U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy

**ORDER
JO 1030.3B**

Effective Date:
01/06/ 14

SUBJ: Initial Event Response

This Order prescribes Federal Aviation Administration (FAA) Air Traffic Organization (ATO) procedures and responsibilities for immediate notification and response to significant or noteworthy events (for example, major aircraft accidents, near mid-air collision reports, major service disruptions) that necessitate an event review and reporting to the Chief Operating Officer (COO). This Order also specifies ATO policy and procedures for post-event investigation of events where ATO involvement could be a factor. Regardless of other investigations or assessments conducted by organizations outside the ATO, it is important that the ATO proceed with its own fact finding at every level to provide transparency of its operation of the National Airspace System (NAS). It provides direction and guidance to ATO Service Units, Service Areas, Service Centers, offices that deal with the dissemination of information following an event, and facilities that are called upon to assist in event reviews following such events. The ATO, through the processes in this Order, will ensure that the facts surrounding significant events are adequately compiled and reported in a most expeditious manner to the COO.

The mission to improve the safety and efficiency of the NAS is never complete. All concerned personnel must familiarize themselves with the provisions of this Order related to their operational responsibilities and use their best judgment if they encounter situations not specifically described in the Order.

Teri L. Bristol

Teri L. Bristol
Acting Chief Operating Officer
Air Traffic Organization

Table of Contents

Chapter 1: General Information

1.1 Purpose of this Order. This Order describes the Air Traffic Organization's (ATO) processes, roles and responsibilities, and timelines for collecting and reporting data in response to significant, noteworthy, or media events in the National Airspace System (NAS). It is important that the ATO conduct an event review for each significant or noteworthy event occurring in the system, in order to identify safety issues, establish the facts, conditions, and circumstances surrounding the event, and establish meaningful recommendations to prevent, mitigate, or reduce the possibility of recurrence.

   a. Successful post-event management depends on the prompt and timely collection, and upward reporting of accurate information. This Order establishes focal points for the collection and dissemination of this critical data. Following the reporting processes and timelines specified in this Order will ensure that the ATO speaks with one voice and responds appropriately to significant events in the NAS. The upward reporting flow described in this Order will also help in the release of appropriate factual information to other government agencies, Congress, or to the public under the Freedom of Information Act (FOIA).

   b. Examples of significant events covered under this Order include, but are not limited to: aircraft accidents and incidents, unusual events involving air traffic services, major events involving systems used in the delivery of air traffic services, loss of major navigation aids, events that may receive significant media interest, and any other events as determined by the Vice President of ATO Safety and Technical Training (AJI) or designee, or by the Service Units' Vice Presidents. The Vice President for System Operations may request that the processes outlined in this Order be used to conduct a post-event review/investigation of events which are routinely handled by ATO's Air Traffic Security Coordinator (ATSC) teams, which manage the Domestic Events Network (DEN).

1.2 Audience. This Order applies to all ATO Service Units, all air traffic control (ATC) facilities, all FAA contract and non-federal ATC facilities, the Regional Operations Centers (ROC), and the Washington Operations Center Complex (WOCC).

1.3 Where Can I find this Order. This Order is available on the MYFAA employee Web site at https://employees.faa.gov/tools_resources/orders_notices/ and on the air traffic publications website at http://www.faa.gov/air_traffic/publications.

1.4 Background. The review of past air traffic events has given the ATO a long list of best practices on conducting and communicating the results of each event review/investigation. This Order integrates these important event response practices between local, regional, and national levels for the ATO's operational and Safety and Technical Training personnel.

   a. Occasionally, events occurring in the NAS (for example, an aircraft with extended taxi and ramp hold times or a major ATC facility outage) will receive significant media or Congressional interest. Although many events of this type are not directly controlled by the ATO, the ATO must respond to inquiries from the media, Congress, and other governmental organizations such as the National Transportation Safety Board (NTSB), the Department of

Transportation Office of the Inspector General (OIG), or the U.S. Government Accountability Office (GAO). A standardized process and data collection/reporting system are required for the ATO to meet its obligations and respond in an accurate and timely manner.

b. This Order includes responsibilities and authority for ATO Safety and Technical Training (AJI), the Compliance Services Group (CSG), the CSG Event Investigation Manager (EIM), organizations supporting post-event response including an Event Response Team (ERT), the Service Areas, the Service Units, the Quality Control Groups (QCG), the Operational Support Groups (OSG), as well as coordination responsibilities for the Washington Operations Center Complex (WOCC), the Regional Operations Centers (ROC), and the Operations Control Centers (OCC). It builds on the successful workflow used by the Office of Aviation Safety and the Technical Operations Aircraft Accident Representative (TOAAR) for major events. Procedures, notification priorities, and support processes for the steps in the significant event response process - including notification, data collection, performance review, release of information, litigation support, and record keeping - are included in this document. The principles outlined in this Order must be closely followed to ensure a complete response to significant or noteworthy events.

1.5 Cancellation. This Order cancels FAA Order JO 1030.3A, *Initial Event Response*.

1.6 Policy.

a. Immediately following a significant or noteworthy event, the parties identified in this Order must follow the specific procedures for event notification and post-event review as outlined in Chapters 2 through 4 of this Order.

b. This Order specifies the procedures to be followed to promptly report potentially significant or noteworthy events. Following the procedures in this Order does not relieve a facility of the responsibility to also report events in accordance with all applicable procedures in FAA Orders, including JO 8020.11, *Aircraft Accident and Incident Notification, Investigation, and Reporting*; JO 8020.16, *Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting*; JO 7210.632, *Air Traffic Organization Occurrence Reporting*; etc.

c. Timely, complete, and accurate reporting of factual information is essential. The success of our safety culture is dependent on the recognition by the entire workforce that all of us, independently and collectively, must strive to provide the best service possible and to recognize when we do not. It is imperative that each and every employee fully and openly participates in the identification of risk and mitigates unnecessary risk or reckless behavior.

d. Facility Managers, District Managers, Directors of Operations, Service Unit management, and Compliance Services Group management must provide the necessary resources to meet the requirements of this Order.

e. The provisions of this Order do not override the provisions of agency collective bargaining agreements.

f. Except under very unusual circumstances, the event review portion described in this document will not begin until the conclusion of the event, so as not to adversely impact the operation and/or management of the event.

g. The on-site investigation process described in Chapter 5 of this Order must be invoked for all red events and when requested by the Vice President of ATO Safety and Technical Training or designee. The Vice President of any operating Service Unit may invoke this process by coordinating through the Chief Operating Officer (COO). The Directors of Operations may also request this process through their Vice Presidents.

h. The COO, Deputy Chief Operating Officer (DCOO), Vice President of System Operations, or Vice President of Safety and Technical Training may invoke the event response procedures specified in this Order for a security-related event. However, the procedures in this Order do not replace or supersede any established procedures requiring facilities to immediately report a security-related event to the Air Traffic Security Coordinators (ATSC) managing the Domestic Events Network (DEN).

1.7 Scope.

a. This Order gives guidance and a framework for responding to significant or noteworthy events.

b. The following are some examples of the types of events for which the provisions of this Order may be invoked. Note this list is not all-inclusive. If unsure whether an event might be considered significant, facilities are strongly encouraged to report it upwards.

(1)   Significant or noteworthy aircraft accident or serious incident, any fatal accident where ATC services were provided, crash involving an air carrier, accident/incident involving a dignitary.

(2)   Significant or noteworthy loss of separation (33 percent or less of the standard), including near mid-air collision (NMAC) reports and traffic alert and collision avoidance system (TCAS) resolution advisories (RA) with evasive action or lack of positive control.

(3)   Significant or noteworthy runway incursion (e.g. aircraft rotated early to avoid a crossing tug).

(4)   Allegations of reckless operation (e.g. low-flying civilian/military aircraft, personnel performance).

