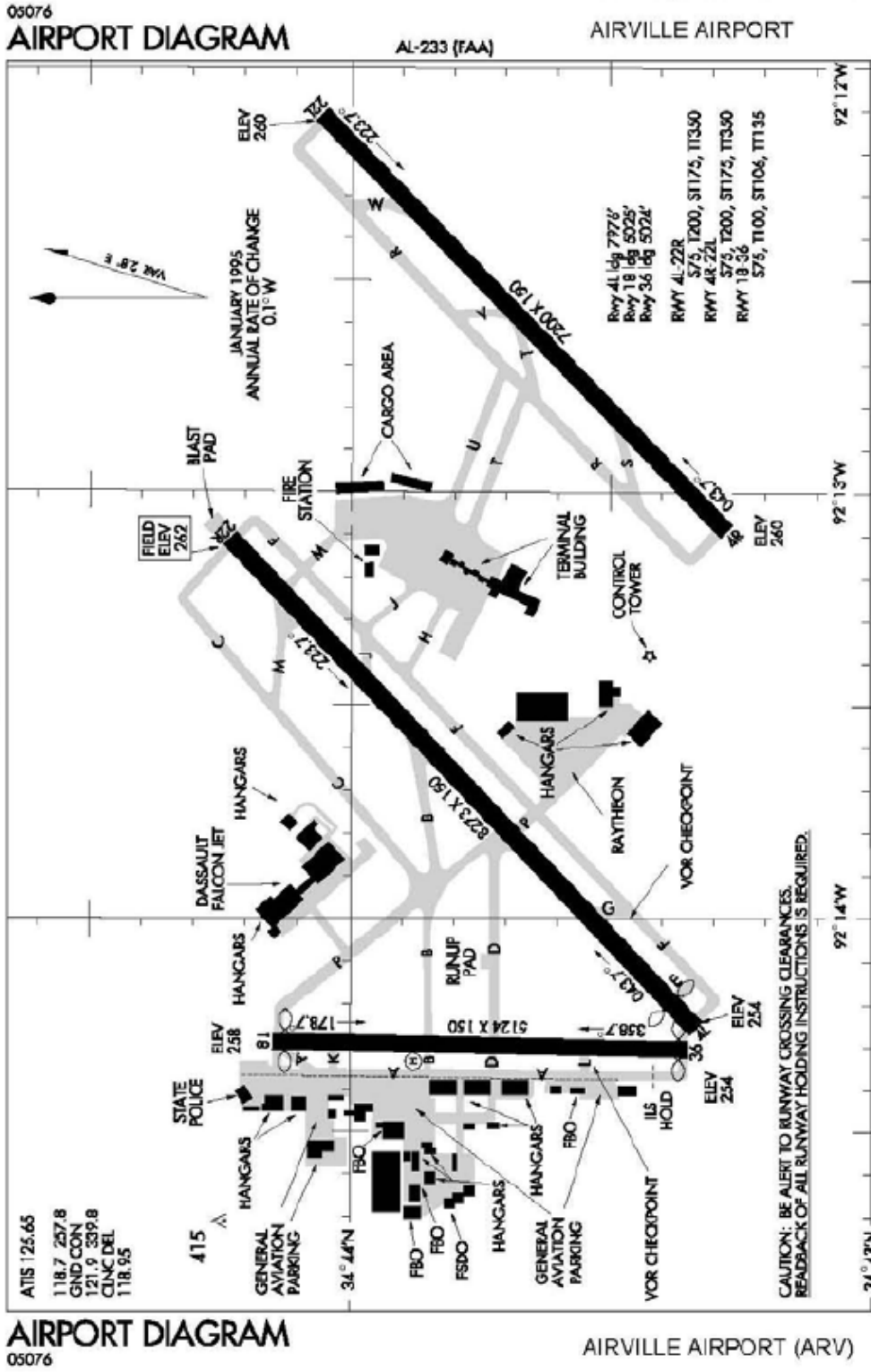
Copies of these may be obtained from:

The Airport Facility Directory

[www.airnav.com](http://www.airnav.com)

<http://naco.faa.gov>





SC-1,14 APR 2005



Section 9.  
Flight Progress Strip

ARV-ATCT-0004  
N1234A





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

Attach flight progress strips to plain paper for reproducing.

