



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

**ORDER
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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 8020.16A, dated December 27, 2010.

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 occurrences as they pertain to notification, reporting, and data retention.



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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 website at https://employees.faa.gov/tools_resources/orders_notices/ and on the air traffic publications website at http://www.faa.gov/air_traffic/publications/.
- 4. What This Order Cancels.** FAA Order 8020.16A, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting, dated December 27, 2010, 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 occurrences.
- 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. Authority for future revisions to this order is delegated to the Vice President for Safety and Technical Training, AJI-0. Those organizations with aircraft accident and incident notification, investigation, and reporting responsibilities should submit proposed changes or additions to the ATO Litigation Support Group. Supplemental changes and requests for waivers to program and policies transmitted by this order must receive prior approval through written requests to AJI.

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 ATO Litigation Support Group.

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 7210.632, Air Traffic Organization Occurrence Reporting

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 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 certificating civil aircraft airworthiness, for certificating airmen and air carriers for competency, and for certifying airports used by air carriers utilizing aircraft with more than 30 passenger seats for compliance with

certain safety standards. This responsibility includes the continued surveillance of the airworthiness of aircraft and competence of airmen, air agencies, commercial operators, and air carriers, and the safety of airports.

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 AFJI91-206, Army Regulation 95-30, Operations Navy Instruction 3750.16B, Coast Guard Regulation 307, and Chapter 7).

e. Participate with the NTSB in foreign accident investigations upon request by the State of accident occurrence. International Civil Aviation Organization (ICAO) Annex 13, Aircraft Accident Investigation, provides that such investigations must be conducted by authorities of the State in which an accident occurs. 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, Flight Service Program Offices, and the ATO Litigation Support Group 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.

c. The ATO Litigation Support Group directs data collection and retention for aircraft accidents and incidents and occurrences in the ATO. The ATO Litigation Support Group orchestrates and communicates requirements with Air Traffic Services, ATO Safety and Technical Training, and other offices within and outside the ATO. This Order recognizes the priority of on-going air traffic services, overlapping requirements of participants during investigations, and the need for collaboration. In situations not addressed by this Order, the ATO Litigation Support Group provides direction.

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. 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.

d. Event Investigation Manager (EIM). A specially trained ATO Safety and Technical Training employee appointed by the Vice President of ATO Safety and Technical Training to oversee, manage and serve as the primary contact for all field aspects of a significant event review. The EIM is the focal point for event response activities and directs the Event Review Team members. Until EIM selection, the EIM Team Lead (supervisor) may attend to EIM responsibilities and activities.

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
- 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 occurrences.

(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. Safety and Technical Training, System Operations Services, Acquisition and Business Services, Air Traffic Services. The ATO participates in the investigation of aircraft accidents and incidents when FAA air traffic control or aeronautical communications or navigation facilities are involved. For all significant accident and incidents the ATO Safety Compliance Services Group (CSG) will serve as the Lead ATO Representative and is responsible for ensuring that accidents and incidents that involve the Air Traffic Organization facilities or functions are investigated and reported in a timely 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.

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

(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 Mandatory Occurrence Reports (MOR) and Electronic Occurrence Reports (EOR) 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. 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 Group, and maintained in its database.

33. 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.

34. 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 Mandatory Occurrence Reports (MOR) and Electronic Occurrence Reports (EOR) received in the preceding quarter, the status of those reports, and the status of reports open at the beginning of the preceding quarter.

35. 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, Chapter 3, Section 5.

36. 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.

37. 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.

38. 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.

39. 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), or Regional Operations Center (ROC).

b. To report an aircraft accident or incident when you do not have ready access to an FAA air traffic facility or ROC, such as international events, use established channels such as the 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 or spacecraft, the notification and reporting shall be accomplished in the same manner as other aircraft accidents/incidents.

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. If requested by the FSDO, the ATO Litigation Support Group, service center, Flight Service Program Office, or ATO Safety Compliance Services Group, FAA Form 8020-11, Incident Report will also be completed for selected aircraft incidents.

61. FAA Contract Facilities (FCF). Unless otherwise indicated in the following paragraphs or specifically directed by the FAA Accident Investigation Division, the FAA IIC, or the ATO Litigation Support Group, 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, 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 (see [paragraph 71c](#)) JO 7210.633 and JO 1030.3.

Throughout this Order, 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 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, ATO Compliance Services Group, 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 electronic copies 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 four 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.

62. Notification of Other Operations Centers. Each ROC officer must provide information to other ROCs and/or the WOC 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.

63. 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 incident file.

64. Aircraft Accident and Incident Notification and Reporting. The definition of an aircraft accident is in [appendix F](#). This paragraph is divided into three categories for aircraft accidents and incidents: 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 (including unmanned aircraft systems, spacecraft or military). An example of a suspected accident is the simultaneous unexplained loss of radio communications and radar contact with an aircraft.

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

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

(b) If the aircraft accident occurs within the jurisdiction of the United States or while receiving services by an air traffic facility, prepare a formal accident file in accordance with [chapters 4](#) through [chapter 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 to the ROC. The ROC in turn will notify the Service Center Quality Control Group (QCG), WOC, ATO Safety Compliance Services Group, and Flight Service Program Office (FSPO).

(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. If you have reason to believe that an aircraft is overdue prior to 30 minutes, take the appropriate action immediately.

(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. Any air traffic facility first receiving notification of a known or suspected accident/incident must:

(1) Notify the ROC (see [paragraph 65c](#)).

(2) Record notifications on FAA Form 8020-3 (also handwrite notifications not listed on the form) (see appendix A on how to maintain form(s); see [appendix B](#) for accident package examples).

(3) Complete and transmit FAA Form 8020-9 (see [paragraph 66](#)).

(4) Make reference on FAA Form 7230-4 via Comprehensive Electronic Data Analysis and Reporting (CEDAR) program or other means. (If the incident is noteworthy or significant immediately notify ATO Safety Compliance Service Group and the WOC through the ROC by telephone IAW FAA Order 1030.3.) Also make reference to any associated MORs if applicable.

(5) Notify the nearest National Weather Service (NWS) or forecast center if known or suspected accidents resulted (or is deemed likely to have resulted) in serious injury or death to persons or substantial damage to aircraft/property. Initial notification is based on preliminary information. (A letter of agreement between the respective Service Area and the NWS may dictate different notification processes.)

(6) Notify Technical Operations or other appropriate personnel to retain pertinent data having a retention cycle of less than 15 days. (For example, ERAM workstation playback files must be retained within 24 hours.)

There may be more than one FAA Form 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, current and updated annually.

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.

c. When to Report.

(1) Overdue and missing aircraft.

(a) Air traffic facilities must immediately notify the ROC by telephone in accordance with FAA Order 1030.3. The ROC in turn notifies the WOC, ATO Safety Compliance Services Group, the Service Center Quality Control Group (QCG), and Flight Service Program Office (FSPO). The QCG helps facilitate ATO search and rescue activities.

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

(2) Air traffic facilities must immediately notify the ROC by telephone of any known and suspected aircraft accidents/incidents involving air carrier, air taxi, or commuter aircraft; and/or involving aircraft operating under instrument flight rules (IFR) or special visual flight rules (SVFR).

(3) Air traffic facilities must immediately notify the ROC by telephone of any of the following:

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

(b) Emergency evacuations of aircraft.

(c) In-flight component failure.

(d) Accidents/incidents involving Presidential or Vice-Presidential aircraft (secure communications will be used in reporting).

(e) Members of Congress, or other well-known people (secure communications will be used in reporting whenever members of congress are on board the aircraft).

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

(4) For all other accidents/incidents, the determination of whether the ATO Safety Compliance Services Group notification is necessary or required must be based on the significance and 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. For all other accidents/incidents, air traffic facilities must immediately notify the ROC by telephone when they determine the significance and/or level of air traffic service requires notification.

(a) The significance of an accident/incident is covered in FAA Order 1030.3, Initial Event Response. Although not all-inclusive, examples of significant accidents/incidents are selected criminal acts, emergency evacuations of aircraft, and in-flight major component failures.

(b) The level of air traffic service is used to denote the amount and complexity of service being provided. Determine the "amount of complexity" 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 separation, sequencing, and/or vectoring to a VFR aircraft within Class B airspace.

65. 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.

a. Completing FAA Form 8020-9.

(1) Complete Part 1 of FAA Form 8020-9 for all known or suspected accidents/incidents. 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 then include "FAA" in Code B3, OPERATOR OF AIRCRAFT.

(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) Enter "unknown" for any item unavailable when the form is prepared.

(4) Complete FAA Form 8020-9, Item F. If the name of the FAA IIC is unknown the offices notified should be indicated (i.e., SW-FSDO-65)

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. Suspected accident/incidents include the abandonment of a search for an overdue/missing aircraft that cannot be located. The form will then be forwarded, as necessary, to:

(a) FAA, Washington Operations Center, Washington, D.C. (The WOC will ensure timely notification to the ATO Safety Compliance Services Group on-call investigator.)

(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 any facility in another service center, other applicable service center(s) 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, email, or telephone significant accidents/incidents (e.g., 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.

c. Transmitting Updates/Amendments.

(1) FAA Form 8020-9 must be updated as new and/or amended information is available. For example, send a subsequent message upon locating aircraft wreckage, to revise

the original message, or to downgrade the accident to an incident. Because FAA Form 8020-9 serves as a worksheet, these amendments may be accomplished by placing a single line through the updated or erroneous information. Then enter the new data. You may also write "Supplemental" at the top of the form to further indicate new and/or amended information, in addition to lining out and replacing the erroneous information. A new form may also be used to transmit updates/amendments. Enter the new or changed information. Include the aircraft identification, accident/incident date, and Item F information.

(2) Fax or email the updated information to the ROC, who will then forward to all recipients of the original message.

66. 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 subsequent 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 air traffic facility that meets the following criteria will be responsible for the final air traffic file. This facility is referred to as the “holding” facility. Other facilities that provided air traffic service to the accident/incident aircraft are “supporting” facilities (see [paragraph 81](#)). See the Determination of Air Traffic Facility Responsible for Final Data Collection Flow Chart in [appendix C](#) for additional information.

(1) Aircraft on IFR flight plans under the control of an FAA-staffed facility: the FAA air traffic facility with jurisdiction over (i.e., authority for and/or working) the flight when the 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 ATO Litigation Support Group 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.

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

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

(5) Other Aircraft: the FAA air traffic facility having radar 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 71c](#), 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. It is possible and permissible that data collection may vary between FAA and FCFs as conveyed, respectively, by the service center or FSPO after coordination with the ATO Litigation Support Group (see [paragraph 71](#)). This Order ascribes to the service centers/FSPO the customary role of communicating data requests to air traffic facilities. For some accidents/incidents, the ATO Litigation Support Group will communicate directly with air traffic facilities once notification has been accomplished with the service center/FSPO.

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, ATO Litigation Support Group, the service center, or FSPO.

71. Formal Accident File/Package Data Collection. The ATO Litigation Office directs air traffic facilities to produce formal accident files/packages. This assignment of work to facilities may come directly from the ATO Litigation Support Group but is more often communicated through the service center or FSPO.

An accident file/package determination is based on the level of air traffic service provided to the aircraft (including weather-related accidents when a weather briefing was provided within 24 hours of the accident). The phrase “level of air traffic service” denotes the amount and complexity of service provided by air traffic to the accident aircraft. The ATO Litigation Support Group is responsible to determine the level of air traffic service. The determination process will normally flow through the service center, Federal Control Tower Quality Assurance Group, or FSPO. (Routinely, the service center/FSPO will consult with the facility(ies); then the service center/FSPO may consult with the ATO Litigation Support Group.)

Air traffic facilities may be directed to produce informal accident files (no package required for informal files). The assignment of work follows the same process described above. Collect data for an informal file in accordance with [paragraph 84](#).

If a subsequent determination is made by AFS that the occurrence does not meet the definition of an accident or an incident then retain data used in the investigation in accordance with [chapter 7](#), i.e., 45 days.

In cases where no air traffic service was provided to the accident aircraft, yet air traffic became aware of the accident (by police or similar organizations) then air traffic must report the accident in accordance with [paragraphs 65](#) and [66](#). Retain notification forms and documentation in accordance with [paragraph 101](#).

a. Obtain documentation for a holding facility’s formal accident file/package as follows:

(1) FAA holding facilities are required to gather information from all facilities along the route of flight. This requirement is most often communicated to supporting facilities by the holding facility (see [paragraph 70](#)).

(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) Contract 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 ([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) Air traffic facilities (the holding facility and the supporting facilities) along the route of flight must conduct a review of service (see [paragraph 81](#)) to assess and gather data. This review must be conducted within two administrative days of notification of an accident/incident. Notify the holding facility of your services status (routine, pertinent, no services but have data, no services/no data). A Review of Services Memo, FAA Form 8020-6-1, and copies of all required data must be forwarded to the holding facility within eight administrative days of notification of the accident/incident.

(3) Request information from military air traffic facilities that provided services and/or have data on the accident aircraft. This may be done through the service center military air traffic representative.

(4) Examples of documentation that must be reviewed and retained are:

- (a) FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice.
- (b) FAA Form 7230-4, Daily Record of Facility Operation.
- (c) Personnel logs.
- (d) FAA Form 7230-10, Position Log (or automated equivalent).
- (e) Facility layout charts.
- (f) Flight progress information and strips if printed.
- (g) Radar data.
- (h) Pilot reports (PIREP) and weather data (if available, Center Weather Advisories, Weather DART, TAFs, etc.).
- (i) Significant Meteorological Information (SIGMET).
- (j) Airmen's Meteorological Information (AIRMET).
- (k) Notice to Airmen (NOTAM).
- (l) FAA Form 7233-1, Flight Plan.
- (m) Video maps.

- (n) Non-published NOTAMs.
- (o) Copies of operations letters, letters of agreement, and facility memoranda.

***NOTE:** Because the ATO Litigation Support Group continually assesses what pertinent documentation is, based on safety investigations, changes in technology and legal trends, the ATO Litigation Support Group will, at times, require more documentation than the involved facilities gathered. Also, the ATO Litigation Support Group will, at times, reach out to facilities to review the contents of accident files/packages.*

b. The holding facility's formal accident file must contain:

- (1) The accident package.
- (2) Voice recordings (digital audio tape [DAT], tape reel) and copies made in accordance with [paragraph 93](#).
- (3) FAA Form 8020-9 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 8020.16 or via written direction from the ATO Litigation Support Group. Pertinent information, may include, but not be limited to
 - (a) Charts (for example, minimum vector altitude (MVA), approach plates).
 - (b) Covered Event Review.
 - (c) Radar data and computer data (see [paragraph 73](#)). When available, radar and audio start/stop timeframes must match.
 - (d) Letters of agreement.
 - (e) Facility directives.
 - (f) Email or other communications containing exchanges of information relevant to the facts of the accident.

c. FAA holding facilities include the FCF supporting facilities original Review of Services Memo and FCF's FAA Form 8020-6-1 in the FAA air traffic formal accident package. Additionally, FAA holding facilities include in their file (not package) certified working copies of voice recordings and transcripts from FCF supporting facilities that had pertinent services. Normally the transcripts, full or partial as appropriate, are only produced by a supporting facility with pertinent services. No other FCF documents will be retained in the FAA air traffic formal accident package or file without the permission of the ATO Litigation Support Group. Similarly, nothing from an FAA facility or other-vendor FCF will be retained in a FCF formal accident file. (See [paragraph 81c](#) for more details on what data supporting facilities submit to the holding facility.)

d. The supporting facility's formal accident file must contain, as applicable:

(1) Supporting facility with pertinent services. (Generally, pertinent services are those that take place after air traffic becomes aware of, or is notified of an unusual, urgent or emergency situation by the flight crew or other sources).

- (a) Voice recordings and copies (see [paragraph 93](#)).
- (b) Radar data and computer data (see [paragraph 73](#)).
- (c) FAA Form 8020-6-1.
- (d) Review of Services Memo.
- (e) Transcription of Voice Recording(s).
- (f) FAA Form 7230-4.
- (g) Personnel Log(s).
- (h) FAA Form(s) 7230-10.
- (i) Flight Progress Strip(s) and/or In-Flight Contact Record(s).
- (j) Weather Products.

(k) 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 8020.16, or via written direction from the ATO Litigation Support Group. Pertinent information, may include, but not be limited to charts, covered event review, letters of agreement, facility directives, email or other communications containing exchanges of information relevant to the facts of the accident.

(2) Supporting facility with routine services.

- (a) Voice recordings and copies (see [paragraph 93](#)).
- (b) Radar data and computer data (see [paragraph 73](#)).
- (c) FAA Form 8020-6-1.
- (d) Review of Services Memo.
- (e) Flight Progress Strip(s) and/or In-Flight Contact Record(s).

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

(3) Supporting facility with no services but did have data.

- (a) All pertinent data, documentation, and information (for example, radar).

(b) FAA Form 8020-6-1.

(c) Review of Services Memo.

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

e. The holding and support facility's formal accident file must be labeled as described in [paragraph 101a](#).

72. Additional Data Collection and Certification Information for Selected Facilities.

a. FAA FSS Facilities and FCFSS Facilities.

(1) FAA FSS and FCFSS facilities will at times be either the holding facility or supporting facility. In either case the following applies. 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 and Briefing History printout from its operating system. The facility must compile and retain all pertinent EVR/Contact and Briefing History data. (This data may be retained electronically.)

(2) Information that may have been pertinent to the flight, but not actually provided to the flight crew or operator, must be obtained and retained separately in the accident file but not as part of the actual accident package.

(3) Certify data. See [paragraph 73b](#) and [appendix B](#), Review of Services Memo for examples.

b. Facilities Not Providing ATC Services. When requested by the FAA IIC, the FAA Accident Investigation Division, the ATO Litigation Support Group, ATO Compliance Services Group, , 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 (i.e., a facility which did not provide air traffic service but did have radar data). Although the air traffic facility will maintain an air traffic formal or informal file, most other documentation as outlined in [paragraphs 82](#) and [84](#) will not be required. The data must be certified (see [paragraph 73b](#) and [appendix B](#), Review of Services Memo for examples).

c. Air Traffic Control System Command Center (ATCSCC). When it has been determined by the FAA IIC, the ATO Litigation Support Group, ATO Compliance Services Group, 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.

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

(2) Certify data. See [paragraph 73b](#) and [appendix B](#), Review of Services Memo for examples.

(3) Retain an accident file (see [paragraph 101](#)).

d. Domestic Events Network (DEN). When it has been determined by the FAA IIC, the ATO Litigation Support Group, , ATO Compliance Services Group, 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 ATO Litigation Support Group.

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

(2) Certify data. See [paragraph 73b](#) and [appendix B](#), Review of Services Memo for examples.

(3) Retain an accident file (see [paragraph 101](#)).

73. Radar and Computer Data. This paragraph makes a distinction between data retention and data extraction. Retained data is data as close to the original state as possible (e.g., in the HOST system, taking a DSR tape out of its retention cycle and saving it in the accident file is retention or retained data). Retained data gives the ATO the ability to produce Litigation/Enforcement replays after the normal retention time for the data has past. In contrast, extracted data is data taken from the retained data (e.g., in the HOST system extracting a DART or NTAP job from the retained data). Litigation/Enforcement replays from retained/extracted data are generally made if the need arises (e.g., for investigations, litigation), rather than producing Litigation/Enforcement replays for every aircraft accident/incident. Litigation/Enforcement replays and other productions must be documented in accordance with Paragraph 97.

a. Data Collection.

(1) For aircraft accidents/incidents or suspected aircraft accidents/incidents, pertinent computer data must be retained and/or extracted onto an electronic storage media (for example, diskette, CD+R, DVD, 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 preserve original computer data from possible damage, arrangements must be made to protect, copy or reproduce all pertinent data as soon as possible after an accident/incident. Copied/reproduced 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 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 the adaptation file in use at the time of the accident. Retain CDR data taken from the STARS Data Reduction and Analysis Tool (DR&A) required to replay the event on a STARS Terminal Controller Workstation display. Keep a report/memo listing software build and adaptation version in use when the CDR data was recorded. If necessary for a replay, extract a Plot Playback File with the Exercise Filter set only to Operational Data for the time period associated with the accident/incident.

(b) Common Automated Radar Terminal System (CARTS) – Retain the adaptation file in use at the time of the accident and the CDR Time Selected Output (CDTSO) so that the data can be replayed on the CARTS RETRACK system. Keep a report/memo listing the software build and adaptation version in use when the CDR data was recorded. If necessary for a replay, extract a CDR Extraction with the following data classes: Tracking Associated (TA), Tracking Unassociated (TU), Target Reports (TG), and CDR Recorded Dump (CR) for the same time period associated with the accident/incident.

(c) HOST – Retain the adaptation file in use at the time of the accident, and SAR Tapes, LCN and BCN (DSR Tapes). Keep a report/memo listing the release software build and adaptation version in use when the HOST data was recorded. If necessary for a replay, extract the files required to prepare a SATORI for the same time period associated with the accident/incident.

(d) ERAM – Retain the adaptation file in use at the time of the accident, and SAR Files and, if possible, Playback Workstation Files (Playback workstation files must be extracted within 24 hours of the accident/incident). Keep a report/memo listing the local and national release information associated with the SAR Files. If necessary for a replay, extract the files required to prepare a SATORI for the same time period associated with the accident/incident.

(e) MEARTS – Retain the adaptation file in use at the time of the accident and a CDR Time Selected Output (CDTSO) so that the data can be replayed on the MEARTS RETRACK system. Keep a report/memo listing the software build and adaptation version in use when the CDR data was recorded. If necessary for a replay, extract a CDR Extraction with the following data classes: Tracking Data (TD), Beacon Targets (BT), Radar Targets (RT), Reinforced Targets (RB), System Scan (SC), MSAW Alerts (MA), and Conflict Alerts (CA) for the same time period associated with the accident/incident.

(f) REHOST – Retain the adaptation file in use at the time of the accident and a CDR Time Selected Output so that the data can be replayed on the REHOST Replay system. Keep a report/memo listing software build and adaptation version in use when the CDR data was recorded. If a replay is necessary, use Revue. Other recording devices must be approved by the Litigation Support Group.

(g) Airport Surface Detection Equipment (ASDE-X/AMASS & TAIU Data) and Safety Logic Systems – The facility must coordinate with the Surface Surveillance Systems Team (AJW-148) to have data saved (prior to the 45 day retention built into the surface surveillance system). Facilities must advise AJW-148 what to name the data.

- (i) ASDE-X – Save both Legal Recording and SGF (engineering files) data and applicable radar map(s) current at the time of the accident.
 - (ii) AMASS – Extract AMASS logs and TAIU logs and retain applicable radar map(s) current at the time of the accident.
 - (iii) Contact Technical Operations’ Surface Surveillance Systems Team to request assistance. 9-AMC-ATOW-ASDES@FAA.GOV
- (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. All requests to the system maintenance organization manager for data will be through the air traffic facility manager or designee. Radar and computer data require authentication. Ensure radar and computer data files are certified. The Review of Services Memo (see [appendix B](#)) lists what is retained whereas, certification memos give more details about the retained and/or extracted data.

- (1) Examples of language for certification memos:
- (a) "I certify this data is derived from computer recordings from [*UTC date and UTC time*] to [*UTC date and UTC time*]."
 - (b) "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*]."
- (2) The following statement is signed by the manager or acting manager of the En Route facility when recorded en route host/ERAM computer data is transferred to a diskette or CD-R:
- “Please note that the program we used to transfer this data in the host/ERAM computer may utilize 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.”
- (3) Any Litigation/Enforcement replay made must be documented in accordance with [paragraph 97](#).

74. Data Collection Memorandums. When it is discovered that data has not been collected and/or is no longer available in accordance with this order, a memorandum must be prepared to explain what was discovered and why it happened. Insert this memorandum in the file.

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

HCF-CCF-0013

JUN-FSS-0044

OLM-FCT-0001

PRC-FCFSS-0022

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

c. Supporting same-vendor FCFs retaining information in an air traffic informal or formal accident file must use the same accident number being used by the holding 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 different FCF vendors have each created an air traffic informal or formal accident file, then the different vendors will use their own accident file number. Different vendors will not share the same accident file number.

81. Holding and Support Facilities. The holding facility is responsible for final data collection (see [paragraph 70](#)). Other air traffic facilities that provided services for, or had communication/contact regarding the accident aircraft are referred to as supporting facilities. All facilities, holding and supporting, must review their services to the aircraft and retain all data pertaining to the handling of the aircraft. (See [paragraphs 71](#) through [73](#), and [appendix B](#) for Review of Services Memo)

a. Holding Facilities:

(1) Generally have pertinent services (those services that take place after air traffic becomes aware of, or is notified of an unusual, urgent, or emergency situation by the flight crew or other sources). Holding facilities produce transcripts for each position that had pertinent services (see [paragraph 94](#)). Less often, a holding facility will have only provided routine services but are still responsible for the accident package. (For example, an IFR aircraft switched to the common traffic advisory frequency at an uncontrolled airport receives substantial damage during the landing.) Normally, holding facilities do not produce transcripts for positions that provided routine services.

(2) Must list air traffic personnel from supporting facilities with pertinent services on FAA Form 8020-6, Block 12. (Exception: FCF holding facilities do not list FAA nor other-vendor supporting facility personnel; FAA holding facilities do not list FCF supporting facility personnel.)

b. Supporting Facilities:

(1) Generally, routine services are those that take place before air traffic becomes aware of, or is notified of an unusual, urgent or emergency situation by the flight crew or other sources.

(2) Generally, pertinent services are those that take place after air traffic becomes aware of, or is notified of an unusual, urgent or emergency situation by the flight crew or other sources.

(3) At times, a facility did not provide services to the accident aircraft but has data (e.g., radar) regarding the aircraft. (See [paragraph 81c\(5\)](#))

(4) The service center, FSPO/AFSIAG, ATO Litigation Support Group, ATO Safety or the FAA IIC may change a facility's designation from having provided routine services to pertinent services. At that point, the newly designated pertinent support facility shall forward data to the holding facility as described in [paragraph 81c](#).

c. All supporting facilities forward data to the holding facility for inclusion into the accident package. (Same-vendor supporting FCF facilities forward data to their FCF holding facility. FCF supporting facilities do not forward data to other-vendor FCF holding facilities. FAA supporting facilities do not forward data to FCF holding facilities.) The amount of data forwarded to the holding facility is determined by whether the facility provided routine or pertinent services and by the type of agencies involved (FAA, FCF or military). Forward data electronically or via other means.

(1) **Supporting-Routine/Same -Type Agencies: FAA supporting facilities with FAA holding facility or FCF vendor supporting facilities with same-vendor holding facility.** Supporting facilities that provided routine services must submit their Review of Services Memo (see [paragraph 92](#) and [appendix B](#)) and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) as described in [paragraph 90b\(2\)](#) to the holding facility within eight administrative days of notification of the accident/incident. Forward the original Review of Services Memo and retain a copy. Retain air traffic data of the services provided to (or about) the accident aircraft in the accident file using the holding facility's accident file number.

(2) **Supporting-Pertinent/Same-Type Agencies: FAA supporting facilities with FAA holding facility or FCF vendor supporting facilities with same-vendor holding facility.** Supporting facilities that provided pertinent services must submit their Review of Services Memo (see [paragraph 92](#) and [appendix B](#)), FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) as described in [paragraph 90b\(2\)](#), and forward copies of all data as required in [paragraphs 71](#) through [73](#), as applicable, to the holding facility within eight administrative days of notification of the accident/incident. Forward the original Review of Services Memo and retain a copy. Retain air traffic data of the services provided to (or about) the accident aircraft in the accident file using the holding facility's accident file number.

(3) **Supporting-Routine/Other-Type Agencies: FCF vendor supporting facilities with FAA or other-vendor holding facility.** FCF supporting facilities do not submit data to other-vendor FCFs. FCF supporting facilities do submit to the FAA holding facility FAA Form 8020-6-1 and a Review of Services Memo within eight administrative days of notification of the accident/incident (FAA facilities do not submit data to FCFs).

