

CHAPTER 9
AIRCRAFT ACCIDENTS, INCIDENTS, AND OCCURRENCES

REVISED SEPTEMBER 2024

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CHAPTER 9

AIRCRAFT ACCIDENTS, INCIDENTS, AND OCCURRENCES

1. GENERAL. The purpose of this chapter is to establish policy and uniform procedures for classifying, reporting, investigating, and documenting aircraft accidents, incidents, and occurrences. It is essential meaningful and thorough reporting, investigation, and documentation of departmental aviation accidents and serious incidents be standardized and consistent with National Transportation Safety Board (NTSB), Part 830; and Federal Aviation Administration (FAA) requirements. This chapter also provides direction on the submission of flight and ground occurrence reports through the Air Operations Program (AOP), Safety Management System (SMS). Additionally, this chapter provides guidelines for the development and implementation of an Emergency Response Plan (ERP) in compliance with the AOP SMS.

2. DEFINITIONS.
 - a. Aircraft Accident. Per NTSB, Part 830.2, an aircraft accident means an occurrence (event) associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight and all such persons have disembarked, and in which any person suffers death or serious injury, or in which the aircraft receives substantial damage.

 - b. Aircraft Incident. Per NTSB, Part 830.2, an aircraft incident means an occurrence (event) other than an accident, associated with the operation of an aircraft, which affects or could affect the safety of operations. An aircraft incident can occur on the ground or in flight.

 - c. Aircraft Occurrence. Per FAA, Order 8020.11D, an aircraft occurrence means an abnormal event other than an aircraft accident or aircraft incident. An aircraft occurrence is a specific hazard identified by the flight crew and/or other air unit personnel in that, without mitigation, presents the potential for harm to personnel or damage to aircraft or equipment.

3. NOTIFICATION. Aircraft accidents or serious incidents per NTSB, Part 830.5 (Immediate Notification).
 - a. Departmental.
 - (1) Flight Crew Notification Responsibilities.

(a) Following an aircraft accident, incident, or occurrence, the crew shall assess the airworthiness of the aircraft prior to continued flight. If not airworthy, the aircraft shall not be flown until it is airworthy.

(b) Regardless of the aircraft's airworthiness, the crew shall make a reasonable effort by the most expedient means to immediately notify the unit's aerial supervisor and provide details of the event, prior to further flight. If the aerial supervisors are unavailable, the crew shall attempt to notify the Division's Special Services Commander (SSC) or a member of the Office of Air Operations (OAO) prior to continued flight. A qualified mechanic or factory technical representative may be consulted as part of the decision to continue flight.

(c) If the above notification requirements cannot be met, the decision for continued flight shall rest with the crew. Under these circumstances, the crew shall notify the aerial supervisor, the SSC, the appropriate chief pilot, or the OAO safety coordinator, as soon as possible.

(2) Aerial Supervisor, Special Services Commander, and the Office of Air Operations Notification Responsibilities:

(a) Accidents or Incidents Specified by National Transportation Safety Board, Part 830. The following personnel shall be notified immediately of an aircraft accident or serious incident requiring immediate notification as specified in NTSB, Part 830.5 (refer to Annex A):

- 1 The Division commander where the event occurred.
- 2 Assistant Commissioner, Field (ACF).
- 3 The OAO commander (if not previously notified), the appropriate chief pilot, and the safety coordinator.

(b) All other incidents/occurrences shall be reported through the AOP's SMS within 24 hours of the incident/occurrence (refer to paragraph 11.).

1 In addition to submitting an incident or occurrence under paragraph 3.a.(2)(b), consideration should be given to the immediate impact to safety for the entire AOP, and notification to the appropriate chief pilot and/or the OAO safety coordinator and OAO commander should be made, as appropriate.

a The OAO will determine (through communication with the involved unit and SSC) if an incident investigation under paragraph 3.a.(2)(b) is to be completed in addition to a hazard

report. In most cases, when an investigation is to be completed, the involved air unit will be responsible for completing the incident investigation with the support of OAO, per the investigation format provided in Annex C.

b At the discretion of the OAO commander, a safety investigation by OAO personnel may be completed.

2 The investigation shall be completed and submitted to OAO, through the respective Division, within 60 calendar days of the event date.

b. Other Agency Notifications.

(1) The unit's aerial supervisor or the SSC shall provide initial notification to appropriate law enforcement, rescue, and/or fire agencies having jurisdiction at the site of an accident or incident as specified by NTSB, Part 830.

(2) Pursuant to NTSB, Part 830.1(b), OAO shall notify the nearest NTSB office of accidents and serious incidents required by NTSB, Part 830.5 (Immediate Notification); Part 830.6 (Information to be Given in Notification); and Part 830.15 (Reports and Statements to be Filed). (Refer to Annex A.)

4. POST-ACCIDENT RESPONSIBILITIES.

a. The Division commander, the SSC, or aerial supervisor in whose Division the accident or incident occurred shall:

(1) Coordinate the rescue and medical treatment of injured personnel.

(2) Ensure the scene is secure.

(3) If appropriate, immediately notify the Division the aircraft is assigned to.

(4) Activate the unit's ERP (refer to Annex E). If another field Division aircraft is involved, that Division shall activate their ERP as well.