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

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

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



N1234A	4551	A1645	IFR <del>20</del> 30			
BE35/U	PHK		ARV R			
175	XYZ					

ARV-ATCT-0004  
N1234A



Section 10.  
Transcription of Voice Recordings

ARV-ATCT-0004  
N1234A



**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 (FCFs 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)."

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 of facilities, position(s), and/or aircraft making transmissions and using the standard abbreviation for each. These must be listed in chronological order. Air carrier flights must be indicated by the company designator and the flight number.

Certification by the person making the transcription is as follows: "I certify that the following is a true transcription of the recorded conversations pertaining to the subject (aircraft accident, near midair collision, etc.) involving (aircraft identification)."

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. 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 directly above and below the grouped minutes.

The transcription must be written in 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.) and indicate proper meaning and spelling (example: pilot's discretion). Spell all numbers out exactly as spoken. If a portion of the recording is unintelligible, insert the word 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 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"

After the first page, 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.







ARV-ATCT-0004  
N1234A

Page 2 of 2

		three thousand
1821:34	A/C	november one two three four alfa roger i'm out of seven thousand
1822 (1823-1824)		
1825		
1825:07	UNKN	(unintelligible)
1825:10	A/C	local
1825:15	LC	go ahead
1825:20	A/C	inbound november one two three four alfa is a 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 alfa cleared for i l s approach runway four
1827:41	N1234A	november one two three four alfa roger
1828		
1829		
1829:15	A/C	november one two three four alfa contact tower on one one eight point niner five
1829:26	N1234A	november one two three four alfa roger one one eight point niner five
1830 (1831-1834)		
1835		

End of Transcript

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



## Federal Aviation Administration

---



---

### Memorandum

Date: April 29, 2010  
 To: Aircraft Accident File ARV-ATCT-0004  
 From: Airville Airport Traffic Control Tower  
 Subject: **INFORMATION:** Partial Transcript  
 Aircraft Accident, N1234A  
 Airville, AR, April 01, 2010

---



---

This transcription covers the Airville Airport Traffic Control Tower (ATCT) LOCAL LC position for the time period from April 01, 2010, 1820 UTC, to April 01, 2010, 1838 UTC.

<u>Agencies Making Transmissions</u>	<u>Abbreviations</u>
Airville, ATCT, Approach Control	A/C
Airville, ATCT, Local Control	LC
BE35, N1234A	N1234A
Unknown	UNKN

I certify that the following is a true transcription of the recorded conversations pertaining to the subject aircraft accident involving N1234A.

*Swen Berger*

Swen Berger  
 Support Specialist  
 Airville ATCT

1820  
 (1821-1824)

1825

1825:10          A/C                  local

1825:15          LC                    go ahead

1825:20          A/C                  inbound november one two three four alfa is a 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

ARV-ATCT-0004  
N1234A

Page 2 of 2

(1827-1828)

1829

1829:40      N1234A      (unintelligible) tower this is bonanza one two  
three four alfa over the outer marker \*(now)

1829:46

LC

bonanza one two three four alfa airville tower roger  
cleared to land runway four airville weather measured ceiling one thousand overcast  
visibility one light snow showers wind  
zero three zero at seven altimeter three zero zero seven

1829:59

UNKN

roger---roger

1831

1832

1832:10

LC

bonanza one two three four alfa airville

1833

(1834-1837)

1838

End of Transcript

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

Section 11.  
FAA Form 8020-3, Facility Accident/Incident Notification Record

ARV-ATCT-0004  
N1234A



**p. FAA Form 8020-3, Facility Accident/Incident Notification Record (paragraph 65b and paragraph 82c(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 the FAA Accident Investigation Division, the Litigation Liaison Office, 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.


The example on the following page is an example of how FAA Form 8020-3 would look in the original, and only the original, air traffic aircraft accident package. The subsequent redacted example shows how FAA Form 8020-3 would look in every copy of the air traffic aircraft accident package.

If the Form does not have enough lines for contact numbers, a second page continuing the contact numbers may be attached.






Example of original document.