(4) **Supporting-Pertinent/Other-Type Agencies: FCF vendor supporting facilities with FAA or other-vendor holding facility.** FCF supporting facilities do not submit data to other-vendor FCFs. FCF supporting facilities do submit to the FAA holding facility FAA Form 8020-6-1 and Review of Services Memo within eight administrative days of notification of the accident/incident. FCF supporting facilities also submit to the FAA holding facility copies of transcripts and certified working copies of voice recordings within eight administrative days of notification of the accident/incident (FAA facilities do not submit data to FCFs).

(5) **Facilities that did not provide services but have pertinent data** (see [paragraphs 72](#)). Send the FAA holding facility FAA Form 8020-6-1, and a Review of Services Memo, and a copy of pertinent data within eight administrative days of notification of the accident/incident. (FAA facilities send data to other FAA facilities but not FCFs. FCFs send data to same-vendor FCFs and FAA facilities but not to other-vendor FCFs.)

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

a. Content. The formal accident package must contain the holding facility's accident report forms, all pertinent records, transcriptions of voice recordings, charts, and facility memoranda (see [appendix B](#)). Copies of records from supporting facilities must be obtained and included in the package as follows. From supporting facilities with pertinent services, the holding facility's accident package will contain all applicable records. From supporting facilities with routine services, the holding facility's accident package will normally only contain FAA Form 8020-6-1 and the Review of Services Memo (see [paragraph 81](#)). From military facilities with routine or pertinent services, the holding facility's accident package will contain applicable equivalent documents if the military supplies them.

Unless requested by the FAA Office of Accident Investigation and Prevention (AVP), the ATO Litigation Support Group, or other 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.

b. Final Assembly. Facilities are encouraged to use the Accident Package Generator to assemble accident packages (contact the Service Center QCG for details). The facility may choose to retain an electronic and/or paper package. (Any original paper components used to produce the electronic package must be retained in the accident file.) If a paper package is made, assemble the paper 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), (aircraft types, in order of preference, should be taken from the flight progress strip/inflight contact form; the 7110.65; the FAA aircraft registry site; then the ICAO aircraft registry site) 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 accompanies the package when the package goes to the service center/FSPO for their review. The Certification Memorandum is no longer a part of the formal accident package. Therefore the certification memorandum is not distributed to the FAA IIC after the package is released.

(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 or contact regarding 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. Review of Services Memo(s) (see [paragraph 81](#) 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 initials. Do not use "for" to sign as the certifier.

(5) Section 4. FAA Form(s) 7230-4, Daily Record of Facility Operation. Include FAA Form 7230-4 from all pertinent dates. For example, the date service was provided, the date of

the accident, and the date it was reported. Any MORs related to the accident need to be included in this section as well.

(6) Section 5. Personnel Log(s). 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(s) 7230-10, Position Log(s), or automated equivalent.

(a) Towers or combined tower/TRACON and FSS. Include all positions regardless if staffed or not.

(b) TRACON, FCF 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(s). 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 current at the time of the accident, where available. 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. If able, use FAA produced diagrams (see http://www.faa.gov/airports/runway_safety/diagrams/)

(10) Section 9. Flight Progress Strip(s) (if printed) and/or In-Flight Contact Record. Make sure the name of the facility and the UTC date(s) are indicated on the page displaying the flight progress strips or contact records.

(11) Section 10. Transcription of Voice Recording(s) (see [paragraph 94](#)).

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

(13) Section 12. 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 weather entered on the 8020-6 (including remarks). PIREPs, SIGMETs, AIRMETs, TAFs, weather-related NOTAMs and other weather information should also be included.

National Climatic Data Center (NCDC) blue ribbon certified weather does not need an additional certification statement. NCDC weather is no longer recommended for Meteorological Terminal Aviation Routine Weather Reports (METARs) due to the conversions required by the person entering weather into the accident package. Other NCDC products like TAFs, AIRMETs and SIGMETs do not require conversion.

Non-blue ribbon weather needs a certification statement.

(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 (CSWU) 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 07/08/13."

(e) Air traffic facilities that do not take weather observations must include weather data in the weather products section. Air traffic facilities may obtain weather from various sources such as the CWSU, NWS and NCDC. Additionally, the Accident Package Generator (APG) may be used to obtain archived METARs.

"I certify the attached copy of the [*weather product(s)*] originated from the [*source*] (example, "APG-link to archived weather" or "National Weather Service" or National Climatic Data Center") is an accurate copy of the original."

(14) Section 13. Non-published applicable NOTAM's. (Non-published NOTAM's are of a temporary nature, like Temporary Flight Restrictions (TFRs). NOTAM's or aeronautical information of an extended nature are published in the Notices to Airmen Publication (NTAP).

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

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

(17) Section 16. Other. Include any other materials deemed pertinent; The APG will automatically generate a UTC conversion chart. (This chart is not mandatory for those who do not use the APG.)

c. 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(s) (Copies are readily identified by the 2 ½ year destroy date, versus 5 years for the original) 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 ATO Litigation Support Group within 45 calendar days of the accident.

(ii) After the ATO Litigation Support Group 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.) FAA terminal, TRACON and en route facilities will also send one copy to the ATO Litigation Support Group.

(iii) 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 AFSIAG within 30 calendar days of the accident. After review, the AFSIAG will forward one copy of the package to the ATO Litigation Support Group within 45 calendar days of the accident.

(ii) After the ATO Litigation Support Group has reviewed and released the package, the FAA FSS must send two complete packages or one electronic COPY of the package to the FAA IIC (the FAA Accident Investigation Division or FSDO, as appropriate) and one package to the ATO Litigation Support Group.

(iii) The FAA IIC must forward one copy to the NTSB within 60 calendar days of the accident.

(c) FCFSS facilities. 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:

(i) 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 ATO Litigation Support Group on a Quarterly Review Basis. (FSPO will forward five FCFSS DRAFTS to the ATO Litigation Support Group per quarter by the 20th of the last month of the quarter. Quarterly Review periods include October, January, April, and July.) After the ATO Litigation Support Group has reviewed and released the package, or if the package is not part of

the Quarterly Review process, the facility must forward one copy to the FAA IIC who will then forward it to the NTSB within 60 calendar days after the accident.

(ii) 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 82c\(1\)\(c\)\(i\)](#). A memorandum from the FCF manager or acting manager must accompany any change(s) with a complete explanation of the change.

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

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 initials. 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](#)). The certification memorandum is not part of the accident package, but is retained in the accident file.

84. Informal Accident File Data Collection. When an aircraft accident does not require data collection in accordance with a formal accident file (see [paragraph 71](#)) data must be retained in an informal file.

a. Holding facilities or their representative (e.g., Service Center) must notify other facilities that may have supporting data. Supporting and holding facilities must:

(1) FAA holding facilities will retain FAA and FCF supporting (routine, pertinent, or no services but have data) facilities' Review of Services Memo and FAA Form 8020-6-1. FAA holding facilities will also retain supporting military facilities' equivalent documents if the military supplies them. No other FCF documents are retained in the FAA air traffic informal accident file without the permission of the ATO Litigation Support Group.

(2) FCF holding facilities will retain same-vendor FCF supporting (routine, pertinent, or no services but have data) facilities' Review of Services Memo and FAA Form 8020-6-1. FCF holding facilities do not retain FAA or other-vendor FCF data in their informal file.

b. Supporting (routine, pertinent, or no services but have data) facilities must submit their Review of Services Memo and FAA Form 8020-6-1 to the FAA holding and/or same-vendor holding facility within 8 administrative days of notification of the accident/incident. Forward the

original Review of Services Memo and retain a copy (FCF vendors do not submit their Review of Services Memo or FAA Form 8020-6-1 to other-vendor FCFs).

c. Holding and Support Facilities informal accident file will include, as applicable:

- (1) FAA Form 8020-3 (see [paragraph 65](#)).
- (2) FAA Form 8020-9 (see [paragraph 66](#)).
- (3) FAA Forms 8020-6 (8020-6 applies to holding facility only) and 8020-6-1 (see [paragraph 90](#)).
- (4) FAA Form 7230-10, Position Logs.
- (5) FAA Form 7230-4, Daily Record of Facility and Personnel Log.
- (6) Voice recordings and copies made in accordance with [paragraph 93](#).
- (7) Radar and Computer Data (see [paragraph 73](#)).
- (8) Review of Services Memo.
- (9) 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(s) or flight number(s), aircraft type(s), accident UTC date and UTC time, and the UTC date the file is to be destroyed. (Aircraft types, in order of preference, should be taken from the flight progress strip/inflight contact form; the 7110.65; the FAA aircraft registry site; then the ICAO aircraft registry site.)

85. Review of Formal/Informal Files. The ATO Litigation Office, or its designee, has the authority to direct facilities to add or reduce content of the accident file. This direction must be in written form, either e-mail or memo. Additionally, the ATO Litigation Support Group may review file content and format at its discretion. (See [paragraph 82c](#) for procedures on the review of accident packages.)

86. Changes to the Accident Package After the Package was Released. Should corrections to the FAA or FCT accident package become necessary, all changes must be distributed in the same manner as outlined in [paragraph 82c \(1\)](#). A memorandum from the facility manager or acting manager must accompany any change(s) with a complete explanation of the change(s).

87.–89. RESERVED

Chapter 6. Preparation of Forms, Personnel Statements, Certification of Data, 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. Only holding facilities complete this Form, supporting facilities do not.

(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 (Aircraft types, in order of preference, should be taken from the flight progress strip/inflight contact form; the 7110.65; the FAA aircraft registry site; then the ICAO aircraft registry site.). 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* (required). 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. *Latitude/Longitude* (optional). If latitude/longitude are entered then standard latitude/longitude DD MM SS format should be used. The APG Software will use latitude/longitude to automatically find the nearest weather reporting station(s).

(5) Block 4. Nature of Accident. A brief factual statement of the accident must be included if known. Do not use language that suggests the cause of the accident (the NTSB determines the cause of the accident). Examples of factual statements: taxiing collisions, landed with gear up, landed off-airport, 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. Use UTC date and UTC time for each weather report. The statement "weather not available" or "not applicable" must not be used if the date, time, and location of the accident are known. (PIREPs are not appropriate in Block 11 but should be included in the weather products section.) *Time*: Enter the last reported weather observation at or prior to the time of the accident. Then enter the first reported weather observation subsequent to the accident. *Location*: If conditions/reports are not available at the scene, identify and use the nearest reporting station. If this is an international station use the ICAO state.

(13) Block 12. Air Traffic Personnel Involved.

(a) List the names of personnel involved (first, middle name or initial, last) (described in [paragraph 91d\(6\)](#)) in chronological order. For Block 12, this means any person that provided pertinent services. This may include, for example, an OM/FLM/CIC not signed on a control position; or someone that responded to a point out request). Personnel that provided routine services (holding or supporting facility) are not listed in this Block.

(b) The operating initials for each controller must be placed 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. The signature must be the same as the typed name. Do not use initials.

(15) Block 14. Chronological Summary of Flight (FAA Form 8020-6-1). Block 14 must be completed by all involved air traffic facilities that provided pertinent, routine or no services but has data. Block 14 (or FAA Form 8020-6-1) is a complete chronological summary of the flight that describes all pertinent communications, emergency assistance, and other air traffic services provided to the aircraft. This information must be correct. All the 8020-6-1

forms retained by the holding facility provide a history of the flight. 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." If the chronological summary involves more than one date then type subsequent dates. 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](#)).

91. FAA Form 8020-26, Personnel Statements.

a. Personnel statements are not required for aircraft accidents/incidents. Personnel statements must be completed when an employee providing air traffic services determines that pilot, airman, or other's actions may have violated the Code of Federal Regulations, an air traffic control procedure, a North American Aerospace Defense Command Zone, or an Air Defense Identification Zone tolerance.

b. General.

(1) FAA Form 8020-26 is prepared and used to provide information concerning the circumstances that cannot be retrieved via some type of recorded data source. Facts concerning what was observed and what actions were taken may not have been completely captured. The purpose of the personnel statement is to provide any facts or knowledge that will provide a complete understanding of the circumstances surrounding the occurrence. . Include facts that are not available from the recorded audio, radar and keyboard data (for example, what was seen out the window, physically pointed out, non-recorded coordination, etc.). 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 enforcement activities.

(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. When the accident package generator provides e-signatures then keyboard entries in Block 10 are permitted. If additional space is needed do not write on the back of the form. At the end of Block 10 write "page 1 of 2" along with initials or signature. the Attach a second 8020-26 form or use a blank paper; write "continued from page 1" at the top of the new 8020-26 or blank page. Sign and date the second form or blank paper.

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 occurrence. 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 Occurrence. (City and State.)
- (5) Block 5. Date/Time of Occurrence (UTC).
- (6) Block 6. Name. Witness' name (i.e., first, middle name or initial, last) 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 occurrence 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. Indicate if the personnel statement is the original or a supplemental statement.
- (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. While preparing the personnel statement, if it becomes necessary to make a correction to a hand written statement (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. (In this case the date will be the same date as Block 12's "Date of Signature"). 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. Supplemental statements are attached to the original statement.

92. The Review of Services Memo and the Certification of Extracted Data. There are two basic types of certification, a certification of retained data and a certification of extracted data. (See paragraph 73 for an explanation of retained and extracted data.)

a. Certification of Retained Data. The Review of Services Memo certifies what is retained by involved facilities. Each involved facility must indicate if they provided routine, pertinent, or no services but has data (see [appendix B](#)). The Review of Services Memo must list each item retained in the accident file (or package) regardless if the document is individually certified or not. The Review of Services Memo must be signed by the facility manager or acting facility manager using the following format:

"I certify that the following originals/digital copies of the original 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. Supporting facilities send the original Review of Services Memo to the holding facility and keep a copy of the memo in the supporting facility's file.

b. Certification of Extracted Data. This order does not require all extracted data to be individually certified. (FAA Form 7230-4, Daily Record of Facility Operation, for example, has its own certification statement.) Extracted data that does require an individual certification are identified in this Order. The certification signature follows the guidance above. For more details, refer to:

- (1) Non-Blue Ribbon Weather Products (see [paragraph 82b\(13\)](#)).
- (2) Voice recordings (see [paragraph 93](#)).
- (3) Transcripts (see [paragraph 94](#)).
- (4) Litigation/Enforcement replays and/or plots (see [paragraphs 96 and 115](#)).
- (5) Radar and Computer Data (see [paragraph 115](#)).

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(s) are referred to as the "Working Copy."

a. Direction for all Recording Systems. When a facility must retain voice data, the following principles apply for any recording system. The term "contact" (as used in this paragraph) is defined as communication and/or coordination with or about the subject aircraft. Therefore, retained voice data must include all communications and/or coordination pertaining to the subject aircraft even if a transmission is not completed or acknowledged. This definition may be extended to include transmissions and/or coordination involving search and rescue efforts, crash-fire rescue, "attention all aircraft" broadcasts, weather advisories, recorded phone lines, as well as all Automatic Terminal Information Service (ATIS)/Automatic Flight Information Service (AFIS) 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 ATO Litigation Support Group through the service center, AFSIAG, or FSPO.

(1) Determine all recorded contact(s) regarding the subject aircraft. Protect the recording(s) from being altered, damaged or lost.

(2) Produce and certify the original copy and working copies.

(a) Certified copies of the recording must include all communications, including time track, pertinent to the accident from a period of 30 minutes before the initial contact to 30 minutes after last contact (FCFSS facilities do not need to include any time before initial contact, nor after last contact).

(b) Ensure any certified copies include a time track/channel (provided the voice recording system has a time channel).

(c) Check all certified copies for adequate quality of voice and time.

(d) Each position of operation will be certified separate and independent of other positions.

(e) A voice announcement preceding the original or working copy(s) 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, incident, occurrence*] involving [*aircraft identification(s)*] on [*date, UTC*] at approximately [*time, UTC*]. The agencies/facilities involved in this [*type of accident, incident, occurrence*] are [*agency/facilities name; do not use abbreviations*]. The position(s) of operation being copied is/are [*position, for example, local control, ground control, R34R, etc.*].”

(f) 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 [*time, UTC*] to [*time, UTC*] on [*date, UTC*].

(g) Conclude the copy of each position with the following statement:

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

(h) Conclude the copy with a closing statement:

“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*].”

(3) Clearly mark the contents of the copies and of the recording (i.e., label the original copy you placed on a tape/disc, write an electronic tag on the hard drive where the recording is stored).

(4) All the storage media on which the original or working copies are made (CD-R, DVD, etc.) must be marked properly (aircraft accident, incident, occurrence) number, aircraft identification, the UTC date of the occurrence, facility name, and position(s) with the UTC times encompassing each copy. Copies stored on a computer or similar device should be marked the same to the extent practical.

b. Direction for Specific Recording Systems.

(1) Digital Voice Recorder System (DVRS).

(a) Facilities must preserve the DAT tape(s) which hold the recording. The recording must be used to produce an original copy and working copy. Facilities using a DVRS may elect to produce a wave (.wav) file instead of cassette tape for the original and working copy(s) of the recording. The original and working copies must be labeled. 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.

(b) 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. Compressed digital formats (MP3, AAC, WMA, etc.) for certified copies of the recording are not permitted.

(c) 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](#)).

(d) 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.”

(2) Digital Audio Legal Recorder (DALR).

(a) Air traffic facilities using DALR must export the Organizer Incident containing the proprietary .incident and .NMF files. Additionally, air traffic facilities must produce and label an original copy and working copy(s). The original copy is held in a folder containing the .htm file, .xml file and .jpg file 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 should not turn off the DALR system when the facilities close, however air traffic managers should develop procedures to ensure that frequencies are not recorded when facilities are officially closed.

(b) 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. Compressed digital formats (MP3, AAC, WMA, etc.) for certified copies of original voice data are not permitted.

(c) 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](#)).

(3) Tape Reel and Copies on Cassette Tape.

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

(b) Copies of the recording must be made using stereo equipment and digital time. Do not use the speaker-to-microphone method. 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.”)

c. Direction for Release of Data in Specific Situations.

(1) When voice data is released for time periods other than described in [paragraph 93](#), the facility must also retain a copy of the released certified copy and keep a record of to whom it was released and by what authority.

(2) Coordination for release of ATC voice communications to Public Affairs must be accomplished through the ATO Litigation Support Group and the service centers, and the FSPO as appropriate.

(3) When copies of recordings are altered for training purposes, retain an unaltered copy and label the altered copy “Modified for Training Purposes Only.”

94. Transcription of Voice Recordings.

a. Typewritten partial transcriptions must be prepared by all facilities with pertinent services for formal accident packages. Additionally, the FAA IIC, the ATO Litigation Support Group, Service Center, the Office of Chief Counsel, or the FSPO may require transcriptions in other situations, such as from facilities with routine services. The standard practice is to make a partial transcript. However, when specifically requested by the FAA Accident Investigation Division, the ATO Litigation Support Group, Service Center, Office of the Chief Counsel, 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, facilities with pertinent services prepare partial transcripts to include 30 minutes before initial contact until 30 minutes after the last contact (see [paragraph 93](#)). The transcript must contain all recorded communication about the subject aircraft.

(2) Each operational position (e.g., ground control, local control, radar, radar associate, etc.) must be transcribed separately. Transcriptions are made of the position, not of the individual controller or frequency. Do not transcribe ATIS recordings unless specifically requested. Do not integrate different operational positions into the transcription unless requested by the FAA Accident Investigation Division, the ATO Litigation Support Group, the Service Center, or FSPO. In situations where a facility has both position(s) that provided pertinent services and position(s) that provided routine services then only the position(s) with pertinent services are transcribed, unless otherwise directed.

NOTE: For situations where an aircraft entered and exited a sector more than once or a direct flight that had a stop at an intermediary airport, contact the ATO Litigation Support Group.

(3) The full transcript for time periods in accordance with [paragraph 94c](#) must contain all recorded communications.

(4) When a transcript is requested before the transcript has been certified, ensure the transcript is watermarked "DRAFT." Retain a record of these releases. Transcript's should not be released until completed and vetted by the Quality Control Group in coordination with the Litigation Support Group.

b. Those facilities providing routine services (see [paragraph 81](#)) do not need to provide a transcript unless requested by the FAA IIC, the ATO Litigation Support Group, ATO Compliance Services Group, 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 ATO Litigation Office, the service center, or FSPO, a complete typewritten full transcription must be prepared. Unless directed otherwise, full transcripts will be for a period five minutes before initial contact until five minutes after the last contact with the subject aircraft. Each operational position (e.g., 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 ATO Litigation Office.

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. Facilities indicated in the transcription must be spelled out using the facility name, followed by the appropriate abbreviation: (ARTCC, ATCT, CCF, FCT, NFCT, FCFSS, 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. Aircraft type (e.g., "BE35") is optional.

(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 (do
not use initials)

Name

Title

Name of Facility

(2) The transcription text 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) A transmission begins with or extends through a cardinal minute, the next cardinal minute must be indicated (see [appendix B](#)).

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

(3) 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 (e.g., (unintelligible)) in the proper location. When an interpretation of a garbled word or portion of a word is required, the interpretation must be enclosed in parentheses and preceded by an asterisk. An asterisked (*) footnote following the transcription must read:

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

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

(4) 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.

(5) 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 ATO Litigation Office and the service centers, and the FSPO as appropriate.

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 Air Traffic Aircraft Accident Package Program. The preferred method for the preparation of accident and occurrence packages is the Automated Air Traffic Accident Package Program. Contact your QCG office for installation instructions.

96. Litigation/Enforcement Replays. Litigation/enforcement replays from retained/extracted data are generally made if the need arises (e.g., for litigation or enforcement proceedings), rather than producing litigation/enforcement replays for every aircraft accident/incident/occurrence. For the purposes of this order, litigation/enforcement replays must meet the requirements of the Federal Rules of Evidence. (Other types of replays such as Falcon3 are excellent demonstrative tools that may be used prior to court proceedings.) Litigation/enforcement replays and other productions must be documented in accordance with [paragraph 97](#).

Litigation/enforcement replays should only be made for the time period of five minutes before the occurrence to five minutes after the occurrence. If additional time is needed then the ATO Litigation Support Group, AGC, QCG or AFS may require the facility to produce an additional *litigation/enforcement* replay(s). Unless otherwise coordinated, litigation/enforcement replays must utilize radar target data and track data (vs. only track data). Replay tools that use radar target data include ERAM workstation replay, SATORI, RAPTOR, INSTANT, or other products approved by the ATO Litigation Support Group. Filters must be set to ensure radar (primary and/or secondary) data is used in building the replay.

a. Radar data used to create litigation/enforcement replays must be retained in the facility file along with the output recording (.avi, .wmv, etc). A record must be kept of the extracted radar data and filter settings, who created the radar replay and what program(s) was used, map(s) used, and the date it was produced. This certification record should be added to the *litigation/enforcement* replay, such as a “label” that is on the beginning of a Camtasia recording. (See [paragraph 97](#))

b. If the *litigation/enforcement* replay is not outputted in a self-playing format, the replay must be recorded by screen and audio capturing software and output set to a .wmv file or other file extension playable by most computers. Some file extensions produced by capture/recording software can only be viewed if certain CODEC [data conversion] reside on the viewer’s computer.

c. The ATO does not release FAA proprietary software (e.g., Raptor and Satori) to the public. Individual files, however, may be released (e.g., “___satori”). Because these individual files cannot be viewed by the public without the proprietary software, replays provide the public a vehicle by which to view the files. Litigation/enforcement replays may be made with “Camtasia” or other off the shelf screen capture software.

d. Plots must utilize the data extracted from the automation system. NOP data must not be used. Radar data used to create plots must be retained in the facility file along with the output. A record must be kept of the extracted radar data and filter settings, who created the radar plot and what program(s) was used, map(s) used, and the date it was produced. This certification record should be added to the plot, such as a “label” that is attached to or on the plot.

97. Production Credits. When a presentation is produced from raw data, such as a “.SATORI” file from SAR tapes, accompany the presentation with the name of the producer, the date made, the raw data used, the software and version used. These production credits may be listed in the presentation itself or placed on the label of the storage media (e.g., on the label of the CD-R). Any subsequent modifications, such as recording the SATORI presentation with CAMTASIA, also require production credits.

98.-99. RESERVED

Chapter 7. Retention of Aircraft Accident Files

100. Security of Original 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 from the ATO Litigation Support Group (i.e., chain-of-custody) before the release or destruction of any original document 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 overnight delivery service with signature of the person accepting delivery.

101. Retention and Disposal of Aircraft Accident and Aircraft Incident Records. Retain formal and informal aircraft accident and aircraft incident records as follows:

a. Formal Accident File Containing Original Documents and Facility Accident Package. The file and any original documents/data it contains must be kept in a secure filing cabinet. If components of the file, such as HOST SAR tapes or ASDE-X data, are kept in a separate secure area then make note of the alternate storage site in the accident file. 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, or for FOIA, or other reasons, it must be clearly marked as such and the date to be destroyed must be obliterated. The file must be destroyed five years after the accident date except in litigation cases when it must be held until a written notification is received from the ATO Litigation Support Group that all litigation has been completed. The file must then be destroyed upon receipt of the ATO Litigation Support Group 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 FAA record retention schedule.

b. For an aircraft accident:

- (1) Requiring a formal accident package and file – 5 years.
- (2) Requiring an informal accident file – 2½ years.

c. For an aircraft incident – 2 ½ years.

d. For events that AFS determined did not meet the definition of an accident or an incident, retain data used in the investigation – 45 Days.

e. For FOIA related to Accidents/Incidents - Retain in the facility's accident/incident file all incoming FOIA requests; and a listing of the records provided to the Service Center FOIA program office. The FOIA program office should subsequently send the facility a copy of the

Agency's response letter to the requestor. Retain this in the file as well. FOIA related data in the file is retained for the life of the accident/incident file or that specified for FOIA in FAAO 1270.1, whichever is longer. The Service Center FOIA program office retains in their file everything relative to the FOIA request. This includes a copy of all responsive records that were released, as well as those withheld in accordance with the FOIA exemptions. However, at the direction of the Service Center FOIA program office, the responsive records may be retained at the facility.

f. Records released outside the agency that are not a part of the FOIA process – 2 ½ years after the request was received.

g. Upon the request of the FAA Accident and Prevention Division, the FAA IIC, the ATO Litigation Support Group, or ATO Safety Compliance Services Group, original recordings (for example, the DAT tape) and original copies must be held until written release is obtained.

h. 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.

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

j. 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.

k. 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.

l. 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 existing forms and documentation 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 ATO Litigation Support Group.

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

102. Holds Placed on Records. Holds may be placed by the ATO Litigation Support Group, ATO Safety Compliance Services Group, service center, Office of Chief Counsel, FSPO, or FOIA request. In these cases, records must be held and clearly marked with "Hold," the reason (FOIA, litigation, etc.), the aircraft registration or flight number, and the accident UTC date. When records are being held for FOIA requests, obtain a release from the ATO Litigation Support Group after the FOIA hold has expired. This is to ensure that the Office of Chief Counsel, Litigation Division, is aware of FOIA activity. Coordination for release of records to Public Affairs must be accomplished through the ATO Litigation Support Group and the service centers, or FSPO as appropriate. When facilities, service centers, or the FSPO receive notification to hold records for litigation they must search email records and impound all electronic communications regarding the litigation records. As a minimum, the search of email (folders, archives) must include the accident package number and aircraft identification.

103.-109. RESERVED

Chapter 8. Reporting and Notification Responsibilities for Occurrences

110. General.

a. Occurrences. Any employee providing air traffic services who determines a pilot, airman, or other's actions may have violated the Code of Federal Regulations, an air traffic control procedure, a North American Aerospace Defense Command Zone, an Air Defense Identification Zone tolerance, or meets the definition of a Mandatory Occurrence Report (MOR) see FAA Order 7210.632 Air Traffic Organization Occurrence Reporting must report the occurrence.

