

CHANGE

**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

ORDER 8020.11
CHG 1

Effective Date:
10/04/2011

National Policy

**SUBJ: AIRCRAFT ACCIDENT AND INCIDENT NOTIFICATION, INVESTIGATION
AND REPORTING**

- 1. Purpose of the Change.** This change transmits revised pages to Chapter 4, Accident Investigation, Reporting, and Quality Assurance Program; Chapter 5, Incident Investigation and Reporting, Appendices A and B.
- 2. Who this change affects.** All personnel who are called upon to support activities associated with aircraft accident and incident notification, investigation, and reporting.
- 3. Where Can I Find This Order?** This order is located in electronic format on the FAA's internet web site and within the FAA Office of Accident Investigation at the following links: https://employees.faa.gov/tools_resources/orders_notices and http://www.faa.gov/about/office_org/headquarters_offices/avs/offices/aai/orders_forms.
- 4. Explanation of Policy Changes:** This change recognizes the creation of the Office of Accident Investigation and Prevention (AVP) and its new routing. Additional changes include revised instruction for completing the FAA Form 8020-23 within the Air Traffic Quality Assurance data system and examples of this and other FAA Forms located in Appendices A and B.
- 5. Disposition of Transmittal Paragraph.** This change will remain in the 8020.11C until superseded by the next revision to this order.

PAGE CHANGE CONTROL CHART

Remove Pages	Dated	Insert Pages	Dated
iv, viii, ix	02/02/10	iv, viii, ix	10/04/11
4-1 thru 4-27	02/02/10	4-1 thru 4-27	10/04/11
5-2	02/02/10	5-2	10/04/11
5-3	02/02/10	5-3	10/04/11
5-7	02/02/10	5-7	10/04/11
5-8	02/02/10	5-8	10/04/11
5-12	02/02/10	5-12	10/04/11
5-14	02/02/10	5-14	10/04/11
APPENDIX A (A-3)	02/02/10	APPENDIX A (A-3)	10/04/11
APPENDIX A (A-20, A-21)	02/02/10		
APPENDIX B (B-15 thru B-22)	02/02/10		


 Margaret Gilligan
 Associate Administrator for Aviation Safety

6. FAA IIC Initial Actions	4-5
7. Arrival at Accident Scene	4-6
8. When NTSB is in Charge, but FAA Inspector Arrives First	4-6
9. Accident Scene Access	4-7
10. Organization and Conduct of the Field Investigation	4-8
11. NTSB Team Concept	4-11
12. Investigation Equipment	4-12
13. Investigator Safety	4-12
14. Airman And Aircraft Records	4-14
15. Post-Accident and Incident Drug Testing	4-14
16. Airworthiness Investigations 4-14	
17. Crashworthiness Investigations	4-14
18. Public Aircraft	4-16
19. Ultralight Vehicles	4-17
20. Release of Information	4-17
21. Coordination with other FAA Offices	4-17
22. Cooperation with States, Agencies, and Others	4-17
23. Investigation Conclusion	4-18
24. Registration Certificates 4-18	
25. Aircraft Data Plates	4-18
26. FAA Deficiencies	4-18
27. Design Deficiencies	4-19
28. Accident Investigation Quality Assurance Program 4-19	
29. Quality Assurance Program Objectives	4-19
30. Quality Assurance Data	4-19
31. Completion and Distribution of FAA Form 8020-23 (For Accidents)	4-20
32. Accident Investigation Quality Assurance Awards Program	4-20

Section 2. Accident Investigation Forms and Reports

33. FAA IIC Reporting Responsibilities	4-22
34. Progress Reports	4-22
35. FAA Participant Reporting Responsibilities	4-23
36. FAA Form 8020-2, Aircraft/Parts Identification and Release	4-23
37. FAA Form 8020-23, FAA Accident/Incident Report	4-25
38. NTSB Form 6120.15, Release Of Aircraft Wreckage and Receipt of Aircraft Parts	4-26
39. NTSB Form 6120.9, Passenger Statement; and NTSB Form 6120.11, Statement Of Witness	4-26
40. NTSB Form, Preliminary Accident Report	4-27
41. NTSB Form 6120.1/2, Pilot/Operator Aircraft Accident Report	4-27
42. Report Retention	4-27

25. AST Mishap Notification and Response Handbook	11-18
26. Reporting Requirements	11-18

Section 3. Investigation

27. Responsibility	11-19
28. AST Investigative Role	11-20
29. AST Investigative Authority	11-20
30. Procedures	11-21
Figure 11-1. Example of AST Mishap Report Worksheet	11-24

Appendix A. General Information for Aircraft Accident and Incident Notification, Investigation, and Reporting

Part 1. List of Current Forms A-1

a. FAA Forms	A-2
b. NTSB Forms	A-4
c. Other Forms	A-4

Part 2. Military Aircraft Accident Information

a. Military Safety Center Addresses	A-5
b. Message Format for FAA Participation in Investigation	A-6

Part 3. FAA and NTSB Maps

a. FAA Flight Standards Service Regional Boundaries	A-7
b. FAA International Jurisdictions	A-8
c. NTSB Aviation Regional and Field Offices	A-9

Part 4. Aircraft Certification Directorates and Their Responsibilities

a. Transport Airplane Directorate (14 CFR 25)	A-10
b. Small Airplane Directorate (14 CFR 23)	A-11
c. Engine and Propeller Directorate (14 CFR 33 And 35)	A-15
d. Rotorcraft Directorate (14 CFR 27 And 29)	A-16
e. Geographical Responsibilities for Civil Aeronautical Product Certification in Foreign Countries	A-16

Part 5. Investigation Equipment A-18

Appendix B. Examples of Forms and Procedures Used by Flight Standards Service

Part 1. Accident/Incident Investigation Forms

- | | |
|--|------|
| a. NTSB Form 6120.1/2, Pilot/Operator Aircraft Accident Report | B-2 |
| b. FAA Form 8020-2, Aircraft/Parts Identification and Release | B-14 |

Part 2. Other Procedures

- | | |
|---|------|
| a. Example of Recommendation for Accident Prevention | B-23 |
| b. Accident and Incident Investigation Process for Flight Standards | B-24 |

Appendix C. NTSB Regulations

- | | |
|---|-----|
| Part 1. 49 CFR 800 Appendixes, Request To the Secretary of the Department of Transportation to Investigate Certain Aircraft Accidents | C-2 |
| Part 2. 49 CFR 830, Notification And Reporting Of Aircraft Accidents or Incidents and Overdue Aircraft, and Preservation of Aircraft Wreckage, Mail, Cargo, and Records | C-3 |
| Part 3. 49 CFR 831, Accident/Incident Investigation Procedures | C-6 |
| Part 4. 49 CFR 854, Rules of Practice in Transportation; Accident/Incident Hearings and Reports | C-9 |

Chapter 4. Accident Investigation, Reporting, and Quality Assurance Program

Section 1. Investigation Guidelines and Quality Assurance Program

1. General. The following guidelines are provided for the purpose of ensuring a thorough investigation of aviation accidents. Information in this section relates to FAA investigative activities during accident investigations.

a. The United States, as a member of ICAO, assisted in the preparation of the latest edition of ICAO Document 6920, Manual of Aircraft Accident Investigation, which contains advice and direction on the investigation of aircraft accidents.

b. If an FAA IIC or participant is undecided about the proper procedure to use during an investigation, he or she should do the following:

(1) FAA IIC: contact supervisor or AVP-100.

(2) Participants: contact the FAA IIC.

2. National Transportation Safety Board (NTSB). The NTSB investigates civil aircraft accidents and incidents and coordinates with the FAA IIC in its conduct of the investigation. NTSB may investigate aircraft or air traffic incidents; in both cases, NTSB has the same authority as in accident investigations.

3. Extent of Investigation.

a. FAA will investigate aircraft accidents to the extent necessary to:

(1) Establish the facts, conditions, and circumstances of the occurrence.

(2) Determine the proper execution of FAA responsibilities.

(3) Identify safety issues surrounding the accident and submit meaningful safety recommendations.

(4) Submit a verbal report to the NTSB from which the NTSB may make a determination of probable cause for accidents that the NTSB did not participate on-scene. Provide the NTSB with photographs, witness reports, etc., to become a part of and support the NTSB accident report. Written reports may be submitted to the NTSB for a specific fact; i.e., a report relative to an engine teardown.

(5) In the event that the NTSB is not on-scene the FAA will conduct the investigation. Information gathered during the investigation will be made available to the NTSB, but may also be used for FAA purposes. All interviewees should be advised that the FAA is conducting the investigation.

b. The FAA IIC is expected to participate in all on-scene investigations to ensure that all FAA areas of responsibility are considered prior to initiating the FAA Form 8020-23.

c. On-scene investigation includes tasks that can occur at a location other than the actual accident site. These on-scene activities may include engine teardowns, a review of aircraft documentation or an inspection and evaluation of aircraft wreckage that has been relocated for storage or other related tasks. The determination of where and how to evaluate the FAA's areas of responsibility belongs to the FAA IIC and his/her manager. Coordinate with the NTSB to preclude the wreckage being released by them prior to FAA inspection and evaluation. Actual accident site investigations are required for all accidents involving fatalities, certified Part 121 and Part 135 carriers, flight schools, public figures, newsworthy-high visibility accidents, structural failure of aircraft and accidents that require on-site evaluation to properly evaluate the areas of responsibility.

d. The following situations require extensive investigation:

(1) Fatal or serious injuries are involved.