(5) Obtain preliminary witness information and statements and provide them to the departmental investigator upon arrival.

(6) Cooperate with and provide logistical support to the investigative team.

b. For all AOP aircraft accidents and serious incidents the OAO commander shall:

- (1) Designate an appropriate investigation team.
- (2) Coordinate any outside assistance required in the investigation.
- (3) Forward the final report to ACF.

c. For all AOP incidents, the OAO commander, with the concurrence of ACF, shall have the option to assign the investigation (through the Division SSC) to be completed by the Division air unit where the incident occurred or assign the investigation to be completed by OAO personnel.

5. INVESTIGATION RESPONSIBILITIES.

a. National Transportation Safety Board/Federal Aviation Administration. The NTSB and the FAA have authority to investigate public (departmental) aircraft accidents.

b. Departmental Investigations. In addition to any involvement by the NTSB or the FAA, the Department may elect to conduct its own investigation.

(1) The OAO will ensure a thorough and accurate investigation and reporting of departmental aircraft accidents and serious incidents.

(a) The OAO shall coordinate the investigation of all aircraft accidents and selected serious aircraft incidents.

1 The OAO will investigate all departmental aircraft accidents.

2 The OAO commander, with the concurrence of ACF, has the discretion to assign the Division air unit SSC to investigate certain aircraft incidents within their own Division.

(2) Per Highway Patrol Manual (HPM) 110.1, Multidisciplinary Accident Investigation Team Operations Manual, the Multidisciplinary Accident Investigation Team (MAIT) shall be utilized when, "a fatal or severe injury accident occurs involving a departmental aircraft or when specifically requested by OAO. In cases where the collision or incident involves substantial damage only, OAO will determine if MAIT involvement is required. A qualified member of OAO will be assigned as a member of MAIT conducting the investigation of any departmental aircraft accident or incident."

(3) Outside experts or resources, such as aircraft accident reconstruction specialists, component analysis, NTSB, FAA, or Federal Bureau of Investigation, etc., may be used by the departmental investigator when necessary. The OAO shall coordinate and arrange for payment of these services, when required.

c. Safety Investigation. The safety investigation is conducted to examine the accident/incident, and to identify recommendations for policy improvement and organizational learning (refer to Annex D). The safety investigation will be completed separately from the accident and/or serious incident investigation and will typically commence when the investigation is complete.

(1) In response to all aircraft accidents, the OAO shall conduct a safety investigation led by the OAO safety coordinator.

(2) In response to select incidents (as determined by the OAO commander), a safety investigation led by the OAO safety coordinator and the OAO team may be conducted.

d. Investigation/Report Format.

(1) Aircraft Accident Investigation Format. Unless otherwise indicated by OAO, accidents requiring notification under NTSB, Part 830.5, shall be documented using the Aircraft Accident Investigation format provided in Annex B.

(2) Aircraft Incident Investigation Format. Incidents requiring notification under NTSB, Part 830.5, or select incidents as determined by the OAO commander, shall be documented using the Aircraft Incident Investigation format provided in Annex C.

6. INVESTIGATION/REPORT DISTRIBUTION.

a. Investigations Completed at the Division Air Unit. Incident investigations completed at the Division air unit level will be reviewed through the respective Division chain of command, then forwarded directly to OAO with a cover memorandum. Upon review by OAO, the OAO will attach a cover memorandum of concurrence and/or further recommendation and forward to ACF.

b. Investigations Completed by the Office of Air Operations. Accident and incident investigations completed by OAO will be forwarded directly to ACF with a cover memorandum.

7. REPORT/ADDENDUM AND EVIDENCE RETENTION.

a. Aircraft Accident or Incident Reports. Provided no legal or warranty action is pending, aircraft accident or incident reports shall be retained by OAO for the life of the aircraft. The OAO may retain all or portions of the reports for future training or informational use.

b. Occurrence Reports. Occurrence reports should be retained by OAO for the life of the aircraft. The OAO may retain all or portions of the reports for future training or informational use.

c. Evidence. The OAO and all air units within the AOP will ensure evidence is properly retained in accordance with HPM 70.1, Evidence Manual.

8. TEMPORARY REMOVAL FROM FLIGHT DUTY.

a. After any accident or incident, pilots and/or flight officers may be temporarily removed from flight duty by the Division commander, SSC, aerial supervisor, or appropriate chief pilot.

(1) The OAO shall be consulted prior to such actions being implemented.

(2) Such removal will not affect range pay status.

b. The OAO shall immediately be notified of such removal.

c. The pilot shall undergo a proficiency checkride with the appropriate chief pilot prior to reinstatement to flight duty.

d. At the discretion of the OAO commander, the pilot may be required to submit to, and pass the FAA Class II flight physical prior to reinstatement to flight duty.

e. The flight officer shall undergo a proficiency checkride with the chief flight officer prior to reinstatement to flight duty.

9. CLOSING MEMORANDUM TO INVOLVED EMPLOYEE(S). As required by this chapter, the Division commander of the employee(s) involved in an investigation shall provide the employee(s) with a Memorandum of Findings or other appropriate documents, indicating the cause(s) of the event, recommendations for future prevention, and contemplated action, if any.