NOTE: Submission of a VSRP report satisfies non-management employees' requirement to report except when the employee providing air traffic services determines that pilot actions affected the safety of operations (Reference 7210.632).

b. Process. The QAG examines the occurrence and determines whether to forward it to AFS, Airports and/or the military via the appropriate form. For occurrences that are forwarded, QAG must prepare and forward the completed FAA Form 8020-17, 8020-21, or 8020-24 within 10 calendar days of the event to flight standards or airports division, and the military as appropriate. QAG must also notify the air traffic facility involved in the occurrence to collect and retain data IAW this chapter. In response, the air traffic facility determines the history of the flight in order to identify all involved facilities and to retain pertinent air traffic data associated with the occurrence. The QCG may assist the facility in determining applicable air traffic data and identifying other facilities with pertinent data.

c. Collaboration. To adjudicate occurrences investigated and enforced by Flight Standards the Office of Chief Counsel routinely requires evidence of the clearance issued in addition to evidence of the clearance violated. Air traffic facilities, QAG and QCG offices may develop procedures beyond those contained in this Chapter to ensure all air traffic clearances and instructions relevant to the occurrence are retained from involved facilities. After QAG notifies Facility XYZ to collect and retain data, then XYZ may use the checklist in the APG software as an aid. (e.g., a route violation observed by an en route facility will require supporting evidence from the terminal facility that issued the route clearance.)

111. FAA Contract Facilities (FCF). Unless otherwise indicated in the following paragraphs or specifically directed by the ATO Litigation Support Group, FCFs must follow the same procedures as those outlined for FAA air traffic facilities. This includes, but is not limited to, the collection and retention of air traffic data.

112. Air Traffic Facility Responsibilities. When the employee providing air traffic services determines that pilot, airman, or other's actions may have violated the Code of Federal Regulations, an air traffic control procedure, a North American Aerospace Defense Command Zone, or an Air Defense Identification Zone tolerance the employee must:

a. Notify the pilot. Workload permitting, using the following phraseology (Brasher Warning):

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

b. When workload or circumstances do not permit for the immediate notification to 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. Alternative action(s) should be described in the MOR.

c. Notify the watch supervisor, or controller-in-charge as appropriate, of the circumstances involved so the occurrence can be reported IAW FAA Order JO 7210.632.

d. Make a record of conversation (and/or retain recorded telephone conversations) when the pilot calls. Gather pertinent information such as the pilot's name, certificate number and contact information.

e. Obtain personnel statements (FAA Form 8020-26, see [paragraph 91](#)) from involved personnel.

f. When advised by QAG collect and retain pertinent data associated with the occurrence. The QCG may assist in determining the complete circumstances surrounding the occurrence and subsequent data collection. Ensure the violation and original clearance/instruction are retained. More than one facility may have relevant data. The APG software may be used as an aid.

g. For occurrences that require pertinent information from a flight service station contact AFSIAG or FSPO to obtain data. (Unauthorized flight into TFRs or SFRAs are examples where pilot pre-flight or in-flight briefings must be included.) The QCG may assist in contacting AFSIAG or FSPO to have the FSS or FCFSS collect pertinent data.

h. For occurrences that require pertinent information from a flight planning contractor contact both DTC DUAT and CSC DUATS. (Unauthorized flight into TFRs or SFRAs are examples where flight planning services must be included.) The QCG may assist in contacting DTC DUAT and/or CSC DUATS.

(1) Call Data Transformation Corporation (DTC) DUAT 800-243-3828. Follow up the phone request with a FAX (with letterhead) 888-445-3828.

(2) Call Computer Science Corporation (CSC) DUATS 703-818-5666. Follow up the phone request with a FAX (with letterhead) 703-818-4593.

i. The facility where the occurrence happened must produce an enforcement replay or plot (see [paragraph 115](#)) when needed for enforcement court proceedings. Generally, QCG or the Litigation Support Group will notify the facility on behalf of AFS that an enforcement replay or plot is needed. (Note that QAG may have already provided AFS with a picture or video of the occurrence. These products from QAG are different from the enforcement replay or plot described in [paragraph 115](#). The QCG or ATO Litigation Support Group may assist in producing the enforcement replay or plot.)

j. Follow the MOR process for incidents not observed by but reported to air traffic (e.g. Public Inquiry).

k. Produce a certified index listing the data held at your facility.

l. Produce a memo from the facility manager (or acting manager) addressed to the facility's file listing the data retained by the facility. For example, "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. Do not use initials.

m. Produce a certified partial or full transcript of requested by the ATO Litigation Support Group, QCG, FSPO or regional counsel.

n. Retain all pertinent data (see [paragraph 115](#)). Originals remain at the facility that produced them.

113. Quality Assurance Group (QAG) Responsibilities.

a. Any QAG employee who determines that pilot, airman, or other's actions may have affected the safety of operations, violated the Code of Federal Regulations, an air traffic control procedure, a North American Aerospace Defense Zone, or an Air Defense Identification Zone must forward the occurrence to AFS, Airports (and/or the military).

b. Within 10 days of the occurrence prepare and submit FAA Form 8020-17, 8020-21, or 8020-24 electronically via AT Quality Assurance (ATQA). If ATQA is unavailable, manually submit the forms to AFS. (See [appendix A](#) for forms and instructions on incident report numbers.)

c. Notify the facility(s) to collect and retain pertinent air traffic data associated with the occurrence. (see [paragraph 115](#)).

d. Notify other offices as required. For example, notify the appropriate service center military representative when military aircraft and/or facilities are involved.

e. Via CEDAR or other means, retain all pertinent data used in the decision to forward the occurrence.

114. Quality Control Group (QCG) Responsibilities.

a. Assist the facility in determining the complete circumstances surrounding the occurrence; contacting other facilities for pertinent data; and collecting data.

b. Function as the focal point for data requests from the ATO Litigation Support Group, AFS and AGC.

c. Assist facilities in producing Litigation/Enforcement replays.

d. Assist facilities in producing a certified partial or full transcript if requested by the ATO Litigation Support Group or regional counsel. Forward the transcript within 10 administrative days of the request.

e. Assist air traffic facilities on occurrences known to air traffic solely through Flight Standard's investigation of an Aviation Safety Action Program (ASAP) filing. (Documentation gathered and given to FSDO is categorized as an inquiry occurrence. Retain documentation for 2 ½ years. Label the file IAW [paragraph 115](#)).

115. Required Data Provided to AFS, Airports Division, or Military in Support of Air Traffic Occurrences. Each involved facility or office must retain the data that originated from or was produced by that facility. Copies of data must be distributed through KSN. In addition to audio include applicable computer, radar, and other air traffic data :

a. Audio Data.

Determine all pertinent conversations or contacts. Involved facilities record voice data from 15 minutes before initial conversation or contact until 15 minutes after last conversation or contact. Pertinent recorded telephone conversations must also be included. Pertinent non-recorded telephone conversations must be documented and retained (e.g., OMICs, FLMs, CICs document non-recorded conversations). When speaking with the pilot, verify name, certificate number, two telephone numbers of the pilot in command, and comprehensive flight history. Make voice recordings IAW [paragraph 93](#).

b. Radar and Computer Data.

Involved facilities retain pertinent radar and computer data from 15 minutes before the occurrence to 15 minutes after the occurrence. Radar and computer data should coincide with audio data and communicate the complete circumstances surrounding the occurrence.

(1) Computer data must be retained and/or extracted onto an electronic storage media (e.g., diskette, CD+R, DVD, etc.). Ensure the completeness and accuracy of the transferred data onto the electronic storage media.

(2) To preserve original computer data from possible damage, arrangements must be made to protect, copy or reproduce all pertinent data as soon as possible after notification that QAG is forwarding the occurrence outside of the ATO. Copied/reproduced data must reflect the same time period as all original data pertaining to the occurrence.

(3) If the radar product does not display boundaries or geographical references, ensure the file contains any associated data supporting the occurrence (e.g., TFR parameters, airspace boundaries, radar maps, etc.).

(4) Facilities providing radar data, but no voice data, will coordinate for the time period of the radar data. The QCG may assist in this coordination.

(5) Radar and Automation data must be retained in sufficient quantity in order to be able to reasonably recreate the event on the automation platform that recorded the data. Refer to [paragraph 73a\(3\) through 73a\(5\)](#) for data retention.

c. Radar and Computer Data Certification.

Radar and computer data require authentication from involved facilities. Ensure radar and computer data files are certified:

(1) Retained radar and computer data. In a memo to the file list what is retained, by whom, and how it is labeled.

(2) Extracted radar and computer data. In a memo to the file list what was produced from the retained radar or computer data, by whom, and how it is labeled.

(3) Examples of language for certification memos:

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

(b) 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*]."

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

(5) 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 accepted electronic storage media (e.g., diskette, CD+R, etc.). This does not apply to ERAM facilities.

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

d. Litigation/Enforcement Replays.

Litigation/Enforcement replays should only be made for the time period of five minutes before the occurrence to five minutes after the occurrence. If it subsequently comes to light that exculpatory evidence resides outside that time period, then the ATO Litigation Support Group, AGC, QCG or AFS may require the facility to produce an additional replay(s). Unless otherwise coordinated, Litigation/Enforcement replays must utilize radar target data and track data (vs. only track data). Replay tools that use radar target data include ERAM workstation replay,

SATORI, RAPTOR, INSTANT, or other products approved by the ATO Litigation Support Group. Filters must be set to ensure radar (primary and/or secondary) data is used in building the replay.

(1) Radar data used to create Litigation/Enforcement replays must be retained in the facility file along with the output recording (.avi, .wmv, etc.). A record must be kept of the extracted radar data and filter settings, who created the radar replay and what program(s) was used, map(s) used, and the date it was produced. This certification record should be added to the replay, such as a “label” that is on the beginning of a Camtasia recording. (See paragraph 97)

(2) If the Litigation/Enforcement replay is not outputted in a self-playing format, the replay must be recorded by screen and audio capturing software and output set to a .wmv file or other file extension playable by most computers. Some file extensions produced by capture/recording software can only be viewed if certain CODEC [data conversion] reside on the viewer’s computer.

(3) The ATO does not release FAA proprietary software (e.g., Raptor and Satori) to the public. Individual files, however, may be released (e.g., “___.satori”). Because these individual files cannot be viewed by the public without the proprietary software, replays provide the public a vehicle by which to view the files. Replays may be made with “Camtasia” or other off the shelf screen capture software.

(4) Plots must utilize the data extracted from the automation system. NOP data must not be used. Radar data used to create plots must be retained in the facility file along with the output. A record must be kept of the extracted radar data and filter settings, who created the radar plot and what program(s) was used, map(s) used, and the date it was produced. This certification record should be added to the plot, such as a “label” that is attached to or on the plot.

(5) Plots must be output to commonly accepted format such as “xxx.pdf”.

e. Examples of additional Air Traffic Data.

(1) Completed personnel statement (FAA Form 8020-26) containing a factual narrative from those individuals that reported the occurrence or have pertinent information concerning the occurrence.

(2) Charts (for example, minimum vectoring altitude (MVA), approach plates).

(3) System Service Reviews (SSR).

(4) Letters of agreement.

(5) Facility directives.

(6) Email or other communications containing exchanges of information relevant to the facts of the occurrence.

(7) FAA Form 7210-13 (MOR) and/or EOR; and FAA Form 8020-17, 8020-21, or 8020-24.

(8) DUAT and/or DUATS information.

(9) Controller-Pilot Data Link Communications (CPDLC).

(10) NOTAMs, SIGMETs, AIRMETs, PIREPs, TFRs, SFRAs.

(11) Various FAA and Contractor Data such as ADS-B, Systems Information Area, and ARINC Data Network Service (ADNS) data.

(12) FSS or FCFSS event reconstruction (EVR) data.

(13) If requested by the ATO Litigation Support Group, QCG, FSPO, or regional counsel, prepare and forward within 10 administrative days of the request, a certified partial or full transcript of the recorded communications.

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

f. Retention.

(1) Involved facilities retain records and files for 2 ½ years unless otherwise advised by the ATO Litigation Support Group, QCG, AFSIAG or FSPO.

(2) Affix a label (maximum size 3" x 5") to the file. The label must be clearly marked: occurrence number, 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.

116.-129. RESERVED

Chapter 9. Aircraft Accident Investigation Responsibilities

SECTION I. 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. ATO Safety Compliance Services Group 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 ATO Safety Compliance Services Group 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 II. 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 the ATO Safety Compliance Services Group, 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 ATO Litigation Support Group or regional or Chief Counsel's office as appropriate.

e. Arrange, through 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. Provide personnel with information on their responsibilities and obligations concerning NTSB requests for interview, drug tests, or toxicology tests.

***NOTE:** The ATO Litigation Support Group can also provide assistance on regarding investigations procedures.*

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 ATO Litigation Support Group 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 the ATO Safety Compliance Services Group 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 III. 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 Technical Operations Aircraft Accident Representative (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 National Enterprise Operations (NEO) Director 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 National TOAAR (NTOAAR). The NTOAAR is responsible for:

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

- (2) Providing a national focal point for 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). Technical Operations Aircraft Accident Packages are independent of and separate from Air Traffic Accident Packages.
- (5) Coordinating and processing all requests for documentation, information, and assistance involving aircraft accident investigations, litigation and operational support as requested.
- (6) Providing an annual program review to the NEO Director, as requested.

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 response.

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 Operations District Manager (DM) 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.

i. The System Support Center Manager (SSCM) is responsible for final review and approval of the Technical Operations aircraft accident package.

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 required for notification must be recorded on the TOAAR Checklist. The completed checklist must be pasted into the aircraft accident log. An example of the TOAAR checklist is in [figure 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 TOAARs, propagating the identity of the Duty TOAAR, determining the scope of NAS equipment and facility involvement, if any, and defining the prudent level of investigative activities (see [paragraph 156](#)). The Duty TOAAR may contact the Service Area QCG duty specialist through the reporting ROC to obtain any required information.

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. The Duty TOAAR may contact the Service Area Quality Control Group (QCG) Duty Specialist through the reporting ROC to obtain any required information.

(1) Accidents/incidents 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) When an aircraft accident/incident is excluded from notification by [paragraphs 156a\(1\), \(2\) or-\(3\)](#), the aircraft accident/incident checklist (Fig. 9-3-1) is not required to be completed. The accident/incident still requires an administrative-log entry in accordance with FAA Order 6000.15 (Chapter 2, Section 3; maintenance logs). The administrative log entry must clearly state the reason for the exclusion from the notification procedure.

(5) For IFR accidents not excluded from notification by [paragraphs 156a\(1\), \(2\) or\(3\)](#) 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).

(6) For VMC accidents not excluded from notification by [paragraphs 156a\(1\), \(2\) or\(3\)](#), and which involve multiple service areas, the TOAAR to be notified is selected from the service area within whose boundary the accident occurred.

(7) For IFR accidents not excluded from notification by [paragraphs 156a\(1\), \(2\) or\(3\)](#), 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, 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.

(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, Ground Based Augmentation Systems (GBAS), and en route navigation facilities upon which terminal approaches are based) may be excluded from further consideration for all VFR accidents, and for IFR accidents if any of the following three items is true:

(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.

(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) point 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) If an aircraft accident/incident occurs while an aircraft is conducting a GPS based approach; advise the Satellite Operations Specialist at 800-272-2989 and request a Signal in Space (SiS) analysis report. Provide the Satellite Operations Specialist with the location and the time of the accident. The analysis will be provided to the NTOAAR by the Satellite Operations Group for archiving.

(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, ASDE, LLWAS, TDWR, and RVR) must be left in service and their data archived (see [paragraph 157b\(1\)](#)).

(2) Potentially suspect facilities, either Federally owned or non-Federally owned, 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. 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, an after-accident flight inspection, followed by a facility certification, may be necessary or appropriate. Adjustments must not be made to any facility awaiting post-accident flight inspection.

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

(ii) An after-accident 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.).

(iii) If the circumstances of the accident warrant, the Duty TOAAR or NTOAAR may request an after-accident flight inspection. TOAARs and the NTOAAR are authorized to request an after-accident flight inspection by FAA Order 8240.32.

d. The Duty TOAAR must contact the control center 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 control center and the responding Airway Transportation System Specialist(s) (ATSS):

a. Upon request and as defined by the Duty TOAAR, the control center 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 sponsor's designated point of contact (depending on the local Memorandum of Agreement with the sponsor), who in turn must contact the maintaining technician, to effect the as-found documentation and subsequent restoration. Advise the facility sponsor or sponsor's designated point of contact that a NOTAM has been issued to administratively remove the subject facility from service. If a non-Federal maintenance technician is not available to document as-found conditions in a timely manner, the 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. The observer is typically from the Technical Operations District or Technical Services Operations Group (TSOG) that has responsibility for annual non-Federal inspection. Where a facility is not inspected annually (e.g., MALSR, PAPI), an inspection process, documentation and personnel are the responsibility of the airport sponsor.

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

(6) Accomplish appropriate logging of events and reporting of interruptions, using procedures defined in JO 6000.15, (section 3 and appendix B) General Maintenance Handbook for NAS facilities, and in FAA Order 6040.15 (appendix B and F), National Airspace Performance Reporting System.

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

b. Upon notification by the control center, the assigned personnel will complete the following tasks:

(1) For federal facilities, ATSSs must:

(a) 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 (Section 3 and appendix B) and FAA JO 6040.15 (appendix B and F).

(b) 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. Report the findings to the TOAAR prior to any corrective action. Upon certification and TOAAR approval, coordinate return to service with the Control Center. The checklist is complete when the facility has been returned to service.

(2) For non-federal facilities:

(a) For annually inspected non-federal facilities; the non-federal technician must promptly execute the Facility Restoral Checklist in the aircraft accident section of the Operations and Maintenance Manual (OMM) for each facility removed from service for an accident/incident inspection. Report the inspection findings to the TOAAR prior to any corrective action. Upon

completion and documentation of the inspection; the sponsor can return the facility to service. Coordinate with the Control Center when ready to return the facility to service.

(b) For non-federal facilities not inspected annually; the airport sponsor or designated point of contact will verify and document the proper operation of the subject facility in accordance with applicable manufacturer documentation. Upon completion of the inspection, the sponsor can contact the control center to cancel the NOTAM and return the facility to service.

(c) The NOTAM closure is procedural only. The Control Center does not have any restoration or inspection responsibility on any non-federal NAS facility. Any restoration action on a non-Federal facility is the responsibility of the airport sponsor or designated point of contact.

c. 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, appropriate Service Area personnel and NTOAAR.
- (3) Request the Control Center 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 at the following address:

FAA
National Operations Group/AJW-3B
3701 Macintosh Drive
Warrenton, VA 20187
ATTN: NTOAAR

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 technical operations' records associated with aircraft accidents.

- a. The originals of these records are subject to the retention periods described in the latest FAA record retention schedule.
- b. The System Service Center (SSC) 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. ATO Compliance Services Group has been established as the ATO on-site representative for major aircraft accidents. ATO Compliance Services Group 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 ATO Compliance Services Group 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 (540) 359-3110 or (540) 422-4110 or email at 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 Compliance Services Group requirement for a single point of contact all requests are processed directly through the NOG. Additionally, the NOG Data Request responder will ensure that NTSB's data requests, through ATO Compliance Services Group on-site representative, are clearly defined.

161.-169. RESERVED

FIGURE 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 UNKN Type: IFR VFR

Weather Conditions:

ATC Info (last radio contact etc.):

Further TOAAR action required? Yes No

If yes, continue with checklist.

If no, state the reason why no further TOAAR action is required and paste this completed Checklist Part I into the Aircraft Accident Event Administrative Log and close the log IAW locally established procedures.

FIGURE 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 unless required by equipment design to access the data for archival.

_____Archive List Completed /Verified Archive List does not apply.

_____Available Data Archived (if required)

Candidate List

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

Removed from Candidate List

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

Suspect List

List all facilities that are suspect that could not be removed from 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? _____

FIGURE 9-3-2
Facility Restoral Checklist for Field Facilities

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. _____

FIGURE 9-3-2
Facility Restoral Checklist for Field Facilities (continued)

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

2310 Arrived site to initiate certification and/or restoration of facility in a post-aircraft accident/incident.

2315 Presently the weather conditions are overcast and snowing with 2 feet of snow on the ground.

2316 Found GS was operating on commercial power with no alarms or transfers indicated. Air traffic reported no pilot reports of malfunction of this facility during the last (x) hours (where x = approximate number of hours).

2. Initiate action to certify and restore facility.

a. If the facility is shutdown, record the status of the equipment in the facility log. Reset the equipment, and **MAKE NO ADJUSTMENTS**. If the facility fails to restore to normal after resetting, notify the accident 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.

f. An Aircraft Summary Checklist (Figure 9-3-2a) is provided for SSC Personnel to summarize the important things contained in paragraph 157 and Figure 9-3-2.

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) or electronic TPR (eTPR). 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: A sample authenticated TPR (Figure 9-3-2b) is provided for SSC personnel as an illustration of a completed TPR in accordance with the requirements of this paragraph. An authentication statement must be entered immediately below

each set (as found, as left) of parameter values, on each TPR or eTPR form, and on each screen printed, identifying whether the values are "as found" or "as left." If an eTPR is being used, close the eTPR electronically and print out a hard copy. Write the authentication statement under the last line of the closed eTPR. Complete the eTPR closure as a paper TPR in accordance with FAA Order 6000.15. 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 or eTPR 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 or eTPR 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. For each facility certified, attach page 1 of this facility restoral checklist to the associated logs and TPR's in the Technical Operation Aircraft Accident Package.

g. This completes the facility restoral process.

FIGURE 9-3-2a
Aircraft Accident Summary Checklist for SSC Personnel

This checklist is provided for the use of FAA field personnel responding to an accident. It is a summary of the main actions required in accordance with paragraph 157 and figure 9-3-2. It does not need to be returned with the Technical Operations accident package.

- Perform only the work specified by the TOAAR

- Certifier must be qualified to certify the specified equipment

- Certifier cannot be the last certifier on the specified equipment

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

- (Ref. Para 157a(4))

- Record readings on TPR(s) or eTPR(s) witnessed by the Observer

- Immediately advise TOAAR if a parameter is found out of tolerance

- TOAAR will advise what the next course of action will be

- Advise TOAAR when equipment can be returned to service and ticket(s) closed

- Archived data (e.g., RVR, TDWR, LLWAS) secured along with TPR(s)?

FIGURE 9-3-2b
Sample Technical Performance Record

Technical Performance Record										Localizer - Normal Radiated Parameters									
Facility ARV		Location Airville, AK				Runway 22L		From 9/12/20xx		To 9/25/xx		Supervisor's Signature							
Equipment Number		Equipment Type Mark 20				Antenna Type LPD 14/10				Reference Flight Inspection Date (s) 1() 2() 3() 4()									
Date	UTC Time	Course						Clearance						Remarks	Initials				
		FI #		Modulation Equality (DDM / Hz) *	Modulation SDM (%)	Ident Modulation (%)	Monitor		FI #		Modulation Equality (DDM / Hz)	Modulation SDM (%)	Ident Modulation (%)			Monitor			
		Carrier Power (Watts) **	Sideband Power (mW) **				Course Monitor (DDM / Hz)	Width Monitor (DDM) 150 Hz	Carrier Power (Watts) **	Sideband Power (mW) **						Course Monitor (DDM / Hz)	Width Monitor 1 (DDM) 150 Hz	Width Monitor 2 (DDM) 150 Hz	
		15	60	.000	.000	40.0	8.0	.000	.155	7.5	145	.000	.000	40.0	8.0	.325	.275	Standard / Reference	
		≤ 16.5	≤ 66	≤ .005/90	.002/90	≤ 44.0	≤ 10.0	---	---	≤ 8.25	≤ 159.5	≤ .008/150	.002/150	≤ 44.0	≤ 10.0	--	--	Upper Operating Tolerance	
		≥ 13.5	≥ 54	≤ .005/150	.002/150	≥ 36.0	≥ 6.0	---	---	≥ 6.75	≥ 130.5	≤ .008/90	.002/90	≥ 36.0	≥ 6.0	--	--	Lower Operating Tolerance	
9/12/xx	1800	15	60	—	.002/90	39.9	8.1	.001/90	.153	7.5	144	—	.002/90	40.1	8.1	.321	.271	Monthly	AB
9/25/xx	0400	15	60	—	.001/90	39.89	8.1	.001/90	.153	7.5	144	—	.002/90	39.8	8.1	.322	.272	AFTER ACCIDENT AS FOUND	JD
I CERTIFY THAT THE ABOVE IS A TRUE RECORD OF THE ARV LOCALIZER PARAMETER VALUES AS FOUND AND LEFT AT THE DATE AND TIME INDICATED.																			
ATSS!										OBSERVER:									
SIGNATURE <i>Jane Doe</i>										SIGNATURE <i>JR Doe</i>									
NAME JANE DOE										NAME JOHN R. DOE									
TITLE ATSS										TITLE ATSS									

**FIGURE 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.
- 3. Technical data (for each facility removed from service):

Initials

a. Facility Restoral Checklist, [figure 9-3-2](#) (page 1 only).
 Reviewed for completeness? _____

b. Hardcopy printout of all facility log entries, regardless of the logging method used, covering the period beginning with removal from service and ending with restoration to service.
 Do the log pages contain the proper certification statement? _____

c. A complete, original set of Technical Performance Record Forms.
 Data entered per FAA Order 6000.15? _____
 Nominal values listed where appropriate? _____
 Signed by supervisor (each page, in header)? _____
 Authenticated (each page, per [paragraph 3b](#) of Figure 9-3-2)? _____

d. Any archived original data from the list of facilities developed in [paragraph 156b\(1\)\(a\)](#). _____

ATSS personnel who completed the facility restoral process:

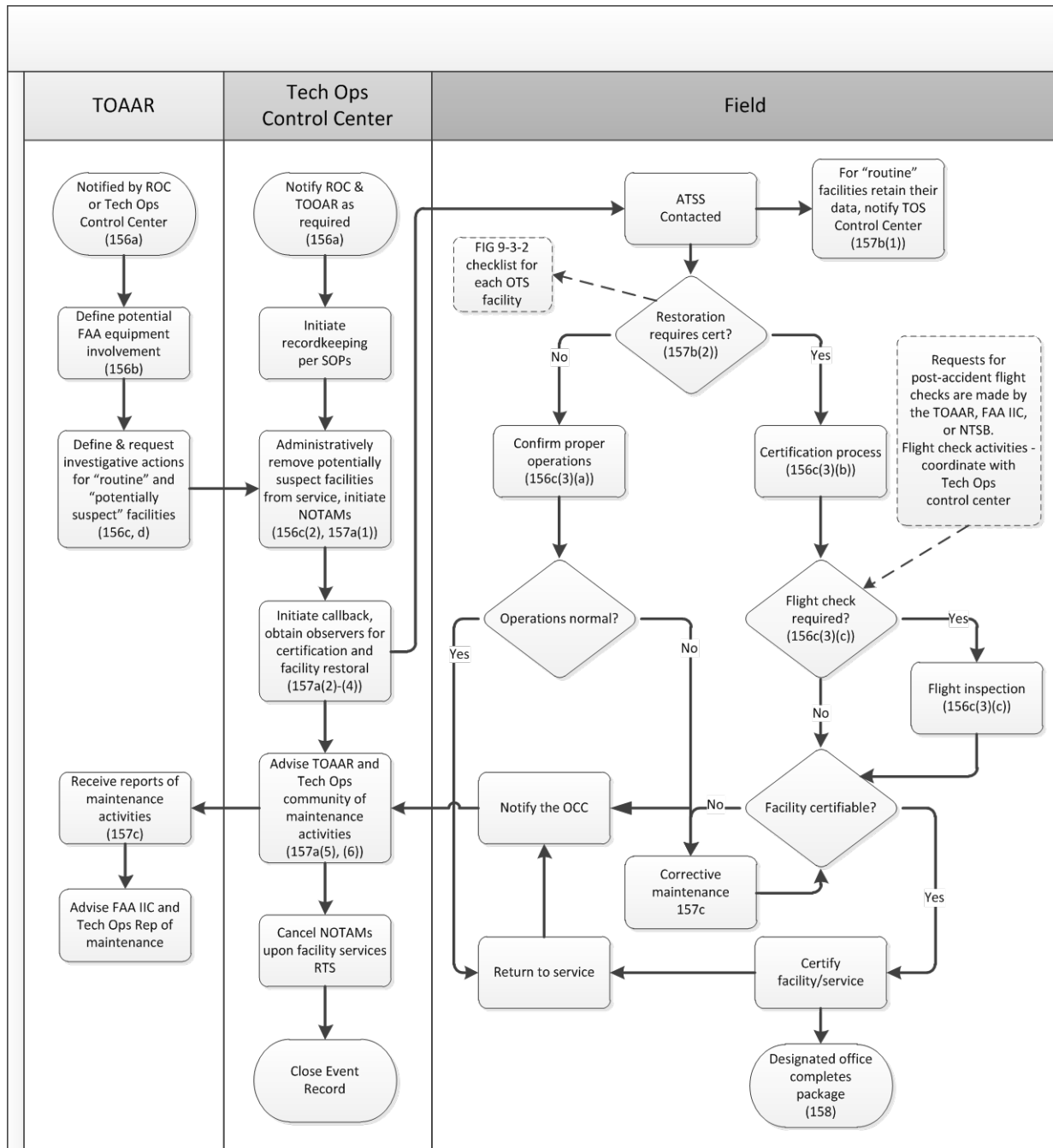
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)
(Signature)	(Date)	(Facilities)

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.