(5)   Loss of aircraft and/or air traffic critical systems (e.g. simultaneous or overlapping primary and backup equipment outages).

(6)   Simultaneous loss of radar and communications with IFR aircraft or with VFR aircraft being provided flight following services.

(7)   Loss of facility operational capability, as defined in FAA Order JO 1900.47, *Air Traffic Organization Operational Contingency Plan.*

(8)   Severe turbulence where serious injuries or structural damage is reported.

(9)   Long duration delays for aircraft with passengers that exceed three hours for domestic flights or four hours for international flights between cabin door closure and takeoff, or between landing and cabin door opening to allow passenger deplaning (Tarmac-3 or Tarmac-4).

(10)   Occurrence that generates or could generate high interest from regional or national news media, Congress, the Department of Transportation (DOT), or other government agencies such as the NTSB, OIG, or GAO.

c.   When requested by the COO, DCOO, Vice President of System Operations, or Vice President of Safety and Technical Training, AJI may also invoke the on-site investigative process led by an EIM and specified in this Order to review security-related events.

d.   The provisions of this Order are not intended to be activated in response to ongoing events that are being actively managed through other existing procedures (e.g., Domestic Events Network (DEN), National Operations Control Center (NOCC), or the Service Center Situation Room), but rather to ensure timely upward notification and if requested, a formal post event review. Such events may include, but are not limited to:

(1)   Natural or man-made disasters affecting ATC services with an indefinite recovery period.

(2)   Widespread (multiple facilities) equipment/power interruptions with indefinite restoration time.

(3)   Ongoing security-related events.

(4)   Serious or fatal on the job employee injury.

1.8 Distribution. This Order is distributed to the following ATO Service Units: Terminal/En Route and Oceanic, System Operations, and Technical Operations; ATO Safety and Technical Training; Mission Support; Central Quality Control Group and Operations Support Group, Eastern Quality Control Group and Operations Support Group; Western Quality Control Group and Operations Support Group; the Office of Emergency Operations and Communications; Northwest Mountain Region-ROC; Southern Region- ROC; Southwest Region-ROC; New England Region-ROC; Eastern Region-ROC; Great Lakes Region-ROC; Western-Pacific Region-ROC; Central Region-ROC; Alaskan Region-ROC; all ATC facilities; all FAA, non-federal, and FAA contract facilities; the Air Traffic Safety Oversight Service; the Washington Operations Center Complex; the William J. Hughes Technical Center; and the Mike Monroney Aeronautical Center.

1.9 Disposition of Transmittal. Retain this Order until it is superseded by a change or new basic Order.

1.10 Definitions.

    a. Compliance Services Group (CSG) – Formerly the Event Response Group (ERG). The CSG's Safety Investigations Team of on-call Investigators and Event Investigation Managers (EIM) ensure significant air traffic events are upward reported to senior ATO leadership and provide expertise in the on-site investigation process.

    b. Domestic Events Network (DEN) – A 24/7 interagency unclassified telephonic conference, operated by FAA Systems Operations Security and dedicated to real-time coordination of security-related events in the United States air traffic management system.

    c. Evasive Action – Acute action taken by a pilot for the purpose of avoiding a collision. In the context of this Order, routine or obligatory adherence to a TCAS RA does not necessarily constitute an evasive maneuver.

    d. Event - Any occurrence that impacts the safety or efficiency of the NAS.

    e. 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 Response Team (ERT) members. Until EIM selection, the Safety Investigations Team Manager (supervisor) may attend to EIM responsibilities and activities outlined in this Order.

    f. Event Response Team (ERT) - A diverse group of subject matter experts led by the EIM, responsible for reviewing events and performing other duties as set forth in this Order.

    g. Lack of Positive Control – Event where ATC took no action, untimely action, ineffective/inadequate action, or action that aggravated the event.

    h. National Technical Operations Aircraft Accident Representative (NTOAAR) – National Operations Group (NOG) Aircraft Accident Program Manager. The NTOAAR provides Technical Operations response to major accidents, and guidance and support to the TOAARs. A previous term was NAAR.

    i. National Operations Control Center (NOCC) – The NOCC provides operational management of National Airspace System (NAS) infrastructure. The NOCC is responsible for managing and communicating Technical Operations issues and maintenance activities at the national level with a focus on minimizing operational impact. The NOCC represents the Vice President of Technical Operations in these functions. The NOCC is collocated with the Air Traffic Control Systems Command Center (ATCSCC).

j. Noteworthy Event – Any major event in the NAS that requires timely upward notification to the Service Area or Headquarters level.

k. Operational Support Group (OSG) - Provides oversight and support for NAS procedures and special activities for the Service Units.

l. 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 Notices to Airmen (NOTAMs) as needed.

m. Post-Accident/Incident Drug and Alcohol Testing Determination Telephone Conference - A telephone conference conducted in accordance with DOT Order 3910.1, *Drug and Alcohol Free Workplace*, to determine if post-accident/incident drug and/or alcohol testing should be conducted.

n. Quality Control Group (QCG) - Responsible for evaluation and review of services in each respective Service Area to ensure compliance with applicable directives.

o. Regional Operations Center (ROC) - Provides communications support for command and control, as well as for collecting and summarizing information.

p. Service Center – Regionally located offices (i.e. Eastern, Central, and Western) that provide a wide variety of support to all air traffic and Technical Operations field facilities.

q. Service Unit – Line of Business such as Technical Operations, Mission Support, Terminal/En Route Services, and Systems Operations.

r. Services Rendered Telephone Conference (SRT) - A management telephone conference conducted with the ATO Safety and Technical Training Compliance Services Group (CSG), the Service Area Director(s) of Operations, Mission Support Staff, Office of Accident Investigation and Prevention, Operations Control Center, the involved facility, and others as needed, to review and assess the ATO services associated with a significant or noteworthy event. Note this is not associated with any locally convened "Services Reviewed Telecons."

s. Significant Event – Any event in the NAS that may attract regional/national media attention or regional/national political attention, any aircraft proximity with less than 33 percent of the standard, any report of a Near Mid Air Collision (NMAC) with evasive action, or any major event that requires immediate upward notification to the Service Area or Headquarters level. Note this list is not all-inclusive.

t. Technical Operations Aircraft Accident Representative (TOAAR) - OCC Team Lead, Service Delivery Specialist (SDS), or OCC 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 FAA Investigator in Charge (IIC) before returning it to service. TOAARs are on duty 24/7. The previous term, AFAAR, has been replaced by TOAAR.

    u. Washington Operations Center Complex (WOCC) - Responsible for providing the Administrator, Deputy Administrator, and all FAA Lines of Business with information and communication support to respond to stakeholders in an informed and timely manner.

Chapter 2: Upward Notification

2.1 Notification Policy. The upward notification processes described in this Chapter do not replace or supersede any established procedures requiring facilities to immediately report a security-related event through the Domestic Events Network (DEN). Every organization involved in the notification process must be constantly aware of the objective to keep timely and factual information flowing upward (see Figure 1).

2.2 Notification Process for Accidents and Incidents

    a. Managers must ensure their ROC and OCC are notified as soon as feasible immediately after becoming aware of a potentially significant or noteworthy accident or incident.

        Note: Any event that may potentially be security-related (e.g., incidents that may involve acts of terrorism or other hostile actions) must be immediately reported through the Domestic Events Network (DEN).

    b. For fatal accidents when ATC services were provided, managers must relieve the last employee(s) providing ATC services from operational/control positions as soon as operationally feasible. These employees must remain relieved from operational/control positions until a Covered Event Review (CER) and any associated training, if assigned, are completed.

    c. If required in accordance with Order 7210.632, the involved facilities must file a Mandatory Occurrence Report (MOR), selecting the 'significant' checkbox. Checking the 'significant' box will generate an automatic notification to the CSG investigative team.

    d. Employees are encouraged to report the event through a Voluntary Safety Reporting Program (VSRP) such as the Air Traffic Safety Action Program (ATSAP).