10. REVIEW BY THE NATIONAL TRANSPORTATION SAFETY BOARD. The OAO may request the NTSB review the Department's investigation to ensure objectivity, continuity, and accuracy of the report. Generally, air safety investigators from the NTSB, Los Angeles Field Office, will be utilized (contact information: 1515 W. 190th Street, Suite #555, Gardena, CA, 90248; (310) 297-1041).

11. INCIDENT AND OCCURRENCE REPORTING (OTHER THAN THOSE REQUIRING IMMEDIATE NOTIFICATION PER NATIONAL TRANSPORTATION SAFETY BOARD, PART 830).

a. For incidents and occurrences, AOP personnel shall complete the occurrence report and submit it through the AOP's SMS.

(1) The aerial supervisor(s) and safety officer(s) in the unit submitting the Hazard Report (HazRep) are responsible for managing the resolution, corrective action, and any recommendations after the initial submission. During this time, the OAO safety coordinator and any other appropriate subject matter experts in OAO, will coordinate and assist, as necessary, in the resolution process.

(2) Once the unit has completed their corrective actions and recommendations, the OAO safety coordinator will review, and follow-up with the unit as necessary.

(3) The OAO safety coordinator will publish and disseminate the HazRep through the AOP SMS to the entire program.

b. Per paragraph 2.b. of this chapter, an aircraft incident, other than an accident, associated with the operation of an aircraft, which affects or could affect the safety of operations both in flight and on the ground, shall use the following incident reporting guidelines:

(1) Flight Incident Report. To be completed when an incident/event takes place that caused the safety of the flight to be compromised while the aircraft was in flight, taxiing, engine run-up, or non-movement under power.

(2) Ground Incident Report. To be completed when an incident/event takes place that caused the safety of operations to be compromised, while the aircraft, crew, or equipment was on the ground (aircraft not under power, static maintenance, or general ground operations).

c. Per paragraph 2.c. of this chapter, the identification of an observed hazard, while in flight or on the ground, that has the potential, without mitigation, to present harm to personnel or damage to aircraft or equipment shall follow the occurrence/hazard report guidelines.

12. EMERGENCY RESPONSE PLAN. The AOP is prepared to respond to an aviation accident or serious incident involving substantial damage to an aircraft, injury or death to crew members, and passengers or persons on the ground involving one of its aircraft.

The ERP is intended to provide guidance to CHP personnel responding to such an event (refer to Annex E).

- a. All accident response actions will be aligned with the following priorities:
 - (1) Support CHP personnel, passengers, and families.
 - (2) Work with authorities to provide support to affected persons.
 - (3) Proactively respond with enough resources to support affected persons.
 - (4) Manage and protect CHP resources.
 - (5) Determine what occurred and modify procedures as necessary to prevent recurrence where possible.

- b. Each air unit shall have a written ERP as part of the unit's Standard Operating Procedures (SOP). The ERP shall describe in detail the procedures to be followed in the event of an accident, serious incident, or missing aircraft. The ERP shall be updated and reviewed by each unit member annually.

- c. The ERP shall include, but is not limited, to the following:
 - (1) Individual actions that shall be taken in the event of an accident.
 - (2) Scene security and containment procedures.
 - (3) Procedures for the identification, collection, and preservation of evidence.
 - (4) A first at-scene checklist.
 - (5) Current contact information for all personnel.
 - (6) Immediate response checklist and notification procedures, including telephone numbers for the following:
 - (a) Emergency Medical Services (EMS)/Fire/Rescue.
 - (b) Command notification.
 - (c) Forensics/Crime lab.
 - (d) The FAA/Air Traffic Control (ATC) facilities.
 - (e) Other law enforcement units.

- (f) Medical care facilities.
 - (g) The NTSB.
 - (h) Office of Legal Affairs/Office of Risk Management.
 - (i) Medical examiner/Coroner.
 - (j) Crew member family notification.
 - (k) Aircraft manufacturer/other equipment manufacturer contracts.
 - (l) Media.
 - (m) The MAIT.
- (7) Accident investigation kit.
 - (8) Procedures for family notification.
 - (9) Damaged aircraft recovery procedures.
- d. All air unit personnel shall be trained in the implementation of the unit ERP, annually. There shall be a record of the training in each unit member's training file.

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ANNEX A

NATIONAL TRANSPORTATION SAFETY BOARD, PART 830

Subpart A – General

§830.1 Applicability.

This part contains rules pertaining to:

(a) Initial notification and later reporting of aircraft incidents and accidents and certain other occurrences in the operation of aircraft, wherever they occur, when they involve civil aircraft of the United States; when they involve certain public aircraft, as specified in this part, wherever they occur; and when they involve foreign civil aircraft where the events occur in the United States, its territories, or its possessions.

(b) Preservation of aircraft wreckage, mail, cargo, and records involving all civil and certain public aircraft accidents, as specified in this part, in the United States and its territories or possessions.

[60 FR 40112, Aug. 7, 1995]

§830.2 Definitions.

As used in this part the following words or phrases are defined as follows:

Aircraft accident means 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 all such persons have disembarked, and in which any person suffers death or serious injury, or in which the aircraft receives substantial damage. For purposes of this part, the definition of “aircraft accident” includes “unmanned aircraft accident,” as defined herein.