(2) Notification information indicates possible structural failure, design or manufacturing defects, an airworthiness or commercial space safety or flight termination system deficiency, or violation of the Code of Federal Regulations (CFR).

(3) Aircraft in-flight fire is involved.

(4) FAA facilities, procedures, personnel, or aircraft are involved.

(5) An identified safety deficiency is identified.

(6) AVP-100 requests extensive investigation.

4. FAA IIC Responsibilities.

a. The FAA IIC is an FAA employee designated either by the FSDO with jurisdiction in the area that the accident occurred or by AVP-100. The FAA IIC is responsible for the overall FAA investigation and is the principal contact for all aspects of the investigation. The FAA IIC must ensure that the initial notification message (FAA Form 8020-9) will be or has been transmitted by air traffic as soon as possible. For FAA licensed commercial launch accidents, the FAA IIC will be designated by AVP-100 or AST-200 (in consultation with AST-1).

b. The FAA IIC will conduct an investigation of all accidents regardless of whether the NTSB accomplishes an on-scene investigation. In the absence of the NTSB, the FAA IIC has the same authority and responsibility as the NTSB IIC, but the FAA IIC is not working for the NTSB. The FAA IIC will, in accordance with NTSB policy, provide party status to companies and associations that have a right to participate in the investigation.

c. The FAA IIC must have at least one of the following credentials which should be used to gain access to the accident site:

(1) FAA Form 110A, Aviation Safety Inspector's Credential, used by qualified Flight Standards personnel with the numbered Aviation Safety Inspector Badge.

(2) FAA Form 8020-20, Air Safety Investigator, used by Office of Accident Investigation and Prevention personnel.

d. During accident and incident investigations, the FAA IIC must, as appropriate:

(1) Determine if a biohazard exists. If so, be sure that all FAA participants have access to and use of appropriate safety equipment.

(2) Determine the biohazard area and ensure that the proper precautions are exercised.

(3) Advise other groups when their areas of responsibility are involved: e.g., the Flight Standards division with the air carrier certificate responsibility, respective Air Traffic (AT) organizations, Airports division, Aircraft Certification Directorate or Hazardous Materials Safety Program.

(4) Maintain liaison with NTSB and the military services.

(5) Request technical assistance directly from regional Flight Standards divisions and headquarters through AVP-100.

(6) Request a flight inspection. Consult with the TOAAR, respective area Air Traffic organization, or AVP-100 to determine the need for and the extent of a facility flight inspection.

(7) Confer with regional, center, and headquarters legal counsel.

(8) Use the NTSB's accident headquarters (command post) as the FAA IIC headquarters during the investigation.

(9) Provide the NTSB IIC with information requested by NTSB and other relevant information obtained by the FAA.

(10) Supervise all FAA investigation personnel and coordinate their group assignments with the NTSB IIC. FAA personnel will not be released until the FAA IIC has copies of, and has discussed all exhibits that FAA participants obtained during the investigation and until the NTSB IIC has released the participants.

(11) Aviation safety inspectors/investigators should remain cognizant of the manufacturer's need to have access to the accident site and work with them to facilitate access.

(12) Keep the regional office advised of where the FAA IIC can be contacted during the investigation's field phase.

(13) Keep AVP-100 advised, if requested, of the investigation's progress and where the FAA IIC can be contacted during the investigation's field phase.

(14) Initiate or recommend emergency corrective action immediately by direct communication with the Management Services and Recommendation Division (AVP-400).

(15) Contact supervisory personnel or AVP-100 for instructions if unsure of actions to deal with uncooperative agencies or individuals.

(16) Inform the NTSB IIC of the FAA IIC's departure from the scene.

(17) Prepare and distribute FAA Form 8020-23.

(18) Consider safety recommendations in accordance with chapter 1, paragraph 16.

(19) The FAA IIC can also be the initiator of enforcement action, if warranted.

(20) Destroy files maintained by the FAA IIC when necessary corrective action or follow-up is completed.

d. Hazardous Materials in air transportation, including company owned hazardous materials (COMAT) – copy to the Director, Office of Hazardous Materials Safety (ADG-1).

5. FAA Participant Responsibilities.

a. For NTSB/FAA-conducted investigations, FAA participants will:

(1) Report to the FAA IIC for group assignment.

(2) Participate in the investigation as a group member directed by and until released by the group chairperson.

(3) Be alert at all times to FAA responsibilities described in paragraph 8 and report any observed deficiencies to the FAA IIC as soon as possible.

(4) Report to the FAA IIC upon being released by the NTSB group chairperson at the end of each day's activities and before departing the scene at the close of the investigation.

(5) Furnish the FAA IIC with a copy of each exhibit and/or item of information obtained during the group investigation.

b. For FAA-conducted investigations, FAA participants will report to the FAA IIC for assignment of such duties as the FAA IIC will require during the investigation.

6. FAA IIC Initial Actions.

- a.** Determine the presence of a biohazard or other dangerous environmental condition exists in the area.
- b.** Ensure that the emergency locator transmitter has been deactivated (remove batteries, antenna, etc.). This action is necessary to preclude its continued operation or reactivation during aircraft wreckage removal.
- c.** Verify that FAA Form 8020-9 has been sent by AT. If the information has not been sent, obtain the information, relay it to the nearest AT facility, and confirm that it transmits the information to the geographical Regional Operations Center (ROC).
- d.** Organize the investigation and assist the NTSB with its investigation if NTSB is on-scene.
- e.** Arrange for security at the accident scene. Determine if hazardous materials are on the aircraft and request special assistance if necessary. Agricultural accidents may require arrangement of accident scene security if hazardous materials are on the aircraft.
- f.** For fatal accidents, local coroners or medical examiners will usually conduct an autopsy on deceased flightcrew. Contact local coroner or medical examiner to ensure bodies are not embalmed until after specimen collection and autopsy. (See paragraph 7i.) If local authorities are reluctant to conduct an autopsy, contact CAMI Autopsy Team (AAM-630) for coordination assistance. Results of the autopsy, along with a thorough accident analysis will help the NTSB determine if flightcrew incapacitation was a cause or a factor in the accident.
- g.** Section 1134 of Title 49 U.S.C. gives the FAA the following authority when the NTSB is not on scene:

The Board is authorized to examine the remains of any deceased person aboard the aircraft at the time of the accident, who dies as a result of the accident, and to conduct autopsies or such other tests thereof as may be necessary to the investigation of the accident: provided that to the extent consistent with the needs of the accident investigation, provisions of local law protecting religious beliefs with respect to autopsies will be observed.

- h.** Coordinate with NTSB on NTSB-conducted investigations prior to departure to the accident scene. The FAA IIC should not delay departure to the accident scene for the sole purpose of traveling with the NTSB IIC (see paragraph 8 for procedures when FAA personnel arrive at the scene prior to NTSB personnel).
- i.** When the FAA IIC's travel time will not allow him or her to arrive within a reasonable time, telephone calls should be made to relay FAA concerns to the on-scene public safety official (sheriff, police, etc.). Discuss the items in paragraph 7 with the public safety official.

7. Arrival at Accident Scene. The FAA IIC should make an initial familiarization visit to the accident scene to establish the status of or accomplish the following:

- a. Rescue operations (who, where, when).
- b. Wreckage security. Treat accident scene like a crime scene.
- c. Site safety (see paragraph 13), including bio-hazards and ballistic recovery systems.
- d. Notification procedures. Verify that NTSB and the Washington Operations Center were notified by the Cornerstone Regional Operations Center (C-ROC) or ROC.
- e. Emergency locator transmitter should be deactivated.
- f. Flight data and cockpit voice recorders, if installed, should be located and secured.
- g. Perishable evidence. This must be documented quickly or preserved.
- h. Victim identification. Contact law enforcement officers.
- i. Autopsy and toxicology studies. Contact law enforcement and local coroner to determine autopsy status and provide them with toxicology boxes and updated CAMI toxicological services guidance.
(http://www.faa.gov/data_research/research/med_humanfacs/aeromedical/forensictoxicology/ for current downloadable guidance). Contact the CAMI Autopsy Team (AAM-630) for assistance in coordination if you have difficulty coordinating autopsies with local authorities.
- j. News releases (see paragraph 20).
- k. Photographic documentation should occur before wreckage is moved.
- l. Wreckage recovery and movement. Delay until perishable evidence and photographic documentation are complete.
- m. Names, addresses, and telephone numbers of witnesses are obtained from law enforcement officers.