        Note: Filing an MOR and/or reporting an event through a VSRP does not relieve a facility of the responsibility to report all potentially significant or noteworthy air traffic events through their ROC. Additionally, reporting an aircraft accident through a VSRP does not alleviate the facility's responsibility to follow the applicable reporting requirements specified in FAA JO 8020.16.

    e. ROC personnel must notify the on-duty specialist from the Service Center QCG. The QCG will notify the appropriate Director(s) of Operations of the event, following established procedures.

    f. The QCG on-call specialist will conduct a quick review to validate the initial findings. For every potentially significant or noteworthy accident/incident, the QCG (through the ROC/WOCC) must then provide a briefing to the on-call CSG Investigator as soon as practical, preferably no more than 1 hour after becoming aware of the event.

g. For accidents where FAA equipment may be contributory, OCC personnel must initiate the TOAAR process (see Appendix C). The OCC must be notified in a timely manner to ensure that a TOAAR is available for the Services Rendered Telephone Conference (SRT), if needed.

h. Depending upon event significance, the CSG will ensure timely upward notification to ATO leadership and determine the need to convene an SRT.

2.3 Notification Process for Security-Related Events. For security-related events, ATC facilities must immediately notify the DEN following established procedures found in FAA Orders JO 7610.4, *Special Operations*; JO 7110.65, *Air Traffic Control*; JO 7210.3, *Facility Operations and Administration*; and JO 7210.54B, *FAA Federal Contract Tower (FCT) Operation and Administration*.

a. As soon as possible after the required notification to the DEN, ATC facilities that are aware of a security-related event that may generate significant media or congressional interest (e.g., a NAS-related terrorist act) must notify their ROC.

b. If required in accordance with Order 7210.632, the involved facilities must file a Mandatory Occurrence Report (MOR), selecting the 'significant' checkbox. Checking the 'significant' box will generate an automatic notification to the CSG investigative team.

c. Employees are encouraged to report the event through a Voluntary Safety Reporting Program (VSRP) such as the Air Traffic Safety Action Program (ATSAP).

> **Note:** Filing an MOR and/or reporting an event through a VSRP does not relieve a facility of the responsibility to immediately report all potential security-related events through the DEN.

d. ROC personnel must notify the WOCC, the on-duty specialist from Service Center QCG, and the appropriate Director(s) of Operations. The Director of Operations will determine if the ROC should also notify the Service Center Operations Support Group (OSG) for security-related events that may impact present/future operations.

e. The COO, DCOO, Vice President of System Operations, or Vice President of Safety and Technical Training may invoke the CSG event response procedures specified in this Order for a security event.

(1) If Compliance Services Group involvement is requested, the WOCC will ensure the CSG on-call Investigator and Group Manager are notified of the event. The CSG Manager will initiate a discussion with the appropriate Director(s) of Operations to determine the appropriate response as outlined in Chapter 5.

(2) If Compliance Services Group involvement is not requested, the Director of Operations and/or appropriate Service Unit are responsible for taking all appropriate post-event actions, including upward reporting and providing documented findings to all affected Service Unit Vice Presidents and the CSG Manager.

2.4 Notification Process for Equipment/Service Interruptions. This post-event notification process does not replace or supersede the established procedures which require facilities to immediately report outages to the OCC. Following established procedures, the OCC will continue to carry out real-time coordination with involved facilities, ATO leadership, and any other stakeholders, as needed.
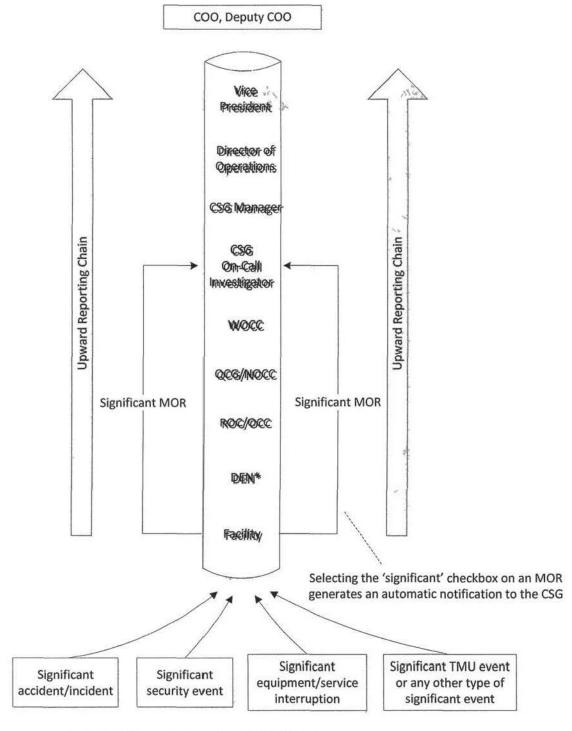
a. Immediately after an equipment/service interruption that might generate significant media/congressional interest (including pilot reports indicating GPS jamming), the involved facility must notify the OCC.

Note: The first notification of any event that may be deemed suspicious, with malice or considered hostile, or terrorist-related should be through the DEN so that the appropriate agency may assist in the management of the incident.

b. If required in accordance with Order 7210.632, the involved facilities must file a Mandatory Occurrence Report (MOR), selecting the 'significant' checkbox. Checking the 'significant' box will generate an automatic notification to the CSG investigative team.

c. Employees are encouraged to report the event through a Voluntary Safety Reporting Program (VSRP) such as the Air Traffic Safety Action Program (ATSAP) or the Technical Operations Safety Action Program (TSAP).

d. The OCC must contact the National Operations Control Center (NOCC) when sufficient information is available. The OCC may also contact the NTOAAR.

e. NOCC personnel will initiate their non-accident process.

f. For all events that might generate significant regional or national media/Congressional interest, OCC/NOCC personnel must notify the appropriate ROC (unless the notification was received from the ROC).

g. ROC personnel must notify the WOCC, the on-duty specialist from Service Center QCG, the appropriate Director(s) of Operations, and the OCC (unless the notification was received from the OCC). The COO, DCOO, Vice President of Technical Operations, or Vice President of Safety and Technical Training may invoke the CSG event response procedures specified in this Order for a potentially significant or noteworthy equipment/service interruption.

(1) If Compliance Services Group involvement is requested, the QCG will notify the WOCC, through the ROC, of the request. The WOCC will ensure the on-call CSG Investigator and the CSG Manager are notified of the event. The CSG Manager will initiate a discussion with the appropriate Director(s) of Operations to determine the appropriate response as outlined in Chapter 5.

(2) If Compliance Services Group involvement is not requested, the Director of Operations is responsible for taking any appropriate follow-up actions, including upward reporting and forwarding documented findings to all affected Service Unit Vice Presidents and the CSG Manager.

2.5 Notification Process for Air Traffic Management or Any Other Type of Significant Event.

 a. ATO facilities that become aware of an air traffic management or other type of significant/noteworthy operational event that may generate significant media or Congressional interest (e.g., a domestic aircraft that encounters a delay on the ground over 3 hours [Tarmac-3]) must notify their ROC as soon as possible.

 b. If required in accordance with Order 7210.632, the involved facilities must file a Mandatory Occurrence Report (MOR), selecting the 'significant' checkbox. Checking the 'significant' box will generate an automatic notification to the CSG investigative team.

 c. Employees are encouraged to report the event through a Voluntary Safety Reporting Program (VSRP) such as the Air Traffic Safety Action Program (ATSAP).

 d. ROC personnel must notify the WOCC, the on-duty specialists from the Service Center QCG, and the appropriate Director(s) of Operations.

 e. The Director of System Operations Security (AJR-2), Director of the Air Traffic System Command Center (AJR-1), any Director of Operations, the COO, DCOO, or any Line of Business may invoke the CSG event response procedures specified in this Order for a traffic management or other potentially significant/noteworthy event.