FIGURE 9-3-4
Technical Operations Services Post-Aircraft Accident Process



SECTION IV. 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. FOIA Request for Aircraft Accident/Incident and Occurrence Documents.

a. This section applies to FOIA (5 U.S.C. 552) requests for records that were created or obtained by FAA facilities or personnel and under agency control at the time of the FOIA request. FOIA requests seeking air traffic data are processed through the Service Center FOIA program office having jurisdictional oversight. These offices can be found at: <http://www.faa.gov/foia/>.

b. The agency has a duty to conduct a reasonable search for responsive records and documents that were created by or originated with the FAA. In coordination with the Service Center FOIA program office, the responsive records must be gathered and reviewed by the facility in order to make a disclosure determination. The FOIA makes no distinction between “official” and “unofficial” records.

c. For the purposes of responding to a FOIA request, the agency has no obligation either to create records or go outside the agency to obtain them. When no responsive records can be located, the program office should document the name of the person(s) who conducted the search, the files that were searched, and the identity of any other offices that might have the requested records.

d. The disclosure determination must be made in accordance with the FOIA exemptions set forth in 5 U.S.C. 552(b). Any information that appears sensitive, preliminary, or proprietary should be identified but not excluded or redacted (except as permitted on FAA Form 8020-3, see [appendix B](#)). Reasonably segregable information will be provided from records which contain information that may be withheld. The use of exemption 7(a) may be appropriate if the responsive records pertain to an ongoing FAA enforcement investigation. However, before exemption 7(a) can be applied, the Service Center FOIA program office must consult with the investigating Flight Standards office to determine if the release of the responsive records could reasonably be expected to interfere with its ongoing enforcement investigation.

e. Prior to the release of any records under FOIA regarding aircraft accidents or incidents, where an FAA safety investigation is still on-going, the Service Center FOIA Specialist shall coordinate with the FAA IIC. If the request is from the media, the FOIA Specialist must also coordinate with the regional Public Affairs Office.

f. Release of any responsive records (excluding voice and radar) that are part of a Formal Accident File/Package (as identified in [paragraph 71](#)) must be coordinated with the Service Center QCG, the ATO Litigation Support Group, or FSPO prior to release under the FOIA.

g. When the ATO has possession of responsive records that were created by another Federal agency or Organization (i.e., NTSB, FSDO or the Military) the FAA shall refer those records to the originating agency or office for a disclosure determination. The referral package shall include a copy of the incoming request and the responsive records. The referral letter will advise the originating agency to provide the FAA with a copy of its response to the requester.

h. If a FOIA request seeks records that are likely in the possession of an FCF or other contractor, then the FAA’s response letter will advise the requester that the ATO does not have those records. However, when the ATO has possession of these records at the time the FOIA

request is received, they are considered agency records, and therefore are subject to FOIA. As a result, the ATO will review those records, make the appropriate disclosure determination, and respond accordingly.

i. Retention of the official FOIA files shall be kept in accordance with FAA Order 1270.1 at the program office. However, at the direction of the Service Center FOIA program office, the responsive records may be retained at the facility.

181.-189. RESERVED

Appendix A. Forms Used by Air Traffic

FIGURE	NAME	PAGE
FIGURE A-1	FAA Form 8020-3, Facility Accident/Incident Notification Record	A-2
FIGURE A-2	FAA Form 8020-6, Report of Aircraft Accident	A-3
FIGURE A-3	FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)	A-4
FIGURE A-4	FAA Form 8020-9, Aircraft Accident/Incident Preliminary Notice	A-5
FIGURE A-5	FAA Form 8020-11, Incident Report	A-7
FIGURE A-6	FAA Form 8020-17, Preliminary Pilot Deviation Report	A-8
FIGURE A-7	FAA Form 8020-19, Reclassification of Aviation Incident Report	A-12
FIGURE A-8	FAA Form 8020-21, Preliminary Near Midair Collision Report	A-13
FIGURE A-9	FAA Form 8020-24, Preliminary Vehicle or Pedestrian Deviation Report	A-16
FIGURE A-10	FAA Form 8020-26, Personnel Statement	A-19

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

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

FAA Form 8020-6, Report of Aircraft Accident


 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT		REPORT DATE	REPORT NO.				
		NAME OF REPORTING FACILITY					
1. AIRCRAFT IDENTIFICATION AND TYPE		2. DATE/TIME OF ACCIDENT (UTC)					
		3. LOCATION OF ACCIDENT (MAND)					
		LATITUDE/LONGITUDE (OPTL)					
4. NATURE OF ACCIDENT		5. TYPE OF FLIGHT					
6. FLIGHT CREW	NAME	POSITION	ADDRESS (CITY AND STATE)	UNINJURED	INJURED	FATALITY	UNKN
7. PASSENGER DATA		NUMBER ABOARD AIRCRAFT	NUMBER UNINJURED	NUMBER INJURED	NUMBER FATALITIES		
8. AIRCRAFT DAMAGE		9. PROPERTY DAMAGE					
10. OPERATING STATUS OF NAVIGATIONAL AIDS/LIGHTS/COMMUNICATIONS							
11. WEATHER DATA (USE UTC DATE/TIME)	REPORT JUST PRIOR TO ACCIDENT						
	FIRST REPORT SUBSEQUENT TO ACCIDENT						
12. ATO PERSONNEL INVOLVED	NAME	FACILITY	OPERATING POSITION			CHECK IF EYEWITNESS	
* OPERATING INITIALS							
13. SIGNATURE OF FACILITY MANAGER							
FAA Form 8020-6 (12-14) Supersedes Previous Edition				Electronic Version			


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

AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE			
FROM (<i>Office of origin</i>):	TO:	DATE (<i>UTC</i>):	TIME (<i>UTC</i>):
CODE	<i>(First words of text)</i> AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE-Part 1		
A	1. INFORMATION FROM:		
B	1. REGISTRATION NO:	2. MAKE AND MODEL:	3. OPERATOR OF AIRCRAFT:
	4. TYPE OF ACTIVITY (<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		
C	OCCUPANTS INDICATE INJURIES: FATAL, SERIOUS, MINOR, NONE		
	1. NAME AND ADDRESS OF PILOT/INJURY:	2. NAMES OF CREW/INJURIES:	3. NO. OF PASSENGERS/INJURIES:
D	1. LOCATION OF OCCURRENCE (<i>Nearest city, town, and state</i>) (<i>Give route if overdue or missing</i>):		
E	1. UTC DATE AND UTC TIME OF OCCURRENCE:		
F	1. INFORMATION ON COVERAGE OF OCCURRENCE BY FAA, NTSB, OTHER:		
G	FAA AIR TRAFFIC SERVICES SUMMARY OF FLIGHT HANDLING		
	1A. LAST DEPARTURE POINT:	1B. UTC DATE AND UTC TIME:	1C. INTENDED DESTINATION:
	2. LAST RADIO CONTACT/POSITION AND/OR RADAR POSITION:		
	3. LAST ATC CONTROL CLEARANCE:		
	4. FLIGHT PLAN: A <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			

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

AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE										
FROM (<i>Office of origin</i>):			TO:			DATE (<i>UTC</i>):		TIME (<i>UTC</i>):		
CODE	<i>(First words of text)</i> AIRCRAFT ACCIDENT/INCIDENT PRELIMINARY NOTICE-Part 2									
H	1. REGISTRATION NO:		2. MAKE AND MODEL:			3. UTC DATE OF ACCIDENT/INCIDENT:				
I	STATUS OF POTENTIALLY INVOLVED AIRWAY FACILITIES <i>(CHECK [✓] MARK STATUS AS INDICATED BY MONITOR OR REPORTED BY A.F. TECHNICIAN)</i>									
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 (<i>Explain briefly any entry above that is check marked as abnormal, or out of service</i>):										
J	STATUS REPORT RECEIVED FROM PILOTS OR OTHERS									
<i>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.</i>										
1. FACILITY TYPE:	2. LOCATION/RUNWAY IDENTIFIER:	3. IDENTIFICATION NO. OF AIRCRAFT AND NAME OF PERSON FROM WHOM REPORT WAS RECEIVED:			4. STATUS REPORT (<i>Normal, abnormal, out of service, etc.</i>):	5. TIME OBSERVATION (<i>UTC</i>):				
6. REMARKS (<i>Briefly describe the nature of any reported abnormality, reason for being out of service, etc.</i>):										
RECEIVED AT:			DELIVERED TO:			TIME:				
RECEIVED VIA:					RECEIVED BY (<i>Signature and Title</i>):					
A <input type="checkbox"/> IN PERSON B <input type="checkbox"/> RADIO C <input type="checkbox"/> TELEPHONE										
NOTE: Part 1										
A <input type="checkbox"/> ON OTHER SIDE					B <input type="checkbox"/> ON SEPARATE FORM					

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

 <p>U.S. DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION INCIDENT REPORT</p>		
TO:		FROM:
<p>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.</p>		
TYPE OF INCIDENT:	TIME OF INCIDENT DATE:	INCIDENT NO:
	<input type="checkbox"/> Day <input type="checkbox"/> Night	
AGENCY/AIRCRAFT IDENTIFICATION:		
NAME(S) OF PERSONNEL OR PILOT:		
SUMMARY OF INCIDENT:		
REMARKS:		
ATTACHMENTS:	FORWARDED	
	DATE:	SIGNATURE OF FACILITY MANAGER:

FAA Form 8020-11 (10-03) Supersedes Previous Editions

NSN-0053-06-024-6002

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

 PRELIMINARY PILOT DEVIATION REPORT		Incident Report Number P 																																																																	
8. Deviation First Detected by (mark one): A. <input type="checkbox"/> Error Detection Program (EDP) B. <input type="checkbox"/> Radar Observation (excludes EDP) C. <input type="checkbox"/> Visual Observation (tower) D. <input type="checkbox"/> AFSS or FSS E. <input type="checkbox"/> Public, Including Pilots F. <input type="checkbox"/> Other, Specify _____ _____ _____	9. Type of Operation at Time of Deviation (mark one): A. <input type="checkbox"/> U.S. Air Carrier (14 CFR 121 or 125) B. <input type="checkbox"/> Foreign Air Carrier (14 CFR 129) C. <input type="checkbox"/> Commuter (14 CFR 135) D. <input type="checkbox"/> Air Taxi (14 CFR 135) E. <input type="checkbox"/> General Aviation (14 CFR 91) F. <input type="checkbox"/> Public (Governmental) G. <input type="checkbox"/> U.S. Military (Specify Service) _____ H. <input type="checkbox"/> Unknown I. <input type="checkbox"/> Other, Specify _____ _____	10. Phase(s) of Flight When Deviation Occurred (mark appropriate boxes): 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 _____ _____																																																																	
11. Number of Aircraft Involved (provide data on any aircraft not listed in item 3): <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">A. <input type="checkbox"/> One</td> <td style="width: 15%;">Aircraft N No.</td> <td style="width: 15%;">Flight No. or Call Sign (if applicable)</td> <td style="width: 15%;">Make</td> <td style="width: 15%;">Model</td> </tr> <tr> <td>B. <input type="checkbox"/> Two</td> <td>F. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table></td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>C. <input type="checkbox"/> Three</td> <td>G. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table></td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>D. <input type="checkbox"/> Four or More</td> <td>H. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table></td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>E. <input type="checkbox"/> Unknown</td> <td>I. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table></td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>		A. <input type="checkbox"/> One	Aircraft N No.	Flight No. or Call Sign (if applicable)	Make	Model	B. <input type="checkbox"/> Two	F. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>											_____	_____	_____	C. <input type="checkbox"/> Three	G. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>											_____	_____	_____	D. <input type="checkbox"/> Four or More	H. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>											_____	_____	_____	E. <input type="checkbox"/> Unknown	I. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>											_____	_____	_____	12. Type of Deviation(s) (mark appropriate boxes): A. <input type="checkbox"/> Surface <i>(complete items 7, 13 to 17, and 30 to 35)</i> <input type="checkbox"/> Air and RNP/RNAV Procedures <i>(complete items 5, 6, and 18 to 35)</i>
A. <input type="checkbox"/> One	Aircraft N No.	Flight No. or Call Sign (if applicable)	Make	Model																																																															
B. <input type="checkbox"/> Two	F. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>											_____	_____	_____																																																					
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D. <input type="checkbox"/> Four or More	H. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>											_____	_____	_____																																																					
E. <input type="checkbox"/> Unknown	I. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>											_____	_____	_____																																																					
13. Type of Control at Surface Deviation Location (mark one): 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	14. Airport ID at Surface Deviation Location: _____	15. Surface Deviation Type(s) (mark appropriate boxes): 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 _____ _____																																																																	
16. Loss of Separation With (mark appropriate boxes): 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	17. Closest Proximity Was (mark one): 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	18. Transponder (mark one): 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																																																																	
19. Was the Aircraft Equipped with TCAS? 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: _____	20. Fix or Facility Nearest Deviation (complete one): A. VOR, TACAN or NDB ID _____ B. Airport ID _____ C. Airway Intersection ID _____ D. Waypoint (Area Navigation, GPS, Loran, etc.) _____ E. <input type="checkbox"/> Oceanic	21. Deviation Location in Respect to Item 20 (complete A&B or C&D): A. _____ Miles (nautical) B. _____ Degrees (magnetic) <i>For Area Navigation Only (RNAV):</i> C. _____' _____' Latitude D. _____' _____' Longitude																																																																	

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


 PRELIMINARY PILOT DEVIATION REPORT		Incident Report Number			
		P			
22. Location in Traffic Pattern During Deviation (mark one): A. <input type="checkbox"/> Upwind B. <input type="checkbox"/> Crosswind C. <input type="checkbox"/> Entry or Downwind Leg D. <input type="checkbox"/> Base Leg E. <input type="checkbox"/> Final Approach F. <input type="checkbox"/> Departure Leg or Exit G. <input type="checkbox"/> Not in Traffic Pattern H. <input type="checkbox"/> Fix/Waypoint I. <input type="checkbox"/> Unknown J. <input type="checkbox"/> Other, Specify _____		23. Operational Control of Aircraft (mark a maximum of three): 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 Area I. <input type="checkbox"/> Towered Airport J. <input type="checkbox"/> Nontowered Airport K. <input type="checkbox"/> Unknown L. <input type="checkbox"/> Other, Specify _____		24. Location ID of Facility(ies) Providing Air Traffic Service During Deviation (complete appropriate boxes): A. ARTCC B. TRACON C. RAPCON, RATCF, or ARAC D. ATCT E. AFSS or FSS F. <input type="checkbox"/> None G. <input type="checkbox"/> Unknown H. <input type="checkbox"/> Other, Specify _____	
25. Preliminary Information Indicates the Air Deviation Type Was (mark appropriate boxes): A. <input type="checkbox"/> ATC Altitude Clearance Deviation B. <input type="checkbox"/> ATC Course Clearance Deviation C. <input type="checkbox"/> Airspeed Clearance Violation D. <input type="checkbox"/> Airspace Clearance Violation E. <input type="checkbox"/> Flying VFR when IFR Required F. <input type="checkbox"/> Pilot Unqualified for Aircraft or Condition G. <input type="checkbox"/> Required Aircraft Equipment Not Operating H. <input type="checkbox"/> Careless or Reckless Aircraft Operation I. <input type="checkbox"/> Unauthorized Low Level flying J. <input type="checkbox"/> Missed Compulsory Reporting Point K. <input type="checkbox"/> Lateral Track Conformity (RNP/RNAV) L. <input type="checkbox"/> Vertical Track Conformity (RNP/RNAV) M. <input type="checkbox"/> Phraseology (RNP/RNAV) N. <input type="checkbox"/> ATC Automation (RNP/RNAV) O. <input type="checkbox"/> Charting Issues (RNP/RNAV) P. <input type="checkbox"/> Database Issues (RNP/RNAV) Q. <input type="checkbox"/> Other, Specify _____ R. <input type="checkbox"/> Noncompliance with Other Regulations (Specify FAR numbers [2]): (1) (0) (2) (0)		26. Preliminary Information Indicates the Airspace Violation Was of (mark one): 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"/> Special Use Airspace, Specify _____ G. <input type="checkbox"/> None H. <input type="checkbox"/> Unknown I. <input type="checkbox"/> Other, Specify _____			
27. If ATC altitude or Course Clearance Deviation, Maximum Deviation Was: A. . Feet, Vertical or <input type="checkbox"/> Unknown B. . Feet, Horizontal or . Miles (nautical), Horizontal or <input type="checkbox"/> Unknown		28. RNP/RNAV Procedure Type (mark one): A. <input type="checkbox"/> Standard Instrument Departure (SID) B. <input type="checkbox"/> Standard Terminal Arrival (STAR) C. <input type="checkbox"/> Other, Specify _____			
29. RNP/RNAV Procedure Name in Respect to Item 28 A. <input type="checkbox"/> SID Name _____ B. <input type="checkbox"/> STAR Name _____ C. <input type="checkbox"/> Other, Specify _____		30. Other Reports Filed or To Be Filed (mark appropriate boxes and complete): A. <input type="checkbox"/> Incident Report (FAA Form 8020-11), Specify No(s). _____ B. <input type="checkbox"/> Preliminary Near Midair Collision Report (FAA Form 8020-21), 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			
31. Attachments (specify, e.g., pilot statement or flight progress strip, or mark box): _____		<input type="checkbox"/> No Attachments			
32. Reporting Office: A. A FAA Region B. Location ID C. - Telephone No.		33. Name of Individual Completing Form: _____ Type or Print			
34. Facility Manager Approving Form: A. Signature _____ B. Name _____ C. Date M M D D Y Y Type or Print		35. Report Distributed to: A. A FAA Region Flight Standards ID B. Others, Specify _____			

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

INSTRUCTIONS	
<p>I. General</p> <p>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."</p> <p>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.</p> <p>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.</p> <p>II. Incident Report Number</p> <p>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:</p> <p>AL - Alaskan NE - New England CE - Central NM - Northwest Mountain EA - Eastern SO - Southern GL - Great Lakes SW - Southwest WP - Western-Pacific</p>	<p>The fourth character identifies the type of facility completing the form:</p> <p>C - ARTCC R - TRACON F - AFSS or FSS T - ATCT Z - FSDO or Other</p> <p>For combined TRACON and ATCT operations, use the character for the TRACON or ATCT reporting the pilot deviation.</p> <p>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.</p> <p>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).</p> <p>III. Abbreviations</p> <p>The following abbreviations are used:</p> <p>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</p>

FIGURE A-7
FAA Form 8020-19, Reclassification of Aviation Incident Report

RECLASSIFICATION OF AVIATION INCIDENT REPORT	
<p>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.</p>	
<p>1. Original Incident Report Number From FAA Forms 8020-17, 8020-21, or 8020-24: _____ </p> <p>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 _____</p> <p>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) </p> <p>4. Incident Reclassified as (mark one): A. <input type="checkbox"/> Operational Error or Deviation (complete Item 5A) B. <input type="checkbox"/> Pilot Deviation (complete Item 5B) C. <input type="checkbox"/> Report Number Correction (complete Item 5B) D. <input type="checkbox"/> Insufficient Evidence to Investigate (complete Item 5C) E. <input type="checkbox"/> No Incident (complete Item 5D) F. <input type="checkbox"/> Other, Specify _____ _____ _____</p>	<p>5. New Incident Report Number (complete one): A. Operational Error or Deviation _____ B. Pilot Deviation, Near Midair Collision, or Vehicle or Pedestrian Deviation _____ C. <input type="checkbox"/> Reclassified as "Insufficient Evidence to Investigate" D. <input type="checkbox"/> Reclassified as "No Incident" E. <input type="checkbox"/> Not Applicable</p> <p>6. Reclassification Reason and Comments (comments optional): _____ _____ _____ _____</p> <p>7. Facility Manager or Inspector Approving Form: A. Signature _____ B. Name _____ Type or Print C. Date M M D D Y Y</p> <p>8. Report Distributed to: A. ATX-400 B. Others, List _____ _____ _____</p>
INSTRUCTIONS	
<p>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."</p>	<p>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.</p>
<p><small>FAA Form 8020-19 (10-03) Supersedes Previous Editions NSN:0032-00-899-2002</small></p>	

FIGURE A-8
FAA Form 8020-21, Preliminary Near Midair Collision Report

PRELIMINARY NEAR MIDAIR COLLISION REPORT		Incident Report Number				
<p>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>		N				
1. Date, Time, and Location of NMAC: A. Date (Coordinated Universal Time-UTC) _____ M M D D Y Y B. UTC Time _____ C. Local Time _____ D. Nearest City or Town, and State _____	2. Fix or Facility Nearest NMAC (complete one): A. VOR, TACAN or NDB ID _____ B. Airport ID _____ C. Airway Intersection ID _____ D. <input type="checkbox"/> Oceanic Airspace or Area Navigation (GPS, Loran, etc.)	3. NMAC Location in Respect to Item 2 (complete A&B or C&D): A. _____ Miles (nautical) B. _____ Degrees (magnetic) <i>For Oceanic Airspace and Area Navigation Only:</i> C. _____' _____' Latitude D. _____' _____' Longitude				
4. Reporting Aircraft ("Rptg") Information: A. Pilot Name and Address _____ Name (first, middle, last) _____ Address _____ City _____ State or Country _____ Zip _____ B. Pilot Home Base _____ C. Pilot Daytime Telephone No. _____ D. Pilot Certificate No. (or enter "MILITARY") _____ E. Aircraft Registration (N) No. _____ F. Flight No. or Call Sign (if applicable) _____ G. Aircraft Make _____ H. Aircraft Model _____			5. Other Aircraft ("Other") Information: (complete or mark box): <input type="checkbox"/> All Information Unknown A. Pilot Name and Address _____ Name (first, middle, last) _____ Address _____ City _____ State or Country _____ Zip _____ B. Pilot Home Base _____ C. Pilot Daytime Telephone No. _____ D. Pilot Certificate No. (or enter "MILITARY") _____ E. Aircraft Registration (N) No. _____ F. Flight No. or Call Sign (if applicable) _____ G. Aircraft Make _____ H. Aircraft Model _____ I. Did Pilot Report NMAC? (1) <input type="checkbox"/> Yes (2) <input type="checkbox"/> No (3) <input type="checkbox"/> Unknown			
6. Type of Flight Rules at Time of NMAC (mark one per aircraft): Rptg Other A. <input type="checkbox"/> <input type="checkbox"/> Instrument Flight Rules (IFR) B. <input type="checkbox"/> <input type="checkbox"/> Visual Flight Rules (VFR) C. <input type="checkbox"/> <input type="checkbox"/> Special VFR D. <input type="checkbox"/> <input type="checkbox"/> Defense VFR E. <input type="checkbox"/> <input type="checkbox"/> Unknown	7. Aircraft Altitude During NMAC: (mark one per aircraft): A. Rptg _____ Feet msl or <input type="checkbox"/> Unknown B. Other _____ Feet msl or <input type="checkbox"/> Unknown 8. Approximate Aircraft Heading Before NMAC: A. Rptg _____ Degrees (magnetic) or <input type="checkbox"/> Unknown B. Other _____ Degrees (magnetic) or <input type="checkbox"/> Unknown	9. Closest Proximity: A. _____ Feet, Vertical or <input type="checkbox"/> Unknown B. _____ Feet, Horizontal or _____ Miles (nautical) _____ Horizontal C. or <input type="checkbox"/> Unknown _____ Minutes, Longitudinal or <input type="checkbox"/> Unknown				
10. Brief Description of NMAC and Comments: _____ _____ _____ _____ _____ _____ _____						

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


 PRELIMINARY NEAR MIDAIR COLLISION REPORT		Incident Report Number					
		N					
11. Type of Operation During NMAC <i>(mark one per aircraft):</i> 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"/> <input type="checkbox"/> Other, Specify _____		12. Phase(s) of Flight During NMAC <i>(mark appropriate boxes):</i> 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 Manoeuvring 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 _____		13. Location in Traffic Pattern During NMAC <i>(mark one per aircraft):</i> 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 _____			
14. Transponder <i>(mark one per aircraft):</i> 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		15. TCAS Status: A. Was the Aircraft Equipped With TCAS? Rptg Other Yes No Unk Yes No Unk <input type="checkbox"/> <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. _____					
16. Evasive Action(s) Taken <i>(mark appropriate boxes):</i> Rptg Other A. <input type="checkbox"/> <input type="checkbox"/> Right Turn B. <input type="checkbox"/> <input type="checkbox"/> Left Turn C. <input type="checkbox"/> <input type="checkbox"/> Climb D. <input type="checkbox"/> <input type="checkbox"/> Descend E. <input type="checkbox"/> <input type="checkbox"/> Level Off <input type="checkbox"/> <input type="checkbox"/> Decelerate Rptg Other G. <input type="checkbox"/> <input type="checkbox"/> Accelerate H. <input type="checkbox"/> <input type="checkbox"/> None I. <input type="checkbox"/> <input type="checkbox"/> Unknown J. <input type="checkbox"/> <input type="checkbox"/> Other, Specify _____		17. Time Aircraft in Sight Before Closest Separation: A. Rptg _____ Seconds or <input type="checkbox"/> Unknown B. Other _____ Seconds or <input type="checkbox"/>					
18. Operational Control Area of Reporting Aircraft During NMAC <i>(mark a maximum of three):</i> 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 _____		19. Location ID of Facility(ies) Providing Air Traffic Service during NMAC <i>(complete appropriate boxes):</i> A. _____ ARTCC B. _____ TRACON C. _____ RAPCON, RATCF, or ARAC D. _____ ATCT E. _____ AFSS or FSS F. <input type="checkbox"/> <input type="checkbox"/> None G. <input type="checkbox"/> <input type="checkbox"/> Unknown H. <input type="checkbox"/> <input type="checkbox"/> Other, Specify _____					
20. Immediately Before NMAC, Air Traffic Control <i>(mark appropriate boxes):</i> 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		21. Other Report(s) or To Be Filed by Air Traffic <i>(mark appropriate boxes and complete: list HATR's, etc., under Item 22):</i> 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					