8. When NTSB is in Charge, but FAA Inspector Arrives First. Whenever possible, the FAA IIC should coordinate FAA's initial on-scene actions with the NTSB IIC before the arrival of the NTSB at the accident scene. Suggested actions are as follows:

- a. Establish contact with local law enforcement officials and request accident scene security by such officials.
- b. Arrange for preservation of the wreckage.

c. Ensure that power to the cockpit voice recorder is off and remains off (to prevent erasure of recorded information) until the recorder is removed by authority of the NTSB.

d. Do not delay or prevent removal of remains. However, the cooperation of local authorities should be solicited so that human remains are not removed before comprehensive photographic documentation is completed provided that an undue time delay is not expected. If remains are removed before the photographic documentation of injuries, note injury evidence and tag the location.

e. Make a preliminary survey of the wreckage site. Initiate preliminary investigations as requested by the NTSB and establish and maintain security until the arrival of NTSB personnel. Collect preliminary data (name and address information) from witnesses. Wait for an NTSB investigator to conduct in-depth witness interviews, except in the case of transient witnesses.

f. Comply with NTSB regulations in Title 49 CFR 830.10 which state that before the arrival of an NTSB investigator or an authorized NTSB representative:

"...(b) such wreckage, mail, or cargo, may not be disturbed or moved except to the extent necessary:

- (1) To remove persons injured or trapped;
- (2) To protect the wreckage from further damage; or
- (3) To protect the public from injury.

(c) Where it is necessary to move aircraft wreckage, mail, or cargo, sketches, descriptive notes, and photographs will be made, if possible, of the original positions and conditions of the wreckage and any significant impact marks."

g. Monitor accident site security. NTSB regulations permit only persons authorized by the NTSB IIC or the Director, NTSB Office of Aviation Safety, to participate in examination of wreckage, records, mail, or cargo in NTSB's custody. At times, well-meaning guards, not knowing the reasons for the NTSB request for complete security, may allow unauthorized personnel access to the scene before NTSB investigators arrive.

h. Do not allow anyone to disturb the involved portion of the wreckage when evidence of an explosion is recognized, except for removal of casualties and remains, until the arrival of the Federal Bureau of Investigation or FAA explosives investigation specialists. If the center of the explosion is disturbed, critical evidence can be lost; i.e., the type of explosive device employed which, in turn, might preclude apprehension and conviction of the perpetrator.

9. Accident Scene Access. It is appropriate to review the statutes and regulations under which inspectors may demand immediate access to the accident scene when conducting inspections for NTSB or FAA. If the inspector has difficulty gaining access to inspect and photograph the

accident scene, quote from Title 49 U.S.C. or refer person(s) refusing the inspection to paragraphs 9a and b. Remind them that aircraft accident and incident investigations are a Federal matter, and that no lower authority has any legal or other right to hide the wreckage or refuse access to it for as long as access is required. The United States Government has custody of the wreckage by law and that custody will be released upon completion of the investigation by completing NTSB Form 6120.15, Release of Aircraft Wreckage and Receipt of Aircraft Parts.

a. Title 49 U.S.C. and 49 CFR 831.9 require any person having custody of an aircraft, or other property involved in an aircraft accident, to permit accredited NTSB investigators to have access to the aircraft and/or the accident scene and conduct all inspections necessary for a proper investigation.

b. Any person who refuses to grant access to an aircraft or wreckage after proper demand by inspectors will be subject to civil penalties of up to \$1,000 under Section 46301 of Title 49 U.S.C.; and/or criminal penalties up to \$5,000 in fines, or 1 year in jail, or both; and/or an injunction issued by a U.S. district court.

c. If confronted with a person who resists granting access, the investigating inspectors should first inform that person of the above statutes and regulations. If access is still not granted, the investigators should immediately notify their FSDO manager who, through the region, should arrange for the Chief Counsel's office to take vigorous legal action to secure access and institute enforcement proceedings if access is not granted. The regional Flight Standards division and the Chief Counsel's office should also notify appropriate NTSB elements of the progress of such situations.

10. Organization and Conduct of the Field Investigation.

a. Organization. Before or after the accident scene familiarization visit, the FAA IIC should hold an organizational meeting. The organizational meeting for most accidents may be an informal conversation involving an FAA IIC and one or more of the following: FAA participants, or aircraft operator, owner, or manufacturer representatives. The purpose of the meeting is to define briefly the FAA's responsibilities, procedures, and objectives; investigation participants are also apprised of what is expected of them.

b. Investigation. After completing the organizational meeting and ensuring the documentation and/or preservation of perishable evidence, e.g., human factors data, fuel samples, pressurized systems, and transient witnesses, the FAA IIC must expedite the on-scene investigation. Photographs of the accident scene are a good place to start. Printed labels placed in the photographed scene ensure permanent records of identification and orientation. Generally, color photographs are superior to black and white photographs for investigations.

Digital photographs should be taken of the following, prior to the wreckage being disturbed:

- (1) External "macro" views of the main body of the wreckage.

NOTE: These views should be documented while “walking around the clock” in a circular fashion to ensure that a 360-degree view of the main wreckage site is completed with a series of six photographs; i.e., 12, 2, 4, 6, 8, 10 o’clock positions. If possible, photographs should be marked to be easily identifiable (e.g., direction of flight, forward, aft, left, right.). Additionally, photos should be taken of any major structural component or flight controls no longer attached to the main wreckage.

- (2) Surrounding Terrain
- (3) Ground Scars leading up to the wreckage
- (4) Tree strikes or other object damage (if any)
- (5) Airframe ice (if any is adhering to leading edges of aerodynamic surfaces)
- (6) Wings and Tail
- (7) Control surface positions
- (8) Control surface actuator positions (if possible)
- (9) Trim tab settings (cockpit and airframe)
- (10) Flap and flap lever positions
- (11) Landing gear and lever positions
- (12) External views of engine(s) and associated engine controls
- (13) Turbocharger ducting and clamp positions (if installed)
- (14) All parts including control cables (marked prior to being cut by recovery personnel)
- (15) Overall view of cockpit
- (16) Close-up view of cockpit instruments (no more than four instruments to a photograph)
- (17) Electrical switch positions and circuit breakers
- (18) Throttle quadrant
- (19) Fuel selector switch
- (20) Magneto switch position(s)
- (21) Throttle quadrant
- (22) Seat belts
- (23) Cargo compartments

c. Documentation. Further documentation by notes, measurements, etc., is necessary to complement even the most thorough photographic coverage. Suggested documentation subjects include:

- (1) Wreckage distribution.
- (2) Body distribution.
- (3) External flight control positions: e.g., rudder, elevator, ailerons, flaps, slats, spoilers, stabilizers, and tabs.
- (4) Cockpit flight control indications.
- (5) Cockpit instrument readings.
- (6) Abnormalities in cabin and cockpit areas.
- (7) The GPS coordinates of the main wreckage should be documented.
(Additionally, the GPS location or direction and distance from the main wreckage of any major structural component or flight control no longer attached to the main wreckage should be documented).
- (8) Fuel and other fluid quantity as well as any evidence of fuel or oil spillage at the accident site.
- (9) Fuel color and quality. The location from where the fuel is drained (i.e., Water in the fuel? Contaminates?).
- (10) Condition of all visible fuel, lube and air lines
- (11) Evidence of fluid leaks (fuel, oil, hydraulic)
- (12) Spark plug or ignition leads
- (13) Aircraft configuration (flap position, landing gear, etc.)
- (14) Possible explosives on board (fire crackers, parachute, etc.)
- (15) Contact information of all witnesses and officials.

d. Investigation Suggestions. During the investigation, certain evidence will require more detailed examination. The knowledgeable, experienced investigator is continually evaluating evidence as a possible causal factor. A complete list of causal or contributing factors does not exist. The following suggestions may stimulate the investigator's analysis:

- (1) Missing extremities: wing or horizontal stabilizer tips, vertical stabilizer tip, propeller, or rotor tips, missing flight control surfaces: rudder, elevators, ailerons, flaps, stabilizers, spoilers, slats, tabs, etc., missing structure.
- (2) Pre-impact versus post-crash fire evidence.
- (3) Metal fatigue versus instantaneous breaks.
- (4) In-flight versus impact breaks.
- (5) Overloading or out-of-center-of-gravity evidence.

- (6) Evidence of aircraft attitude at impact.
- (7) Controlled versus uncontrolled attitude at impact.
- (8) Engine power at impact.
- (9) Systems operation before impact.
- (10) Flight control problems.
- (11) Evidence of an explosion (fire crackers)
- (12) Cockpit documentation.
- (13) Evidence of impact before final contact with terrain: trees, wires, buildings, terrain, poles, obstructions.
- (14) Witnesses (contact information).
- (15) Aircraft performance.
- (16) Meteorological conditions.

e. The following precautions should be taken prior to wreckage removal:

(1) Do not rotate the propeller or any other components to avoid post crash damage. Avoid pulling of flight control cables, trim cables, and engine control cables, unless there is a specific investigative purpose in doing so.

(2) Protect the ends of failed major structural components from further post mishap damage.

(3) Do not disassemble precision components in the field due to the potential loss of evidence; e.g. air pumps. These components need to be examined in a laboratory environment, preferably by the manufacturer.

(4) Remove electronic (digital) components only after documenting external physical condition and utilizing manufacturer guidelines when available. Try to preserve all cables and connections in their original state.

NOTE: Many avionics and electronic equipment and systems including digital engine management, GPS navigators, communications radios, primary and navigation flight displays, etc., contain non-volatile or battery powered memory that may be accessed for retrieval of event data useful during the investigation.

(5) Disconnect all battery (newer aircraft may have multiple) connections to protect digital memory components.

(6) If any engine control, valve, or electrical switch is moved during the recovery process, such movement should be documented.