  (1) If Compliance Services Group involvement is requested, the QCG will notify the WOCC, through the ROC, of the request. The WOCC will ensure the CSG on-call Investigator and Group Manager are notified of the event. The CSG Manager will initiate a discussion with the appropriate Director(s) of Operations to determine the appropriate response as outlined in Chapter 5.

  (2) If Compliance Services Group involvement is not requested, the Director of Operations and/or appropriate Service Unit are responsible for taking all appropriate post-event actions, including upward reporting and providing documented findings to all affected Service Unit Vice Presidents and the CSG Manager.

2.6 Notification Listings. The appropriate Lines of Business are responsible for maintaining the following:

 a. The ATO is responsible for maintaining the list of personnel/offices that are referenced in this Chapter during the notification process. Specifically, ATO Safety and Technical Training (AJI) is responsible for updating the following positions so that notifications specified in this Order are properly received:

  (1) AJI on-call CSG Investigators

  (2) CSG Manager

(3) AJI Vice President

(4) COO and DCOO

(5) Vice Presidents and Directors of Operations

(6) Operational Service Unit Headquarters Offices (e.g. Terminal Operations Support (AJT-2), Manager of Tactical Operations Security (AJR-23), and the Directors of Operations for Security (AJR-2), En Route & Oceanic (AJE-3), and Technical Operations, (AJW-1)).

(7) Manager for Contract Flight Service Stations

b. The Office of Accident Investigation and Prevention (AVP) is responsible for updating their own on-call specialists so that notifications specified in this Order are properly received.

c. The Service Center QCG and Operational Support Groups (OSG) are responsible for updating their own on-duty specialist listings so that notifications specified in this Order are properly received.

d. AJI, the Service Center QCG and OSG, and AVP are responsible for distributing any changes to their respective ROCs, WOCC, and OCCs.

2.7 Upward Reporting Chain. Timely, complete, and accurate reporting of factual information is essential. The upward flow of event information should follow Figure 1.

Figure 1: Upward Reporting Arrow

COO, Deputy COO

Vice President

Director of Operations

CSG Manager

CSG On-Call Investigator

WOCC

QCG/NOCC

ROC/OCC

DEN*

Facility

Upward Reporting Chain

Upward Reporting Chain

Significant MOR

Significant MOR

Selecting the 'significant' checkbox on an MOR generates an automatic notification to the CSG

Significant accident/incident

Significant security event

Significant equipment/service interruption

Significant TMU event or any other type of significant event

*Note: Facilities are required to IMMEDIATELY notify the DEN for all security events

Chapter 3: Services Rendered Telephone Conference (SRT)

a. Upon being notified of a significant or noteworthy event, the AJI on-call CSG Investigator must conduct an initial analysis and notify the CSG Manager and/or Safety Investigations Team Manager of the event. Depending on event significance, the on-call Investigator and CSG Manager/Safety Investigations Team Manager will determine the need to upward report the event and convene a Services Rendered Telecon (SRT). Note that the SRT is not associated with any locally convened "Services Reviewed Telecons."

b. When the Compliance Services Group determines an SRT is required to review air traffic services, the Service Center QCG must convene an SRT. The affected Director(s) of Operations or designee(s) must participate in the SRT. ROC-initiated telephone conferences are preferred to control participation in this discussion.

c. The SRT is a management review to assess the ATO services associated with a significant or noteworthy event. The SRT is intended for managers to be able to openly discuss critical operational information associated with the significant or noteworthy event.

> **Note**: The SRT is intended to give all participants a snapshot of the conditions surrounding the event. This information may include, but is not limited to: staffing levels, weather, training, unusual circumstances, etc. Refer to Appendix D for a sample list of questions/topics related to Technical Operations that may be discussed during the SRT.

d. When possible, the SRT will be convened the next administrative day in order to allow the facility and CSG Investigator to complete a preliminary investigation. Depending on the significance of the event, such as a major air carrier accident or a fatal accident involving ATC services, the SRT should be established as soon as possible but no later than 3 hours following notification, in order to provide a venue for direct communications with ATO senior leadership, the involved facilities, the QCG, the Director(s) of Operation, Service Unit(s), and Compliance Services Group.

e. The QCG will ensure the SRT commences through the ROC.

3.1 SRT Notifications. When the CSG Manager, Safety Investigations Team Manager, or designee determines an SRT is required, the on-call Investigator will notify the appropriate QCG and send a calendar invitation to all appropriate headquarters staff and offices, which may include:

- The WOCC

- COO and DCOO

- Chief of Staff

- VP and Deputy VP of AJI

- VP and Deputy VP of the appropriate Service Unit

- Embedded Safety Services Managers

The following staff/offices will also be included on the SRT notification, as applicable or appropriate to the event:

- National Technical Operations Aircraft Accident Representative (NTOAAR) if applicable

- Flight Service Program Office if applicable

- System Operations Security, AJR-2, if applicable

- The OSG when appropriate

- The OCC when appropriate

- Public Affairs when appropriate

- The Office of Accident Investigation and Prevention (AVP) when required

a. The QCG and/or ROC will ensure all appropriate regional offices are notified of the SRT according to local procedures, including: the appropriate Director(s) of Operations, Group Managers, District Managers, and Facility Managers. The WOCC will coordinate with the CSG Investigator to determine a time for the teleconference.

b. The OCC must be notified in a timely manner to ensure that a TOAAR is available for the SRT, if needed. The OCC or TOAAR may request the NTOAAR be notified or to be included in the SRT. Additionally, the TOAAR or NTOAAR may request additional information prior to the SRT from the QCG or facility.

3.2 Review of Services. Immediately prior to commencement of the SRT, facility management must ensure all audio communications have been prepared for playback during the SRT.

a. Before the SRT, facility management must review any and all available ATC communications and display/radar playback (from all involved facilities) to determine the quality of service provided; however, this review should not delay the timely notifications of significant or noteworthy events. During the review of services, the facility and QCG must determine and report whether any noncompliance with FAA Orders and directives occurred, regardless of whether this non-compliance was related to the event. Appendix B contains specifics on data to be reviewed.

b. The WOCC will assemble participants to be joined with the ROC when the Service Center is ready to commence the SRT. During the SRT the CSG, Director(s) of Operations, and

facility management (and AVP for accidents) will brief the participants on all information that is known at that time. This briefing shall include an audio playback. At the conclusion of the audio replay, the specialist in the Service Center facilitating the SRT will solicit questions from the Director(s) of Operations/Senior Advisor, District Manager if appropriate, Service Unit, CSG, and AVP if appropriate. Any other participants should coordinate questions through the Director of Operations or CSG Manager. To the maximum extent possible, questions should be directly related to the event under review.

3.3 Color Code Determination. After a review of the services provided the CSG Manager or designee, using sound judgment and expertise, will determine a color code designation.