 <b>FACILITY ACCIDENT/INCIDENT NOTIFICATION RECORD</b>			Aircraft Identification N1234A	
			Date 4/1/2010	
			Airport Airville	
The order and number of call will be determined by the situation involved.				
	Phone No.	Time	Initials	
			Caller	Recipient
Airport Emergency Equipment	555-1212	1832	SB	DT
Additional Emergency Equipment				
Search and Rescue				
*Washington Operations Center (WOC)	(202) 267-3333	1835	SB	RQ
Region Operations Center (ROC)	(817) 555-1919	1835	SB	by RQ
Domestic Events Network (DEN)				
Air Traffic Manager	555-2345	1839	SB	Roy
Flight Standards District Office (FSDO)	(817) 555-9999	1847	SB	BT
System Safety Investigations				
National Transportation Safety Board (NTSB)				
System Maintenance Organization Manager	555-8309	1858	SB	FS
Law Enforcement	555-1321	1838	SB	J. PEEL
National Weather Service (NWS)	(817) 555-2501	1849	SB	AN
Military Authority	555-1300			
Airport Authority	555-9343	1838	SB	TR
Aircraft Operator				
Operational Control Center (OCC)				
Form Updated by (Name, Title, Facility): Swen Berger, Support Specialist, Airville ATCT			Date: 07/22/09	
* Accidents requiring telephone notification to Washington shall be made immediately following notification for emergency equipment and/or search and rescue.				

ARV-ATCT-004  
N1234A



Example of redacted document. (Redact only home, personal cell or classified numbers.)

 <b>FACILITY ACCIDENT/INCIDENT NOTIFICATION RECORD</b>			Aircraft Identification N1234A	
			Date 4/1/2010	
			Airport Airville	
The order and number of call will be determined by the situation involved.				
	Phone No.	Time	Initials	
			Caller	Recipient
Airport Emergency Equipment	555-1212	1832	SB	DT
Additional Emergency Equipment				
Search and Rescue				
*Washington Operations Center (WOC)	(202) 267-3333	1835	SB	RQ
Region Operations Center (ROC)	(817) 555-1919	1835	SB	by RQ
Domestic Events Network (DEN)	██████████			
Air Traffic Manager	██████████	1839	SB	Roy
Flight Standards District Office (FSDO)	(817) 555-9999	1847	SB	BT
System Safety Investigations				
National Transportation Safety Board (NTSB)				
System Maintenance Organization Manager	555-8309	1858	SB	FS
Law Enforcement	██████████	1838	SB	J. PEEL
National Weather Service (NWS)	(817) 555-2501	1849	SB	AN
Military Authority	555-1300			
Airport Authority	555-9343	1838	SB	TR
Aircraft Operator				
Operational Control Center (OCC)				
Form Updated by (Name, Title, Facility): Swen Berger, Support Specialist, Airville ATCT			Date: 07/22/10	
* Accidents requiring telephone notification to Washington shall be made immediately following notification for emergency equipment and/or search and rescue.				

ARV-ATCT-004  
N1234A



Section 12.  
FAA Form 8020-26, Personnel Statement

ARV-ATCT-0004  
N1234A



**q. 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 choose to have items 1 through 8 completed for the witness prior to providing to the witness for completion. If the facility chooses to complete these items in advance, it is mandatory that these items be reviewed with the witness prior to the form being signed.

The text of the personal statement (Item 10) 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 (for example, 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.** Nearest City, State.

**Date/Time of Accident/Incident** (UTC).

**NAME.** Witnesses' name (i.e., first, middle initial, last) and, in parentheses, his or her operating initials.

**TITLE.** Title of the witness (ATCS, SATCS, ATA).

**POSITION AND TIME** (UTC). Must match FAA Form 7230-10 or automated equivalent (for example, LCI, 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.

The "No Comment" box may only be used for aircraft accidents. Aircraft incidents, such as a Pilot Deviation require a personnel statement to be completed.


**ORIGINAL/SUPPLEMENTAL.** Self-explanatory.

**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.





 <b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION PERSONNEL STATEMENT</b>		1. Name of Reporting Facility: Airville ATCT	2. Report Number: ARV-ATCT-0004
		3. Aircraft Identification and Type: N1234A, BE35	
4. Location of Accident/Incident: Airville, AR		5. Date/Time of Accident/Incident (UTC): April 01, 2010, 1832 UTC	
6. Name (Operating Initials): Jimmy Morin (TK)	7. Title: ATCS	8. Position and Time (UTC): AR AR 1800-2209 UTC	
<p>9. Complete in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, Paragraph 91, FAA Form 8020-26, Personnel Statements. The 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.</p>			
<p>10. Text of Statement: <span style="float: right;"><input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> SUPPLEMENTAL</span></p> <p style="text-align: center;"><input checked="" type="checkbox"/> COMMENT <input type="checkbox"/> NO COMMENT</p> <p>I received a handoff 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 the instructions to contact the local controller.</p>			
11. Signature of Witness: <i>Jimmy Morin</i>		12. Date of Signature: <i>April 1, 2010</i>	