Civil aircraft means any aircraft other than a public aircraft.

Fatal injury means any injury which results in death within 30 days of the accident.

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

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

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NATIONAL TRANSPORTATION SAFETY BOARD, PART 830 (*continued*)

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

Serious injury means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received; (2) results in a fracture of any bone (except simple fractures of fingers, toes, or nose); (3) causes severe hemorrhages, 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.

Substantial damage means 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 wingtips are not considered “substantial damage” for the purpose of this part.

ANNEX A

NATIONAL TRANSPORTATION SAFETY BOARD, PART 830 (*continued*)

Unmanned aircraft accident means an occurrence associated with the operation of any public or civil unmanned aircraft system that takes place between the time that the system is activated with the purpose of flight and the time that the system is deactivated at the conclusion of its mission, in which:

- (1) Any person suffers death or serious injury; or
- (2) The aircraft has a maximum gross takeoff weight of 300 pounds or greater and sustains substantial damage.

[53 FR 36982, Sept. 23, 1988, as amended at 60 FR 40112, Aug. 7, 1995; 75 FR 51955, Aug. 24, 2010]

Subpart B - Initial Notification of Aircraft Accidents, Incidents, and Overdue Aircraft

§830.5 Immediate notification.

The operator of any civil aircraft, or any public aircraft not operated by the Armed Forces or an intelligence agency of the United States, or any foreign aircraft shall immediately, and by the most expeditious means available, notify the nearest National Transportation Safety Board (NTSB) office¹ when:

¹NTSB regional offices are located in the following cities: Anchorage, Alaska; Atlanta, Georgia; West Chicago, Illinois; Denver, Colorado; Arlington, Texas; Gardena (Los Angeles), California; Miami, Florida; Seattle, Washington; and Ashburn, Virginia. In addition, NTSB headquarters is located at 490 L'Enfant Plaza, SW., Washington, DC 20594. Contact information for these offices is available at <http://www.ntsb.gov>.

- (a) An aircraft accident or any of the following listed serious incidents occur:
 - (1) Flight control system malfunction or failure;
 - (2) Inability of any required flight crewmember to perform normal flight duties as a result of injury or illness;
 - (3) Failure of any internal turbine engine component that results in the escape of debris other than out the exhaust path;

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- (4) In-flight fire;
- (5) Aircraft collision in flight;
- (6) Damage to property, other than the aircraft, estimated to exceed \$25,000 for repair (including materials and labor) or fair market value in the event of total loss, whichever is less.
- (7) For large multiengine aircraft (more than 12,500 pounds maximum certificated takeoff weight):
 - (i) In-flight failure of electrical systems which requires the sustained use of an emergency bus powered by a back-up source such as a battery, auxiliary power unit, or air-driven generator to retain flight control or essential instruments;
 - (ii) In-flight failure of hydraulic systems that results in sustained reliance on the sole remaining hydraulic or mechanical system for movement of flight control surfaces;
 - (iii) Sustained loss of the power or thrust produced by two or more engines; and
 - (iv) An evacuation of an aircraft in which an emergency egress system is utilized.
- (8) Release of all or a portion of a propeller blade from an aircraft, excluding release caused solely by ground contact;
- (9) A complete loss of information, excluding flickering, from more than 50 percent of an aircraft's cockpit displays known as:
 - (i) Electronic Flight Instrument System (EFIS) displays;
 - (ii) Engine Indication and Crew Alerting System (EICAS) displays;
 - (iii) Electronic Centralized Aircraft Monitor (ECAM) displays; or
 - (iv) Other displays of this type, which generally include a primary flight display (PFD), primary navigation display (PND), and other integrated displays;

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NATIONAL TRANSPORTATION SAFETY BOARD, PART 830 (*continued*)

(10) Airborne Collision and Avoidance System (ACAS) resolution advisories issued either:

(i) When an aircraft is being operated on an instrument flight rules flight plan and compliance with the advisory is necessary to avert a substantial risk of collision between two or more aircraft; or

(ii) To an aircraft operating in class A airspace.

(11) Damage to helicopter tail or main rotor blades, including ground damage, that requires major repair or replacement of the blade(s);

(12) Any event in which an operator, when operating an airplane as an air carrier at a public-use airport on land:

(i) Lands or departs on a taxiway, incorrect runway, or other area not designed as a runway; or

(ii) Experiences a runway incursion that requires the operator or the crew of another aircraft or vehicle to take immediate corrective action to avoid a collision.

(b) An aircraft is overdue and is believed to have been involved in an accident.

[53 FR 36982, Sept. 23, 1988, as amended at 60 FR 40113, Aug. 7, 1995; 75 FR 927, Jan. 7, 2010; 75 FR 35330, June 22, 2010]

§830.6 Information to be given in notification.

The notification required in §830.5 shall contain the following information, if available:

(a) Type, nationality, and registration marks of the aircraft;

(b) Name of owner, and operator of the aircraft;

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NATIONAL TRANSPORTATION SAFETY BOARD, PART 830 (*continued*)

- (c) Name of the pilot-in-command (PIC);
- (d) Date and time of the accident;
- (e) Last point of departure and point of intended landing of the aircraft;
- (f) Position of the aircraft with reference to some easily defined geographical point;
- (g) Number of persons aboard, number killed, and number seriously injured;
- (h) Nature of the accident, the weather and the extent of damage to the aircraft, so far as is known; and
- (i) A description of any explosives, radioactive materials, or other dangerous articles carried.