Red Events. The CSG Manager or designee should classify events as red when they believe that an Event Response Team (ERT) should be launched immediately to conduct an on-site review of air traffic services. For the specific procedures regarding red events, see paragraph 4-3.
   a. Red events might include, but are not limited to:

   (1) Significant or noteworthy accident involving an air carrier, air taxi, or general aviation aircraft

   (2) Events with significant/noteworthy regional or national media or political interest

   (3) Natural disasters affecting air traffic services

   (4) Near Mid Air Collision reports

   b. Yellow Events. The CSG Manager or designee should classify events as yellow when more information is needed to determine whether an on-site event review of air traffic services is required or when the on-site event review does not need to occur immediately. For the specific procedures for yellow events, see paragraph 4-4. Yellow events might include, but are not limited to:

   (1) Accidents where air traffic services were provided

   (2) On-duty event where an employee receives serious/fatal injuries

   (3) Any losses of standard separation where less than 33 percent was maintained and the safety risk is judged to be medium or high, including TCAS RAs with evasive action

   (4) Surface events where less than 33 percent was maintained and the safety risk is judged to be medium or high or where evasive action is reported

   (5) Service delivery problems (e.g., Tarmac-3 event)

   (6) Natural disasters, widespread equipment/power interruptions, security events, or events involving an Unmanned Aircraft System (UAS)

c. **Green Events**. The CSG Manager or designee should classify events as green when no headquarters response appears to be required or headquarters may be able to monitor/review the post-event process without launching an ERT. For the specific procedures for green events, see paragraph 4-5. Green events may include, but are not limited to:

(1) Commercial power failure at single facility or limited geographic region

(2) Inadvertent physical damage to navigational facilities

(3) Pilot deviation

(4) Accidents or incidents where all air traffic services were normal

3.4 Follow-up Actions. Before conclusion of the SRT, the CSG Manager or designee will initiate a discussion with the appropriate Director(s) of Operations to determine any required follow-up actions. The CSG will upward report any applicable follow-up actions discussed during the SRT to ATO leadership. The appropriate Service Area QCG will monitor and ensure follow-up actions are taken in a timely manner. Refer to Chapter 4 for more specifics on follow-up actions.

3.5 Launch of An Event Response Team (ERT). An Event Response Team (ERT) must be launched immediately to conduct an on-site event investigation for all red events. For events color-coded yellow, the CSG Manager or designee in consultation with the Director of Operations, Service Unit, and Director of Safety may, when necessary, determine the need to launch an ERT. Whenever possible, this determination will either be made during the SRT or no later than 4 hours following conclusion of the SRT. An ERT need not be launched for any events color-coded green.

a. The Vice President for Safety and Technical Training may initiate an ERT review for any event or to address safety concerns. Additionally, if the NTSB determines it will launch an ATC Workgroup, an Event Investigation Manager (EIM) will be assigned and an Event Response Team (ERT) will be launched.

3.6 Post-Accident/Incident Drug and Alcohol Testing Determination. The affected Director(s) of Operations are responsible for making the determination to conduct drug and alcohol testing for events covered by DOT Order 3910.1, *Drug and Alcohol Free Workplace*. The Drug Testing Determination review and the SRT should normally be held concurrently to expedite the flow of information. If there are scheduling issues that prevent the CSG from attending the scheduled SRT/Drug Testing Determination review, the Director of Operations has the authority to proceed with the Drug Testing Determination as necessary to meet the needs of the facility.

Chapter 4: Follow-On Event Review and Response Procedures

4.1 Covered Event Review (CER) or System Service Review (SSR). For every fatal accident where ATC services were provided, a Covered Event Review (CER) must be conducted in accordance with FAA Order JO 7210.634, within 3 administrative days. The employee(s) last providing ATC services must remain relieved from operational/control positions until the CER and any CER-associated training, if assigned, is completed.

 a. When an event is designated yellow or red, and is not associated with a fatal accident, facilities must conduct a System Service Review (SSR) in accordance with FAA JO 7210.634. Results of the CER or SSR must be documented through CEDAR.

4.2 Union Notification.

 a. The CSG Manager will notify the NATCA Safety Chair when an event is determined to be red and/or an ERT is to be launched. The CSG will also notify the NATCA Aviation Safety Investigations Chair when the NTSB will convene an ATC Work Group. The notification will include:

  (1) The planned locations(s)

  (2) Dates

  (3) Scope of the investigation

 b. Following notification of a designated red event or if an ERT is to be launched, the CSG Manager and the NATCA Safety Chair will evaluate whether NATCA participation beyond the local activities described above is desirable and appropriate. This determination is independent of whether the NTSB conducts an investigation into the same event and NATCA is granted Party Status.

4.3 Process for Red Events.

 a. When an event has been designated as red, the CSG Manager will ensure the COO, the AJI Vice President, the appropriate Service Unit Vice President(s), and others as appropriate are verbally notified. The notification must contain all available factual information about the event and the fact that the ERT is being launched.

 b. The CSG Manager or Safety Investigations Team Manager must designate the EIM for the ERT based on a list of approved EIMs maintained by AJI.

 c. The CSG on-call Investigator will inform the QCG that headquarters is immediately launching the ERT. The QCG will inform the facility's management point of contact, the NTOAAR, the OCC, and the OSG.

 d. Once the EIM has been identified, coordination must take place between the EIM, CSG Manager, and the appropriate Director of Operations and Service Unit to determine the size and

composition of the ERT. Team members are designated by their organizations to assist AJI.

e. As soon as practical following the ERT launch notification, the CSG Manager must notify the Assistant Chief Counsel for Litigation of the event, that an ERT is being launched, whether the NTSB is participating, and who has been designated as the EIM.

f. The on-site event investigation process described in Chapter 5 must be followed.

4.4 Process for Yellow Events.

a. The CSG Manager or designee, in consultation with the Director of Operations, will determine the need to launch an ERT based on the information discussed in the SRT, preferably no more than 4 hours following completion of the SRT.

b. If the determination is made to launch the ERT:

(1) The CSG Manager or Safety Investigations Team Manager must designate the EIM for the ERT based on a list of approved EIMs maintained by AJI.

(2) The on-call CSG Investigator must immediately inform the QCG when headquarters has decided to launch the ERT. The QCG must inform the facility's management point of contact, the NTOAAR, the OCC, and the OSG.

(3) Once the EIM has been identified, coordination must take place between the EIM, CSG Manager, the appropriate Director of Operations, and Service Unit management to determine the size and composition of the ERT. Team members are designated by their organizations to assist AJI.

(4) The CSG Manager must communicate the decision to implement a yellow event and launch the ERT to the COO and the appropriate Service Unit Vice President(s).

(5) The CSG Manager must notify the Assistant Chief Counsel for Litigation of any yellow event with an accident where air traffic services were provided. The CSG Manager must communicate that an ERT is being launched, whether the NTSB is participating, and who has been designated as the EIM.

(6) The event review process described in Chapter 5 must be followed.

c. If the determination is made not to launch the ERT:

(1) The on-call CSG Investigator defers back to the QCG or OCC/NOCC, who will coordinate with the appropriate Director of Operations. The Director of Operations is responsible for taking any appropriate follow-up action(s), including the completion of an Investigative Report and upward reporting to AJI and all affected Service Unit Vice Presidents, as necessary.

4.5 Process for Green Events. Green events follow a determination that an event does not

warrant a red or yellow classification. When the CSG Manager or designee determines that a green event has occurred, the on-call CSG Investigator will notify the QCG for follow-on coordination with the appropriate Director of Operations. The Director of Operations is responsible for taking all follow-up actions, including reporting as necessary. If deemed appropriate by the CSG Manager, the QCG will prepare a voice and radar reconstruction of the event and ensure that all files associated with the event are stored on the AJI Knowledge Sharing Network (KSN) site.