11. NTSB Team Concept.

a. NTSB uses the team concept for the investigation of all major aircraft accidents. The formal investigation involving wreckage recovery, security, field investigation, public hearings, and report writing is conducted under the direction of an NTSB IIC. Technical specialists are assigned to groups in two areas:

Operations

Air Traffic Control
Airports
Cockpit Voice Recorder
Human Performance
Operations
Survival Factors
Meteorology
Witnesses

Airworthiness

Flight Data Recorder
Aircraft Performance
Maintenance Records
Powerplants
Structures
Systems

b. NTSB technical specialists chair the investigation groups and are assisted by FAA participants, technical specialists who represent the State of registry, the operator, crew organizations, manufacturers, and other selected experts. The primary function of each group is to examine all facts in their area. The secondary function is to apprise the other groups of findings. Communication on findings is accomplished through a daily progress meeting conducted by the NTSB IIC. Frequently one group uncovers information that may be a lead for another group.

12. Investigation Equipment. Flight Standards division managers will provide each FSDO or International Field Office in their region with the necessary clothing, biohazard gear, and equipment for accident investigation. A suggested equipment list is given in Appendix 1.

13. Investigator Safety. Safe investigative practices and common sense safety precautions are of vital importance but are often overlooked during an investigation. Each investigation participant must consider several items including the following:

- a. Good health is a prerequisite.
- b. Sound physical condition for withstanding strenuous outdoor activity is a necessity.
- c. Control of one's emotions due to the disruptive effect of a disaster is a necessity.
- d. Calm and competent behavior to preclude frantic or ill-advised action is a necessity.
- e. Suitable gear for the climate and terrain is needed upon arrival.
- f. Wearing gloves when handling wreckage is mandatory.
- g. Hardhats should be worn when working inside or under wreckage.

- h.** Advice of local experts such as forest rangers, mountain rescue teams, surveyors, and law enforcement personnel on the type of protection needed should be followed.
- i.** The effects of fatigue on the safety of one's performance long before total exhaustion takes place should be understood.
- j.** The workload should be adjusted to the circumstances: more may be accomplished in a well organized 6-hour day than in an unorganized 12-hour day.
- k.** The quality of the investigation is best served by an awareness of the need for mental alertness and physical fitness.
- l.** At high elevations, portable oxygen and other emergency equipment should be available.
- m.** Unexpected weather or equipment failures may isolate the investigation team in remote areas; therefore, provisions for first aid, shelter, food, water, and fuel should be made before the need arises.
- n.** The buddy system and a logging in and out system for personnel for remote area operations should be used.
- o.** Reliable communications between the investigation headquarters and the various activity scenes should be maintained by telephone, walkie-talkie, or long-range radio equipment.
- p.** The use of helicopters at inaccessible accident scenes is extremely dangerous; coordination between the helicopter crew and the investigating team is a must.
- q.** Working around heavy equipment is very dangerous and demands the same observance of safety measures as does that of helicopter use.
- r.** When the crash scene is in water, only fully qualified and properly equipped personnel will be assigned to missions such as underwater recovery and photography.
- s.** The following potentially hazardous items or situations may be encountered:
 - (1) Sharp, jagged pieces of metal. Wreckage may shift.
 - (2) Fuel and other flammable agents. Toxic agents may be present with a fire.
 - (3) Ignition sources: hot metal, battery (may also explode), ignition wires, electrical wires, grass or wood fire, or any explosive agent. Tires may explode.
 - (4) Hazardous materials from the aircraft or at the scene.

(5) Still-loaded aircraft systems, including: fuel and oil, pneumatic, hydraulic, electrical, and oxygen. Remember that controls may move.

(6) When involved with military aircraft be cautious for unexpected ordinance and other ballistic devices such as ejection seats, flares, and jettisoning systems.

(7) Aircraft with ballistic recovery (parachute) system and ejection systems.

(8) Composite Fibers – BioHazard Equipment does not provide proper protection. Floor wax can be sprayed on the area to contain the fibers.

(9) On frozen water, ice may give under wreckage.

(10) Possibility of snakes and other dangerous insects.

t. Lacerations from wreckage where human remains are present require medical attention and consultation relative to current Centers for Disease Control and Prevention (CDC) recommendations for post expose intervention to prevent infection with Hepatitis B virus, Hepatitis C virus, or Human Immunodeficiency Virus, and Tetanus.

14. Airman and Aircraft Records. The FAA is prohibited from releasing the medical records of any living person without the individual's consent.

a. A certified copy of the airman's FAA certificate history may be obtained from the Airmen Certification Branch, AFS-760.

b. A certified copy of the airman's FAA medical history may be obtained from the Aerospace Medical Certification Division, AAM-300.

c. A certified copy of the aircraft historical records may be obtained from the Aircraft Registration Branch, AFS-750.

15. Post-Accident and Incident Drug Testing. Post-accident and incident drug testing must be conducted in accordance with current DOT and FAA directives.

16. Airworthiness Investigations. An FAA airworthiness investigation will be conducted whenever:

a. Preliminary data indicate an in-flight structural failure or designor manufacturing-induced malfunction of a powerplant, aircraft system, or component.

b. Requested by the responsible Aircraft Certification Directorate or Director, Aircraft Certification Service, AIR-1, Washington, D.C.

c. Directed by AVP through AVP-100.

17. Crashworthiness Investigations.

a. Determine early in the investigation if an FAA crashworthiness investigation is needed. Consider the following conditions in making this determination:

(1) The pilot compartment or cabin or some occupiable portion remains relatively intact, and the occupants were injured seriously by the surrounding structure or the failure of seats, body, or cargo-restraint systems.

(2) The aircraft structure was destroyed by impact and/or fire and any occupant survived.

b. When a crashworthiness investigation is undertaken, the following items, when pertinent, will be investigated for inclusion in a crashworthiness report and documented with photographs or sketches if possible:

(1) The approximate magnitude and direction of major impact forces.

(2) The final ground trajectory of the aircraft.

(3) The condition of the entire aircraft, including the interior and evidence of injuries to occupants as a result of failed components or detached objects. Include the progression of structural failure of the passenger compartment.

(4) Any floor deformation and its relevance to any seat failures.

(5) The number, location, type, and condition of seats and belts. Include the direction in which the seats were facing before and after impact.

(6) The condition of galleys and other items of mass. List all items that separated from the structure which may have injured passengers or crew. Relate failures to structural design.

(7) Any design features such as apparent inadequately padded seat backs, food tray storage, bulkhead-reinforcing members, lower seat structure, etc., that may have contributed to injuries.

(8) The evacuation procedures. Identify the exits used and the number of persons who used each exit.

(9) If all exits were operable and usable from inside and outside.

(10) If entry was made through any exit from outside.

(11) The performance of the emergency equipment such as the emergency interior lighting systems, slides, ropes, etc.

(12) If the emergency exit markings and operation placards, both inside and outside, were adequate.

(13) If any obstructions could or did restrict the use of any doors or emergency exits.

(14) The system used for directing the aircraft evacuation. Comment on the adequacy of the system.

(15) Items that stood out as being useful in the evacuation.

(16) The performance of cabin-class dividers. Also describe location of dividers in relationship to exits, divider curtains or doors, and aisle-width-through dividers.

(17) If evacuation from the inside or assistance from the outside was hampered by smoke, fire, etc.

(18) The exterior light conditions.

(19) The seat number of each occupant.

(20) Description of cause of death and secondary injuries of all deceased occupants and description of injuries to all other occupants.

(21) If findings in the aircraft correlate with the victim's injury patterns (consult the CAMI Protection and Survival Research Laboratory or the CAMI Autopsy Team (AAM-630)).

18. Public Aircraft.

a. An FAA inspector from the FSDO notified by NTSB or other sources of a public aircraft accident or covered incident will investigate the occurrence. Public aircraft are not subject to all the same CFR's that apply to civil aircraft. Therefore, the investigation will only be to the extent necessary to determine if any of the FAA's nine areas of responsibility are involved. If an FAA area of responsibility is involved, the investigation will be handled in the same manner as for a civil aircraft. The FAA is not required or authorized to:

(1) Conduct a formal accident investigation, except when a written authorization exists; or

(2) Accept accident or incident delegation responsibility from any group or organization.

b. Investigations conducted by the organization owning or having operational control of the aircraft; i.e., city, State, Federal agency, etc., will be conducted under its jurisdiction. Primacy of the investigation will be retained by that authority. FAA Form 8020-23 will be completed using the Air Traffic Quality Assurance (ATQA) data system. All accident reports will be submitted to the regional Flight Standards division for review within 30 days of the event. After review is completed, the regional Flight Standards division will submit the FAA

Form 8020-23 for accidents and incidents to the Aviation Data Systems Branch, AFS-620 within 15 days of receipt from Flight Standards District offices.