 <b>DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION PERSONNEL STATEMENT</b>		1. Name of Reporting Facility: Airville ATCT	2. Report Number: ARV-ATCT-0004
		3. Aircraft Identification and Type: N1234A, BE35	
4. Location of Accident/Incident: Airville, AR		5. Date/Time of Accident/Incident (UTC): April 01, 2010, 1832 UTC	
6. Name (Operating Initials): Sela Colby-King (SK)	7. Title: ATCS	8. Position and Time (UTC): LOCAL LC 1816-2159 UTC	
<p>9. Complete in accordance with FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, Paragraph 91, FAA Form 8020-26, Personnel Statements. The 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.</p>			
<p>10. Text of Statement: <span style="float: right;"><input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> SUPPLEMENTAL</span></p> <p style="text-align: center;"><input checked="" type="checkbox"/> COMMENT <input type="checkbox"/> NO COMMENT</p> <p><i>Radar approach control coordinated with me on the arrival of N1234A. I was given the information that N1234A was a Bonanza and would be on an ILS approach and that the aircraft would be over the outer marker at about 1820 UTC. At 1829 UTC, N1234A called me over the outer marker, and I issued the 1220 CDT 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 front line manager.</i></p>			
11. Signature of Witness: <i>Sela Colby-King</i>		12. Date of Signature: <i>April 1, 2010</i>	



Section 13.  
Weather Products

ARV-ATCT-0004  
N1234A



**r. Weather Products (paragraph 82c(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 to the aircraft accident/incident and/or available to the facility (regardless if issued to the flightcrew) and the source of the weather. This includes, but is not limited, to PIREPs, SIGMETs, AIRMETs, and weather-related NOTAMs. Certified weather may be obtained from the National Climatic Data Center. In Alaska, FAA air traffic facilities may also obtain certified weather for inclusion in a formal accident file from an associated FSS.

AIS-R 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 the attached copy of the (weather product(s)) originated from (state the source) is an accurate copy of the original."

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

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

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

"I certify the attached copy of the (weather product(s)) originated from the (state the source) (example, "Memphis Center Weather Service Unit") is an accurate copy of the original."

NEXRAD or similar weather presentations.

"I certify the attached chart is an accurate reproduction of NEXRAD information displayed on (type of equipment or display) at the (facility) on (date)."

Air traffic facilities that do not take weather observations must obtain certified weather from the National Climatic Data Center.

The FSS and FCFSS will use their respective weather product(s) to obtain weather.

Include the facility name and date on each page.

See example on the following page.





**SIGMET #22257 MKCC WST #22255 CONVECTIVE SIGMET 53C VALID  
UNTIL #0552 AL MS LA AND MS LA CSTL MTRS FROM 30NE VUZ-50E  
NEI-30E LEV LINE TS 40 NM WIDE MOV FROM 21035KT. TOPS ABV FL450.**

**SECTOR #7**

**SIGMET #22257 MKCC WST #22255 CONVECTIVE SIGMET 54C VALID  
UNTIL #0552 TH AL MS LA FROM 40N MSL-30NNE IGB-1055E JAN-30SE  
MCB LINE SEV TS 30 NM WIDE MOV FROM 24035KT. TOPS TO FL440.  
TORNADOES...HAZL TO 1 IN...WIND GUSTS TO 80KT POSS.**

**SECTOR #7**

**SIGMET #22257 MKCC WST #22255 CONVECTIVE SIGMET 55C VALID  
UNTIL #0552 IL MO IA FROM 40NN BDF-40NNW COU LINE TS 30  
NM WIDE MOV FROM 26020KT. TOPS TO FL270.**

**SECTOR #7**

**SIGMET #22257 MKCC WST #22255 CONVECTIVE SIGMET 56C VALID  
UNTIL #0552 WI IL MO IA FROM 20NNE DBQ-40NNW IRK LINE TS  
30 NM WIDE MOV FROM 26020KT. TOPS TO FL250.**

**SECTOR #7**

I certify the attached copy of the SIGMETs originated from the Memphis Center Weather Service Unit on (date) is an accurate copy of the original.



Carol J. Biggio  
Manager, Memphis ARTCC

ARV-ATCT-0004  
N1234A



**Section 14.**

- s. **Non-published NOTAMs (paragraph 82c(15)).**

Include all non-published applicable NOTAMs.

**Section 15.**

- t. **FAA Form 7233-2, Preflight Briefing Form (or automated equivalent) (paragraph 82c(16)).**

**Section 16.**

- u. **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.

Make sure that the date the flight plan was filed is entered.