Chapter 5: On-Site Event Review

5.1 Authorities.

    a. For safety and non-safety-related events, the COO or designee grants authority to the Compliance Services Group, the Event Investigation Manager (EIM), and Event Response Team (ERT) members to conduct the appropriate investigation. Examples of non-safety-related events could include: hotline complaints, Congressional inquiries, White House inquiries, and AJI or FAA leadership requests.

    b. While this Order typically does not apply directly to the on-site investigation of security-related events, the COO may request that AJI use the ERT process to conduct a post-event review/investigation of security-related events that impacted the safety or efficiency of the NAS. The Director of System Operations Security (AJR-2) may request the ERT process through the Vice President for System Operations (AJR-0) when warranted.

    c. The Vice Presidents of the operational Service Units may request that an ERT be launched through the COO. Directors of Operations may initiate such requests through their Service Unit Vice Presidents.

    d. The EIM manages all ATO resources responding to the event review, determines the facts of the event, and disseminates and briefs factual information to the CSG Manager and senior ATO leadership, as appropriate. A member of the ERT may be excused or replaced by the EIM at any time. Team members are required to remain assigned to the ERT until released by the EIM.

    e. The Director(s) of Operations and CSG Manager should consider the following ERT membership:

        (1) Quality Control Group (QCG) specialist

        (2) Affected Service Unit representative

        (3) System Operations (AJR) specialist

        (4) Technical Operations (AJW) specialist

        (5) Other specialist, as necessary

5.2 On-Site Coordinator Until Arrival of the EIM. The facility manager (Air Traffic Manager or Technical Operations Manager – TOM) is responsible for designating the air traffic on-site coordinator until the arrival of the EIM. If the Quality Control Group has been designated as leading a situation response that is geographically or organizationally related to an event, the EIM should consult with the QCG to determine the earliest time an event review may begin.

    Note: Discussion with any personnel involved in the event should be limited unless

coordinated with the EIM to avoid influencing the employee's recollection of the event.

5.3 Initial EIM Activities. Immediately upon arriving at the facility where the event occurred (or the FAA facility where the event review will take place), the EIM must:

a. Gather all available data regarding the event from the CSG on-call Investigator. At this point, responsibility for review of the event transfers from the on-call CSG Investigator to the EIM.

b. As the ATO's on-site representative, assume the lead ATO role for all activities including those regarding the NTSB or AOV investigation and ATO event response review.

c. Convene the ERT for an introductory meeting. The EIM must define the ATO's responsibilities, procedures, and objectives for the event review, as well as explain what is expected of each team member.

d. Conduct an in-brief with the air traffic manager, District Manager, and System Support Center (SSC) or General National Airspace System (GNAS) manager on expectations, requirements, and responsibilities.

e. Afford the bargaining unit Principle Facility Representative the opportunity to attend the in-brief and out-brief regarding an on-site investigation conducted by the EIM/ERT.

f. If a bargaining unit employee (BUE) is to be interviewed by the EIM/ERT, the Principal Facility Representative or designee will be present if the employee so requests. The EIM will coordinate with the Air Traffic Manager or designee to ensure a bargaining unit representative is made available.

g. Ensure that the operational integrity of air traffic facilities is not compromised. Except under very unusual circumstances, the event review will not begin until the conclusion of the event so as not to adversely influence the event outcome.

h. If navigational facilities and/or ATC equipment is involved or suspected of being involved, ensure that all required notifications have been accomplished. Ensure that the appropriate Notices to Airmen (NOTAMs) have been issued.

i. Establish and maintain contact with the CSG Manager and the Director(s) of Operations for the Service Unit(s) involved in the event.

5.4 NTSB Coordination. The EIM must personally direct or delegate all ATO facility activities with respect to an on-site NTSB Air Traffic Control Work Group:

a. Act as the primary ATO liaison with the FAA Investigator-in-Charge (IIC) or FAA NTSB Air Traffic Control Work Group Chairman.

Note: The EIM may not serve as a Group member to a formal NTSB investigation. The other ERT members are present to actively support the NTSB investigation through the

EIM.

b. Facilitate and assist facility personnel in the compilation of audio recordings, radar data, and other related documentation requested by the NTSB.

c. Act as the sole ATO representative responsible for providing data directly to the NTSB. Review and ensure that all data and information are complete before they are provided to the NTSB.

d. When advised that the NTSB requires a briefing on the air traffic aspects surrounding the event, arrange for the air traffic manager to provide the requested briefing as soon as possible. Any direct requests from the NTSB to the facility must be coordinated with the NTSB Air Traffic Control Work Group Chairman before granting the NTSB access.

e. Any request for Technical Operations documents or records must be made through the NTOAAR. The NTOAAR will obtain the requested information and release it directly to the EIM.

Note: For the specific procedures for release of information, see Chapter 6. Also see FAA Order JO 8020.16 for additional guidance.

5.5 Legal Coordination for NTSB Investigations. While on-site, the EIM must establish and maintain contact with the Assistant Chief Counsel for Litigation (or designated representative), when applicable.

a. For events related to accidents, incidents, and other situations where tort litigation may arise, the Assistant Chief Counsel for Litigation is the primary office responsible for providing legal counsel to the Administrator and all FAA employees. For these events, the Litigation Division attorney assigned will provide legal advice and counsel to those facilities and employees whose actions are being reviewed by the NTSB, as needed. The EIM must notify the Assistant Chief Counsel for Litigation as soon as possible so that appropriate personnel can be assigned to support the facility.

b. When notified of an event, the Assistant Chief Counsel for Litigation will determine who from the Chief Counsel's Office will respond and provide timely legal support to employees and the EIM/ERT. The EIM must provide the Assistant Chief Counsel for Litigation attorney with a brief overview of the initial report and coordinate with the attorney to be at the facility when the NTSB arrives at the facility. The EIM should be prepared to give the attorney information regarding local accommodations, the address of ATO facilities, local facility contact information, and any other pertinent information.

c. The EIM must coordinate and schedule the following activities with the Assistant Chief Counsel for Litigation (or designated representative):

(1) A review of pertinent information (for example, transcripts, radar replay, airspace, procedures in question, a tour of the physical space, a review of personnel statements, the NTSB's requested order of witnesses, the proposed schedule for briefing witnesses).

(2) A facility manager consultation.

(3) The provision of pertinent documents to the attorney after the field phase is completed.

(4) Review of the in-briefings and out-briefings provided to the NTSB Air Traffic Control Work Group (if requested).

(5) Any other pertinent activities.

d. The EIM must brief the attorney as needed to keep the attorney informed of any new information concerning the services provided by the ATO or any other issue related to the NAS. If multiple facilities are involved, the EIM must coordinate with the attorney to ensure that all facilities and employees are provided legal services.

e. The EIM must contact air traffic personnel involved in the event, arrange for the protection of their wellbeing as required, and provide them with a briefing on investigation procedures and their right to counsel and union representation (if appropriate) during any interview. If a bargaining unit employee is to be interviewed by the EIM/ERT, the Principal Facility Representative or designee will be present if the employee so requests. The EIM will coordinate with the facility to ensure a bargaining unit representative is made available. Additionally, the EIM must ensure personnel are advised of their rights as they pertain to drug or toxicology tests.

Note: The EIM needs to ensure that activities related to any personnel involved in the event follow the provisions in appropriate collective bargaining agreements.

f. The EIM must arrange with the representative for the Office of the Chief Counsel to conduct pre- and post-interview debriefings of all ATO employees with whom the NTSB requests an interview.

5.6 FAA IIC (or FAA Representative) Coordination. For accident investigations when an FAA Investigator-in-Charge (IIC) is present on-site, the EIM must:

a. As the ATO representative, establish liaison with the FAA IIC and act as the FAA IIC's principal contact for all ATO information and documentation. Provide an initial briefing of pertinent facts to the FAA IIC at the earliest opportunity.

b. Provide copies of all data/information to the FAA IIC, as requested.

c. For investigations when the FAA IIC is not present on-site, the individual designated as FAA Subject Matter Expert (SME) will provide updates to the FAA IIC as necessary. At the conclusion of the investigation, the EIM must ensure the out brief summary is forwarded to the FAA IIC.

5.7 Military/Homeland Security/Law Enforcement Coordination.

a. When air traffic services are involved in a military event and the Office of Aviation Safety's Accident Investigation & Prevention (AVP) or the Flight Standards District Office (FSDO) does not designate an IIC, the EIM must coordinate FAA investigation activities with the military investigator through the FAA air traffic representative (ATREP) or, in the absence of an ATREP, directly with the military investigator.

b. The Compliance Services Group must coordinate with the Manager of Special Operations Security (AJR-24) to ensure that appropriate Department of Defense leadership is kept abreast of the investigation and/or review.

c. The EIM must coordinate any requests from the military to interview or obtain a written statement from an employee of the FAA with the Assistant Chief Counsel for Litigation.