19. Ultralight Vehicles.

a. The NTSB supports FAA's policy in 14 CFR part 103 of allowing the ultralight vehicle community to develop their own ultralight vehicle ("ultralight") safety programs. The NTSB will not investigate ultralight accidents other than for two-place ultralight vehicles which are registered aircraft. The FAA will not investigate unregistered ultralight vehicle accidents or compile an accident or incident report.

b. However, FAA does have the responsibility to determine if the particular operation was in compliance with 14 CFR and if there was any aviation safety impact which requires corrective action. The determination of FAA involvement is delegated to the inspector assigned to accident standby duty. While an assessment of the extent of involvement can be made by telephone, it is usually difficult to determine compliance without going to the accident scene. It is the responsibility of the aviation safety inspector to determine if the vehicle was an ultralight under 14 CFR part 103 or was an unregistered aircraft.

c. If there were fatalities, if there was a conflict with other aircraft operations over a congested area, if there was buzzing, if a two-place ultralight was involved, etc., these factors may indicate violations of 14 CFR and that an on-scene investigation is necessary to document areas of noncompliance. If widespread accident publicity is anticipated, e.g., a prominent person is involved, AVP-100 should be advised of the occurrence by telephone through the C-ROC or ROC. FAA Form 8020-9 is not to be used for ultralight vehicle accident notification. No accident form is required.

20. Release of Information. This subject is covered in detail in Chapter 9. In summary, when NTSB is in charge of an investigation, it makes all releases. When FAA is conducting the investigation, the appropriate regional Office of Communications (or headquarters) will make releases in coordination with the FAA IIC.

21. Coordination with other FAA offices. The FAA IIC will contact the local FAA office, facility, or region with requirements for information, equipment, or personnel. Offices will provide the requested information and assistance by the most expeditious means available. The FAA IIC should receive a copy of the transcript of the cockpit voice recorder tape and the flight data recorder tape when NTSB makes such transcripts. When NTSB does not make such transcripts, the FAA IIC may request recorder readouts through AVP-100.

22. Cooperation with States, Agencies, and Others. FAA district office managers and inspectors are expected to maintain a cooperative working relationship with other Federal agencies, state aviation commissions, state and local police, fixed base operators, airport managers, and other groups and individuals having aviation interests or responsibilities.

a. Inspectors are expected to familiarize themselves with state and local regulations on accident reporting in their area. While FAA personnel are expected to work in cooperation with state and local aeronautical groups, nothing in this order or other orders will be interpreted to mean that FAA has delegated any of its accident investigative authority or responsibility to such parties. Further, the FAA IIC is not relieved of investigative responsibilities because another agency or governmental unit has investigated, or intends to investigate, the occurrence.

b. FAA's policy is to cooperate with all public and private research agencies in the free exchange of accident data and in the conduct of accident studies in the interest of flying safety. All special studies, including requests for such information, must be coordinated through AVP-100.

23. Investigation Conclusion.

a. The NTSB IIC will not release the wreckage until FAA agrees that it is no longer needed. If FAA requests NTSB to retain control of the wreckage for a period beyond NTSB's investigative needs, the request may be granted for a period not to exceed 60 days from the request date. FAA will bear the storage and security costs, if any, for this additional period.

b. The field phase of an investigation may be considered complete when, in the judgment of the FAA IIC, all relevant or required information has been documented. Once the FAA IIC decides to end the field investigation, certain obligations and responsibilities must be considered:

(1) Receipt and retention of aircraft parts using FAA Form 8020-2, Aircraft/Parts Identification and Release.

(2) Notification of parties to the investigation of associated investigation projects.

(3) Release of FAA participants.

(4) Satisfaction of financial obligations regarding guard services, services of personnel hired to assist in the investigation, rental equipment, damage to private property, communication facilities, and storage and transport of wreckage.

(5) Establishment of a target date for completion of the accident report.

24. Registration Certificates. When an aircraft is destroyed or damaged to the extent that repair is unlikely, the owner or the owner's agent is required to request cancellation of the registration certificate.

25. Aircraft Data Plates. Aircraft data plates from destroyed aircraft present a unique problem because entire aircraft have been rebuilt around a recovered and resold data plate. There is no legal basis for an inspector or investigator to retain the data plate from a destroyed aircraft. However, the inspector or investigator will remove the data plate with the permission of the owner or insurance company, deface or destroy the plate, and then return it to the owner or

the insurance company. Disfiguring the data plate will eliminate its future usefulness and resale value. Lastly, advise AFS-750 in Oklahoma City that the aircraft was destroyed.

26. FAA Deficiencies. Deficiencies identified during the investigation that are related to the FAA's nine areas of responsibility will be annotated on FAA Form 8020-23 with a brief description of the deficiency. It is incumbent on the inspector or investigator to determine if corrective action is needed. If such action is needed, the inspector or investigator will prepare and forward a safety recommendation(s) in accordance with Chapter 1, paragraph 16.

27. Design Deficiencies. If, during an accident investigation, it is ascertained that a deficiency may exist in the design of an aircraft, the FAA IIC will take immediate action to inform AVP-100 in accordance with Chapter 1, paragraph 16..

28. Accident Investigation Quality Assurance Program. The Office of Accident Investigation is responsible for implementing an automated Accident Investigation Quality Assurance Program to aid management in meeting its mandated responsibilities. The Office of Accident Investigation must receive enough information about each accident to determine that:

a. The accident was investigated thoroughly and FAA's nine areas of responsibility were reviewed.

b. Corrective action(s) was or will be initiated.

c. Identification of operational and technical factors that may have been involved.

29. Quality Assurance Program Objectives. The quality assurance program for accident investigations has the following objectives:

a. That the level of participation in the investigation be adequate to carry out FAA-mandated duties and responsibilities. Accidents, by definition, represent a failure in the NAS. Thus, a determination must be made of where the failure occurred. An investigation must determine if it was a human factors failure; a mechanical failure of airframe, engine, or equipment; an ATC error caused by flight operational procedures; or another possibility.

b. That thorough investigations be conducted by trained personnel. The FAA IIC should, therefore, be trained thoroughly in investigative techniques.

c. That investigation results be reported in a complete, accurate, and timely manner and documented on FAA Form 8020-23 with the FAA IIC's analysis of the involvement of FAA's nine areas of responsibility (see paragraph 35).

d. That corrective action is taken whenever any of FAA's responsibilities are involved.

30. Quality Assurance Data.

a. Data from FAA Form 8020-23 is collected in the Accident Mishap Information System database used to present reports of performance in a number of areas including:

- (1) FAA and/or NTSB participation.
- (2) If participants went to the accident scene.
- (3) Reporting on FAA's nine areas of responsibility
- (4) Name of reporting inspector.
- (5) Corrective actions proposed.

b. As data accumulate in each area norms will be quantified and used to develop regional and district office benchmarks against which to measure performance. The benchmarks will then be used to identify substandard and superior performance in each area.

c. Periodic reports developed from the database will be forwarded to regions for their information and action, as appropriate.

31. Completion and Distribution of FAA Form 8020-23 (For Accidents).

a. FAA Form 8020-23 will be completed and distributed via ATQA within 45 days of each accident to the Flight Standards Service - Aviation Data Systems Branch, AFS-620, and the Office of Accident Investigation and Prevention, Accident Investigation Division, AVP-100. Each Flight Standards District office (FSDO) has 30 days to complete and submit the FAA Form 8020-23 to the regional Flight Standards division point of contact. The regional point of contact has 15 days to review FAA Form 8020-23 to verify information on the form. The regional Flight Standards division point of contact then submits the FAA Form 8020-23 form to AFS-620. New information will be forwarded after the original submission on an amended FAA Form 8020-23 which should *only contain updated information*. The amended FAA Form 8020-23 will then be submitted through the original distribution process. Report data will only remain in the ATQA systems for 90 days after which time any amendments will require a new report with basic identifying information and amended data.

b. FAA Form 8020-23 will be submitted to indicate that an aircraft is missing. All persons aboard an aircraft missing 30 days or more will be considered fatalities. An amended form will be submitted after 30 days to report the fatalities.

c. If an accident is downgraded to an incident, the FAA IIC will submit, through the normal distribution, an amended FAA Form 8020-23 indicating the downgrade.

d. FAA Form 8020-23 is releasable through FOIA. Prior to any release, it should be reviewed to determine whether any of the information must be redacted in accordance with a FOIA exemption.

e. Destroy all information relative to the accident if no other actions are anticipated at the conclusion of the investigation.

32. Accident Investigation Quality Assurance Awards Program. The Office of Accident Investigation and Prevention has implemented a program which recognizes the Aviation Accident Quality Assurance Region and FSDO of the Year. Selection is based on criteria that measure the involvement, quality, timeliness of the investigations performed, identification of responsibilities, and submission of safety recommendations.

Chapter 4. Accident Investigation, Reporting, and Quality Assurance Program

Section 2. Accident Investigation Forms and Reports

33. FAA IIC Reporting Responsibilities.

a. Air Carrier and General Aviation Accidents. The FAA IIC is responsible for the following phases of investigation reporting for air carrier or general aviation accidents:

(1) Initial Phase. The FAA IIC will ensure that the information from FAA Form 8020-9 is or was transmitted by an ATC facility to provide notification that an aviation-related occurrence has taken place. This form is designed to provide the basic "who," "what," "where," and "when" information..

(2) Post-Field Phase. For all investigations, the FAA IIC should:

(a) Request from the NTSB IIC copies of all pertinent notes and exhibits that NTSB acquired during NTSB-conducted investigations. This request includes the NTSB group chairperson reports.

(b) Review with each FAA participant all information obtained by and discussed in each NTSB group before the participant is permitted to leave the accident scene.

(c) Request a verbal report from a participant if the participant is called away from the investigation before the FAA IIC can discuss the participant's NTSB group activities.