Subpart C - Preservation of Aircraft Wreckage, Mail, Cargo, and Records

§830.10 Preservation of aircraft wreckage, mail, cargo, and records

- (a) The operator of an aircraft involved in an accident or incident for which notification must be given is responsible for preserving to the extent possible any aircraft wreckage, cargo, and mail aboard the aircraft, and all records, including all recording mediums of flight, maintenance, and voice recorders, pertaining to the operation and maintenance of the aircraft and to the airmen until the Board takes custody thereof or a release is granted pursuant to §831.12(b) of this chapter.
- (b) Prior to the time the Board or its authorized representative takes custody of aircraft wreckage, mail, or cargo, such wreckage, mail, or cargo may not be disturbed or moved except to the extent necessary:
 - (1) To remove persons injured or trapped;
 - (2) To protect the wreckage from further damage; or
 - (3) To protect the public from injury.
- (c) Where it is necessary to move aircraft wreckage, mail or cargo, sketches, descriptive

ANNEX A

NATIONAL TRANSPORTATION SAFETY BOARD, PART 830 (*continued*)

notes, and photographs shall be made, if possible, of the original positions and condition of the wreckage and any significant impact marks.

(d) The operator of an aircraft involved in an accident or incident shall retain all records, reports, internal documents, and memoranda dealing with the accident or incident, until authorized by the Board to the contrary.

Subpart D - Reporting of Aircraft Accidents, Incidents, and Overdue Aircraft

§830.15 Reports and statements to be filed.

(a) *Reports.* The operator of a civil, public (as specified in §830.5), or foreign aircraft shall file a report on Board Form 6120. ¹/₂ (OMB No. 3147-0001)² within 10 days after an accident, or after 7 days if an overdue aircraft is still missing. A report on an incident for which immediate notification is required by §830.5(a) shall be filed only as requested by an authorized representative of the Board.

²Forms are available from the Board field offices (see footnote 1), from Board headquarters in Washington, DC, and from the Federal Aviation Administration Flight Standards District Offices.

(b) *Crewmember statement.* Each crewmember, if physically able at the time the report is submitted, shall attach a statement setting forth the facts, conditions, and circumstances relating to the accident or incident as they appear to him. If the crewmember is incapacitated, he shall submit the statement as soon as he is physically able.

(c) *Where to file the reports.* The operator of an aircraft shall file any report with the field office of the Board nearest the accident or incident.

[53 FR 36982, Sept. 23, 1988, as amended at 60 FR 40113, Aug. 7, 1995]

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ANNEX B

AIRCRAFT ACCIDENT INVESTIGATION FORMAT

1. INDEX.
2. SUMMARY.
3. FACTS.
 - a. Date/Time.
 - b. Crash scene location.
 - c. Involved aircraft.
 - (1) Year/Make/Model.
 - (2) Serial number/Registration number.
 - (3) Registered owner/Operator.
 - (4) Departmental designator, if applicable.
 - (5) Hobbs/Tach.
 - d. Departmental flight crew.
 - (1) Pilot(s).
 - (a) Name/Rank/ID number.
 - (b) Assignment/Work address/Work phone number.
 - (c) Date of birth (DOB).
 - (d) Pilot certificate: Number/Type(s).
 - (e) Medical certificate: Class/Date/Restrictions/Doctor.
 - (f) Position in aircraft.
 - (g) Brief description of injuries, if any.
 - (h) Departmental flight hours.

ANNEX B

AIRCRAFT ACCIDENT INVESTIGATION FORMAT *(continued)*

- 1 The PIC—Total.
 - 2 The PIC—Category.
 - a Total hours.
 - b Day/Night/Mountain/Hood/Actual instrument (AI) hours.
 - 3 The PIC—Make/Model.
 - a Training received (and/or given).
 - b Total hours.
 - c Day/Night/Mountain/Hood/AI hours.
- (i) Other flight hours (Format as in "H").
 - (j) Chronology of Department aviation assignments.
 - (k) Last flight review: Date/Endorsed by.
 - (l) Last training flight: Date/Given by.
 - (m) Last FAA checkride (If known).
 - (n) Departmental flight restrictions: Specify/Levied by.
 - (o) Federal Aviation Regulations (FAR) 61.57 currency.
- (2) Flight officer(s).
- (a) Name/Rank/ID.
 - (b) Assignment/Work address/Work telephone.
 - (c) The DOB.
 - (d) Crew function.
 - (e) Position in aircraft.
 - (f) Brief description of injuries, if any.

ANNEX B

AIRCRAFT ACCIDENT INVESTIGATION FORMAT *(continued)*

- (g) Flight officer training received.
 - (h) Chronology of Department aviation assignments.
 - (i) Flight restrictions, if any.
- e. Other involved parties (other than witnesses).
- (1) Name.
 - (2) Address.
 - (3) Telephone number.
 - (4) The DOB.
 - (5) Position in aircraft/Location.
 - (6) Brief description of injuries, if any.
- f. Witnesses.
- (1) Name.
 - (2) Address.
 - (3) Telephone number.
 - (4) The DOB.
- g. Scene.
- (1) Description.
 - (2) Point of rest.
- h. Weather at scene.
- (1) Light conditions.
 - (2) Cloud cover/Ceilings.
 - (3) Visibility.