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

PRELIMINARY NEAR MIDAIR COLLISION REPORT		Incident Report Number			
		N			
22. Attachments (specify, e.g., pilot statement or flight progress strip, or mark box): <input type="checkbox"/> No Attachments					
23. Reporting Office: A. A FAA Region B. Location ID C. - - Telephone No.	24. Name of Individual Completing Form: _____ Type or Print				
25. Facility Manager Approving Form: A. Signature _____ B. Name _____ Type or Print C. Date M M D D Y Y	26. Report Distributed to: A. A FAA Region Flight Standards ID B. Others, Specify _____ _____ _____				
INSTRUCTIONS					
I. General The incident report number and Items 1, 2, 3, 4E and/or F, 4G, 5E and/or F, 5G, and 6 to 10 of FAA Form 8020-21 must be completed and the information transmitted or arrangements made to transmit it in numerical order within 3 hours of the NMAC notification by: (1) telephone, facsimile, or in accordance with a regional agreement to the FSDO with jurisdiction over the area in which the NMAC occurred; and (2) by facsimile or National Airspace Data Interchange Network (NADIN) message using immediate (DD) precedence to FAA headquarters and others. If the NMAC is significant, the above information should be communicated immediately by telephone to FAA headquarters. The remainder of the form must be completed and mailed by first class mail within 10 calendar days of the notification of a NMAC. The definition of a NMAC and instructions on distribution of FAA Form 8020-21 are in FAA Order 8020.16, "Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting." If both aircraft involved in the NMAC report the event, designate the first reporting aircraft as "Rptg" and the second as "Other." If more than two aircraft are involved (except for formations when one form should be completed for the entire formation), complete an additional form(s) and assign the form(s) the same incident report number as the primary form. Report the number of forms and which form is the primary form in Item 10. Complete all items. If the categories given are inadequate, complete "Other, Specify." If data for both the reporting and other aircraft appear under "Other, Specify," provide the reporting aircraft data first, followed by the other aircraft data. Provide comments in Item 10, not the margins. Sign and date the form (Item 25) before distribution.			The fourth character identifies the type of facility completing the form: C - ARTCC R -TRACON F - AFSS or FSS T -ATCT Z - FSDO or Other For combined TRACON and ATCT operations, use the character for the TRACON or ATCT reporting the 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).		
II. Incident Report Number Each facility completing FAA Form 8020-21 is responsible for assigning a unique 12-character number to each reported NMAC. The first character is N, for NMAC. The second and third characters are the abbreviation of the FAA region in which the incident occurred: AL - Alaskan NE - New England CE - Central NM - Northwest Mountain EA - Eastern SO - Southern GL - Great Lakes SW - Southwest WP - Western Pacific			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		

FIGURE A-9

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

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

FIGURE A-9

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



 <p style="text-align: center;">PRELIMINARY VEHICLE OR PEDESTRIAN DEVIATION REPORT</p>		Incident Report Number				
		V				
<p>21. Facility Manager Approving Form:</p> <p>A. Signature _____</p> <p>B. Name (type or print) _____</p> <p>C. Local Date _____ M M D D Y Y</p>		<p>22. Report Distributed to:</p> <p>A. <u> A </u> FAA Region</p> <p>B. Division Offices <input type="checkbox"/> Airports <input type="checkbox"/> Air Traffic <input type="checkbox"/> Flight Standards (only if 11A is checked)</p> <p>C. 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>I. General</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>The second and third characters are the abbreviation of the FAA region in which the deviation occurred:</p> <p>AL - Alaskan NE - New England CE - Central NM - Northwest Mountain EA - Eastern SO - Southern GL - Great Lakes SW - Southwest WP - Western-Pacific</p> <p>The fourth character identifies the type of facility completing the form:</p> <p>C - ARTCC R - TRACON F - AFSS or FSS T - ATCT Z - 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>II. Incident Report Number</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>III. Abbreviations</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>				

FIGURE A-10
Form 8020-26, Personnel Statement

FAA Form 8020-26, Personnel Statement

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION PERSONNEL STATEMENT		1. Name of Reporting Facility:	2. Report Number:
		3. Aircraft Identification and Type:	
4. Location of Occurrence:		5. Date/Time of Occurrence (UTC):	
6. Name (Operating Initials):	7. Title:	8. Position and Time (UTC):	
<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 occurrence. Speculations, hearsay, opinions, conclusions, and/or other extraneous data are not to be included in this statement. This statement may be released to the public through The Freedom of Information Act or litigation activities including pretrial discovery, depositions, and actual court testimony. This statement is to 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>			
10. Text of Statement:		<input type="checkbox"/> ORIGINAL <input type="checkbox"/> SUPPLEMENTAL	
11. Signature of Witness:		12. Date of Signature:	

FAA Form 8020-26 (12-14) Supersedes Previous Edition

Electronic Version

Appendix B. Example of Air Traffic Aircraft Accident Package

No.	Name	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.	Review of Services Memo(s)	B-19
h.	FAA Form 7230-4, Daily Record of Facility Operation	B-27
i.	Personnel Logs	B-31
j.	FAA Form 7230-10, Position Logs (or automated equivalent)	B-40
k.	Facility Layout Chart	B-53
l.	Airport Diagram	B-59
m.	Flight Progress Strips	B-62
n.	Transcriptions of Voice Recordings	B-66
o.	FAA Form 8020-3, Facility Accident/Incident Notification Record	B-81
p.	Weather Products	B-85
q.	Non-published NOTAMs	B-94
r.	FAA Form 7233-2, Pre-Flight Briefing Log (or automated equivalent)	B-94
s.	FAA Form 7233-1, Flight Plan (or automated equivalent)	B-94
t.	Other	B-94
u.	Changes to the Accident Package After the Package was Released	B-97

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 initials. 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. The certification memo is not part of the accident package, but is retained in the file.



Federal Aviation Administration

Memorandum

Date: October 24, 2013

To: Ron Beckerdite
Director, Western Service Center
Jim Baker

From: Jim Baker
Manager, Airville Air Traffic Control Tower

Subject: **INFORMATION**: Certification Statement
Aircraft Accident, N1234A
Airville, AK, September 25, 2013

I certify that air traffic aircraft accident package, ARV-ATCT-0078, has been reviewed and is complete.

b. Accident Package Labeling (paragraph 82b).

Facilities are encouraged to use the Accident Package Generator to assemble accident packages (contact the Service Center QCG for details). The facility may choose to retain an electronic and/or paper package. (Any original paper components used to produce the electronic package must be retained in the accident file.) If a paper package is made, assemble the paper 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), (aircraft types, in order of preference, should be taken from the flight progress strip/inflight contact form; the 7110.65; the FAA registry site; then the ICAO aircraft registry site) 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-0078
N1234A, BE35
September 25, 2013, 0233 UTC
Destroy: September 25, 2018 UTC**

Example of label on copy of the original:

**Aircraft Accident Package
ARV-ATCT-0078
N1234A, BE35
September 25, 2013, 0233 UTC
Destroy: March 25, 2016 UTC**

AIRCRAFT ACCIDENT PACKAGE
ARV-ATCT-0004
N1234A, BE35
March 9, 2006, 1832 UTC
Destroy: March 9, 2011 UTC

c. Package Divider Sheets (paragraph 82b). 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.

SECTION 1.
Table of Contents

ARV-ATCT-0078
N1234A

d. Table of Contents (paragraph 82b). 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 82b](#). 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., Review of Services Memo, 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 NO.	TITLE
SECTION 1.	Table of Contents
SECTION 2.	FAA Form 8020-6, Report of Aircraft Accident, and FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet)
SECTION 3.	Review of Services Memo(s)
SECTION 4.	FAA Form(s) 7230-4, Daily Record of Facility Operation
SECTION 5.	Personnel Log(s)
SECTION 6.	FAA Form(s) 7230-10, Position Logs or automated equivalent
SECTION 7.	Facility Layout Chart(s)
SECTION 8.	Airport Diagram
SECTION 9.	Flight Progress Strip(s) and/or In-Flight Contact Record(s)
SECTION 10.	Transcription of Voice Recording(s)
SECTION 11.	FAA Form(s) 8020-3, Facility Accident/Incident Notification Record
SECTION 12.	Weather Products
SECTION 13.	Non-published NOTAM's
SECTION 14.	FAA Form(s) 7233-2, Preflight Briefing Log
SECTION 15.	FAA Form(s) 7233-1, Flight Plan
SECTION 16.	Other

Table of Contents

SECTION NO.	TITLE
SECTION 1.	Table of Contents
SECTION 2.	FAA Form 8020-6, Report of Aircraft Accident, and FAA Form(s) 8020-6-1, Report of Aircraft Accident (Continuation Sheet)
SECTION 3.	Review of Services Memo(s)
SECTION 4.	FAA Form(s) 7230-4, Daily Record of Facility Operation
SECTION 5.	Personnel Log(s)
SECTION 6.	FAA Form(s) 7230-10, Position Log, or automated equivalent
SECTION 7.	Facility Layout Chart(s)
SECTION 8.	Airport Diagram
SECTION 9.	Flight Progress Strip(s) and/or In-Flight Contact Record(s)
SECTION 10.	Transcription of Voice Recording(s)
SECTION 11.	FAA Form(s) 8020-3, Facility Accident/Incident Notification Record
SECTION 12.	Weather Products
SECTION 13.	Other

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

ARV-ATCT-0078
N1234A

e. FAA Form 8020-6, Report of Aircraft Accident (paragraph 82b(3) and paragraph 90). Only the holding facility completes this Form, supporting facilities do not. 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 Item 1 (Aircraft types, in order of preference, should be taken from the flight progress strip/inflight contact form; the 7110.65; the FAA aircraft registry site; then the ICAO aircraft registry site). 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. *Location of Accident* (required). 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. *Latitude/Longitude* (optional). If latitude/longitude are entered then standard latitude/longitude DD MM SS format should be used. The APG Software will use latitude/longitude to automatically find the nearest weather reporting station(s).

NATURE OF ACCIDENT. A brief factual statement of the accident must be included if known. Do not use language that suggests the cause of the accident (the NTSB determines the cause of the accident). Examples of factual statements: taxiing collisions, landed with gear up, landed off-airport, 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, defense visual flight rules (DVFR), and no flight plan.

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.


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. Use UTC date and UTC time for each weather report. The statement "weather not available" or "not applicable" must not be used if the date, time, and location of the accident is known. (PIREPs are not appropriate in Block 11 but should be included in the weather products section.) *Time:* Enter the last reported weather observation at or prior to the time of the accident. Then enter the first reported weather observation subsequent to the accident. *Location:* If conditions/reports are not available at the scene, identify and use the nearest reporting station. If this is an international station use the ICAO state.

AIR TRAFFIC ORGANIZATION PERSONNEL INVOLVED. List the names of personnel involved (i.e., first, middle name or initial, last) (described in [paragraph 91d\(6\)](#)) in chronological order. Personnel at facilities providing routine services are not listed in this section. The operating initials for each controller must be typed to the right of their name and enclosed in parenthesis. List the facility involved. Indicate the position of operation occupied by each person. Check if the person listed was an eyewitness to the accident. If additional space is needed to list personnel, enter them in Block 14, FAA Form 8020-6-1.

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 section. The signature must be the same as the typed name. Do not use initials.

FAA Form 8020-6, Report of Aircraft Accident

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT		REPORT DATE	REPORT NO.				
		NAME OF REPORTING FACILITY					
1. AIRCRAFT IDENTIFICATION AND TYPE		2. DATE/TIME OF ACCIDENT (UTC)					
		3. LOCATION OF ACCIDENT (MAND)					
		LATTITUDE/LONGITUDE (OPTL)					
4. NATURE OF ACCIDENT		5. TYPE OF FLIGHT					
6. FLIGHT CREW	NAME	POSITION	ADDRESS (CITY AND STATE)	UNINJURED	INJURED	FATALITY	UNKN
7. PASSENGER DATA		NUMBER ABOARD AIRCRAFT	NUMBER UNINJURED	NUMBER INJURED	NUMBER FATALITIES		
8. AIRCRAFT DAMAGE		9. PROPERTY DAMAGE					
10. OPERATING STATUS OF NAVIGATIONAL AIDS/LIGHTS/COMMUNICATIONS							
11. WEATHER DATA (USE UTC DATE/TIME)	REPORT JUST PRIOR TO ACCIDENT						
	FIRST REPORT SUBSEQUENT TO ACCIDENT						
12. A TO PERSONNEL INVOLVED	NAME	FACILITY	OPERATING POSITION			CHECK IF EYEWITNESS	
* OPERATING INITIALS							
13. SIGNATURE OF FACILITY MANAGER							
FAA Form 8020-6 (12-14) Supersedes Previous Edition Electronic Version							

f. FAA Form 8020-6-1, Report of Aircraft Accident (Continuation Sheet) (paragraph 82b(3) and paragraph 90b(15)). A complete chronological summary of the flight that describes all pertinent communications, emergency assistance, and other air traffic services provided to the aircraft. (Note this may include more than one date.)

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


 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT <small>(Continuation Sheet)</small>	REPORT DATE September 29, 2013	REPORT NO. ARV-ATCT-0078
	NAME OF REPORTING FACILITY Merrill ATCT (MRI)	
<p>14. CHRONOLOGICAL SUMMARY OF FLIGHT</p> <p>September 25, 2013</p> <p style="text-align: center;">ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED</p> <p>0052 N1234A called GC for taxi from the base of the tower to Runway 7 with ATIS Oscar.</p> <p>0053 GC issued taxi instructions to RY7 for N1234A.</p> <p>0058 N1234A called LC ready for takeoff RY7, requested 5 mile upwind leg then left downwind departure.</p> <p>0100 N1234A was cleared for takeoff Runway 7, 5 mile upwind approved.</p> <p>0103 N1234A requested frequency change for EDF. LC approved</p> <hr/> <p style="text-align: center;">No More Follows</p>		
<small>FAA Form 8020-6-1 Electronic Version (MS Word)</small>		

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT <small>(Continuation Sheet)</small>	REPORT DATE September 29, 2013	REPORT NO. ARV-ATCT-0078
	NAME OF REPORTING FACILITY Anchorage TRACON (A11)	
14. CHRONOLOGICAL SUMMARY OF FLIGHT		
September 25, 2013		
ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED		
A11 did not provide any services to N1234A. Radar data from 0300 to 0141 was requested in support of the Accident Package.		
No More Follows		

FAA Form 820-4-1

Electronic Version (MS Word)


ARV-ATCT-0078
N1234A

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT <small>(Continuation Sheet)</small>	<small>REPORT DATE</small> October 2, 2013	<small>REPORT NO.</small> ARV-ATCT-0078
	<small>NAME OF REPORTING FACILITY</small> Anchorage (ZAN)	
<small>14. CHRONOLOGICAL SUMMARY OF FLIGHT</small> September 25, 2013 <p style="text-align: center;">ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED</p> 0150 N1234A checked on R13 frequency level at 13,500' requesting IFR to Airville (ARV) Airport. 0151 R13 issued N1234A IFR clearance to ARV at 13,000' heading 230. 0153 N1234A reported level at 13,000' heading 230. 0155 N1234A requested to leave the frequency to contact Kenai FSS and the request was approved. 0201 N1234A reported back on the R13 frequency. 0210 R13 descended N1234A to 11,000'. 0215 N1234A reported level at 11,000'. 0217 The pilot of N1234A reported he had a rough running engine. 0218 R13 coordinated with ARV ATCT to pass information about N1234A reporting a rough running engine. 0220 R13 switched N1234A to ARV ATCT approach control frequency. <p style="text-align: center;">No More Follows</p>		

FAA Form 8020-6-1

Electronic Version (MS Word)


ARV-ATCT-0078
N1234A

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT <small>(Continuation Sheet)</small>	<small>REPORT DATE</small> October 2, 2013	<small>REPORT NO.</small> ARV-ATCT-0078
	<small>NAME OF REPORTING FACILITY</small> Kenai FSS (ENA)	
<small>14. CHRONOLOGICAL SUMMARY OF FLIGHT</small> September 25, 2013 <p style="text-align: center;">ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED</p> 0155 N1234A called Kenai and requested any updated runway conditions at Airville. Information was passed that the runway conditions had not been updated. 0158 N1234A requested the current Airville weather. The weather was issued and the altimeter was given. 0200 N1234A advised he was returning to Anchorage Center frequency. <hr/> <p style="text-align: center;">No More Follows</p>		

FAA Form 8020-4-1

Electronic Version (MS Word)

ARV-ATCT-0078
N1234A

 DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION REPORT OF AIRCRAFT ACCIDENT (Continuation Sheet)	REPORT DATE October 20, 2013	REPORT NO. ARV-ATCT-0078
	NAME OF REPORTING FACILITY Airville ATCT (ARV)	
14. CHRONOLOGICAL SUMMARY OF FLIGHT		
September 25, 2013		
ALL TIMES BELOW ARE COORDINATED UNIVERSAL TIME UNLESS OTHERWISE SPECIFIED		
0218	ZAN coordinates N1234A has a rough running engine.	
0220	N1234A reports on approach control frequency with the current ATIS. AP assigns vector to visual approach RY 22L and descent at pilot's discretion to 3,000 [note: writing "3000", "3,000 feet", or "three thousand" is acceptable as well].	
0223	N1234A reports rough running engine has worsened, oil spattering on windshield, and leaving 8,000'.	
0224	AP declares an emergency. Requests souls on board and fuel remaining. Coordinates inbound with tower CC, requests to have emergency equipment standing by.	
0225	SC calls ARFF with information on N1234A.	
0226	AP asks N1234A if he can see out the windshield and to report the field in sight. N1234A reports the field in sight. AP clears N1234A for a visual approach to RY 22L.	
0227	AP instructs N1234A to contact tower. GC approves ARFF on to movement area.	
0228	N1234A reports on local control frequency 118.7. LC issues wind and altimeter and landing clearance for RY 22L.	
0231	N1234A reports engine has quit.	
0232	LC advises N1234A radar contact lost.	
0233	GC advises ARFF of N1234A's last observed position.	
0235	ARFF reports reaching N1234A off-airport.	
No More Follows		

FAA Form 8020-4-1

Electronic Version (MS Word)

ARV-ATCT-0078
N1234A

SECTION 3.
Review of Services Memo(s)

ARV-ATCT-0078
N1234A

g. Review of Services Memo(s) (paragraph 81, paragraph 82b(4), and paragraph 92).

The Review of Services Memo certifies what is retained by involved facilities. Each involved facility must indicate if they provided routine, pertinent, or no services but has data (see [appendix B](#)). The Review of Services Memo must list each item retained in the accident file (or package) regardless if the document is individually certified or not. The Review of Services Memo must be signed by the facility manager or acting facility manager using the following format:

"I certify that the following originals/digital copies of the original 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. Supporting facilities send the original Review of Services Memo to the holding facility and keep a copy of the memo in the supporting facility's file.



Federal Aviation Administration

Memorandum

Date: September 29, 2013

To: Airville Air Traffic Control Tower
Joseph Garvey

From: Joseph Garvey, Manager, Merrill Air Traffic Control Tower, MRI ATCT

Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N1234A
Airville, AK, September 25, 2013

MRI ATCT conducted a review of services concerning N1234A and was determined to have routine services. As a supporting facility with routine services I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies are on file in this office.

FAA Form 7230-4
FAA Form 7230-10
FAA Form 8020-6-1
Personnel Log(s)
Certified Original Copy(ies) of Voice Recording(s)
Certified Working Copy(ies) of Voice Recording(s)
Facility Layout Chart(s)

ARV-ATCT-0078
N1234A



Federal Aviation Administration

Memorandum

Date: October 3, 2013

To: Airville Accident File ARV-ATCT-0078
Jim Baker

From: Jim Baker, Manager, Airville Air Traffic Control Tower, ARV ATCT

Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N1234A
Airville, AR, September 25, 2013

I certify that Elmendorf Air Force Base (EDF) ATCT communicated to the FAA that EDF provided routine services to N1234A, and that the FAA did not receive air traffic data from EDF.

ARV-ATCT-0078
N1234A



Federal Aviation Administration

Memorandum

Date: September 29, 2013

To: Airville Air Traffic Control Tower
Carol J. Biggio

From: Carol J. Biggio, Manager, Anchorage TRACON, A11

Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N1234A
Airville, AR, September 25, 2013

A11 conducted a review of services concerning N1234A was determined to have provided no services but does have air traffic data. As a facility with air traffic data I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies are on file in this office.

FAA Form 8020-6-1
Continuous Data Recording (CDR)

ARV-ATCT-0078
N1234A



Federal Aviation Administration

Memorandum

Date: October 2, 2013

To: Airville Air Traffic Control Tower
Leonard Davis

From: Leonard Davis, Manager, Anchorage Air Route Traffic Control Center, ZAN
ARTCC

Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N1234A
Airville, AK, September 25, 2013

ZAN ARTCC conducted a review of services concerning N1234A and was determined to have pertinent services. As a supporting facility with pertinent services I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies are on file in this office.

FAA Form 7230-4
FAA Form 7230-10
FAA Form 8020-6-1
Personnel Log(s)
Certified Original Copy(ies) of Voice Recording(s)
Certified Working Copy(ies) of Voice Recording(s)
Facility Layout Chart(s)
Airport Diagram
Transcription(s) of Voice Recording(s)
Flight Progress Strip(s)
Personnel Statements
Mandatory Occurrence Report

[Note: Litigation Support may require more data at times]

ARV-ATCT-0078
N1234A



Federal Aviation Administration

Memorandum

Date: September 29, 2013

To: Airville Air Traffic Control Tower
Zac Smith

From: Zac Smith, Manager, Kenai Flight Service Station, ENA FSS

Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N1234A
Airville, AK, September 25, 2013

ENA FSS conducted a review of services concerning N1234A and was determined to have routine services. As a supporting facility with routine services I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies are on file in this office.

FAA Form 7230-4
FAA Form 7230-10
FAA Form 8020-6-1
Personnel Log(s)
Certified Original Copy(ies) of Voice Recording(s)
Certified Working Copy(ies) of Voice Recording(s)
Facility Layout Chart(s)
OASES EVRs

ARV-ATCT-0078
N1234A



Federal Aviation Administration

Memorandum

Date: October 11, 2013

To: Accident File ARC-ATCT-0078
Jim Baker

From: Jim Baker, Manager, Airville Air Traffic Control Tower, ARV ATCT

Subject: **INFORMATION:** Review of Services Memo
Aircraft Accident, N1234A
Airville, AK, September 25, 2013

ARV ATCT conducted a review of services concerning N1234A and was determined to have pertinent services. As the holding facility with pertinent services I certify the following data has been retained in accordance with FAA Order 8020.16. Additionally, I certify that the following originals/digital copies 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
Personnel Log(s)
Certified Original Copy(ies) of Voice Recording(s)
Certified Working Copy(ies) of Voice Recording(s)
Facility Layout Chart(s)
Airport Diagram
Transcription(s) of Voice Recording(s)
Flight Progress Strip(s)
Personnel Statements
Mandatory Occurrence Report

[Note: Litigation Support may require more data at times]

ARV-ATCT-0078
N1234A

SECTION 4.

FAA Form(s) 7230-4, Daily Record of Facility Operations

ARV-ATCT-0078
N1234A

h. FAA Form 7230-4, Daily Record of Facility Operation (paragraph 82b(5) and FAA Order JO 7210.3). Include a copy of FAA Form 7230-4. Include FAA Form 7230-4 from all pertinent dates. For example, the date service was provided, the date of the accident, and the date it was reported. Any MORs related to the accident need to be included in this section as well.

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.

Daily Record of Facility Operation				Page No.
U.S. Department of Transportation Federal Aviation Administration				1
Location				Date
Anchorage, AK	Identification	Type Facility	Operating Position	09/24/13
	ZAN	ARTCC	WATCH DESK	Checked By CID
				Air Traffic Manager Leonard Davis
Time (UTC)	REMARKS			
0800	S. Ashworth on. WCLC. SECON level Yellow in effect. OC21 combined at CWP4. E1, E10, E2, E3, TMU, and WC combined to OMIC.			
	CFPL: ALNOT N3485Y B190/G AKN D1857 HOLD ZADAG ESTIMATED DLG 1720Z, ALNOT REISSUED DUE TO LACK OF CONFIRMATION OF AIRCRAFT STATUS. QUESTIONS TO ZAN AT 907-269-1103. -- ZP			
0813	OPSENT data Entry Complete. -- ZP			
1019	AAWU WX Briefing Received. -- ZP			
1108	MEARTS Bell Check and AAID Resets Complete. -- ZP			
1400	WCLC. -- ZP			
1445	K. Trout on duty, above noted. -- KT			
1550	W. Ziack on duty, above noted. -- WZ			
1700	ZAN MS01 valid until 100500Z for Cold Air Aloft in SW Alaska from FL320-400 MVG E at 25kts. -- WZ			
1730	ROC advised N3485Y accident located. -- WZ			
1845	ALNOT canceled for N3485Y per RCC's concurrence.			
1857	WCLC. -- WZ			
2035	B. Brown on duty, above noted. -- UU			
0104	WCLC. -- UU			
0214	N1234A reported a rough running engine. No assistance requested. Aircraft handed off to ARV ATCT.			
0351	S. Falls on duty, above noted. -- FT			
E 0400	EHM Radar unavailable. -- UU			
0700	K. Trout on duty, above noted. -- KT			
0759	COB. -- KT			
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.				
Watch Supervisor(s) Signature		Watch Supervisor(s) Signature		Watch Supervisor(s) Signature
<i>K. Trout</i>				

FAA Form 7206-4 (1-94) Supersedes Previous Editions

Electronic Version (MS Word)

ARV-ATCT-0078
N1234A

Daily Record of Facility Operation				Page No. 1
U.S. Department of Transportation Federal Aviation Administration				Date 09/24/13
Location Airville, AK	Identification ARV	Type Facility ATCT	Operating Position ALL	Checked By JB Air Traffic Manager Jim Baker
Time (UTC)	REMARKS			
1400	P. Targen on. CFPL: RWY 22 VASI OTS.			
1415	WCLC.			
2100	C. Cooke on, above noted.			
2212	WCLC.			
2215	Channel B released to Maintenance.			
2230	Channel B RTS.			
2245	120.35 Released to Maintenance.			
2312	120.35 RTS.			
0115	B. Hill on, above noted.			
Q 0233	N1234A reported engine out, landed short of RY22L. ACN. ARV-M-2013/09/25-0053.			
0300	P. Quick on, above noted. WCLC.			
0759	COB.			
<p><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></p>				
Watch Supervisor(s) Signature		Watch Supervisor(s) Signature		Watch Supervisor(s) Signature
<i>Candy Cooke</i>				

FAA Form 7230-4 (1-94) Supersedes Previous Edition

Electronic Version (MS Word)

ARV-ATCT-0078
N1234A

SECTION 5.
Personnel Log(s)

ARV-ATCT-0078
N1234A

i. Personnel Logs (paragraph 82b(6)). 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).