(d) Complete FAA Form 8020-23 and forward to the Flight Standards regional office.

(e) Forward names of any deceased who held an airman's certificate to Civil Aviation Registry, AFS-700, Oklahoma City, Oklahoma, for removal from records.

b. Foreign Air Carrier Accidents. The FAA IIC for an accident which occurs in a U.S. jurisdictional area and which involves a foreign air carrier must notify the FSDO with 14 CFR part 129 certificate responsibility for the foreign air carrier involved. The FSDO is responsible for informing the appropriate foreign government's aviation agency and the foreign air carrier's representative of the accident. The FAA IIC will also give notice of the accident through the Washington Operations Center to the International Policy and Operations Staff, API-10, International Aviation. The location of the FSDO with 14 CFR 129 certificate responsibility for each foreign air carrier is listed in the Air Operations System database available through the FSDO or regional Flight Standards division's computer. Accident reports will be completed and forwarded for all foreign air carrier accidents in a U.S. jurisdictional area in accordance with Chapter 5, Paragraph 4.

34. Progress Reports. After arrival at the accident scene, the FAA IIC must, as soon as possible, make an initial telephone progress report through the Washington Operations Center to

AVP-100 on all available information when the accident meets the following criteria: the accident is of a catastrophic nature, is of strong public interest, is a nationally newsworthy occurrence, or is of special interest to AVP-100. In these cases, the Washington Operations Center will arrange a telecon with the C-ROC or ROC operations officer and other appropriate personnel. The need for continuing on-scene telephone reporting will be discussed with the AVP-100 duty officer. The FAA IIC will also give AVP-100 the location and telephone number of the NTSB command post or a telephone number at which the FAA IIC may be contacted during the field phase.

35. FAA Participant Reporting Responsibilities.

a. Participants will report directly to the FAA IIC.

b. Participants in accident investigations conducted by NTSB or by the military will make reports as requested by NTSB or the military group chairperson. When group chairperson reports are received for coordination, participants will either concur or nonconcur with the report. When an FAA participant nonconcur, the participant will inform the group chairperson in writing and give the reason(s) for nonconcurrency. A copy of the nonconcurrency will be furnished immediately to the FAA IIC and to AVP-100. Also, participants will make an immediate verbal report followed, as soon as possible (if requested by the FAA IIC), with a written report to the FAA IIC whenever any of the following exists:

- (1) Performance of FAA facilities or functions was a factor.
- (2) Performance of non-FAA owned and operated ATC facilities or navigational aids was a factor.
- (3) Airworthiness of FAA-certificated aircraft was a factor.
- (4) Competency of FAA-certificated airmen, air agencies, commercial operators, or air carriers was involved.
- (5) Federal Aviation Regulations were adequate.
- (6) Airport certification safety standards or operations were involved.
- (7) Airport security standards or operations were involved.
- (8) Airman medical qualifications were involved.
- (9) Federal Aviation Regulations were violated.

36. FAA Form 8020-2, Aircraft/Parts Identification and Release.

a. Title 49 U. S. C. gives FAA the authority to examine and test parts as reasonably necessary when conducting investigations. The FAA IIC should obtain the parts directly from

the owner or the owner's authorized representative, coordinate with the aircraft owner, when possible, before disassembly of parts/components, and bring the following to the owner's attention:

- (1) The FAA IIC should contact the NTSB for funding authorization prior to committing funds.
- (2) FAA is not obligated to reassemble the components but does pay for their return to the owner.
- (3) The owner has the right to participate in the investigation.

b. When parts such as instruments, avionics, carburetors, magnetos, or electrical parts will be sent to a facility (manufacturer, laboratory, etc.) for analysis, do not disassemble the parts in the field. Carefully package and ship the parts in as-found condition to ensure that the part is, as far as practicable, in the as-found condition when it arrives at the destination.

c. Tag each part with FAA Form 8020-2, each copy of which will contain NTSB investigation number (see Appendix 2). FAA Form 8020-2 will be used as follows:

- (1) Attach the signed cardboard copy securely to the part.
- (2) Retain a signed copy.
- (3) Give the original form to the owner or the owner's representative.
- (4) Include information on the parts tag and the carrier's bill of lading advising the recipient to contact the local FAA representative before opening or processing the package.
- (5) Include the following information on the carrier's bill of lading under description of articles:
 - (a) Make, model, and aircraft identification number.
 - (b) Place and date of occurrence.
 - (c) Part name and number.

d. The sending office should contact that FAA representative before sending the part, give the expected time of arrival of the part, and arrange for the representative's participation as needed in the processing.

e. The parts should not be exposed to public view. Large or heavy parts should be boxed or crated.

f. When parts are sent to the Aircraft Certification Office (ACO) responsible for that product's design approval, they will be shipped as the ACO directs. The parts will be properly identified in a letter of transmittal that briefly describes the accident and the reason for the examination.

g. The ACO will ensure that the parts are examined and that action is taken to correct aircraft, engine, or component service difficulties.

h. When the ACO completes its examination of the parts, an original and three copies of the examination report will be forwarded to the FAA IIC.

i. The FAA office that examines the parts will return the parts to the owner with a receipt, such as FAA Form 8020-2 made out in triplicate. The owner should be asked to return the original and one copy to the sender. The copy should then be forwarded to the FAA IIC.

j. The NTSB lab is available for use by the FAA, and any such requests will be through the Office of Accident Investigation and Prevention.

37. FAA Form 8020-23, FAA Accident/Incident Report.

a. Completion of FAA Form 8020-23 for Accidents.

(1) FAA Form 8020-23 will be completed by the FAA IIC and distributed to the Regional Flight Standards division within 30 days of each accident. The Regional Flight Standards division point-of-contact will have 15 days to forward the original FAA Form 8020-23 via ATQA.

(2) Any new information identified after the original submission will be coded on an amended FAA Form 8020-23 and forwarded through the original distribution process.

(3) FAA Form 8020-23 will be submitted to indicate an aircraft is missing. All persons aboard an aircraft missing 30 days or more will be considered fatalities. An amended FAA Form 8020-23 will be submitted after 30 days to report the fatalities. (Same as paragraph 31.b.)

b. Distribution of FAA Form 8020-23, for Accidents.

(1) Basic Distribution.

(a) FAA Form 8020-23 will be completed by the FAA IIC within *30 days* of each accident.

(b) Revisions to the form will be sent as an amendment through the normal distribution.

(2) Distribution of 8020-23 Form for Accidents Involving:

(a) *Holders of an operating certificate:* copy to the operator's

certificate-holding district office.

(b) *The airworthiness of an aircraft, engine, or propeller:* copy to the appropriate Aircraft Certification Directorate (see Appendix 1) and a copy to the Aircraft Maintenance Division, AFS-300.

(c) *Emergency evacuations:* copy to the Air Transportation Division, AFS-200, within 10-workdays of the occurrence.

(d) Hazardous Materials in air transportation, including company owned hazardous material (COMAT) – copy to ADG-1.

38. NTSB Form 6120.15, Release of Aircraft Wreckage and Receipt of Aircraft Parts.

a. FAA-Investigated Incidents. For FAA-investigated accidents or incidents, use FAA Form 8020-2 when the investigation is complete to release the aircraft or any of its parts to the registered owner. Do not use NTSB Form 6120.15.

b. NTSB-Investigated Accidents or Incidents. NTSB will release the wreckage of all accidents or incidents that it investigates. If FAA needs to examine the wreckage further after NTSB has completed its investigation, the FAA IIC should request the NTSB IIC to retain possession of the wreckage or to release the wreckage to FAA via NTSB Form 6120.15. The FAA IIC will re-release the wreckage using FAA Form 8020-2.

39. NTSB Form 6120.9, Passenger Statement; and NTSB Form 6120.11, Statement of Witness. When NTSB is in charge of an investigation, it will conduct passenger and witness interviews and obtain statements. For accidents in which the NTSB is not on-scene, the FAA performs this function. FAA personnel are to use plain stationary for obtaining statements. One of the investigator's first actions should be to obtain the names and addresses of passengers and witnesses. Good statements depend largely upon the interviewer. The interviewer's words, actions, and attitude can determine to a large extent the tone and effectiveness of an interview. Most witnesses are willing to tell what they know when they are informed that the information is to be used to prevent similar accidents. The qualifications of witnesses should always be considered.

a. Written Statements. Use FAA or plain stationary, do not use NTSB Witness Forms. It is good practice to have the individual give an oral account first. This gives the inspector an opportunity to develop the significant features of the testimony. Statements from the family physician, other professional sources, and relatives or close associates of the pilot should be obtained when medical aspects appear to be involved.

b. Oral Statements. A witness may refuse to provide a written statement but give oral testimony. Preface the written account of an oral statement with a brief explanation; e.g., "John Doe, age 42, a homebuilder, said he was working on a new house about 200 feet from the accident scene. He declined to give a written statement." Relate Doe's story accurately. A tape recorder may be used, provided the witness gives consent. Indication of the consent must be included with the introductory statements at the beginning of the recording. Have a third person

present for confirmation of the written account of the oral statement and have the third person sign the statement, certifying it to be what the witness stated.

c. **Exclusion of FAA From Interview.** In some NTSB investigations, a witness may wish to exclude FAA from the interview. The request will be honored; however, the witness will be requested to participate in a separate FAA interview. A witness that refuses to participate in a separate interview can and will be subject to appropriate enforcement action. The FAA IIC will immediately notify the Regional Counsel in the appropriate region and the Litigation Division, AGC-400, if FAA participation is denied.

