

Summary Information

Purpose (Certificate Holder Responsibility): Document incident information attributable to the subject entity.

Objective (FAA Responsibility): Investigate incidents and collect all relevant and applicable information.

Questions	Answers	Comments
<p>1 Is the involved shipment regulated for air transportation by the Hazardous Materials Regulations (HMR)?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:49 AM,</p> <p>QID: 00055194, Response Details: EP & ED DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p>	
<p>2 What is the UN number of the involved commodity for the incident event?</p> <p>Safety Attribute: Procedures, Question Type: Process Observation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:52 AM,</p> <p>QID: 00055243, Response Details: EP & ED DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Enter Requested Text</p> <p><input type="radio"/> Not Observable</p>	
<p>3 Were passenger Hazardous Materials Regulation (HMR) compliance issues the cause of the incident event?</p> <p>REFERENCES: 49 CFR 175.10</p> <p>Safety Attribute: Procedures, Question Type: Process Observation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:50 AM,</p> <p>QID: 00055209, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> No</p> <p><input type="radio"/> Yes; passenger included a regulated item in their baggage that exceeded quantity limits</p> <p><input type="radio"/> Yes; passenger included a regulated item in their baggage that involved a release</p> <p><input type="radio"/> Yes; passenger included a battery in their baggage not exempted by the HMR that involved a thermal event</p> <p><input type="radio"/> Not Observable</p>	
<p>4 Is there evidence that another entity was responsible for a pre-transportation function related to the incident event to include:</p> <p>#1 a freight forwarder;</p> <p>#2 a ground handler;</p> <p>#3 a packager;</p> <p>#4 an offeror.</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 2 6/13/2019 10:55:10 AM,</p> <p>QID: 00055215, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> No</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> Not Observable</p>	
<p>5 Was the involved shipment properly prepared for air transportation to include:</p> <p>#1 Documentation;</p> <p>#2 Marking;</p> <p>#3 Labeling; and</p> <p>#4 Packaging.</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:56 AM,</p> <p>QID: 00055195, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p>	
<p>6 If an overpack was used for the incident event, was the overpack used correctly?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: (FAR PART = "49CFR") , Rev. 2 6/3/2019 10:36:51 AM,</p> <p>QID: 00055049, Response Details: EP & ED DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p>	
<p>7 Did the incident occur as a result of a dropped package?</p>	<p><input type="radio"/> No</p>	

Questions	Answers	Comments
<p>Safety Attribute: Procedures, Question Type: Process Observation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 2 6/13/2019 10:55:09 AM,</p> <p>QID: 00055200, Response Details: EP & ED DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes- however, unable to determine the height that the package was dropped from.</p> <p><input type="radio"/> Yes- however, the drop was within the parameters of packaging design/testing limits.</p> <p><input type="radio"/> Yes- the height from which drop occurred exceeded packaging design/testing limits.</p> <p><input type="radio"/> Not Observable</p>	
<p>8 Did the incident occur as a result of a crushed package?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:57 AM,</p> <p>QID: 00055201, Response Details: Safety Ownership ED/EP/SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> No</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> Not Observable</p>	
<p>9 Did the incident occur as a result of a punctured package? (Includes forklift spear, nail puncture from warehouse skid, etc.)</p> <p>Safety Attribute: Safety Ownership, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:56 AM,</p> <p>QID: 00055202, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> No</p> <p><input type="radio"/> Yes</p>	
<p>10 Did the incident occur as a result of prolonged exposure to environmental elements?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:57 AM,</p> <p>QID: 00055203, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> No</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> Not Observable</p>	
<p>11 Did the incident occur as a result of excessively rough / improper handling techniques (throwing, rolling, kicking, etc.)?</p> <p>Safety Attribute: Safety Ownership, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:55 AM,</p> <p>QID: 00055204, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> No</p> <p><input type="radio"/> Yes</p>	
<p>12 Was the provided emergency response telephone number monitored:</p> <p>#1 while the incident event shipment was in transit;</p> <p>#2 by a person who was knowledgeable of the incident event shipment; and</p> <p>#3 by a person able to provide mitigating information for the incident event shipment.</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 7/9/2019 12:21:03 PM,</p> <p>QID: 00055205, Response Details: Procedures SP DCTs (Both OP and AW), Status: Ready for Release</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p>	
<p>13 Did the Hazardous Materials Employer ensure that each Hazardous Materials Employee involved with the incident event shipment was trained and tested?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:51 AM,</p> <p>QID: 00055213, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p>	
<p>14 Does the incident event offeror prepare packages so that under conditions normally incident to transportation (including the effects of temperature, pressure, and vibration):</p> <p>#1 There is no identifiable release of hazardous materials to the environment from the opening to which the closure is applied; and</p> <p>#2 The closure is secured against loosening.</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:54 AM,</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p>	