If utilizing a copy of a stored flight plan, include the facility name and date on the page.

**Section 17.**

- v. **Other (paragraph 82c(18)).**

Include in this section any pertinent data, in any form, that may be deemed pertinent.



**Appendix C. Determination of Air Traffic Facility Responsible for Final Data Collection  
Flow Chart**

<b>Responsible Facility</b>  <b>IF</b>	<b>FAA facility with jurisdiction over the flight</b>	<b>ARTCC whose area the accident occurred</b>	<b>FAA facility having communication with the aircraft</b>	<b>Last FAA facility having communication with the aircraft</b>	<b>FAA facility with RADAR responsibility over area of accident</b>	<b>Last FCF having communication with the aircraft</b>	<b>Multiple vendors; the last FCF for each vendor having communication with aircraft</b>
<b>70a(1). Aircraft on IFR flight plan under control of FAA facility</b>	<b>X</b>						
<b>70a(2). Aircraft on IFR flight plan under control of military staffed facility</b>		<b>X</b>					
<b>70a(3). Aircraft not on IFR flight plan but in communication with an FAA facility</b>			<b>X</b>				
<b>70a(4). Aircraft not in communication with an FAA facility</b>				<b>X</b>			
<b>70a(5). Other aircraft</b>					<b>X</b>		
<b>70a(6). Aircraft that have communicated exclusively with an FCF.</b>						<b>X</b>	<b>X</b>
<b>70a(7). Aircraft that have communicated with both an FAA facility and one or more FCF.</b>				<b>X</b>		<b>X</b>	<b>X</b>



### Appendix D. Cassette Tape and Computer Diskette- Recordable (CD-R) Labeling

#### Cassette Tape/CD-R Labeling (paragraph 93).

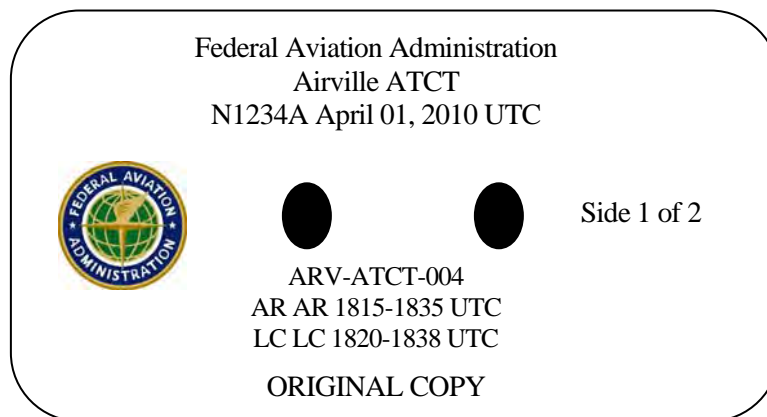
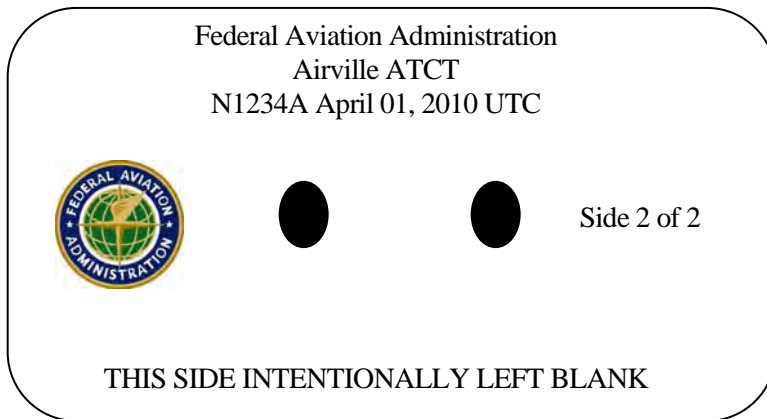
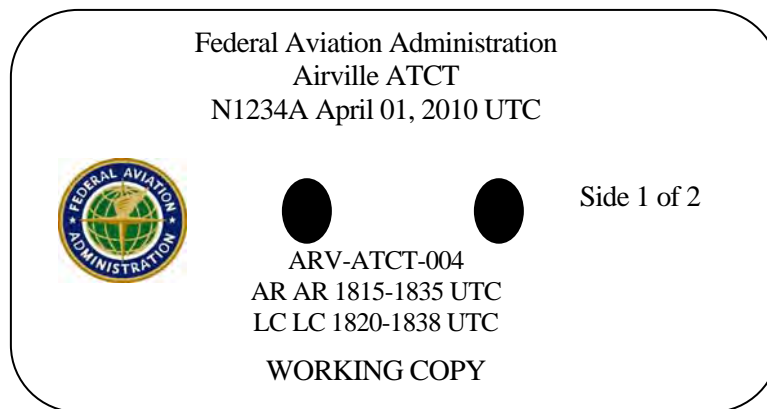
All the cassette tapes/CD-Rs on which the voice recordings are made must be marked clearly with the aircraft accident number, aircraft identification(s), the UTC date of the occurrence, facility name, and position(s) with the UTC times encompassing each recording. All cassette tapes/CD-Rs must be checked to make sure adequate quality of the voice and time channel recordings.