Unless requested by the FAA Safety Investigations Team, the ATO Litigation Support Group, 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 from ZAN

PERSONNEL LOG		REGION		FACILITY		AREA ID			DATE		
		AAL		ZAN		ZAN-3 (North)			MONTH: SEP	DAY: 24	YEAR: 2013
NAME	CODE	TIME ON	TIME OFF	HOURS ON DUTY	HOURS ON LEAVE	LEAVE TYPE	HOURS NON POSITION DUTIES ASGNDE	HOURS POSITION DUTIES ASGNDE	REMARKS FOR: ALL ABSENCES FROM FACILITY, TRNG, TDY AND NON POSITIONAL DUTIES		
ROGERS, JERRY (XK) 05:15 - 13:15	R	05:15	13:15	08+00			01+44	04+18			
STOUGHT, WALT (WS) 05:30 - 15:15	R	05:30	15:15	09+45			06+21	01+44			
ZIAK, WILLIAM (WZ) 06:15 - 15:45	R	06:15	15:45	09+30			05+11	04+17			
MAYES, COREY (KC) 06:38 - 14:38	R	06:38	14:38	08+00			02+36	03+42			
NOTTI, NICK (CP) 06:45 - 14:45	R	06:45	14:45	08+00			00+10	04+47			
HAYES, JERRY (JZ) 07:00 - 15:30	R	07:00	15:30	08+30			00+00	00+00			
MOORE, ELI (EM) 07:00 - 15:30	R	07:00	15:30	08+30			00+00	00+00			
QUICK, SHANE (QS) 07:00 - 15:30	R	07:00	15:30	08+30			00+00	00+00			
SMITH, JACK (JK) 08:00 - 16:30	R	08:00	16:30	8+00			00+00	02+23			
BEARS, CHUCK (AU) 08:45 - 16:45	R	08:45	16:45	8+00			00+10	04+21			
LEWTER EDGAR (LR) 11:50 - 19:50	R	11:50	19:50	8+00			00+29	04+11			
NALLACE, MIKE (MW) 12:00 - 20:00	R	12:00	20:00	8+00			00+19	04+06			
SMITH, RICK (RS) 12:30 - 20:30	R	12:30	20:30	8+00			00+19	03+54			
LUCK, GARY (GL) 12:34 - 20:34	R	12:34	20:34	8+00			01+12	04+07			
BROWN, BARRY (UU) 14:00 - 22:00	R	14:00	22:00	8+00			01+10	04+15			
SUPERVISORY CERTIFICATE	NAME	CODE	TIME ON	TIME OFF	INTLS	NAME	CODE	TIME ON	TIME OFF	INTLS	

Form 7298-4 (Dec 08) Official Version FOR OFFICIAL USE ONLY Public Availability to be determined under 5 U.S.C. 552

ARV-ATCT-0078
N1234A

Example of portal document from ZAN (continued)

PERSONNEL LOG		REGION		FACILITY		AREA ID			DATE		
		AAL		ZAN		ZAN-3 (North)			MONTH: SEP	DAY: 24	YEAR: 2013
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		
WILLIAMS, BARRY (BW) 21:45 - 05:45	R	21:45	23:30	01+45	6+15	LEAVE	01+45	00+00			
RICHARDS, JILL (KX) 21:46 - 05:46	R	21:46	05:46	08+00			00+43	03+01			
POORE, LARRY (LI) 05:30 - 13:30					08+00	LEAVE	00+00	00+00			
AYES, COREY (KC) 06:38 - 14:38					08+00	LEAVE	00+00	00+00			
HILL, DERRICK (DD) 21:45 - 05:45	R	21:45	05:45	08+00			00+10	04+47			
TRUIT, MIKE (MT) 10:00 - 18:00	R	10:00	18:00	08+00			00+15	04+35			
DILK, JOHN (SF) RDO											
DILL, RICK (LL) RDO											
JACKSON, CURT (CC) RDO											
KRAVITZ, HARRY (HK) RDO											
LONG, RANDY (RL) RDO											
LEWIS, MIKE (LY) RDO											
SUPERVISORY CERTIFICATE	NAME	CODE	TIME ON	TIME OFF	INTLS	NAME	CODE	TIME ON	TIME OFF	INTLS	

Form 7230-4 (Dec 08) Official Version FOR OFFICIAL USE ONLY Public Availability to be determined under 5 U.S.C. 552
ARV-ATCT-0078
N1234A

Example of portal document from ARV ATCT

PERSONNEL LOG		REGION		FACILITY		AREA ID			DATE		
		AAL		ARV		OPERATIONS			MONTH: SEP	DAY: 24	YEAR: 2013
NAME	CODE	TIME ON	TIME OFF	HOURS ON DUTY	HOURS ON LEAVE	LEAVE TYPE	HOURS NON POSITION DUTIES ASSIGNED	HOURS POSITION DUTIES ASSIGNED	REMARKS FOR ALL ABSENCES FROM FACILITY, TRNG, TDY AND NON POSITIONAL DUTIES		
QUICK, PAUL (PQ) 16:00 - 00:00	R	16:00	00:00	08+00			00+53	03+41			
SMITH, WILL (WS) 16:00 - 00:00	R	16:00	00:00	08+00			01+10	04+35			
SCOGS, PETER (PS) 16:00 - 00:00	R	16:00	00:00	08+00			00+51	04+45			
SCOTT, TERESA (TS) 14:30 - 22:30	R	14:30	22:30	08+00			01+22	04+55			
GRANGE, HANK (HH) 14:00 - 22:00	R	14:00	22:00	08+00			01+18	04+05			
OWN, CHRIS (CX) 14:00 - 22:00	R	14:00	22:00	08+00			00+55	05+42			
HILL, BOB (HB) 13:00 - 21:00	R	13:00	21:00	08+00			00+29	05+09			
DAME, MIKE (MD) 13:00 - 21:00	R	13:00	21:00	08+00			00+52	05+19			
COOK, CANDY (CC) 12:00 - 20:00	R	12:00	20:00	8+00			00+32	04+20			
MARS, MICHELLE (MM) 08:00 - 16:00					08+00	Leave	00+00	00+00			
SCOGS JOE (JS) 10:00 - 18:00	R	10:00	18:00	8+00			00+55	04+34			
WELL, MICHAEL (MW) 10:00 - 18:00	R	10:00	18:00	8+00			00+38	04+19			
DELIGHT, ANJOLIE (AD) 08:00 - 16:00	R	08:00	16:00	8+00			01+32	04+13			
BIRD, ANDREA (AB) 08:00 - 16:00	R	08:00	16:00	8+00			01+12	03+59			
SUPERVISORY CERTIFICATE	NAME	CODE	TIME ON	TIME OFF	INTLS	NAME	CODE	TIME ON	TIME OFF	INTLS	

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N1234A

Example of portal document from ARV ATCT (continued)

PERSONNEL LOG		REGION		FACILITY		AREA ID			DATE		
		AAL		ARV		OPERATIONS			MONTH: SEP	DAY: 24	YEAR: 2013
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		
SHIRLEY, FRANCIS (FS) 08:00 - 16:00	R	08:00	16:00	08+00			00+23	04+21			
MORGAN, TIM (TM) 08:00 - 16:00	R	08:00	16:00	08+00			01+05	04+52			
FULLER, TERRY (TF) 06:00 - 14:00	R	06:00	14:00	08+00			01+11	04+59			
TARGEM, PAT (PT) 06:00 - 14:00	R	06:00	14:00	08+00			01+36	04+25			
TRANE, TIM (TT) 06:00 - 14:00	R	06:00	14:00	08+00			01+38	04+40			
MORIN, HERB (HM) 06:00 - 14:00	R	06:00	14:00	08+00			01+00	06+00			
NAHN, JENNIFER (JN) 06:00 - 14:00	R	06:00	14:00	08+00			00+31	05+25			
YOUNG, HENRY (HY) 06:00 - 14:00	R	06:00	14:00	08+00			00+45	05+27			
TORGERSO, DALE (DT) 11:00 - 19:00	R				08+00	Leave	00+00	00+00			
SCOGS, MARK (MS) 11:00 - 19:00					08+00	Leave	00+00	00+00			
MAT, CHRIS (CM) RDO											
BURNS, LARRY (LB) RDO											
YARBER, ANNE (KK) RDO											
ALAWREN, AMY (AA) RDO											
CHARLES, MARE (CC) RDO											
SUPERVISORY CERTIFICATE	NAME	CODE	TIME ON	TIME OFF	INTLS	NAME	CODE	TIME ON	TIME OFF	INTLS	

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

ARV-ATCT-0078
N1234A

Example of original ART document from ARV ATCT

ART - Sign On Log								
10/05/2013 1:33:00 PM								
ARV								
Selected Report Dates: 9/23/2013 10:00:00 PM – 9/24/2013 10:00:00 PM								
OPINIT	NAME	SHIFT/TYPE	SIGN-IN	SIGN-OUT	LV	OJT	CIC	TOS
PQ	QUICK, PAUL REMARKS	16:00-00:00/R	16:00:00	00:00:00				
WS	SMITH, WILL REMARKS	16:00-00:00/R	16:00:00	00:00:00				
PS	SCOG, PETER REMARKS	16:00-00:00/R	16:00:00	00:00:00				
TS	SCOTT, TERESA REMARKS	14:30-22:30/R	14:30:00	22:30:00				
HH	GRANGE, HANK REMARKS	14:00-22:00/R	14:00:00	22:00:00				
CX	OWN, CHRIS REMARKS	14:00-22:00/R	14:00:00	22:00:00				
HB	HILL, BOB REMARKS	13:00-21:00/R	13:00:00	21:00:00				
MD	DAME, MIKE REMARKS	13:00-21:00/R	13:00:00	21:00:00				
CC	COOKE, CANDY REMARKS	12:00-20:00/R	12:00:00	20:00:00				
JS	SCOGS, JOE REMARKS	10:00-18:00/R	10:00:00	18:00:00				
MW	WELL, MICHAEL REMARKS	10:00-18:00/R	10:00:00	18:00:00				
AD	DELIGHT, ANJOLIE REMARKS	08:00-16:00/R	08:00:00	16:00:00				
AB	BIRD, ANDREA REMARKS	08:00-16:00/R	08:00:00	16:00:00				
ARV-ATCT-0078 N1234V								

Example of original ART document from ARV ATCT (continued)

ART - Sign On Log

10/05/2013 1:33:00 PM

ARV

Selected Report Dates: 9/23/2013 10:00:00 PM – 9/24/2013 10:00:00 PM

OPINIT	NAME	SHIFT/TYPE	SIGN-IN	SIGN-OUT	LV	OJT	IC	TOS
FS	FRANCIS, SHIRLEY REMARKS	08:00-16:00/R	08:00:00	16:00:00				
TM	MORGAN, TIM REMARKS	08:00-16:00/R	08:00:00	16:00:00				
TF	FULLER, TERRY REMARKS	06:00-14:00/R	06:00:00	14:00:00				
PT	TARGEN, PAT REMARKS	06:00-14:00/R	06:00:00	14:00:00				
TT	TRANE, TIM REMARKS	06:00-14:00/R	06:00:00	14:00:00				
HM	MORIN, HERB REMARKS	06:00-14:00/R	06:00:00	14:00:00				
JN	NAHN, JENNIFER REMARKS	06:00-14:00/R	06:00:00	14:00:00				
HY	YOUNG, HENRY REMARKS	06:00-14:00/R	06:00:00	14:00:00				
DT	TORGERSON, DALE REMARKS							8+00
	MSSCOGS, MARK REMARKS							8+00

ARV-ATCT-0078
N1234V

Example of RDO Memo



Federal Aviation Administration

Memorandum

Date: October 3, 2013
To: Aircraft Accident File ARV-ATCT-0078
Jim Baker [Do not use initials]
From: Jim Baker, Manager, Airville Air Traffic Control Tower
Subject: Personnel Log Amendment,
Aircraft Accident, N1234A
Airville, AK, September 25, 2013

I certify that the following personnel were not scheduled to work on September 24, 2013:

Chris Mat
Larry Burns
Anne Yarber
Amy Alaween
Mare Charles

ARV-ATCT-0078
N1234A

SECTION 6.

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

ARV-ATCT-0078
N1234A

j. FAA Form 7230-10, Position Logs (or automated equivalent) (paragraph 82b(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.

Example of position logs from ZAN

POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER	(3) POS	(4) DATE		
ZAN	13R	R	09/24/2013		
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0800	SF	1059	C		
1100	DD	1256	C		
1257	SF	1417	C		
1418	KX	1539	C		
1540	KC	1700	C		
1701	BW	1734	C		
1735	KC	1850	C		
1851	KX	2027	C		
2028	CP	2136	C		
2137	RS	2245	C		
2246	MT	0002	C		
0003	MM	0108	C		
CODE: C – ATCS/ATA S – Supervisor/Staff Spec T – Trainee/Developmental M – Trainee/Developmental Monitoring R – Trainee/Developmental Certification/Evaluation					

POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER	(3) POS	(4) DATE		
ZAN	13R	R	09/24/2013		
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0109	GL	0159	C		
0200	RS	0324	C		
0325	DR	0442	C		
0443	DA	0602	C		
0603	MM	0620	C		
0621	CB	0652	C		
0653	KX	0740	C		
0741	DD	0759	C		
CODE: C – ATCS/ATA S – Supervisor/Staff Spec T – Trainee/Developmental M – Trainee/Developmental Monitoring R – Trainee/Developmental Certification/Evaluation					

ARV-ATCT-0078
N1234A

Example of position logs from ZAN (continued)

POSITION LOG					
(1) FACILITY	(2) POSITION IDENTIFIER	(3) POS	(4) DATE		
ZAN	E3	o	09/24/2013		
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0800		1515		Closed	
1516	WZ	1933	S		
1934	TG	2000	S		
2001	EP	2219	S		
2220	EP	2223	S		
2224	CP	2326	C		
2327	UU	0330	S		
0331		0759		13A	A
CODE: C – ATCS/ATA S – Supervisor/Staff Spec T – Trainee/Developmental M – Trainee/Developmental Monitoring R – Trainee/Developmental Certification/ Evaluation					

POSITION LOG					
(1) FACILITY	(2) POSITION IDENTIFIER	(3) POS	(4) DATE		
ZAN	OM	O	09/24/2013		
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0800	ZP	1439	S		
1440	TG	1609	S		
1610	PA	0109	S		
0110	AN	0330	S		
0331	UU	0645	S		
0646	ZP	0759	S		
CODE: C – ATCS/ATA S – Supervisor/Staff Spec T – Trainee/Developmental M – Trainee/Developmental Monitoring R – Trainee/Developmental Certification/ Evaluation					

ARV-ATCT-0078
N1234A

Example of position logs from ZAN (continued)

POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER		(3) POS	(4) DATE	
ZAN	9D		D	09/24/2013	
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0800		1943		9R	R
1944	MT	1954	C		
1955		0759		9R	R
CODE: C – ATCS/ATA S – Supervisor/Staff Spec T – Trainee/Developmental M – Trainee/Developmental Monitoring R – Trainee/Developmental Certification/Evaluation					

POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER		(3) POS	(4) DATE	
ZAN	13D		D	09/24/2013	
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
0800		1429		13R	R
1430	BW	1539	C		
1540		1729		13R	R
1730	CP	1746	C		
1747	AU	1902	C		
1903	MT	1943	C		
1944		0050		13R	R
0051	AU	0121	C		
0122		0353		13R	R
0354	LR	0422	C		
0423		0450		13R	R
0451	CB	0547	C		
0548		0759		13R	R
CODE: C – ATCS/ATA S – Supervisor/Staff Spec T – Trainee/Developmental M – Trainee/Developmental Monitoring R – Trainee/Developmental Certification/Evaluation					

ARV-ATCT-0078
N1234A

Example of position logs from ARV ATCT (continued)

POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER		(3) POS	(4) DATE	
ARV	SC		SC	09/24/2013	
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
1400	TT	1800	S		
1801	AB	2059	C		
2100	JS	0114	S		
0115	CC	0259	S		
0300	PS	0759	S		
CODE: C – ATCS/ATA S – Supervisor/Staff Spec T – Trainee/Developmental M – Trainee/Developmental Monitoring R – Trainee/Developmental Certification/Evaluation					

POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER		(3) POS	(4) DATE	
ARV	GC		GC	09/24/2013	
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
1400		1600		LC	LC
1601	AB	1730	C		
1731	AD	1915	C		
1916	JS	2105	C		
2106	AD	2326	C		
2327	JS	0115	C		
0116	PS	0301	C		
0302	WS	0500	C		
0501		0759		LC	LC
CODE: C – ATCS/ATA S – Supervisor/Staff Spec T – Trainee/Developmental M – Trainee/Developmental Monitoring R – Trainee/Developmental Certification/Evaluation					

ARV-ATCT-0078
N1234A

Example of position logs from ARV ATCT (continued)

POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER	(3) POS	(4) DATE		
ARV	LC	LC	09/24/2013		
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
1400	PT	1550	C		
1551	AB	1700	C		
1701	TM	1830	C		
1831	MW	2003	C		
2004	CC	0201	C		
0202	MD	0330	C		
0331	HH	0455	C		
0456	WS	0615	C		
0616	PS	0759	C		
CODE:					
C – ATCS/ATA			M – Trainee/Developmental Monitoring		
S – Supervisor/Staff Spec			R – Trainee/Developmental Certification/Evaluation		
T – Trainee/Developmental					

POSITION LOG					
(1) FACILITY ID	(2) POSITION IDENTIFIER	(3) POS	(4) DATE		
ARV	CI	CI	09/24/2013		
(5) TIME ON	(6) INITIALS	(7) TIME OFF	(8) CODE	WHERE COMBINED	
				(9) POSITION IDENTIFIER	(10) POSITION TYPE
1400		0759		SI	SI
CODE:					
C – ATCS/ATA			M – Trainee/Developmental Monitoring		
S – Supervisor/Staff Spec			R – Trainee/Developmental Certification/Evaluation		
T – Trainee/Developmental					

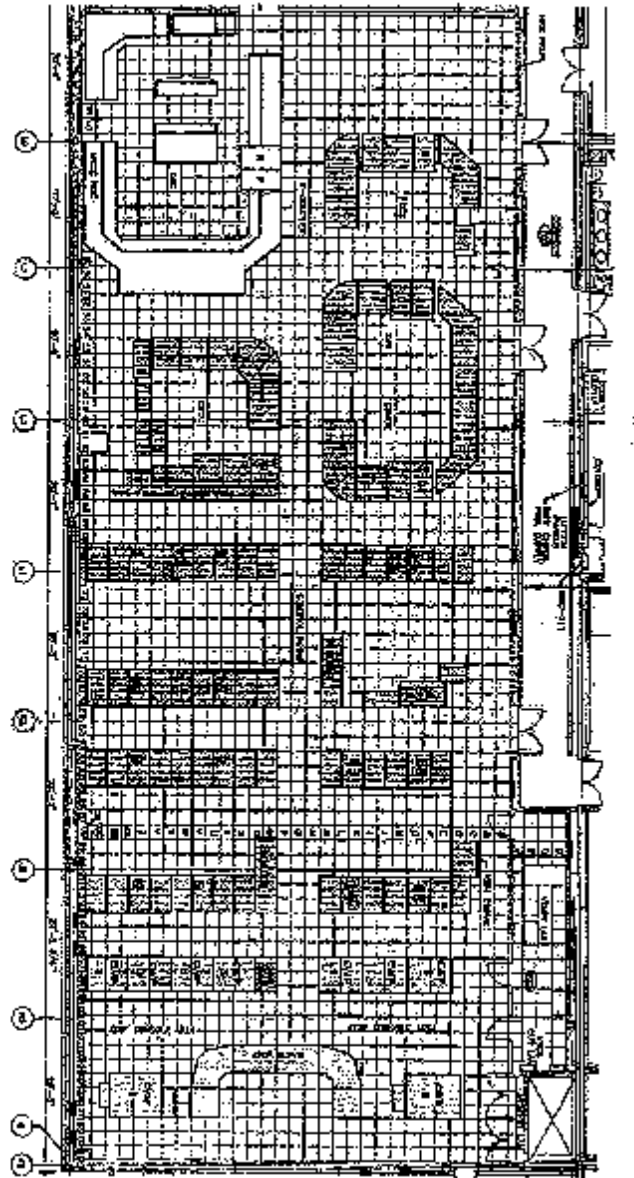
ARV-ATCT-0078
N1234A

SECTION 7.
Facility Layout Chart(s)

ARV-ATCT-0078
N1234A

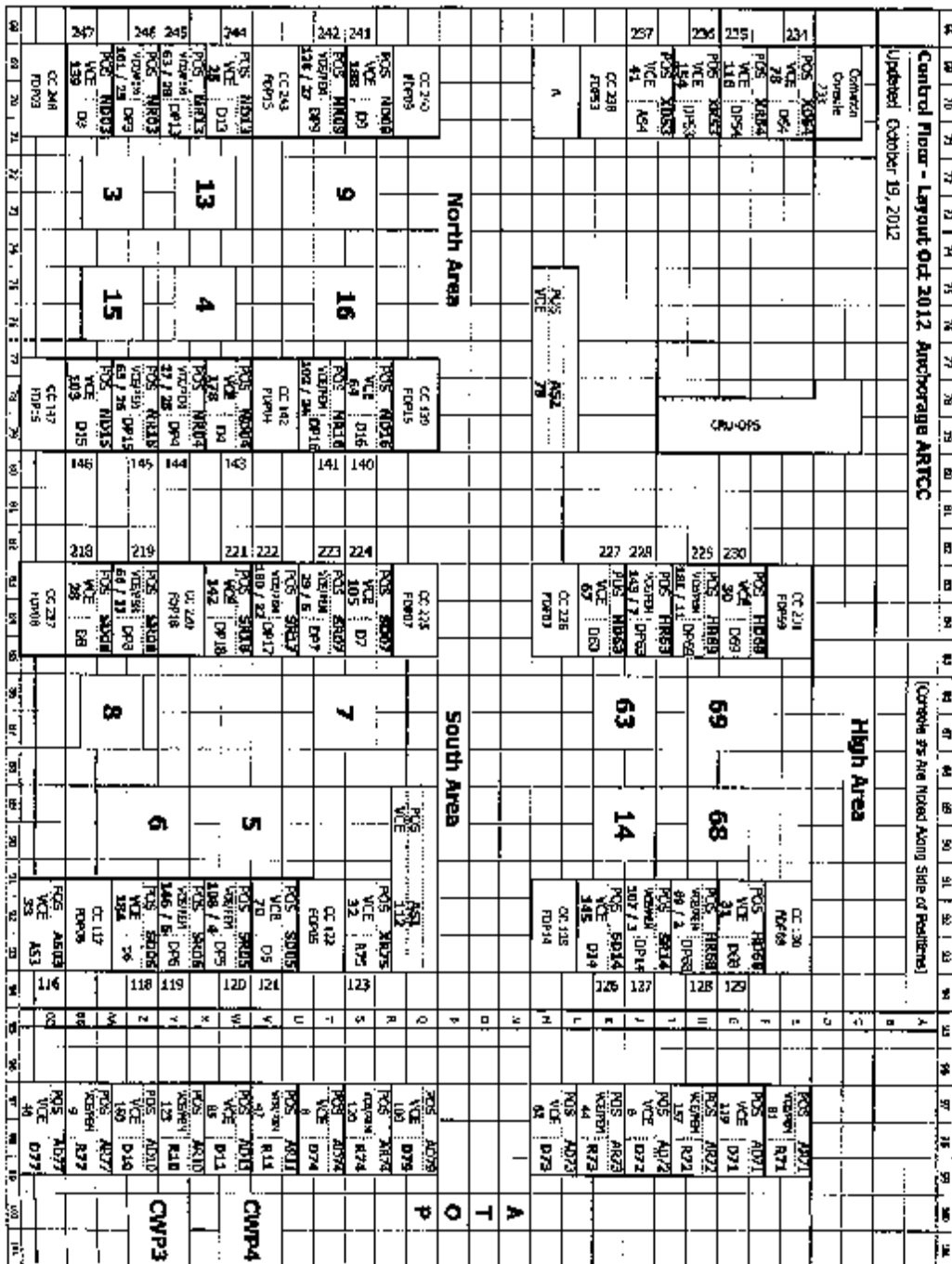
k. Facility Layout Chart (paragraph 82b(8)). Mandatory. Include a facility layout chart in the accident package. Each chart must indicate the name of the facility that is being depicted. If positions of operation are identified by other than traditional abbreviations, include a legend.

ANCHORAGE ARTCC LAYOUT



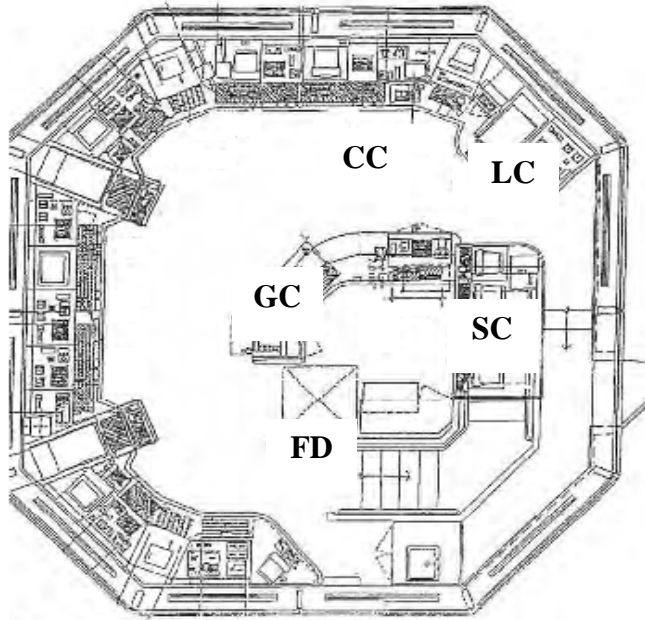
ARV-ATCT-0078
N1234A

ANCHORAGE ARTCC CONTROL FLOOR LAYOUT



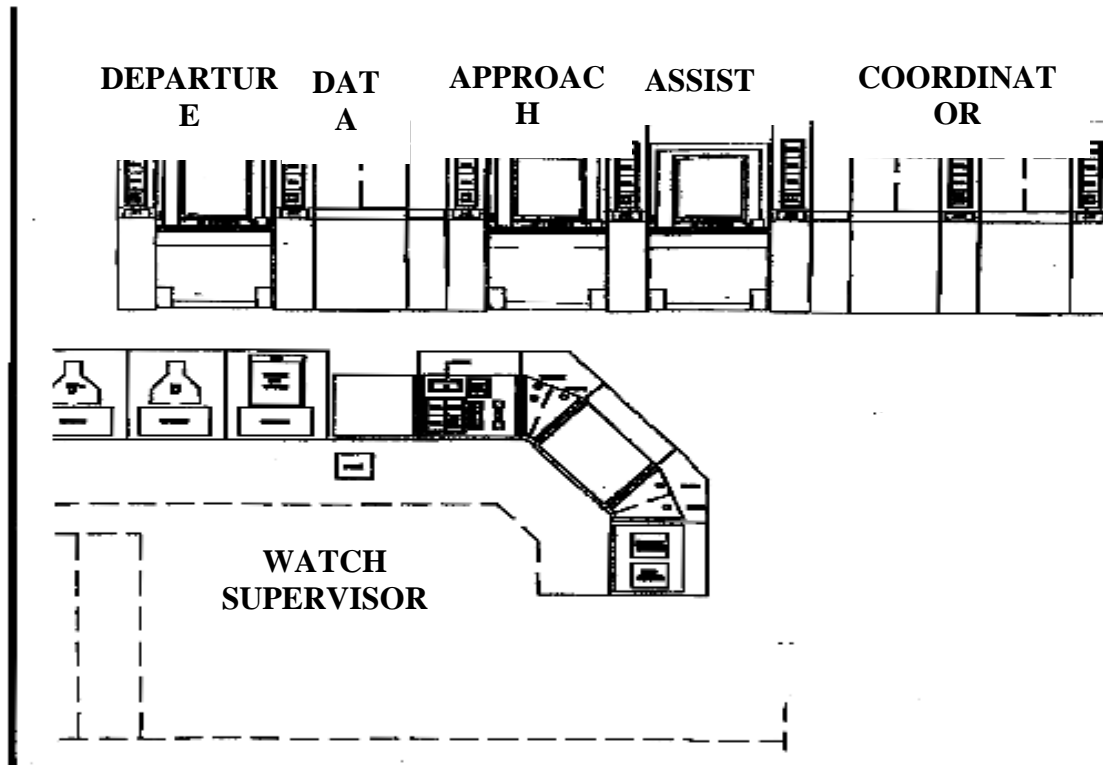
ARV-ATCT-0078
N1234A

AIRVILLE ATCT LAYOUT



ARV-ATCT-0078
N1234A

**AIRVILLE ATCT TRACON
LAYOUT**



ARV-ATCT-0078
N1234A

SECTION 8.
Airport Diagram

ARV-ATCT-0078
N1234A

1. Airport Diagram (paragraph 82b(9)). For all aircraft accidents on or within one mile of the airport property, provide an airport diagram current at the time of the accident. 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 is not to scale" on the diagram.

If able, use FAA produced diagrams

(see http://www.faa.gov/airports/runway_safety/diagrams/).

SECTION 9.
Flight Progress Strip(s) and/or In-Flight Contact Record(s)

ARV-ATCT-0078
N1234A

m. Flight Progress Strips and/or In-flight Contact Record (paragraph 82b(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 and the UTC date(s) are indicated on the page displaying the flight progress strips or contact records.