Questions	Answers	Comments
<p>QID: 00055220, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>		
<p>15 Did the packaging involved in this incident event meet the applicable absorbent material requirements for air transportation?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:55 AM,</p> <p>QID: 00055223, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p>	
<p>16 Did the packages involved in this incident event meet the inner package quantity limitations for air transportation?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:53 AM,</p> <p>QID: 00055224, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p>	
<p>17 Did the incident event offeror retain a copy of the manufacturer's notification, including closure instructions for DOT Specification or UN Standard packaging subject to the requirements of 49 CFR 178, for the packaging utilized in the incident event?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 2 6/13/2019 10:55:09 AM,</p> <p>QID: 00055225, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p>	
<p>18 Did the incident event offeror adhere to the manufacturer's notification, including closure instructions for DOT Specification or UN Standard packaging subject to the requirements of 49 CFR 178, for the packaging utilized in the incident event?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 2 6/13/2019 10:55:09 AM,</p> <p>QID: 00055226, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p>	
<p>19 Did the investigation reveal a blatant disregard for safety or willful intent to circumvent the Hazardous Materials Regulations (HMR)?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:52 AM,</p> <p>QID: 00055210, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> No</p> <p><input type="radio"/> Yes</p> <p><input type="radio"/> Not Observable</p>	
<p>20 Does the incident event offeror have processes in place to ensure regulated Dangerous Goods are properly offered for Air Transportation?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:50 AM,</p> <p>QID: 00055211, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p>	
<p>21 Has the incident event offeror implemented corrective actions to prevent another occurrence?</p> <p>Safety Attribute: Safety Ownership, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:50 AM,</p> <p>QID: 00055227, Response Details: Procedures SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes, prior to any contact from the FAA.</p> <p><input type="radio"/> Yes, but only after initially contacted by the FAA</p> <p><input type="radio"/> No, but they stated they intend to</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p>	
<p>22 Does the incident event offeror have controls in place to ensure regulated Dangerous Goods are properly offered for Air Transportation?</p> <p>Safety Attribute: Controls, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:51 AM,</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p>	

Questions	Answers	Comments
QID: 00055212, Response Details: Controls ED/EP/SP DCTs (Both OP and AW), Status: Released		
23 Does the incident offeror have a positive safety culture? NOTE: Safety Culture is the way safety is perceived, valued, and prioritized in an organization. Safety Attribute: Safety Ownership, Question Type: Output Validation, Scoping Attribute: FAR PART = "49CFR" , Rev. 1 6/3/2019 10:36:57 AM, QID: 00055214, Response Details: Safety Ownership ED/EP/SP DCTs (Both OP and AW), Status: Released	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Observable	

Response Details List EP & ED DCTs (Both OP and AW) (Released, 1.0)

1	Unclear procedure(s)
2	Conflicting procedure(s)
3	Used workaround(s)
4	Skipped process step(s)
5	Personnel failed to follow process (procedures, guidance, etc)
6	Procedures/guidance not available
7	Procedures/guidance not current
8	Inconsistent procedure(s)
9	Undocumented procedure(s)
10	Minor typographical error(s) (i.e. record entries)
11	Information missing
12	Communication failure(s)
13	Personnel failed to perform task
14	Process failed to meet desired outcome
15	Process oversight failure
16	Equipment/tools not available
17	Equipment/tools not adequate
18	Equipment/tools not calibrated
19	Facilities not adequate
20	Other

Response Details List N/O Response Detail (Released, 2.0)

1	Personnel (e.g., key certificate holder personnel not present/available)
2	Equipment (e.g., equipment not present/available/in serviceable condition)
3	Event did not occur (e.g., did not observe an intoxicated passenger on the flight)
4	Time Constraints (e.g., resources/workload)
5	Weather (e.g., weather needed for observation not present or weather made observation impossible)
6	Other

Response Details List Procedures SP DCTs (Both OP and AW) (Released, 1.0)

1	Unclear procedure(s)
2	Conflicting procedure(s)
3	Used workaround(s)
4	Skipped process step(s)
5	Personnel failed to follow process (procedures, guidance, etc)
6	Procedures/guidance not available
7	Procedures/guidance not current
8	Inconsistent procedure(s)
9	Undocumented procedure(s)
10	Minor typographical error(s) (i.e. record entries)
11	Information missing
12	Communication failure(s)
13	Personnel failed to perform task
14	Process failed to meet desired outcome
15	Process oversight failure
16	Equipment/tools not available

17	Equipment/tools not adequate
18	Equipment/tools not calibrated
19	Facilities not adequate
20	Other

Response Details List Controls ED/EP/SP DCTs (Both OP and AW) (Released, 1.0)

1	Failure to identify hazards or ineffective risk controls
2	Failure to develop and maintain risk controls
3	Failure to effectively mitigate risk before applying risk controls
4	Risk controls ineffective
5	Unclear risk controls
6	Failure to assess risk for a new system
7	Failure to assess risk when revising an existing system
8	Failure to assess risk when developing operational procedures
9	Failure to maintain records of outputs of risk control assessments
10	Other

Response Details List Safety Ownership ED/EP/SP DCTs (Both OP and AW) (Released, 3.0)

1	Unaware of or ineffective safety policies or processes
2	Unaware of or ineffective safety related reporting tools
3	Unclear safety policy
4	Ineffective safety related training
5	Lack of safety culture
6	Unclear safety objectives
7	Other