40. NTSB Form, Preliminary Accident Report.

a. The NTSB uses this form to issue preliminary factual information to the public pending NTSB's release of the final report and the findings of probable cause.

b. The FAA IIC will notify the AT facility responsible for preparation of the AT accident package whenever the preliminary investigation indicates that the occurrence is to be downgraded to an incident. The AT facility will prepare an informal accident file on all downgraded accidents.

c. The "History of Flight" factual narrative may not exceed 200 words. The opening paragraph should include: (1) date of accident; (2) time of accident; (3) type of aircraft; (4) owner/operator; (5) accident type; (6) phase of operation; (7) purpose of flight; (8) flight plan, conditions, and IFR or VFR; (9) aircraft damage; (10) crew/personnel injury; (11) pilot certification; and (12) origin of flight (place, date, and time). An example follows:

On January 1, 1989, at 1550 EST, a Cessna 150, N1234, registered to Semico Aviation, collided with a snowbank on landing at Parker Airport, Duval, Maryland, while on a training flight. Visual meteorological conditions prevailed at the time, and a VFR flight plan was filed. The aircraft was substantially damaged, and the certificated flight instructor and student pilot were seriously injured. The flight originated at Pauley, Virginia, on January 1, 1989, at 1350 EST.

41. NTSB Form 6120.1/2, Pilot/Operator Aircraft Accident Report. The requirements for aircraft accident reporting by pilots and operators are set forth in Title 49 CFR 830.15. NTSB Form 6120.1/2 (see Appendix 2) is to be used for this purpose. The FAA IIC will not add to or alter NTSB Form 6120.1/2.

42. Report Retention.

a. **Report Retention.** Flight Standards facilities and AVP will maintain copies of accident reports until all corrective actions are completed.

b. Destroy files maintained by the regional Flight Standards division and the FSDO when necessary follow-up or corrective action is completed.

c. The FAA IIC has the responsibility to notify the regional Airports and respective Air Traffic organizations and the appropriate ACO when functions of these offices are involved in the incident.

d. The degree of participation by other FAA elements in an incident investigation and documentation depends on the extent of their involvement in the incident and on the requirement that all relevant facts be obtained. The FAA IIC may request participation or documentation by other FAA elements when necessary.

(1) The geographically located Flight Standards office will contact the certificate-holding district office (CHDO) of an air operator or air carrier at the point of initiating an investigation to determine if that office has either initiated the investigation or requires further on-site assistance. If the CHDO has already initiated the investigation and requires no further on-site assistance there is no need for the geographically located office to pursue further action.

e. The FAA IIC determines the extent of investigation necessary for an incident other than an NMAC or a pilot deviation before requesting an air traffic package.

f. When Air Traffic provides notification on FAA Forms 8020-11, 8020-17, or 8020-21, the flight standards investigating office will inform the reporting Air Traffic facility of the final disposition of the incident. When Air Traffic personnel or facilities are involved, the FAA IIC will give these parties an opportunity to comment and will indicate on the report that this opportunity was given.

3. Incident Notification.

a. Flight Standards District offices will normally receive telephone notification of accidents and incidents from an Air Traffic field facility, Regional Operations Center (ROC) or Cornerstone Regional Operations Center (C-ROC). For an incident other than a NMAC or a pilot deviation, and if written occurrence documentation is required from the Air Traffic facility, the district office inspector shall request the Air Traffic facility to provide a completed FAA Form 8020-11. For a reported NMAC, FAA Form 8020-21 must be filed via the Air Traffic Quality Assurance (ATQA) tool by the Air Traffic facility. For a pilot deviation, including a reckless flying incident observed by Air Traffic, FAA Form 8020-17 must be electronically filed via ATQA by the Air Traffic facility. Appendix 2 contains a flowchart of the flight standards accident and incident investigation process.

b. If a Flight Standards inspector receives notification of an occurrence from a source other than an Air Traffic facility ROC or C-ROC the inspector shall immediately contact the nearest Air Traffic facility and provide the information the Air Traffic facility needs to complete its notifications.

c. If a Flight Standards inspector receives notification of an incident not observed by Air Traffic from a source other than Air Traffic, Flight Standards should proceed as follows: for reckless flying incidents, complete FAA Form 8020-17 via ATQA, followed by FAA Form 8020-18 via ATQA after the investigation; for other incidents, only complete FAA Form 8020-23 after the investigation.

d. In addition to accidents and incidents, the Washington Operations Center must notify AVP-100 of all incidents which have a significant impact on aviation safety; have threatened

Substantial damage to property or aircraft or possible injury to personnel; or are anticipated by the FAA IIC, the FSDO manager, or the Flight Standards regional staff to be of national interest. An all-inclusive description of incident types that meet the above criteria is not practical. However, in deciding whether to advise AVP-100 of an incident, consider that AVP-100 has the responsibility for keeping the Director of Accident Investigation, the Director of Flight Standards Service, the Director of Aircraft Certification Service, the Federal Air Surgeon of the Office of Aerospace Medicine, the Assistant Administrator for Security and Hazardous Materials Safety, and other FAA officials actively informed of the circumstances of such incidents.

e. If a flight crewmember notifies a Flight Standards inspector of a possible NMAC, the inspector shall be responsible for notifying the local Air Traffic facility which will then transmit the required message. Investigation of the report shall be completed in accordance with paragraph *111 of FAA Order 8020-16*.

f. Aircraft Certification Directorates should be notified with regard to certification responsibilities for which they have authority.

g. Regional Airports divisions will receive notification of vehicle or pedestrian deviations described in paragraph *116 of FAA Order 8020-16* from an Air Traffic field facility or the C-ROC or ROC. An FAA Form 8020-24 completed via ATQA will follow the notification within 10 days.

4. Foreign Air Carrier Incidents. The FAA IIC for an incident that occurs in a U.S. jurisdictional area and which involves a foreign air carrier shall notify the FAA office having 14 CFR part 129 responsibilities for that foreign air carrier. The district office with 14 CFR part 129 responsibilities is responsible for informing the appropriate foreign government aviation agency and the foreign air carrier's representative of the incident. The FAA IIC shall also notify the International Policy and Operations Staff, API-10, of the incident through the Washington Operations Center. The location of the district office which has 14 CFR part 129 certificate responsibilities for each foreign air carrier is listed in the Air Operations System database in the district office or in the regional Flight Standards division's information processing equipment. FAA Form 8020-23 will be completed and distributed for each foreign air carrier incident.

5. Report Retention. For a NMAC or pilot deviation investigation, Flight Standards facilities will retain two copies of the preliminary and investigative reports and all supporting documents. For vehicle or pedestrian deviations, regional Airports offices will retain two copies of the preliminary and investigative reports and all supporting documents. The envelope containing this information should be retained in the facility's files according to instructions in the latest edition of Order 1350.15 unless directed otherwise. Note the following information on the front of the envelope:

- a.** The incident report number.
- b.** The date of the incident.
- c.** The aircraft identification data (for NMAC and pilot deviation investigations if applicable for vehicle or pedestrian deviation investigations).
- d.** A list of the envelope contents.

9. Pilot Deviations. All preliminary reports of pilot deviations, including reckless flying observed by Air Traffic, are to be completed by Air Traffic on FAA Form 8020-17 via ATQA and sent to the appropriate FSDO or CMO.

a. Investigation of reports of pilot deviations, including reckless flying, should be completed and recorded on FAA Form 8020-18 via ATQA within 90 days of the initial notification date.

b. The incident report number assigned sequentially by ATQA on FAA Form 8020-17 will be displayed in the upper right-hand corner of FAA Form 8020-18.

c. For reckless flying incidents reported to Air Traffic by the public or others but not observed by Air Traffic, a verbal report of the reported incident will be made to the FSDO or the caller will be asked to call the FSDO. For those such incidents and reckless flying incidents reported to the FSDO directly, the FSDO will then transmit information via the ATQA web application from *FAA Order 8020-16* to the appropriate addressees by NADIN message via the C-ROC or ROC and complete and file FAA Form 8020-17 via ATQA as specified in *paragraph 114h* with:

(1) The regional Flight Standards division.

(2) The Flight Standards District office responsible for the investigation.

d. The investigating office shall print an original of completed FAA Form 8020-18 and distribute one copy each of completed FAA Form 8020-18 with the attached FAA Form 8020-17 within 90 days of the initial notification of the pilot deviation to:

(1) The regional Flight Standards division.

(2) The Air Traffic service area director.

(3) The responsible Air Traffic facility.

(a) If a pilot deviation report is to be reclassified, complete FAA Form 8020-19 via ATQA. If a pilot deviation report is reclassified as "an Operational Error or Deviation," a "Report Number Correction," "insufficient evidence to investigate" or "no incident," the related information will be added/removed from the FAA information system. Print an original of FAA Form 8020-19 and distribute one copy each as soon as possible by mail to the addresses in paragraph 9d.