Flight Progress Strip(s)
Anchorage ARTCC September 25, 2013 UTC

N1234A BE35/A G236 09 762		130	RV ARV	4551
			110	
	ARV			

ARV-ATCT-0078
N1234A

Flight Progress Strip(s)

Airville ATCT September 25, 2013 UTC

N1234A BE35/A 175	4551	A0220	IFR	80 30			
	PHK						
	XYZ		ARV				

ARV-ATCT-0078
N1234A

n. Transcriptions of Voice Recordings (paragraph 82b(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 first page must be an FAA memorandum and contain the following information (FCFs use company letterhead).

Date: Type the date the transcription was certified and signed.

To: Type "Aircraft Accident File [*facility file number*]."

From: Type name of the facility preparing the transcription, not the facility manager or acting manager's name.

Subject: Type 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 using the standard abbreviation for each. Facilities indicated in the transcription must be spelled out using the facility name, followed by the appropriate abbreviation: (ARTCC, ATCT, CCF, FCT, NFCT, FCFSS, 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.

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 text 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.

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. 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:

A transmission begins with or extends through a cardinal minute, the next cardinal minute must be indicated

Four or more cardinal minutes have passed without any transmissions, the grouping of the times is optional. However, if used they must be indicated as follows: the minutes being

grouped must be in parentheses and separated by a single dash; for example, (1708-1720). The grouped minutes must have a single cardinal minute on the line immediately above and below the grouped minutes.

The transcription must be lower case and verbatim. Abbreviations and punctuation (commas, periods, etc.) must not be used. An apostrophe must be used to indicate contractions 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 ATO Litigation Support Group, the language may be redacted from copies but not originals.*

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.

Center at the end of the transcript, "End of Transcript."



Federal Aviation Administration

Memorandum

Date: October 01, 2013
 To: Aircraft Accident File ARV-ATCT-0078
 From: Anchorage Air Route Traffic Control Center
 Subject: **INFORMATION:** Partial Transcript
 Aircraft Accident, N1234A
 Airville, AK, September 25, 2013

This transcription covers the Anchorage Air Route Traffic Control Center (ARTCC) 13R position for the time period from September 25, 2013, 0120 UTC, to September 25, 2013 0251UTC.

<u>Agencies Making Transmissions</u>	<u>Abbreviations</u>
Anchorage Center Glacier Radar Position	R13
Airville ATCT Approach Control, ARVAP N1234A [or, BE35, N1234A]	ARVAP N1234A

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

Brent Land [Do not use initials]

Brent Land
 Quality Control Specialist
 Anchorage ARTCC

0120

(0121-0148)

0149

0150:00 N1234A anchorage center november one two three four alpha with you level at one three thousand v f r requesting i f r at one three thousand to airville

0151

0151:15 R13

november one two three four alpha anchorage center altimeter three zero zero one cleared to airville via radar vectors fly heading two three zero maintain one three thousand

ARV-ATCT-0078
 N1234A

Page 2 of 3

0151:30 N1234A november three four alpha cleared to airville via radar vectors
maintain one three thousand fly heading two three zero

0152
0153
0153:14 N1234A anchorage center november three four alpha level at thirteen
heading two three zero

0153:20 R13 november three four alpha roger

0154
0155
0155:15 N1234A anchorage november three four alpha would like to leave the
frequency to talk to kenai flight service

0155:30 R13 november three four alpha approved advise when you are back up

0156
(0157-0200)
0201
0201:30 N1234A anchorage center --- november three four alpha is back with you

0201:40 R13 november three four alpha roger

0201
(0203-0209)
0210
0210:22 R13 november three four alpha descend and maintain one one thousand

0210:30 N1234A november three four alpha down to eleven

0211
(0212-0214)
0215
0215:16 N1234A november three four alpha level at eleven

0215:23 R13 november three four alpha roger

0216
0217
0217:10 N1234A anchorage center november three four alpha my engine is running
a little rough

0217:20 R13 november three four alpha do you need any assistance

ARV-ATCT-0078
N1234A

Page 3 of 3

0217:30 0218	N1234A	november three four alpha negative
0218:05	R13	airville approach anchorage center
0218:10	ARVAP	anchorage center airville approach go ahead
0218:20	R13	just wanted to let you know november one two three four alpha said his engine was running rough but he did not request any assistance romeo papa
0218:40 0219	ARVAP	thanks hotel hotel
0220 0220:15	R13	november three four alpha contact airville approach one one eight point two five
0220:25 0221 (0222-0249) 0251	N1234A	november three four alpha roger

End of Transcript



Federal Aviation Administration

Memorandum

Date: October 18, 2013
 To: Aircraft Accident File ARV-ATCT-0078
 From: Airville Air Traffic Control Tower
 Subject: **INFORMATION:** Partial Transcript
 Aircraft Accident, N1234A
 Airville, AK, September 25, 2013

This transcription covers the Airville Airport Traffic Control Tower (ATCT) AP AP position for the time period from September 25, 1948, 0148 UTC, to September 25, 2013 0258 UTC.

Agencies Making Transmissions

Abbreviations

Anchorage Center	ZAN
Airville ATCT Approach Control, ARVAP	ARVAP
N1234A [or, BE35, N1234A]	N1234A
Airville ATCT Cab Coordinator, ARVCC	ARVCC

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

Lori Martinovich

Lori Martinovich
 Quality Control Specialist
 Airville ATCT

0148

(0149-0216)

0217

0218:00 ZAN airville anchorage handoff coordination

0218:10 ARVAP approach go ahead

0218:13 ZAN handoff three zero miles east of airville november one two three four alpha rough running engine

ARV-ATCT-0078
 N1234A

0218:40 ARVAP uh november one two three four alpha radar contact you can keep him high if he likes did he request assistance

0219:15 ZAN november one two three four alpha level eight thousand your requested j m

0219:42 ARVAP j s

0220:00 N1234A airville approach november one two three four alpha with you at eight thousand atis Charlie

0220:36 ARVAP november one two three four alpha airville approach fly present heading vector visual approach runway two two left descend at pilot's discretion maintain three thousand report the field in sight

0221:15 N1234A present heading pilot's discretion to three thousand november one two three four alpha

0222

0223

0223:51 N1234A out of eight thousand november one two three four alpha approach there's oil on my windshield the engine is running worse

0224:19 ARVAP november one two three four alpha roger when able say how many people on board and fuel remaining

0224:37 N1234A uh two of us in the airplane uh one hour fuel november one two three four alpha

0224:59 ARVAP tower approach

0225:04 ARVCC coordinator

0225:06 ARVAP one eight miles east november one two three four alpha emergency rough running engine oil loss two souls on board one hour fuel request a r f f standing by j s

0225:35 ARVCC t s

0226

ARV-ATCT-0078
N1234A

Page 3 of 3

0226:02 ARVAP november one two three four alpha can you see out your windshield report the field in sight

0226:11 N1234A yeah i can see the oil only blocks part of my view

0226:19 ARVAP november one two three four alpha report the field in sight

0226:30 N1234A field's in sight november one two three four alpha

0226:40 ARVAP november one two three four alpha cleared visual approach runway two two left

0226:51 N1234A cleared visual (unintelligible) runway two *(six)

0227

0227:14 ARVAP november one two three four alpha contact tower one one eight point seven

0227:20 N1234A one one eight point seven november one two three four alpha

0227:35 N1234A one one eight point seven november one two three four alpha

0228
(0229-0256)
0258

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: October 18, 2013
 To: Aircraft Accident File ARV-ATCT-0078
 From: Airville Air Traffic Control Tower
 Subject: **INFORMATION:** Partial Transcript
 Aircraft Accident, N1234A
 Airville, AK, September 25, 2013

This transcription covers the Airville Airport Traffic Control Tower (ATCT) CC CC position for the time period from September 25, 2013, 0154 UTC, to September 25, 2013 0256 UTC.

Agencies Making Transmissions

Abbreviations

Airville ATCT Approach Control, ARVAP	ARVAP
Airville ATCT Cab Coordinator, ARVCC	ARVCC

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

Lori Martinovich

Lori Martinovich
 Quality Control Specialist
 Airville ATCT

0154

(0155-0223)

0224

0224:59 ARVAP tower approach

0225:04 ARVCC coordinator

0225:06 ARVAP one eight miles east November one two three four alpha
 emergency rough running engine oil loss two souls on board one
 hour fuel request a r f f standing by j s

0225:35 ARVCC t s

ARV-ATCT-0078
 N1234A

12/31/2014

JO 8020.16B
Appendix B

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0226
(0227-0254)
0256

End of Transcript



Federal Aviation Administration

Memorandum

Date: October 18, 2013
 To: Aircraft Accident File ARV-ATCT-0078
 From: Airville Air Traffic Control Tower
 Subject: **INFORMATION**: Partial Transcript
 Aircraft Accident, N1234A
 Airville, AK, September 25, 2013

This transcription covers the Airville Airport Traffic Control Tower (ATCT) GC GC position for the time period from September 25, 2013, 0157 UTC, to September 25, 2013 0306 UTC.

Agencies Making Transmissions

Abbreviations

Airville ATCT Ground Control, ARVGC
 Airport Rescue Fire Fighting, ARFF1

ARVGC
 ARFF1

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

Lori Martinovich

Lori Martinovich
 Quality Control Specialist
 Airville ATCT

0157

(0158-0226)

0227

0227:15 ARVGC rescue one and company airville ground proceed on taxiways uniform and romeo hold short of runway two two left at the approach end

0227:34 ARFF1 rescue one and company proceeding hold short of runway two two left

0228

0228:49 ARFF1 rescue one at the approach end of runway two two left

ARV-ATCT-0078
 N1234A

Page 2 of 2

0228:58 0230 (0231-0232) 0233	ARVGC	rescue one roger emergency aircraft on eight mile final
0233:07	ARVGC	rescue one and company the bonanza landed off airport near the surface road east of runway two two left proceed to the site remain clear of all runways
0233:30 0234 0235	ARFF1	rescue one and company remaining clear of all runways
0235:02	ARFF1	rescue one we are at the aircraft
0235:08 0236 (0237-0304) 0306	ARVGC	rescue one roger

End of Transcript



Federal Aviation Administration

Memorandum

Date: October 18, 2013
 To: Aircraft Accident File ARV-ATCT-0078
 From: Airville Air Traffic Control Tower
 Subject: **INFORMATION:** Partial Transcript
 Aircraft Accident, N1234A
 Airville, AK, September 25, 2013

This transcription covers the Airville Airport Traffic Control Tower (ATCT) LC LC position for the time period from September 25, 2013, 0158 UTC, to September 25, 2013 0305 UTC.

Agencies Making Transmissions

Abbreviations

N1234A [or, BE35, N1234A]
 Airville ATCT Local Control, ARVLC

N1234A
 ARVLC

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

Lori Martinovich

Lori Martinovich
 Quality Control Specialist
 Airville ATCT

0158

(0159-0227)

0228

0228:08 N1234A airville tower november one two three four alpha with you for
 runway two two left engine's running pretty rough

0228:20 ARVLC november one two three four alpha airville tower wind two two
 zero at seven altimeter two niner niner niner runway two two left
 cleared to land

0228:35 N1234A runway two two left cleared to land november one two three four
 alpha

ARV-ATCT-0078
 N1234A

0228:58 ARVLC november one two three four alpha emergency equipment standing
by

0229:09 N1234A november one two three four alpha roger
0230
0231

0231:01 N1234A tower my engine's quit

0231:11 ARVLC november one two three four alpha roger wind two three zero at six
0232

0232:50 ARVLC november one two three four alpha radar contact lost emergency
equipment en route

0233

0233:20 ARVLC november one two three four alpha tower

0233:47 ARVLC november one two three four alpha tower how do you hear
0234
(0235-0303)
0305

End of Transcript

SECTION 11.

FAA Form(s) 8020-3, Facility Accident/Incident Notification Record

ARV-ATCT-0078
N1234A

o. FAA Form 8020-3, Facility Accident/Incident Notification Record (paragraph 65b and paragraph 82b(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. Also, handwrite notifications not listed on the form. If more than one FAA Form 8020-3 was used at the time of the accident, include all copies in the package. (Managers must ensure that copies of FAA Form 8020-3 with telephone numbers inserted are available, current and updated annually.)

Unless advised by the FAA Office of Accident Investigation and Prevention (AVP-100), the ATO Litigation Support Group, or other competent authority, all classified or sensitive security information and/or documentation must be redacted or blacked out from all copies. This generally will include information such as home, cellular, and pager telephone numbers of FAA, airport, military, and emergency personnel/offices. Additionally, if FAA Form 8020-3 is responsive to a FOIA request, the Service Center FOIA program office will ensure redactions are annotated with the applicable FOIA exemption, as described in 5 U.S.C. 552(b). 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


 FACILITY ACCIDENT/INCIDENT NOTIFICATION RECORD			Aircraft Identification N1234A		
			Date 9/24/2013		
			Airport Airville		
The order and number of call will be determined by the situation involved.					
	Phone No.	Time	Initials		
			Caller	Recipient	
Airport Emergency Equipment	907-555-1212	2325	MW	DB	
Additional Emergency Equipment					
Search and Rescue					
*Washington Operations Center (WOC)	202 111-1212	2350	MW	II	
Region Operations Center (ROC)	907 222-3434	2347	MW	LM	
Domestic Events Network (DEN)					
Air Traffic Manager	Jim Baker	907-444-5555	2337	MW	JB
Flight Standards District Office (FSDO)		907-000-9999	2352	MW	John Young
System Safety Investigations					
National Transportation Safety Board (NTSB)					
System Maintenance Organization Manager	907-444-8888	2340	MW	EV	
Law Enforcement	907-555-1321	2328	SB	J. Peel	
National Weather Service (NWS)	907 555-2501	2349	SB	AN	
Military Authority					
Airport Authority	907-555-1255	2350	SB	S. Dill	
Aircraft Operator	Wide Skies FBO	907-543-9876	2358	MW	Left Message
Operational Control Center (OCC)	UNKNOWN	2347	MW	By ROC	
Local Power Company	907-555-1245	2359	MW	J. Sparks	
Form Updated by (Name, Title, Facility): Lori Martinovich, Quality Control Specialist, ARV ATCT				Date: 07/22/13	
* Accidents requiring telephone notification to Washington shall be made immediately following notification for emergency equipment and/or search and rescue.					

FAA Form 8020-3 (12-13) Supersedes Previous Edition

Electronic Version

ARV-ATCT-078
N1234A

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

 FACILITY ACCIDENT/INCIDENT NOTIFICATION RECORD			Aircraft Identification		
			N1234A		
			Date	9/24/2013	
			Airport	Airville	
The order and number of call will be determined by the situation involved.					
	Phone No.	Time	Initials		
			Caller	Recipient	
Airport Emergency Equipment	907-555-1212	2325	MW	DB	
Additional Emergency Equipment					
Search and Rescue					
*Washington Operations Center (WOC)	202-111-1212	2350	MW	II	
Region Operations Center (ROC)	907-222-3434	2347	MW	LM	
Domestic Events Network (DEN)					
Air Traffic Manager	Jim Baker				
Flight Standards District Office (FSDO)	907-000-9999	2337	MW	JB	
System Safety Investigations					
National Transportation Safety Board (NTSB)					
System Maintenance Organization Manager	907-444-8888	2340	MW	EV	
Law Enforcement	555-1321	2328	SB	J. PEEL	
National Weather Service (NWS)	907-555-2501	2349	SB	AN	
Military Authority					
Airport Authority	907-555-1255	2350	SB	S. Dill	
Aircraft Operator	Wide Skies FBO	907-543-9876	2358	MW	Left Message
Operational Control Center (OCC)	UNKNOWN	2347	MW	By ROC	
Local Power Company	907-555-1245	2359	MW	J. Sparks	
Form Updated by (Name, Title, Facility): Lori Martinovich, Quality Control Specialist, ARV ATCT			Date: 07/22/13		
* Accidents requiring telephone notification to Washington shall be made immediately following notification for emergency equipment and/or search and rescue.					

FAA Form 8020-3 (12-10) Supersedes Previous Edition

Electronic Version

ARV-ATCT-078
N1234A

SECTION 12.
Weather Products

ARV-ATCT-0078
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p. Weather Products (paragraph 82b(13)). 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 flight crew) and the source of the weather. This includes weather entered on the 8020-6 (including remarks). PIREPs, SIGMETs, AIRMETs, TAFs, weather-related NOTAMs and other weather information should also be included.

National Climatic Data Center (NCDC) blue ribbon certified weather does not need an additional certification statement. NCDC weather is no longer recommended for Meteorological Terminal Aviation Routine Weather Reports (METARs) due to the conversions required by the person entering weather into the accident package. Other NCDC products like TAFs, AIRMETs and SIGMETs do not require conversion.

Non-blue ribbon weather needs a certification statement.

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."

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 (CSWU) 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."

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."

Air traffic facilities that do not take weather observations must include weather data in the weather products section. Air traffic facilities may obtain weather from various sources such as the CWSU, NWS and NCDC. Additionally, the Accident Package Generator (APG) may be used to obtain archived METARs.

"I certify the attached copy of the [*weather product(s)*] originated from the [*source*] (example, "APG-link to archived weather" or "National Weather Service" or National Climatic Data Center") is an accurate copy of the original."

See example on the following page.



Display Results - Tue Sep 24 2215Z
DTC DUAT Transaction 0105602 09/24/2013 2215Z

All Reports FA AC WW WH WS WST CWA WA TREND UA SD TAF FD TFR NOTAM
 FDC FDCG ATC

=== Abbreviated Route Briefing Depart:MRI Arrive:ARV
 === Route:MRI ARV

SYNOPSIS AND VFR CLOUDS/WEATHER FORECASTS

ANCH FA 011345

AK SRN HLF EXCP SE AK...

AIRMETS VALID UNTIL 012000

TS IMPLY POSSIBLE SEV OR GREATER TURB SEV ICE LLWS AND IFR CONDS.

NON MSL HEIGHTS NOTED BY AGL OR CIG.

SYNOPSIS VALID UNTIL 020800

QSTNRY 1009 MB LOW NR PAWR WL WKN TO 1016 MB AT END OF PD. 969 MB LOW
 100 S PADK WL MOV TO 100 NE PAAK AT 975 MB AT END OF PD. ASSOC OCFNT NR
 PADK...100 W PAKO...SE WL MOV NE TO 200 W PASN...PASN...50 W PACD...S
 AT END OF PD. ONSHORE FLOW AND SHOWERS WKN OVR SE AK PANHANDLE DURING
 THE PD.

COOK INLET AND SUSITNA VLY AB...VALID UNTIL 020200

...CLOUDS/WX...

AIRMET MT OBSCERN MTS OBSC IN CLDS/PCPN. NC...

NR ERN MTS SCT015 BKN035 LYRD ABV TO FL200.

OCNL BKN015 OVC035. PANC S OCNL -SHRA.

N PANC TIL 18Z ISOL CIGS BLW 010.

ELSW SCT045 BKN060 LYRS ABV TO FL200. ISOL BKN045 -SHRA.

OTLK VALID 020200-020800...VCY ERN MTS MVFR CIG SHRASN. ELSW VFR.

PASSES...LK CLARK...MERRILL...RAINY...VFR OCNL MVFR CIG SHRASN/SHSN W SIDE.

WINDY...VFR OCNL MVFR CIG SHSN.

PORTAGE...MVFR CIG RA.

...TURB...

NIL SIG.

...ICE AND FZLVL...

ISOL MOD RIME ICEIC 040-120. FZLVL 015.

AAWU SEP 2013 AAWU

ANCC FA 011345

AK SRN HLF EXCP SE AK...

AIRMETS VALID UNTIL 012000

TS IMPLY POSSIBLE SEV OR GREATER TURB SEV ICE LLWS AND IFR CONDS.

NON MSL HEIGHTS NOTED BY AGL OR CIG.

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JO 8020.16B
Appendix B

KUSKOKWIM VLY AF...VALID UNTIL 020200
...CLOUDS/WX...
AIRMET MT OBSCMTS OCNL OBSC IN CLDS/PCPN. IMPR...
BKN015 OVC025 ST TOP EST 045 LYRS ABV TO 160.
VCY AK RANGE OCNL VIS 3-5SM -SHSN BR. ELSW OCNL VIS 5SM BR.
BY 20Z SCT025 BKN050 BKN-OVC100 TOP 160.
VCY AK RANGE OCNL BKN025/VIS 5SM -SHSN...ISOL ELSW.
OTLK VALID 020200-020800...VCY AK RANGE MVFR CIG ISOL SHSN.
ELSW VFR.
...TURB...
NIL SIG.
...ICE AND FZLVL...
VCY AK RANGE ISOL MOD RIME ICEIC BTN 035-120. ELSW NIL SIG.
FZLVL SFC.

BRISTOL BAY AH...VALID UNTIL 020200
...CLOUDS/WX...
AIRMET MT OBSCMTS OCNL OBSC IN CLDS. NC...
PADL-PAII LN SW SCT008 SCT-BKN012 OVC022 ST TOP EST 045 FEW LYRS
ABV TO 120. ISOL VIS 3-5SM BR.
VCY ALEUTIAN RANGE PAII S ISOL VIS 3-5SM -SHSN BR.
AFT 20Z OCNL SCT025 BKN045 TOP 120.
NE PADL-PAII LN SCT-BKN035 BKN045 OVC070 TOP 120.
OTLK VALID 020200-020800...VFR.
...TURB...
AIRMET TURBBY 18Z OFSHR OCNL MOD TURB BTN FL300-FL380. INTSF...
OTRW NIL SIG.
...ICE AND FZLVL...
NIL SIG. FZLVL BLW 010.
CHA/DE SEP 2013 AAWU
ANCT FA 011345
AK SRN HLF EXCP SE...

AIRMETS VALID UNTIL 012000
TS IMPLY POSSIBLE SEV OR GREATER TURB SEV ICE LLWS AND IFR CONDS.
NON MSL HEIGHTS NOTED BY AGL OR CIG.

AAWU SEP 2013 AAWU
SEVERE WEATHER OUTLOOKS
SPC AC 011238
DAY 1 CONVECTIVE OUTLOOK
NWS STORM PREDICTION CENTER NORMAN OK
0738 AM CDT TUE SEP 24 2013
VALID 011300Z - 021200Z
...THERE IS A SLGT RISK OF SVR TSTMS THIS MORNING OVER PARTS OF ERN
PA AND NJ...
...SYNOPSIS...
A SIGNIFICANT SHORT-WAVE TROUGH AND ASSOCIATED MID AND UPPER-LEVEL
JET STREAKS OVER THE GREAT LAKES INTO CNTRL APPALACHIANS WILL EJECT
NEWD INTO THE CANADIAN MARITIMES IN ADVANCE OF AN AMPLIFYING
UPSTREAM TROUGH MOVING FROM THE GREAT PLAINS TO E OF THE MS RIVER
VALLEY.

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THE PROGRESSION OF THE FORMER UPPER-AIR SYSTEM WILL RESULT IN THE

EWD/NEWD ACCELERATION OF A SURFACE COLD FRONT TO OFF THE NERN U.S. COAST BY TONIGHT. MEANWHILE...THE SRN PORTION OF THIS FRONT IS EXPECTED TO INTENSIFY E OF THE APPALACHIANS LATER TODAY AS LARGE-SCALE FORCING FOR ASCENT STRENGTHENS IN RESPONSE TO THE ARRIVAL OF THE LATTER SYSTEM MENTIONED ABOVE. THERE IS SOME INDICATION IN LATEST MODEL GUIDANCE THAT ONE OR MORE WAVES MAY PROPAGATE NEWD ALONG THE COLD FRONT AS IT ADVANCES EWD TO OFF THE MIDDLE AND SERN ATLANTIC COASTS BY 02/12Z.

...MID ATLANTIC INTO NEW ENGLAND TODAY...

A STRONGLY FORCED...LOW-TOPPED CONVECTIVE BAND WHICH PRODUCED FAIRLY WIDESPREAD WIND DAMAGE OVER THE OH VALLEY LAST NIGHT CONTINUES AS OF 12Z FROM NERN MD TO SERN NY. THIS FEATURE IS LARGELY BEING DRIVEN BY DCVA ASSOCIATED WITH THE GREAT LAKES SHORT-WAVE TROUGH AND LOW-LEVEL UPLIFT ALONG THE ATTENDING COLD FRONT. WHILE AN INTENSE /70-80 KT/ SWLY LLJ WILL MAINTAIN THE FLUX OF AN INCREASINGLY MOIST AIR MASS AHEAD OF THIS CONVECTION...WEAK LAPSE RATES WILL LIMIT INSTABILITY WITH LITTLE OR NO LIGHTNING ANTICIPATED. BUT GIVEN THE PRESENCE OF THE VERY STRONG WIND FIELD...LOCALLY DAMAGING WIND GUSTS WILL REMAIN POSSIBLE OWING TO DOWNWARD MOMENTUM TRANSFER WITHIN THE CONVECTIVE DOWNDRAFTS.

FOR ADDITIONAL NEAR TERM GUIDANCE...SEE WW 559 AND MCD 2003.

...CNTRL/ERN CAROLINAS TO NERN GULF COAST THIS AFTERNOON INTO TONIGHT...

AS MENTIONED IN THE SYNOPSIS...HEIGHT FALLS/FORCING FOR ASCENT ASSOCIATED WITHIN THE AMPLIFYING UPSTREAM TROUGH WILL SPREAD FROM THE MID/LOWER MS VALLEY INTO THE CNTRL/SRN APPALACHIANS DURING THE LATTER HALF OF THE FORECAST PERIOD. THIS WILL SUPPORT THE INTENSIFICATION OF THE SURFACE COLD FRONT AND NEWD PROPAGATION OF ONE OR MORE WAVES ALONG THE PIEDMONT AND COASTAL PLAIN.

STRENGTHENING SLY/SWLY LOW-LEVEL FLOW AHEAD OF THE FRONT WILL MAINTAIN A SEASONABLY MOIST WARM SECTOR WITH BOUNDARY LAYER DEWPOINTS IN THE 60S TO PERHAPS LOWER 70S. AND WHILE LAPSE RATES WILL REMAIN WEAK...THE HIGH MOISTURE CONTENT WILL YIELD POCKETS OF MODEST INSTABILITY WITH MLCAPE APPROACHING 500-1000 J/KG.

THE GREATEST RISK FOR A FEW SEVERE STORMS IS EXPECTED TO DEVELOP LATE THIS AFTERNOON INTO EVENING FROM ERN GA NNEWD ACROSS THE ERN CAROLINAS...LIKELY IN ASSOCIATION WITH A WEAK SURFACE LOW DEVELOPING NEWD ALONG THE COLD FRONT. HERE...FORECAST HODOGRAPHS SHOW A VERTICALLY VEERING WIND PROFILE WITH SUFFICIENT LOW-LEVEL AND DEEP-LAYER SHEAR FOR ORGANIZED STORM MODES...INCLUDING SUPERCELLS AND BOWING STRUCTURES. DUE TO UNCERTAINTIES IN THE DEGREE OF AIR MASS DESTABILIZATION...SUB-SLIGHT RISK WIND AND TORNADO PROBABILITIES WILL BE MAINTAINED IN THIS FORECAST.

..MEAD/DEAN.. 09/24/2013

SEVERE WEATHER WARNINGS...NONE

TROPICAL DEPRESSION/HURRICANE ADVISORIES...NONE

SIGMETS

ANC WS NO CURRENT DATA

CONVECTIVE SIGMETS...NONE

CENTER WEATHER ADVISORIES

ZAN CWA NO CURRENT DATA

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AIRMETS

ANCS WA 011345

12/31/2014

JO 8020.16B
Appendix B

AIRMET SIERRA FOR IFR AND MT OBSC VALID UNTIL 012000

COOK INLET AND SUSITNA VLY AB
ERN MTS OBSC IN CLDS/PCPN. NC.

KUSKOKWIM VLY AF
MTS OCNL OBSC IN CLDS/PCPN. IMPR.

BRISTOL BAY AH
MTS OCNL OBSC IN CLDS. NC.

=ANCT WA 011345
AIRMET TANGO FOR TURB/STG SFC WINDS VALID UNTIL 012000

BRISTOL BAY AH
BY 18Z OFSHR OCNL MOD TURB BTN FL300-FL380. INTSF.