5.8 Air Traffic Review. During the on-site investigation, the EIM must conduct a review of all air traffic aspects of the event to confirm the adequacy of equipment, procedures, and personnel; prior to, during, and after the event. The EIM must promptly advise the FAA IIC (if appropriate), the Compliance Services Group, the AJI Vice President, the involved Service Unit(s) Vice President(s), the appropriate Director(s) of Operations, the COO, and DCOO of any deficiencies noted.

5.9 Upward Reporting.

a. The EIM must provide updates to senior ATO leadership through the CSG Manager on any air traffic related accident/incident investigations. Briefing times will be established and coordinated through the CSG Manager or designee.

b. The CSG Manager or designee will ensure notifications are made to the COO, DCOO, appropriate Service Unit Vice President(s), and Director of Operations for their participation.

c. The EIM must provide immediate updates to the CSG Manager on any key details as they become available. Briefings must also be conducted throughout the entire investigation at a minimum on a daily basis and after conclusion of the on-site investigation.

5.10 Data Gathering Protocol.

a. As directed by the EIM, ERT members gather data related to the event.

b. ERT members must keep the EIM informed of all aspects of the event review.

(1) Information related to the event or to the air traffic operation that is discovered by a member of the ERT during the on-site portion of the event review must be provided to the EIM as soon as possible and before dissemination to persons outside of the ERT.

(2) To ensure that the most comprehensive and complete factual information is available to ATO executives, members of the ERT and the EIM must communicate all of the

factual information they receive.

(3) Although the EIM receives and responds to requests for information from the NTSB through the FAA's IIC or an FAA NTSB Air Traffic Control Work Group member, members of the ERT must deliver information they receive only to the EIM unless otherwise authorized by the EIM.

c. All members of the ERT must ensure that every organization with data is expediting these data to the EIM. Any member of the ERT may, as directed by the EIM, call upon the facilities, the appropriate Terminal Districts, appropriate Directors of Operations, and headquarters organizations during the conduct of the ERT event review.

d. The facility must comply with the requests made by the EIM.

(1) The EIM may request expedited handling of data to prevent unnecessary delay in the investigation. Facilities/Service Centers are expected to comply with such requests.

(2) Operating Service Units should identify reach-back resources (not located with the members of the ERT) that are capable of rapidly responding to ERT action requests.

5.11 Event Data Management.

a. The EIM must ensure that all original documentation is protected, including the original voice tapes and/or computer data. The release of any original document, voice tape, personnel statement, or computer data file without the written approval of the ATO Mission Support Services Litigation Liaison Office is prohibited.

b. The release of any information outside of the ATO, other than to AVP and the NTSB, must be documented and approved by the AJI Vice President, who will ensure appropriate coordination with the COO, DCOO, the Office of Communications, the Office of Government and Industry Affairs, and the Administrator. The AJI Vice President may delegate limited review of information to be released to the CSG Manager.

c. The appropriate Director(s) of Operations must aid or arrange for additional personnel to aid the air traffic facility in preparing the event documentation and material requested by the FAA IIC/FAA NTSB Air Traffic Control Group member.

d. Facility managers must ensure that data associated with the event is properly secured and dissemination is restricted (except to the appropriate Director of Operations, the QCG, and ERT members) unless authorized by the CSG Manager or the EIM.

e. The Manager of Tactical Operations Security or the DEN will be provided expedited access to security-related event data after consultation with the CSG Manager.

5.12 Conclusion Notification. The EIM must inform the affected facility manager(s), the affected Service Unit(s), the affected Director(s) of Operations, and the Compliance Services

Group when the NTSB and the FAA IIC/FAA NTSB Air Traffic Control Work Group member(s) and/or the ERT have departed the facility and/or when the field phase of any event review is complete.

5.13 Exit Briefings. The EIM must:

a. Provide the opportunity for an exit briefing by the NTSB Air Traffic Control Work Group. If applicable, ensure the FAA IIC receives a copy of the exit briefing.

b. On ERT investigations, conduct an exit briefing with the ERT, facility management, Compliance Services Group, Director of Operations, and senior ATO leadership. Note that this is not applicable for investigations pertaining to Administrator's Hotline Complaints or OIG investigations. However, if any safety-related items arise during Hotline/OIG investigations, the EIM will typically ensure the Manager is made aware before leaving the Facility.

c. Afford the bargaining unit facility representative the opportunity to attend any exit briefing.

> **Note:** Every opportunity should be made to allow the respective QCG, Director(s) of Operations, Service Unit Vice President, Compliance Services Group, COO, DCOO, and other ATO leadership to participate via a telecon.

5.14 Team Status.

a. Once the EIM recommends that the ERT's on-site review of the event be concluded, the AJI Vice President will determine the official status of the ERT members. If desired, the official status of the ERT may continue as long as necessary to complete the data collection, analysis, and report formulation.

b. Once official support to the ERT is suspended, individuals with access to the data that were collected during any portion of the event review must continue to adhere to the policies outlined in this Order and in all other applicable policies.

5.15 Requests. NTSB and FAA IIC/FAA NTSB Air Traffic Control Work Group Chairman requests directed to the ATO that are generated after the completion of the field phase will be handled in accordance with FAA Orders 8020.11 or 8020.16.

5.16 Disposition of Records for Incidents and Accidents.

a. For all incidents and accidents, the EIM and the ERT must retain and protect all pertinent data for analysis. At the conclusion of an NTSB investigation or ATO review, the facility must retain all original records in accordance with FAA Orders 8020.16 or 1350.15, *Records Organization, Transfer, and Destruction Standards*, whichever is longer or appropriate; a copy of each record must be given to AJI.

b. For incidents and accidents involving one or more fatal injuries, AJI must maintain all

data as supplied by the facility (in electronic form, if available) in accordance with FAA Orders 8020.11 and 8020.16.

c. Accident and incident data related to litigation must be retained in accordance with the direction of the Assistant Chief Counsel for Litigation. Retention periods are described in FAA Orders 1350.15 and 8020.16.

5.17 Investigation Report.

a. As soon as is practical following conclusion of all investigative activities, the EIM must prepare a report to the DCOO outlining the activities undertaken during the investigation (for example, summary of findings, interviews, data reviews). This report must describe all identified non-compliances and any other pertinent administrative and performance, safety, or peripheral operational issues.

(1) The EIM must solicit comments on the draft report from ERT members.

(2) ERT members must ensure the accuracy of the data in the report.

b. If safety concerns arise during the event review, the EIM or Director of Operations must inform the Compliance Services Group so that they can be addressed immediately or further investigated as deemed appropriate.

c. The CSG Manager will ensure that the EIM forwards the completed investigative report to the facility(s) involved, Service Unit Vice President(s), Director(s) of Operation, Service Center QCG, and Compliance Services Group. Reports containing sensitive information will be marked and distributed in accordance with established policies.

Chapter 6: External Release of Information

6.1 Public Release of Information.

a. Agency records are typically released in accordance with the Freedom of Information Act (FOIA). However, as described in this Chapter, the agency may, at its discretion, release information outside the FOIA process. The release of any information outside of the ATO, other than to AVP (release of information to the NTSB must be coordinated with AVP or their designated FAA IIC), must be approved by the AJI Vice President who must ensure appropriate coordination with the COO, DCOO, the ATO Mission Support Services Litigation Liaison Office, the Office of Communications, the Office of Government and Industry Affairs, and the Administrator. The AJI Vice President may delegate limited review of information to be released to the CSG Manager.

b. The EIM must direct all public inquiries concerning an event through the Compliance Services Group to the FAA Office of Communications. The Office of Government and Industry Affairs and the Office of Communications depend on AJI for timely updates on all red and yellow events. Both offices should be provided the same information unless security or classification of data prevents its release.

c. Public release of information must be handled following FAA Orders 8020.11 and 8020.16. AJI should not attempt to determine what ATO-derived data is to be released; the COO, DCOO, the Office of Government and Industry Affairs, the Office of Communications, and the Administrator will receive guidance from the Officer of General Counsel (AGC), as well as from the ATO Mission Support Services Litigation Liaison Office on these matters. It is imperative that all offices coordinate with either AGC or the ATO Litigation Office prior to release of any data, summaries, or information, to ensure the release is in accordance with the Orders listed in this paragraph.