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

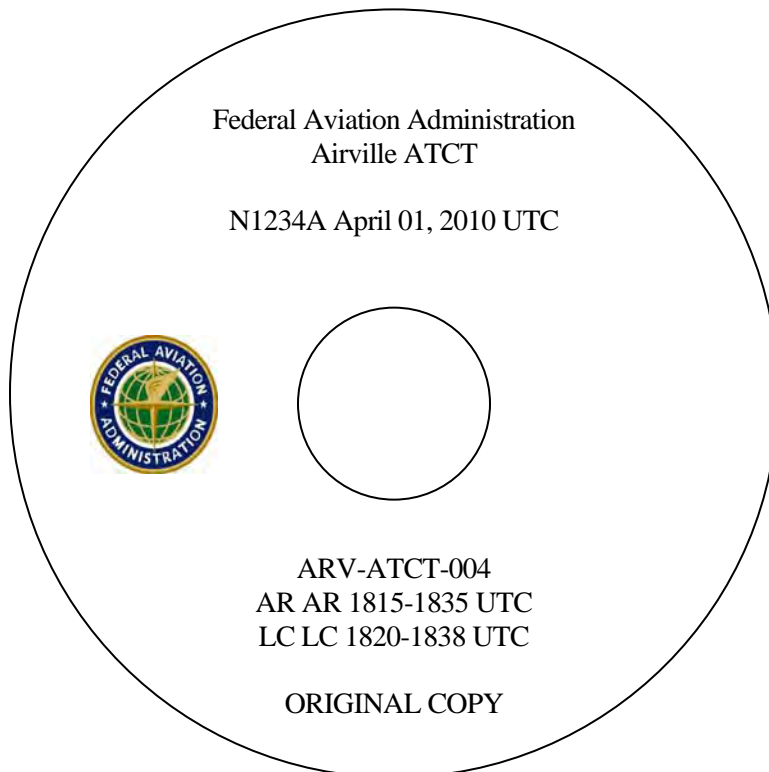
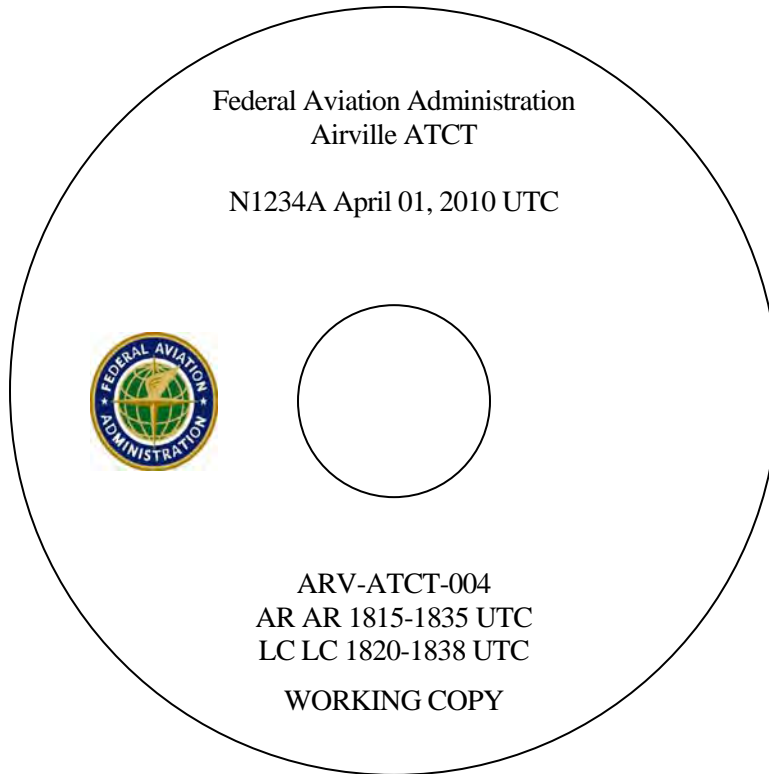
**NOTE-**

The following pages has examples of how labeling may be done. These illustrations are not intended to be directory in nature. This is only one method; yours may differ as long as you have the required information on the label you will be in compliance.