ANNEX B

AIRCRAFT ACCIDENT INVESTIGATION FORMAT *(continued)*

- (4) Wind direction/Velocity.
 - (5) Obstructions to vision (haze, smoke, fog, etc.).
 - (6) Altimeter setting.
 - (7) Precipitation.
 - (8) Temperature.
 - (9) How acquired/Determined.
- i. Aircraft information—Specific.
- (1) Aircraft.
 - (a) Description.
 - (b) Communications equipment.
 - (c) Navigation equipment.
 - (d) Specialized equipment.
 - (e) Departmental service history review.
 - (f) Prior accident/Incident/Occurrence history.
 - (g) Dates/Times/Vendor or person performing (Logbook entries).
 - 1 Last 50-hour/Progressive inspection.
 - 2 Last 100-hour inspection.
 - 3 Last 300-hour inspection.
 - 4 Last annual inspection.
 - 5 Last daily inspection.
 - 6 Last Pre/Post-flight inspection.
 - 7 Last complete set of progressive inspections.

ANNEX B

AIRCRAFT ACCIDENT INVESTIGATION FORMAT *(continued)*

- (2) Airframe.
 - (a) Total time (Hobbs/Tach, if applicable).
 - (b) Component review.
 - (c) Condition/Discrepancies/Squawks.
- (3) Engine(s).
 - (a) Total time.
 - (b) Module times.
 - (c) Component review.
 - (d) Condition/Discrepancies/Squawks.
- j. Fuel (oil).
 - (1) Type/Amount at time of event.
 - (2) Location/Type/Amount at last refueling.
 - (3) Date/Time refueled.
 - (4) Sample.
- k. Weight and balance.
- l. Power checks/Performance, if applicable.
- m. Other pertinent information—specify.
- n. Other pertinent information—specify.
- o. Damage description to aircraft (narrative).
- p. Other damage description (narrative).
- q. Laboratory/Inspection reports.
- r. Injuries (detailed narrative).

ANNEX B

AIRCRAFT ACCIDENT INVESTIGATION FORMAT (*continued*)

- s. Chronological sequence of events.
 - t. Autopsy.
 - (1) Name/Address/Telephone number of person conducting.
 - (2) Name(s) of victims.
 - (3) Reference autopsy report number(s).
 - u. Photo log.
 - v. Evidence log.
 - w. Diagrams.
4. STATEMENTS.
- a. Crew.
 - b. Witnesses.
 - c. Others.
5. OPINIONS/CONCLUSIONS.
- a. Pre-crash.
 - b. Crash.
 - c. Post-crash.
 - d. Survivability aspects/Aviation life support equipment.
6. FINDINGS.
- a. Primary cause(s).
 - b. Contributive cause(s).
 - c. Non-contributive cause(s).

ANNEX B

AIRCRAFT ACCIDENT INVESTIGATION FORMAT *(continued)*

Do not list recommendations or other administrative inquiry portions in previous sections of this report.

7. ADMINISTRATIVE INFORMATION.

- a. Administrative information/Findings (violations of departmental policy, training requirements, procedures, etc.).
- b. Synopsis of pilot's and/or flight officer's prior aircraft events.
- c. Other applicable information.
- d. Investigator (investigative team) recommendations.
- e. Board of inquiry.
 - (1) Members.
 - (2) Dates.
 - (3) Review.
 - (4) Recommendations.
 - (5) Addendum to report, if any.

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ANNEX C

AIRCRAFT INCIDENT INVESTIGATION FORMAT

1. SUMMARY.

2. FACTS.

- a. Date/Time/Location/Involved aircraft/Registration number/Departmental designator, if applicable.
- b. Pilot(s) name/Rank/ID number/Position in aircraft/brief description of injuries, if any.
 - (1) The PIC - Make/Model.
 - (2) Training received (and/or given).
 - (3) Total hours.
 - (4) Day/Night/Mountain/Hood/Actual instrument hours.
 - (5) The FAR 61.57 currency.
- c. Flight officer(s) Name/Rank/ID/Crew function/Position in aircraft/Brief description of injuries, if any.
- d. Other involved parties (other than witnesses).
 - (1) Name.
 - (2) Address.
 - (3) Telephone number.
 - (4) The DOB.
 - (5) Position/Location.
 - (6) Brief description of injuries, if any.
- e. Witnesses.
 - (1) Name.
 - (2) Address.

ANNEX C

AIRCRAFT INCIDENT INVESTIGATION FORMAT (*continued*)

- (3) Telephone number.
- (4) The DOB.
- f. Scene/Description.
- g. Weather at scene.
- h. Fuel (oil)/Type/Amount at time of event.
- i. Other pertinent information—specify.
- j. Damage description to aircraft (narrative).
- k. Other damage description (narrative).
- l. Statements of crew/Witnesses/Others.
- m. Opinions/Conclusions.
- n. Findings.
 - (1) Primary cause(s).
 - (2) Contributive cause(s).