(b) If a pilot deviation investigation is transferred to the Aviation Safety Action Program (ASAP) for processing, the FAA office having jurisdiction over the event coordinates with the certificate holding district as to which office will complete the pilot deviation report. See FAA Order 8900.1

10. Vehicle and Pedestrian Deviations. Preliminary reports of vehicle or pedestrian deviations are to be completed by Air Traffic on FAA Form 8020-24 via ATQA and sent to the appropriate regional Airports division or Flight standards office. For Air Traffic reporting instruction, *see FAA Order 8020-16*. The regional Airports divisions investigate vehicle or pedestrian deviations that occur at airports certificated under 14 CFR part 139 with FAA and FAA contract towers.

a. Investigation of reports of vehicle or pedestrian deviations should be completed and recorded on FAA Form 8020-25 via ATQA within 90 days of the initial notification date (see Appendix 1). FAA Form 8020-25 will be completed even if the vehicle or pedestrian deviation resulted in an accident.

b. The incident report number assigned sequentially by ATQA on FAA Form 8020-24 will be displayed in the upper right-hand corner on FAA Form 8020-25.

c. The investigating office shall print an original of the completed FAA Form 8020-25 (see retention instructions in paragraph 5) and distribute one copy each of this completed form with the attached FAA Form 8020-24 within 90 days of the initial notification of the vehicle or pedestrian deviation to the:

- (1) Airport Safety and Operations Division, AAS-300
- (2) Regional Air Traffic service area director
- (3) Airport manager or designee

d. If a vehicle or pedestrian deviation report needs to be reclassified, complete FAA Form 8020-19 via ATQA. If a vehicle or pedestrian deviation report is reclassified as "insufficient evidence to investigate" or "no incident," the related information will be removed from the FAA information system. Print an original of FAA Form 8020-19 and distribute one copy each as soon as possible by mail to the addresses in paragraph 10c.

11. Emergency Evacuations.

a. Emergency evacuations shall be reported on FAA Form 8020-11 by Air Traffic. The incident will be investigated by Flight Standards and a report prepared on FAA Form 8020-23. The investigating inspector should proceed to the scene of the evacuation as soon as possible to obtain the needed information. An emergency evacuation that results in a serious injury or a fatality shall be classified as an aircraft accident.

b. A copy of FAA Form 8020-23 should be forwarded to the Air Transportation Division, AFS-200, within 10 workdays of the occurrence. The narrative section of the report should include at least a brief narrative on the following:

- (1) The reason for evacuation.
- (2) Who initiated the evacuation (e.g., crewmember or passenger).
- (3) Which exits (by specific location) were used, which exits were not used, and reason for nonuse.
- (4) Whether any exits, slides, or associated components malfunctioned and, if so, what were the malfunctions.

Chapter 5. Incident Investigation and Reporting

Section 3. Criminal Incidents

18. Statutory Provisions. The willful or malicious damage or destruction of Federal installations, airports, aircraft, air navigation facilities or interference with crewmembers or passengers or other crimes against air commerce or aircraft are Federal offenses and punishable under 18 U.S.C. or 49 U.S.C. Appendix. The significant U.S.C. sections which could involve an incident within the purview of this order are:

- a. 18 U.S.C. 32, Destruction of Aircraft or Aircraft Facilities.
- b. 18 U.S.C. 1361, Government Property or Contracts.
- c. 18 U.S.C. 1362, Communication Lines, Station, or System.
- d. 18 U.S.C. 1364, Interference with Foreign Commerce by Violence.
- e. 18 U.S.C. 2117, Breaking or Entering Carrier Facilities.
- f. 49 U.S.C. Appendix 1472(c), Interference with Air Navigation.
- g. 49 U.S.C. Appendix 1472(i), Aircraft Piracy.
- h. 49 U.S.C. Appendix 1472(j), Interference with Flight Crewmembers or Flight Attendants.
- i. 49 U.S.C. Appendix 1472(k), Certain Crimes Aboard Aircraft in Flight.
- j. 49 U.S.C. Appendix 1472(l), Carrying Weapons or Explosives Aboard Aircraft.
- k. 49 U.S.C. Appendix 1472(m), False Information.
- l. 49 U.S.C. Appendix 1472(o), Interference with Aircraft Accident Investigation.

19. Handling of Possible Criminal Incidents. The following provisions will serve as a guide to FAA personnel who may be involved either directly or indirectly in matters concerning criminal acts against airports, navigational facilities, aircraft, air carriers, passengers, or crewmembers (also see the Criminal Investigations chapter in the latest edition of Order 2150.3, Compliance and Enforcement Program and FAA Order 1600.38, Employee and Other Internal Security Investigations):

a. Generally any FAA employee receiving information on criminal acts involving aircraft should report the information to the nearest SSE manager who will in turn notify the FBI or appropriate Federal, State, or local law enforcement agency in accordance with FAA Order 1600.38. In an emergency, this notification should be made through the C-ROC or ROC. It may also be appropriate to notify the pilot in command and the aircraft operator. The operator and concerned authorities can then determine the required action, such as flight cancellation, immediate landing, or inspection of baggage, facilities, and aircraft.

Chapter 5. Incident Investigation and Reporting

Section 4. FAA Form 8020-23, Aircraft Accident/Incident Report

20. General. FAA Form 8020-23 shall be prepared for each aircraft incident except for NMAC's and pilot deviations. For NMAC's, complete FAA Form 8020-15. For pilot deviations, complete FAA Form 8020-18 via ATQA. Examples of incidents to be reported on FAA Form 8020-23 include: emergency evacuations, accidents involving U.S. registered aircraft, U.S. operator, or designed or manufactured in the United States that occur outside the territory of the United States, in addition to foreign aircraft accidents and incidents in the United States, and select parachute-jumping incidents. Complete Form 8020-24 for vehicle or pedestrian deviations. Other incidents reported on FAA Form 8020-23 include those incidents that an operator is required to report to NTSB in compliance with 49 CFR 830.5. In cases of hijack incidents, FAA Form 8020-23 will be completed by Flight Standards, but there will be no related FAA Form 8020-11. In cases of reckless flying incidents not observed by Air Traffic, Flight Standards will complete FAA Forms 8020-17 and 8020-18 via ATQA.

21. Completion and Distribution of FAA Form 8020-23 (For Incidents).

FAA Form 8020-23 will be completed and distributed via ATQA within 45 days of each incident to the Flight Standards Service - Aviation Data Systems Branch, AFS-620, and the Office of Accident Investigation and Prevention, Accident Investigation Division, AVP-100. Each Flight Standards District office (FSDO) has 30 days to complete and submit the FAA Form 8020-23 to the regional Flight Standards division point of contact. The regional point of contact has 15 days to review FAA Form 8020-23 to verify information on the form. The regional Flight Standards division point of contact then submits the 8020-23 form to AFS-620 new information will be forwarded after the original submission on an amended FAA Form 8020-23 which should *only contain updated information*. The amended FAA Form 8020-23 will then be submitted through the original distribution process. Report data will only remain in the ATQA systems for 90 days, after which time any amendments will require a new report with basic identifying information and amended data.

22. Distribution of FAA Form 8020-23 (For Incidents).

a. Basic Distribution. Flight Standards Service - Aviation Data Systems Branch, AFS-620, and the Office of Accident Investigation and Prevention, Accident Investigation division, AVP-100.

b. Additional Distribution. For incidents involving:

- (1) *Holders of an operating certificate:* copy to the operator's certificate-holding district office.
- (2) *An ATC facility:* copies to the ATO Service Center Director and the facility involved.
- (3) *Emergency evacuations:* copy to AFS-200 within 10-workdays of the occurrence.

Part 1. List of Current Forms (Continued)

a. FAA Forms (continued)

<u>Form Number</u>	National Stock No. (NSN, 0052-00-prefix) <u>Title</u>	<u>or Stocking Point</u>	<u>Unit of Issue</u>
FAA Form 8000-40	Aviation Safety Investigator	ASF-10	Sheet
FAA Form 8020-2	Aircraft/Parts Identification and Release	690-3001	Set
FAA Form 8020-3	Facility Accident Notification Record	633-5002	Sheet
FAA Form 8020-6	Report of Aircraft Accident	074-5251	Set
FAA Form 8020-6-1	Report of Aircraft Accident (Continuation Sheet)	074-5301	Set
FAA Form 8020-9	Aircraft Accident/Incident Preliminary Notice	036-8002	Sheet
FAA Form 8020-10	Aircraft Accident Data Transmittal	637-7004	Sheet
FAA Form 8020-11	Incident Report	024-6001	Set
FAA Form 8020-15	Investigation of Near Midair Collision Report	906-4001	Electronic
FAA Form 8020-17	Preliminary Pilot Deviation Report	899-0001	Electronic
FAA Form 8020-18	Investigation of Pilot Deviation Report	899-1001	Electronic
FAA Form 8020-19	Reclassification of Aviation Incident Report	899-2002	Electronic
FAA Form 8020-20	Aviation Safety Investigator	AVP-100	Sheet
FAA Form 8020-21	Preliminary Near Midair Collision	906-5001	Electronic
FAA Form 8020-23	FAA Accident/Incident Report	923-1000	Electronic
FAA Form 8020-24	Preliminary Vehicle or Pedestrian Deviation Report	922-4000	Electronic
FAA Form 8020-25	Investigation of Vehicle or Pedestrian Deviation Report	922-5000	Electronic