**FIG D-1**  
**Examples of Cassette Tape Labeling**



*FIG D-2*  
Examples of CD-R Labeling





## Appendix E. Original Documentation Transfer

### Security of Records (paragraph 100)

The proper security, retention, and disposal of aircraft accident and aircraft incident files are the responsibility of the facility manager. The file and any original documents it contains must be kept in a secure filing cabinet. Removal, destruction, and/or transfer of any documents or other data contained within the original aircraft accident or aircraft incident file must be documented. The facility must obtain written instructions (that is, chain-of-custody) before the release of documents or other data contained within the file. The chain-of-custody, at a minimum, will contain the name, title, position, telephone number, date, and signature of the person releasing custody and the name, title, position, telephone number, date, and signature accepting custody of the documents, etc. The original chain-of-custody document is to be retained in the aircraft accident or aircraft incident file. When transferring custody, it is best to do this in person, however, when impracticable, use an approved over night delivery service with signature of the person accepting delivery.

#### **NOTE-**

*The following page has examples of how a chain-of-custody memorandum may be worded. 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.*



*FIG E-1*  
Example of Original Documentation



## Federal Aviation Administration

---



---

# Memorandum

Date: August 20, 2010

To: Hoshi Sato, Manager, Airville Airport Traffic Control Tower, TEJ-ARV  
Thru: Jonathan Archer, Director, ATO Central Service Center, AJV-C

*Carol Might*

From: Carol Might, Director, Mission Support Services, Litigation Liaison, AJV-4

Subject: **ACTION:** Original Documentation Transfer  
Aircraft Accident, N1234A  
Airville, AR, April 1, 2010

---



---

In accordance with the Federal Aviation Administration Order 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, paragraph 100, "Security of Records," the "...transfer of any documents or other data contained within the original aircraft accident or aircraft incident file must be documented." Your office has been identified as the office of primary interest for the following items.

Please forward the following:

1. The original air traffic accident package.
2. The original voice recordings and all copies.
3. The original continuous data recording time selected output (CDTSO).

If the requested documentation, letters, correspondence, notes, records, photographs, recordings and/or copies of recordings, bulletins, notices, data, information, charts, diagrams, drawings, and/or other miscellaneous items cannot be produced, then please provide a written verification by the party who conducted the search verifying that a reasonably diligent search was performed. This verification shall identify the name of the person(s) that conducted the search. If, however, it is known that the data or material has been destroyed, please provide the appropriate order or authority that allowed for the destruction of the requested data or material. Be specific.

This documentation, etc., shall be sent directly to this office from the facility via overnight delivery with signature required for delivery. This will ensure a proper chain-of-custody and provide a record should something be misplaced during the process. Please have the files forwarded to the attention of Carol Might, Director of Mission Support Services, Litigation Liaison, so as to be received by COB, Friday, August 27.

Should you have any questions or need assistance, call me at (202) 267-8025.



## Appendix F. Definitions

The following terms, as used in FAA Order 8020.11, Aircraft Accident and Incident Notification, Investigation, and Reporting; and FAA Order JO 7110.65, Air Traffic Control, are defined below:

- 1. Administrator** - the FAA Administrator or any person to whom he/she has delegated his/her authority in the matter concerned.
- 2. 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.
  - a. 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.
  - b. 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.
  - c. 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.
- 3. 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.")
- 4. 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") are to be considered before making a final substantial damage determination that would classify the occurrence as an accident.
- 5. Airworthy** - the aircraft must conform to its type certificate and be in condition for safe operation.
- 6. 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.
- 7. Civil Aircraft** - any aircraft other than a public aircraft.
- 8. Civil Aircraft of the United States** - any aircraft registered as provided in Title 49 United States Code.
- 9. Destroyed Aircraft** - an aircraft damaged to the extent that it would be impracticable to return the aircraft to an airworthy condition.
- 10. FAA Accident Advisor** - any FAA employee assigned to aid the U.S.-accredited representative during participation in an aircraft accident investigation being conducted by a foreign country.
- 11. FAA Contract Facility (FCF)** - FAA Federal Contract Towers (FCT), Non-Federal Contract Towers (NFCT) and Contracted Flight Service Station (FCFSS) facilities.
- 12. FAA Coordinator** - a job title assigned by the National Transportation Safety Board (NTSB) and military services to the FAA investigator-in-charge (IIC).