Do not list recommendations or other administrative inquiry portions in previous sections of this report.

3. ADMINISTRATIVE INFORMATION.

- a. Administrative information/findings (schedules, violations of departmental
- b. policy, training requirements, procedures, etc.).
- c. Synopsis of pilot's and/or flight officer's prior aircraft events.
- d. Other applicable information.
- e. Investigator (investigative team) recommendations.
- f. Board of inquiry.

ANNEX C

AIRCRAFT INCIDENT INVESTIGATION FORMAT (*continued*)

- (1) Members.
- (2) Dates.
- (3) Review.
- (4) Recommendations.
- (5) Addendum to report, if any.

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ANNEX D

SAFETY INVESTIGATION FORMAT

1. SUMMARY.

2. FACTS.
 - a. Date/Time/Involved aircraft/Registration number/Departmental designator, if applicable.

 - b. Pilot(s) name/Rank/ID number/Position in aircraft/Brief description of injuries, if any.
 - (1) The PIC—Make/Model.
 - (2) Training received (and/or given).
 - (3) Total hours.
 - (4) Day/Night/Mountain/Hood/Actual instrument hours.
 - (5) The FAR 61.57 currency.

 - c. Flight officer(s) name/Rank/ID number/Crew function/Position in aircraft/Brief description of injuries, if any.

 - d. Other involved parties (other than witnesses).
 - (1) Name.
 - (2) Address.
 - (3) Telephone number.
 - (4) The DOB.
 - (5) Position in aircraft/Location.
 - (6) Brief description of injuries, if any.

 - e. Witnesses.
 - (1) Name.
 - (2) Address.

ANNEX D

SAFETY INVESTIGATION FORMAT (*continued*)

- (3) Telephone number.
 - (4) The DOB.
 - f. Scene description.
 - g. Weather at scene.
 - h. Fuel (oil)/Type/Amount at the time of event.
 - i. Initial response.
 - (1) Emergency response.
 - (2) First aid/Medical response.
 - (3) Scene securement.
 - (4) Scene documentation.
 - (5) Appropriate notification through chain of command.
 - (6) Deployment of investigation team.
 - j. Chronological sequence of events.
 - k. Other pertinent information - specify.
 - l. Damage description to aircraft (narrative).
 - m. Other damage description (narrative).
 - n. Statements of crew/Witnesses/Others.
3. ANALYSIS.
- a. Organizational.
 - (1) Resource management.
 - (2) Organizational climate.
 - (3) Organizational process.

ANNEX D

SAFETY INVESTIGATION FORMAT (*continued*)

- b. Preconditions for unsafe acts.
 - (1) Environmental factors.
 - (a) Physical environment.
 - (b) Tools/Equipment/Technology.
- c. Condition of operations.
- d. Personnel factors.
 - (1) Communication/Coordination/Planning.
 - (2) Potential health concerns.
 - (a) Mental state.
 - (b) Physiological state.
- e. Unsafe acts.
 - (1) Errors.
 - (a) Decision-based.
 - (b) Skill-based.
 - (c) Perceptual.

Do not list recommendations or other administrative inquiry portions in previous sections of this report.

4. ADMINISTRATIVE INFORMATION.

- a. Administrative information/findings (schedules, violations of departmental policy, training requirements, procedures, etc.).
- b. Synopsis of pilot's and/or flight officer's prior aircraft events.
- c. Other applicable information.
- d. Supervisory findings (for safety investigation only).

ANNEX D

SAFETY INVESTIGATION FORMAT (*continued*)

- (1) Supervisory violations of policy.
- (2) Inadequate supervision.
- (3) Inappropriate operation planned.
- (4) Failure to correct issue.

ANNEX E

EMERGENCY RESPONSE PLAN

1. PURPOSE. This plan shall be utilized in the event any CHP aircraft is involved in an accident or incident as outlined in this chapter. The ERP is a plan of action to coordinate missing aircraft searches, site management, caring for aircrews and their families, investigation, and associated documentation. Upon determining an actual emergency exists, the involved Division should attempt to solicit assistance from adjoining air units and allied agencies as soon as possible in order to relieve the crew members in the affected Division.

2. WHEN TO ACTIVATE THE EMERGENCY RESPONSE PLAN. The plan will be activated if a CHP aircraft is involved in an emergency. An emergency exists if any of the following criteria are met:

- a. Aircraft is past due for more than 30 minutes and all attempts to locate and contact the crew have been unsuccessful.
- b. The aircraft emergency locator transmitter is activated (this will be advised by ATC or another verified source).
- c. Aircrew advises via law enforcement or aviation radio that they are in an emergency.
- d. A 911 call advises that a CHP aircraft is in an emergency (and unable to confirm otherwise with the aircrew).
- e. An emergency alert is received from the aircraft's flight tracking system.

3. HOW TO ACTIVATE THE EMERGENCY RESPONSE PLAN.

a. Aircraft/Crew Location Unknown.

(1) Notify aerial supervisor(s) who will inform the appropriate chain of command. (Refer to air unit ERP for contact telephone list.)

(2) Notify the appropriate dispatch center and establish a primary point of contact.