=ANCZ WA 011345
AIRMET ZULU FOR ICING VALID UNTIL 012000

TREND WEATHER OBSERVATIONS VFR MVFR IFR

Reports in an invalid format or without all the necessary information to determine VFR, MVFR or IFR will default to IFR

METAR PAMR 011453Z AUTO 0000KT 10SM -RA SCT018 BKN031 OVC045 04/02
A2976 RMK AO2 SLP080 P0001 60007 T00440022 51018 TSNO

METAR PAMR 011353Z 0000KT 10SM -RA SCT018 BKN031 OVC040 05/03 A2974
RMK AO2 SLP074 P0003 T00500028

METAR PAMR 011253Z 0000KT 10SM RA BKN035 OVC040 05/03 A2973 RMK AO2
SLP070 P0003 T00500028

SPECI PAED 011536Z AUTO 0000KT 10SM OVC016 04/04 A2978 RMK AO2 DZE1536

SPECI PAED 011509Z AUTO 0000KT 10SM -DZ OVC016 04/04 A2977 RMK AO2

SPECI PAED 011508Z AUTO 0000KT 10SM OVC015 04/04 A2977 RMK AO2 DZE1508

PAED 011458Z AUTO 0000KT 10SM -DZ OVC015 04/04 A2977

METAR PAED 011458Z AUTO 0000KT 10SM -DZ OVC015 04/04 A2977 RMK AO2
RAE1414DZB1414E1428B1445 OVC V BKN SLP078 P0000 60006
T00400038 52017 \$

SPECI PAED 011445Z AUTO 0000KT 10SM -DZ BKN016 OVC022 04/04 A2976
RMK AO2 RAE1414DZB1414E1428B1445 \$

SPECI PAED 011433Z AUTO 0000KT 10SM BKN016 OVC021 04/04 A2976 RMK
AO2 RAE1414DZB1414E1428 \$

SPECI PAED 011428Z AUTO 0000KT 10SM BKN014 OVC022 04/04 A2975 RMK
AO2 RAE1414DZB1414E1428 \$

SPECI PAED 011408Z AUTO 0000KT 10SM -RA BKN012 OVC020 04/04 A2975
RMK AO2 CIG 012V023 BKN V SCT \$

PAED 011358Z AUTO 0000KT 10SM -RA FEW012 SCT018 OVC023 04/04
A2975

METAR PAED 011358Z AUTO 0000KT 10SM -RA FEW012 SCT018 OVC023 04/04
A2975 RMK AO2 CIG 014 RWY24 SLP071 P0004 T00400039 \$

SPECI PAED 011313Z AUTO 0000KT 10SM -RA OVC028 04/04 A2973 RMK AO2

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CIG 028V034 \$

PAED 011258Z AUTO 0000KT 10SM -RA SCT024 OVC036 04/04 A2973

METAR PAED 011258Z AUTO 00000KT 10SM -RA SCT024 OVC036 04/04 A2973
RMK AO2 CIG 016 RWY24 SLP064 P0002 T00400039 \$

SPECI PAED 011253Z AUTO 00000KT 10SM -RA SCT024 OVC034 04/04 A2973
RMK AO2 CIG 016 RWY24 \$

SPECI PAED 011248Z AUTO 00000KT 10SM -RA BKN024 OVC037 04/04 A2973
RMK AO2 CIG 024V037 BKN V SCT CIG 018 RWY24 \$

METAR PALH 011453Z 00000KT 10SM -RA OVC018 05/04 A2977 RMK AO2
SLP083 P0001 60004 T00500039 52018

METAR PALH 011353Z 00000KT 10SM -RA FEW012 BKN017 OVC040 06/04 A2976
RMK AO2 SLP077 P0001 T00560039

METAR PALH 011253Z 17003KT 10SM -RA OVC032 05/04 A2974 RMK AO2
SLP072 P0002 T00500039

PANC 011453Z 00000KT 10SM -RA FEW005 BKN017 OVC042 05/03 A2976

METAR PANC 011453Z 00000KT 10SM -RA FEW005 BKN017 OVC042 05/03 A2976
RMK AO2 SLP080 P0001 60003 T00500033 52019

PANC 011353Z 00000KT 10SM -RA FEW005 OVC012 06/04 A2974

METAR PANC 011353Z 00000KT 10SM -RA FEW005 OVC012 06/04 A2974 RMK
AO2 SLP073 P0001 T00560039

SPECI PANC 011323Z 14003KT 9SM -RA BKN010 BKN016 OVC039 06/04 A2973
RMK AO2 P0001

SPECI PANC 011317Z 15003KT 10SM -RA SCT008 SCT016 OVC039 06/04 A2973
RMK AO2 P0000

PANC 011253Z 16004KT 10SM -RA FEW030 OVC041 05/04 A2973

METAR PANC 011253Z 16004KT 10SM -RA FEW030 OVC041 05/04 A2973 RMK
AO2 SLP068 P0001 T00500039
PAFR TW NO CURRENT DATA

METAR PABV 011536Z AUTO 00000KT 8SM OVC037 A2979 RMK AO1 P0001

METAR PABV 011516Z AUTO 00000KT 8SM OVC041 A2978 RMK AO1

METAR PABV 011456Z AUTO 00000KT 6SM OVC043 A2977 RMK AO1 60002 52017

METAR PABV 011436Z AUTO 00000KT 7SM FEW022 FEW029 OVC045 A2976 RMK
AO1

METAR PABV 011416Z AUTO 00000KT 7SM SCT022 BKN028 OVC049 A2976 RMK
AO1

METAR PABV 011356Z AUTO 00000KT 7SM FEW020 BKN038 OVC048 A2975 RMK
AO1 P0002

METAR PABV 011336Z AUTO 00000KT 8SM FEW027 OVC038 A2975 RMK AO1
P0001

METAR PABV 011316Z AUTO 00000KT 2 1/2SM SCT003 BKN027 OVC036 A2974
RMK AO1 VIS 1 1/2V5

METAR PABV 011256Z AUTO 00000KT 3SM OVC003 A2974 RMK AO1

METAR PAWS 011536Z AUTO 00000KT 10SM OVC018 03/01 A2977 RMK AO1

METAR PAWS 011516Z AUTO 08003KT 10SM OVC018 03/01 A2976 RMK AO1

METAR PAWS 011456Z AUTO 00000KT 10SM OVC018 03/01 A2975 RMK AO1
60002 52017

METAR PAWS 011436Z AUTO 00000KT 10SM OVC018 03/01 A2974 RMK AO1

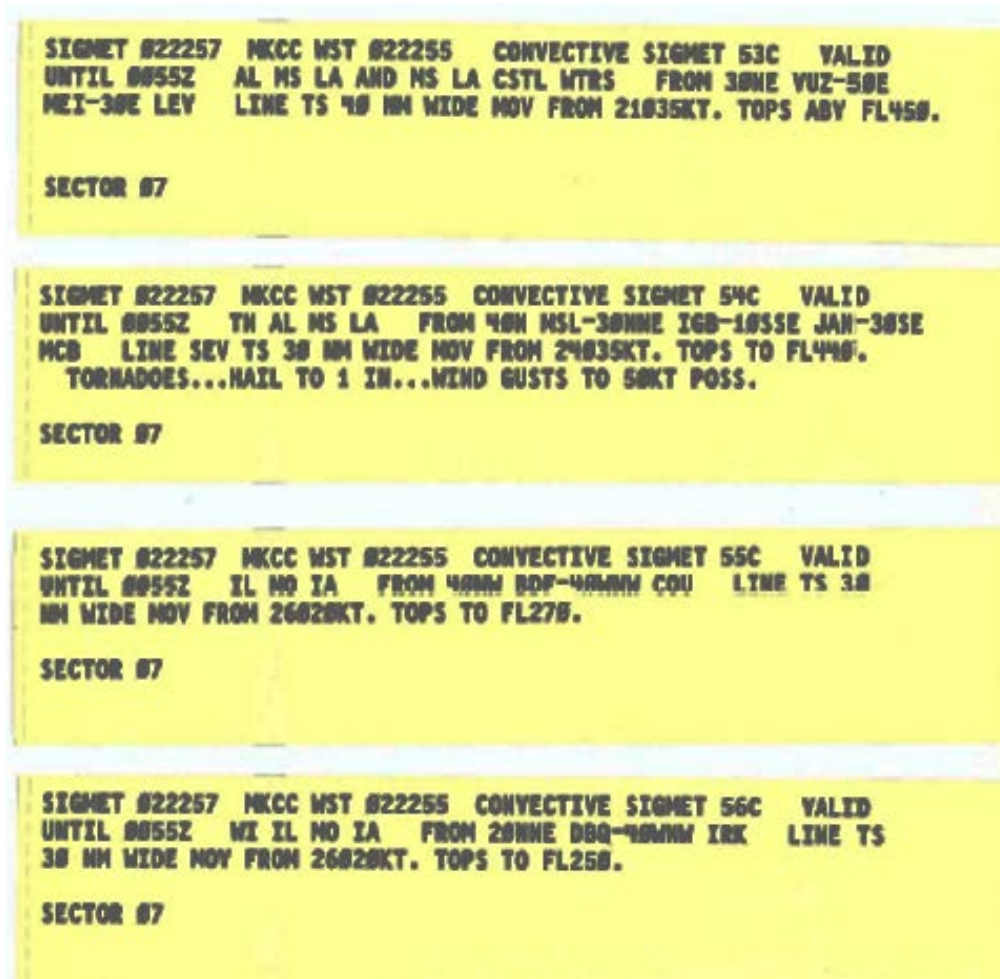
METAR PAWS 011416Z AUTO 00000KT 10SM OVC018 03/01 A2974 RMK AO1

METAR PAWS 011356Z AUTO 00000KT 10SM OVC018 03/01 A2973 RMK AO1
P0001

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**NOTE: THE REMAINDER OF THE DUAT RECORD WAS
DELETED TO CONSERVE SPACE IN THIS EXAMPLE
ACCIDENT PACKAGE**

Example of weather product from ZAN



I certify the attached copy of the SIGMETs originated from the Anchorage Center Weather Service Unit on September 25, 2013 is an accurate copy of the original.

Carol J. Biggio

Carol J. Biggio
Manager, Anchorage ARTCC (Do Not Use Initials)

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N1234A

12/31/2014

JO 8020.16B
Appendix B

Example of weather product from ARV ATCT

Airville ATCT

Weather Products 09/25/13

FAAK68 PAWU 241940
FA8T
ANCT FA 241945
AK SRN HLF EXCP SE...

AIRMETS VALID UNTIL 250200
TS IMPLY POSSIBLE SEV OR GREATER TURB SEV ICE LLWS AND IFR CONDS.
NON MSL HEIGHTS NOTED BY AGL OR CIG.

ADAK TO ATTU AK...VALID UNTIL 250800
...CLOUDS/WX...
SCT025 BKN045 TOPS 070.
ISOL BKN025 -SHRA.
OTLK VALID 310800-311400...MVFR CIG SHRA.
...TURB...
NIL SIG.
...ICE AND FZLVL...
NIL SIG. FZLVL 015.

PRIBILOF ISLANDS AND SOUTHEAST BERING SEA AL...VALID UNTIL 250800
...CLOUDS/WX...
SCT015 BKN025 TOP 050 LYRS ABV TO FL200.
OCNL SCT008 BKN015 VIS 4SM -SHRA.
OTLK VALID 250800-251400...MVFR CIG SHRA.
...TURB...
NIL SIG.
...ICE AND FZLVL...
NIL SIG. FZLVL 015.

AAWU SEP 2013 AAWU

"I certify the attached copy of the Bering Sea/West Aleutians Area Forecast originated from APG-link to archived weather is an accurate copy of the original."

Lori Martinovich [Do not use initials]

Lori Martinovich
ARV Quality Control Specialist

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N1234A

12/31/2014

JO 8020.16B
Appendix B

Example of weather product from ARV ATCT continued

Airville ATCT

Weather Products 09/25/13

METAR PASV 250155Z AUTO 23006 10SM FEW040 10/04 2999

METAR PASV 250235Z AUTO 22007KT 10SM FEW040 10/04 2999

METAR PASV 250240Z AUTO 22007KT 10SM FEW040 10/04 2999

TAF AMD

PASV 250058Z 2501/2523 21006KT P6SM SCT040

TEMPO 2501/2505 BKN040

FM250700 VRB04KT 5SM SCT040

"I certify the attached copy of the METARs and TAF originated from APG-link to archived weather is an accurate copy of the original."

Lori Martinovich [Do not use initials]

Lori Martinovich
ARV Quality Control Specialist

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q. Non-published NOTAMs (paragraph 82b(15)). Include all non-published applicable NOTAMs.

r. FAA Form(s) 7233-2, Preflight Briefing Log, or automated equivalent (paragraph 82b(16)).

s. FAA Form(s) 7233-1, Flight Plan, or automated equivalent (paragraph 82b(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.

t. Other (paragraph 82b(18)). Include any other materials deemed pertinent. The APG will automatically generate a UTC conversion chart. (This chart is not mandatory for those who do not use the APG.)

SECTION 13.
Other

ARV-ATCT-0078
N1234A

UTC (Zulu) Time Conversion Chart

UTC (Zulu)	PST/ALDT	PDT/MST	MDT/CST	CDT/EST	EDT/AST	ALST	HST	UTC (Zulu)	PST/ALDT	PDT/MST	MDT/CST	CDT/EST	EDT/AST	ALST	HST
0000*	1600	1700	1800	1900	2000	1500	1400								
0100	1700	1800	1900	2000	2100	1600	1500	1300	0500	0600	0700	0800	0900	0400	0300
0200	1800	1900	2000	2100	2200	1700	1600	1400	0600	0700	0800	0900	1000	0500	0400
0300	1900	2000	2100	2200	2300	1800	1700	1500	0700	0800	0900	1000	1100	0600	0500
0400	2000	2100	2200	2300	0000*	1900	1800	1600	0800	0900	1000	1100	1200	0700	0600
0500	2100	2200	2300	0000*	0100	2000	1900	1700	0900	1000	1100	1200	1300	0800	0700
0600	2200	2300	0000*	0100	0200	2100	2000	1800	1000	1100	1200	1300	1400	0900	0800
0700	2300	0000*	0100	0200	0300	2200	2100	1900	1100	1200	1300	1400	1500	1000	0900
0800	0000*	0100	0200	0300	0400	2300	2200	2000	1200	1300	1400	1500	1600	1100	1000
0900	0100	0200	0300	0400	0500	0000*	2300	2100	1300	1400	1500	1600	1700	1200	1100
1000	0200	0300	0400	0500	0600	0100	0000*	2200	1400	1500	1600	1700	1800	1300	1200
1100	0300	0400	0500	0600	0700	0200	0100	2300	1500	1600	1700	1800	1900	1400	1300
1200	0400	0500	0600	0700	0800	0300	0200	2400	1600	1700	1800	1900	2000	1500	1400

*0000 and 2400 are interchangeable.
2400 is associated with the date of the day ending, 0000 with the day just starting.

-
- UTC = Coordinated Universal Time, or **Zulu**
 - PST = Pacific Standard Time (UTC - 8 hours)
 - ALDT = Alaskan Daylight Time (UTC - 8 hours)
 - PDT = Pacific Daylight Time (UTC - 7 hours)
 - MST = Mountain Standard Time (UTC - 7 hours)
 - MDT = Mountain Daylight Time (UTC - 6 hours)
 - CST = Central Standard Time (UTC - 6 hours)
 - CDT = Central Daylight Time (UTC - 5 hours)
 - EST = Eastern Standard Time (UTC - 5 hours)
 - EDT = Eastern Daylight Time (UTC - 4 hours)
 - AST = Atlantic Standard Time (UTC - 4 hours)
 - ALST = Alaskan Standard Time (UTC - 9 hours)
 - HST = Hawaiian Standard Time (UTC - 10 hours)
-

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u. Changes to the Accident Package After the Package was Released (paragraph 86).

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



Federal Aviation Administration

Memorandum

Date: October 31, 2013

To: Aircraft Accident File ARV-ATCT-0078
Jim Baker [Do not use initials]

From: Jim Baker, Manager, Airville Air Traffic Control Tower

Subject: **INFORMATION**: Change to Aircraft Accident Package
Aircraft Accident, N1234A
Airville, AK, September 25, 2013

I certify that the following NOTAMs were not originally in the accident package. This memo reflects that the accident package has been changed to add these NOTAMs:

PARV Airville Airport

F0017/13 – [DEFENSE LOGISTICS AGENCY – ENERGY ADVISORY] FUEL AVAILABILITY: CONTRACT FUELE UNDER DLA ENERGY CONTRACT SMA500-13-D-0045 IS NOT AVAILABLE AT PARV, AIRVILLE AIRPORT, AIRVILLE, AK DUE TO THE CONTRACTOR NO LONGER SERVICING THIS LOCATION. NON-CONTRACT FUEL IS AVAILABLE WITH ADVANCED AVIATION TECHNOLOGIES, INC.

QUESTIONS PLEASE CONTACT WILSON RUNNER AT 202-111-3333 09 SEP 20:00 2013 UNTIL 02 DEC 15:00 2013. CREATED: 09 SEP 17:57 2013

KFDC FDC

FDC 4/0811 - ...SPECIAL NOTICE...

THIS IS A RESTATEMENT OF A PREVIOUSLY ISSUED ADVISORY NOTICE. IN THE INTEREST OF NATIONAL SECURITY AND TO THE EXTENT PRACTICABLE, PILOTS ARE STRONGLY ADVISED TO AVOID THE AIRSPACE ABOVE, OR IN PROXIMITY TO SUCH SITES AS POWER PLANTS (NUCLEAR, HYDRO-ELECTRIC, OR COAL), DAMS, REFINERIES, INDUSTRIAL COMPLEXES, MILITARY FACILITIES AND OTHER SIMILAR FACILITIES. PILOTS SHOULD NOT CIRCLE AS TO LOITER IN THE VICINITY OVER THESE TYPES OF FACILITIES. WIE UNTIL UFN. CREATED: 08 SEP 18:22 2004

PARV AIRVILLE AIRPORT

10/112 (A3547/13) – ARV VASI OTS 23 SEP 22:51 UFN CREATED 23 SEP 22:53 2013

ARV-ATCT-0078
N1234A

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

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

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

FIG D-1
Examples of Cassette Tape Labeling

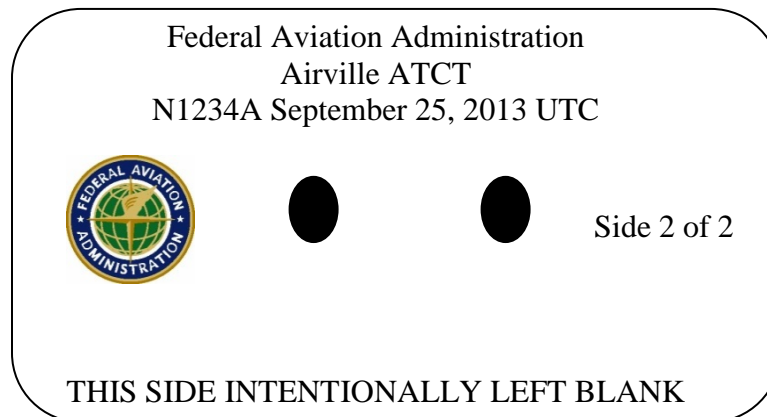
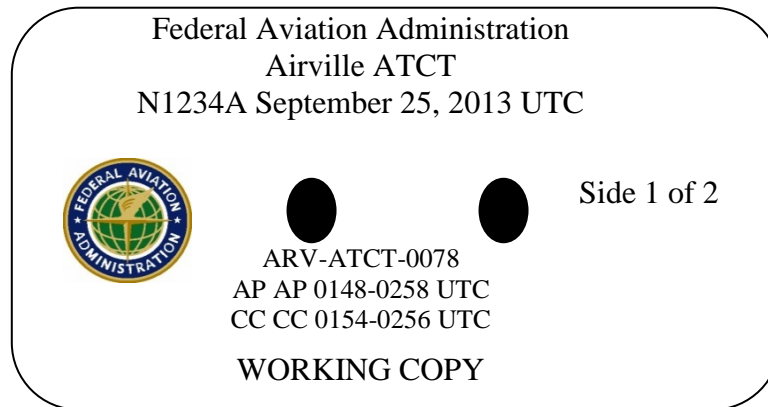
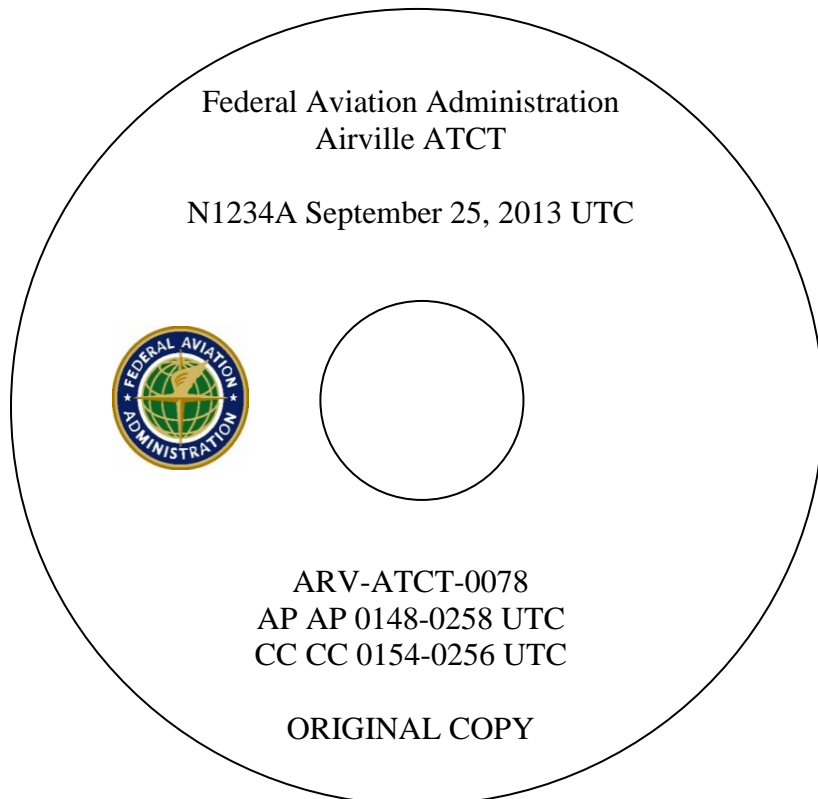
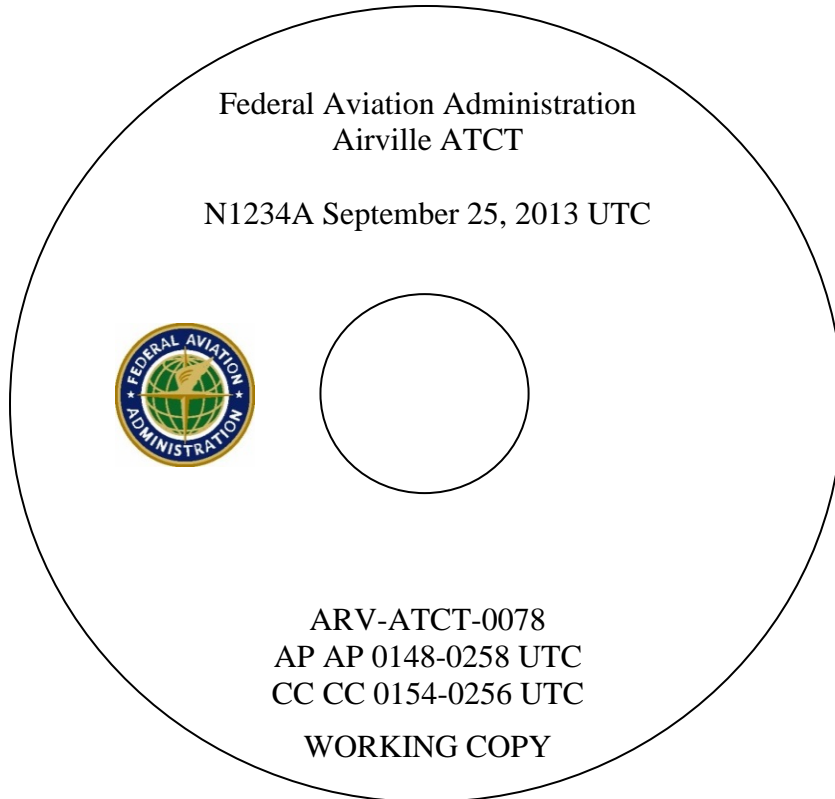


FIG D-1
Examples of Cassette Tape Labeling (continued)



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 from the ATO Litigation Support Group (i.e., chain-of-custody) before the release or destruction of any original document 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 overnight 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: October 15, 2013

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

From: *Jim Morin [Do not use initials]*
Jim Morin, Group Manager, ATO Safety and Technical Training, Litigation Support, AJI-17

Subject: **ACTION:** Original Documentation Transfer
Aircraft Accident, N1234A
Airville, AR, September 25, 2013

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 Jim Morin, Group Manager, ATO Safety and Technical Training, Litigation Support, so as to be received by COB, Friday, August 12.

Should you have any questions or need assistance, call me at (202) 267-7157.

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 Federal Aviation Administrator or any person that is delegated the authority of the Administrator.
- 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, ultralight 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. Aircraft Incident** - an occurrence other than an accident as associated with the operation of an aircraft which affects or could affect the safety of operations.
- 6. Airworthy** - the aircraft must conform to its type certificate and be in condition for safe operation.
- 7. ALNOT** – Alert Notice
- 8. 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.

9. **CEDAR** - Comprehensive Electronic Data Analysis and Reporting tool .
10. **Civil Aircraft** - any aircraft other than a public aircraft.
11. **Control Center:** A control center is the technical operations NAS management entity responsible for coordination with air traffic control operations personnel or other users of the NAS. NAS management includes remote monitoring of equipment/system status, documentation of equipment/system outages, aircraft incidents/accidents and other NAS events. Control Centers also schedule, coordinate and document planned equipment/service outages. Examples of a control center are a service area OCC, and a System Operations Center (SOC) collocated at either an ARTCC or large TRACON.
12. **Civil Aircraft of the United States** - any aircraft registered as provided in Title 49 United States Code.
13. **Destroyed Aircraft** - an aircraft damaged to the extent that it would be impracticable to return the aircraft to an airworthy condition.
14. **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.
15. **FAA Contract Facility (FCF)** - FAA Contract Towers (FCT), Non-Federal Contract Towers (NFCT) and Contracted Flight Service Station (FCFSS) facilities.
16. **FAA Coordinator** - a job title assigned by the National Transportation Safety Board (NTSB) and military services to the FAA investigator-in-charge (IIC).
17. **FAA Accident Participants or FAA Participants** - those FAA personnel assigned to assist the FAA and NTSB IIC in an accident or incident investigation.
18. **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.
19. **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.
20. **Fatal Injury** - any injury which results in death within 30 days of the accident.
21. **Flight crew 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.
22. **Flight Service Program Office (FSPO)** – FAA Office responsible for issues regarding flight service stations involved in accidents, incidents, and occurrences. 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).

23. FOIA – Freedom of Information Act.

24. 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.

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

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

27. 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.

28. 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.

29. Mandatory Occurrence Report (MOR) – An occurrence involving air traffic services for which the collection of associated safety-related data and conditions is mandatory.

30. 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.

31. 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.

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

33. 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.

34. 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.

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

36. Pertinent Services – Generally are those services that take place after air traffic becomes aware of, or is notified of an unusual, urgent or emergency situation by the flight crew or other sources.

37. 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.

38. Runway Incursion - any occurrence at an aerodrome involving the incorrect presence of an aircraft, vehicle, or person on the protected area of a surface designated for the landing and takeoff of aircraft.

39. 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.

40. 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.

41. 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.

42. 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.

43. 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.

44. 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.

45. 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.

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

47. Vehicle or Pedestrian Deviation - any entry or movement on the airport movement area or safety 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).