- 13. FAA Accident Participants or FAA Participants** - those FAA personnel assigned to assist the FAA and NTSB IIC in an accident or incident investigation.
- 14. 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.
- 15. 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.
- 16. Fatal Injury** - any injury which results in death within 30 days of the accident.
- 17. Flightcrew Member** - a pilot, flight engineer, or flight navigator assigned to duty in an aircraft during flight time. For unmanned aircraft systems, any individual required to support flight operations is considered a crewmember, including visual observers, “internal” and “external” pilots, and sensor operators trained to work as part of an assigned crew.
- 18. Flight Service Program Office (FSPO)** – FAA Office responsible for issues regarding flight service stations involved in accidents, incidents, and air traffic incidents. For FAA FSSs in Alaska the FSPO is the Alaska Flight Services Information Area Group (AFSIAG). For contracted flight service stations, the FSPO is Headquarters Flight Service Safety and Operations (FSSOPS).
- 19. 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:
- a. A person is killed.
  - b. A person received injuries requiring hospitalization.
  - c. Estimated carrier or other property damage, or both, exceeds \$50,000.
  - d. Fire, breakage, spillage, or suspected radioactive contamination occurs during shipment of radioactive materials.
  - e. Fire, breakage, spillage, or suspected contamination occurs during shipment of etiologic agents.
  - f. 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 a thru e above; for example, a continuing danger to life exists at the incident scene.
- 20. Incident** - an occurrence other than an accident associated with the operation of an aircraft, which affects or could affect the safety of operations.
- 21. Industrial Accident** - an occurrence that meets the criteria for an aircraft accident, except that there was no intention of flight.
- 22. Industry Coordinator** - the person approved by the NTSB or the FAA to represent the operator, association, or manufacturer who possesses technical knowledge or ability necessary to contribute to the accident investigation.
- 23. Loss of Control Link (Lost Link)** - a lost link condition exists when an unmanned aircraft is in flight and the Unmanned Aircraft System (UAS) pilot in command (PIC) loses the ability to change its vector due to a failure of the communications segment.
- 24. 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 onto the movement area must be obtained from air traffic control.

**25. 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.

**26. 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 flightcrew member stating that a collision hazard existed between two or more aircraft.

**27. Operational Control Center (OCC)** – Technical Operations Control Center responsible for coordinating unscheduled or scheduled shutdowns and restorations of NAS equipment, monitoring and remotely restoring NAS equipment and issuing NOTAMS as needed.

**28. 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.

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

**30. 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. Unmanned aircraft system pilot deviations are to be reported as any other pilot deviation.

**31. 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 a 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 (OE), pilot deviation (PD), or vehicle/pedestrian deviation (V/PD).*

**32. 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.

**33. 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.

**34. 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.

**35. 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.*

**36. Technical Operations Aircraft Accident Representative (TOAAR)** - OCC Team Lead, Service Delivery Specialist (SDS), or Supervisor assigned to determine what, if any, NAS facilities are suspected of being involved in an aircraft accident/incident. The TOAAR will remove the suspect facility from service and arrange for an FAA specialist to evaluate, document the as found condition and certify the facility. The TOAAR also coordinates the facility restoration with the IIC before returning it to service. The previous term was AFAAR. The terms TOAAR and AFAAR are interchangeable.

**NOTE-**

*The Duty TOAAR has primary responsibility for any FAA facilities that are suspected of being involved in the accident/incident. The Duty TOAAR develops the Archive, Initial Candidate and Suspect lists (consulting with air traffic personnel as required) and initiates action for the evaluation and certification of the facilities on the suspect list.*

**37. Unmanned Aircraft** - a device used or intended to be used for flight in the air that has no onboard pilot. This includes all classes of airplanes, helicopters, airships, and translational lift aircraft that have no onboard pilot. Unmanned aircraft are understood to include only those aircraft controllable in three dimensions and therefore, exclude traditional balloons and un-powered gliders.

**38. Unmanned Aircraft Systems** - the unmanned aircraft system (UAS) and all of the associated support equipment, control station, data links, telemetry, communications and navigation equipment, etc., necessary to operate the unmanned aircraft.

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

**40. 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 non-pilots, such as mechanics).