(3) Notify the local control tower and/or the local approach center. (Refer to air unit ERP for telephone numbers.)

ANNEX E

EMERGENCY RESPONSE PLAN (*continued*)

- (4) Utilize the aircraft tracking system to determine the aircraft's last known location.
 - (5) Call the Air and Marine Operations Center (AMOC) at March Air Force Base, at (800) 553-9072 or (951) 656-8050. The AMOC can locate any aircraft with a transponder in the United States of America. The AMOC is available around the clock.
 - (6) Have dispatch initiate a be on the lookout for the missing aircraft with all appropriate law enforcement agencies.
 - (7) Establish a command post at the most appropriate aviation unit hangar.
 - (8) Assist the aerial supervisor or officer-in-charge with setting up a search plan.
 - (9) Maintain a written and/or electronic log of all activity and notifications.
- b. Aircraft Crash Location Identified.
- (1) Send fire/rescue and EMS to the location immediately.
 - (2) Activate the Incident Command System (ICS) in accordance with HPM 50.1, Emergency Incident Management Planning and Operations Manual, and Highway Patrol Guide (HPG) 50.3, Emergency Incident Guide, (see the next section for the duties of the aerial supervisor).
 - (3) Instruct fire dispatch to send a hazardous materials (HAZMAT) team due to the nature of aircraft accidents (unless specifically cancelled by personnel on scene).
 - (4) Inform the aerial supervisor and responding crew members of the location.
 - (5) Inform the appropriate local control tower, approach control, and AMOC of the crash location.
 - (6) Ensure the following personnel respond to the scene:
 - (a) A CHP supervisor.
 - (b) Patrol units to secure scene.

ANNEX E

EMERGENCY RESPONSE PLAN (*continued*)

- (c) Aerial supervisor.
- (d) Designated air unit members as assigned.
- (e) Local law enforcement.
- (f) The MAIT as required.

(7) Instruct the first officers on scene not to disturb the aircraft other than what is necessary to rescue crew members. A large crime scene should be established (at least 500 feet) with the assumption of a possible HAZMAT incident.

(8) Air unit personnel will coordinate family notification. (See family contact instructions in air unit ERP.)

(9) Ensure the OAO has made notification to the NTSB/FAA as required. (See air unit ERP for contact list.)

4. AERIAL SUPERVISOR RESPONSIBILITIES.

a. Aircraft/Crew Location Unknown.

- (1) Respond to the command post (usually established at the air unit hangar).
- (2) Activate the ICS in accordance with HPM 50.1 and HPG 50.3.
- (3) Coordinate the search, recovery, investigation, and care for injured aircrews and their families.
- (4) Manage the number of people at the command post.
- (5) Check with nearby aviation units to determine if they are available to assist with the search.
- (6) Notify the local chain of command and the OAO as required.
- (7) Assign air unit personnel to contact and stay with family (see family contact instructions in air unit ERP).

ANNEX E

EMERGENCY RESPONSE PLAN (*continued*)

- (8) Ensure there is a written and/or electronic log of all activity and notifications.
- b. Aircraft Crash Location Identified.
- (1) Ensure fire/rescue and EMS respond to the location.
 - (2) Inform ATC and any search and rescue aircraft in the area of the aircrew's location and of any emergency medical needs.
 - (3) Ensure a crime scene is set up around the perimeter (at least 500 feet from the aircraft/debris) and assign a supervisor to control the scene.
 - (4) Ensure the following personnel respond to the scene:
 - (a) Aerial supervisor.
 - (b) Patrol units to secure scene.
 - (c) Additional air unit members as needed.
 - (d) Local law enforcement.
 - (e) The OAO investigation team.
 - (f) The MAIT response as required (OAO request, fatality, serious injury, or substantial damage).
 - (5) Send air unit personnel to the hospital if a crew member is being transported by EMS.
 - (6) If the involved air crew is able, they should be taken to a safe and secure location away from the accident/incident scene.
 - (7) Assign an officer to accompany each involved crew member.
 - (a) Ensure the involved crew member(s) are not subject to any interviews at the scene, except as necessary to obtain immediate information for the investigation.
 - (b) Do not allow the involved crew member(s) to provide comments to the press or other personnel not involved in the investigation.

ANNEX E

EMERGENCY RESPONSE PLAN (*continued*)

- (8) Coordinate family notification and arrange for family transport as needed (see family contact instructions in the air unit ERP).
 - (9) Ensure the OAO has made notification to the NTSB/FAA, as required.
 - (10) Ensure needs are anticipated for changing weather and nighttime conditions.
 - (11) Update the public information officer as needed.
- c. Aircraft/Crew Location Unknown.
- (1) Respond to the command post (usually the air unit hangar) and receive assignment from the Incident Commander (IC).
 - (2) If a supervisor has not yet arrived at the command post, assume command of the situation until a supervisor arrives.
 - (3) The first crew member(s) at the command post will usually be assigned to begin searching for the downed aircraft.
- d. Aircraft Crash Location Identified.
- (1) The primary responsibility is to tend to any injured crew members.
 - (2) Ensure the aircraft is made "safe" (engine/power/fuel off).
 - (3) Ensure scene safety and security.
 - (4) Air unit personnel should not automatically report to the crash site. Take direction from the IC.

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