6.2 Media Requests. Media requests must be forwarded to the Office of Communications.

6.3 Litigation Requests. After the investigative phase, the EIM must coordinate requests for records, documents, access to facilities, and access to witnesses through the ATO Mission Support Services Litigation Liaison Office.

6.4 Congressional Requests. All Congressional requests for records, documents, access to facilities, and other specific data must be forwarded to the COO, DCOO, and FAA Office of Government and Industry Affairs.

6.5 Other Requests. The release of any information to the NTSB or other non-FAA organizations must be approved by the AJI Vice President, who will ensure appropriate coordination with the COO, DCOO, the Office of Communications, the Office of Government and Industry Affairs, System Operations Security, Mission Support Litigation, and the Administrator. The AJI Vice President may delegate limited review of information to be released to the CSG Manager.

6.6 Routine Dissemination During the Investigative Phase.

a. The organization/person (e.g., AJI, EIM, or Director of Operations) responsible for the event review must ensure that notifications are transmitted to the CSG Manager, who will ensure notification to the COO, DCOO, and both the Office of Communications and the Office of Government and Industry Affairs, within 1 hour of the first update. Initially, text messages from the WOCC may satisfy the 1 hour requirement, but increasing substance regarding any event is the responsibility of the organization/person responsible for the event review. Inquiries directly from either/both the Office of Communications and the Office of Government and Industry Affairs do not remove the requirement listed in paragraph 6-1 a. to coordinate through the Compliance Services Group. The Compliance Services Group must ensure appropriate coordination with the COO, DCOO, and the ATO Mission Support Services Litigation Liaison Office for information that leaves the ATO.

b. The Office of Government and Industry Affairs and the Office of Communications prefer that AVP is their source of information following all accidents; AJI must ensure that AVP (via the designated FAA IIC) knows everything that the EIM feels is critical to relay to senior executives. Inquiries from either/both the Office of Communications and the Office of Government and Industry Affairs do not remove the requirement listed in paragraph 6-1 a. to coordinate with the AJI Vice President who must ensure appropriate coordination with the COO, DCOO, and the ATO Mission Support Services Litigation Liaison Office for information that leaves the ATO.

c. The organization/person (e.g., AJI, EIM or Director of Operations) responsible for the event review is responsible for upward communication, including AJI, the Office of Communications, and the Office of Government and Industry Affairs. The CSG Manager must ensure that the same data regarding all events are provided to the COO, DCOO, and the Administrator in a timely manner. Inquiries from non-ATO Lines of Business within the FAA do not remove the requirement listed in paragraph 6-1 a. to coordinate with the AJI Vice President who must ensure appropriate coordination with the COO, DCOO, and the ATO Mission Support Services Litigation Liaison Office for information that leaves the ATO.

(1) E-mail messages with preliminary information must be sent to appropriate senior level FAA/ATO Management, as well as to the Assistant Administrator for Government and Industry Affairs (AGI-1), Congressional Liaison, Deputy Assistant Administrator for Public Affairs (AOC-2A), and Manager of Media Relations (AOC-100).

(2) Subsequent e-mails must be sent as appropriate.

d. The organization/person (e.g., AJI, EIM, or Director of Operations) responsible for the event review may determine the ATO-derived data that are available for release to the Office of Communications and the Office of Government and Industry Affairs after coordinating with the ATO Mission Support Services Litigation Liaison Office, appropriate Service Unit Vice Presidents, the COO, DCOO, and the Administrator. Inquiries from the NTSB do not remove the requirement listed in paragraph 6-1 a. to coordinate with the AJI Vice President who must ensure appropriate coordination with the COO, DCOO, and the ATO Mission Support Services Litigation Liaison Office for information that leaves the ATO. Any data given to the FAA IIC

must first be coordinated for release to the NTSB.

   e.   The organization/person (e.g., AJI, EIM, or Director of Operations) responsible for the event review must ensure that the Office of Communications and the Office of Government and Industry Affairs simultaneously receive the same data regarding all events. The Chief of Staff for the Administrator (or the Deputy Administrator) must coordinate data dissemination with the Office of the Secretary of Transportation. Inquiries from the Department of Transportation do not remove the requirement listed in paragraph 6-1 a. to coordinate with the AJI Vice President who must ensure appropriate coordination with the COO, DCOO, and the ATO Mission Support Services Litigation Liaison Office for information that leaves the ATO.

Chapter 7: FAA Contract and Non-Federal Facilities

7.1 Applicability of this Order.

a. This Order applies to FAA contract and non-federal facilities to the extent that the FAA has a responsibility to provide regulatory oversight to these facilities, and these facilities have event reporting requirements.

b. Controllers in FAA contract and non-federal facilities are not FAA employees. The FAA does not provide day-to-day supervisory control over the facility, even though the work is highly regulated. FAA contract and non-federal facilities have their own legal counsel and their own interests, legal and otherwise, and those interests may be different from the FAA's interests. At all times, the FAA should apply this Order and other Orders as a regulator providing oversight. FAA contractual rights with FAA contract towers or other contract facilities are not replaced by this Order.

c. AJI must ensure that organizations providing contract air traffic services (for example, contract towers and contract flight service stations) receive this policy document, are offered briefings on the content of this document, and that the ATO's evaluations of their contract services include compliance with this policy.

7.2 Support Limitations to FAA Contract and Non-Federal Facility Employees. FAA employees must not provide FAA contract and non-federal facilities with briefings on NTSB investigation practices, legal ramifications of services provided, or any other interaction that could be construed as supervisory in nature. Any questions concerning the scope of permissible support should be directed to the Assistant Chief Counsel for Litigation.

Chapter 8: Event Investigator Credentials

8.1 Responsibilities.

   a. The Compliance Services Group is responsible for establishing criteria for eligibility, issuance, and accountability of event investigator badges and DOT Form 1681. Credentials for use by Compliance Services Group personnel are for the sole purpose of identification while conducting onsite FAA investigations and evaluations pursuant to 49 U.S.C. and applicable Federal Aviation Regulations.

   b. The CSG Manager is responsible for verifying eligibility and accountability of an event investigator credential. AIN-400, Personnel Security Division, are responsible for issuance of EIM credentials.

   c. The credential holder is responsible for safeguarding an event investigator credential. This credential is accountable Government property.

   d. The Compliance Services Group is responsible for maintaining an up-to-date file of all current and past credential holders, original applications, credential receipts, badge numbers, and written reports on a lost, stolen, or damaged credential.

   e. The CSG Manager will conduct an annual audit of credentials issued under this Order. At any time that the Group Manager determines that a loss of credential is significant, all credentials will be reissued to credential holders. Results of the annual audit must be forwarded to AIN-400.

   f. The Assistant Administrator, Office of Security and Hazardous Materials Safety, will monitor procedures for issuance and control of credentials as required by Order 1600.25, *FAA Identification Media, Official Credentials, Passports, and Vehicle Identification Media.*

8.2 Criteria for Eligibility. A credential is issued to the following personnel in the Air Traffic Organization Safety and Technical Training Compliance Services Group for the purpose of and as a symbol of authority in order to conduct investigations and inspections for the FAA, pursuant to Title III and Section 1002(b) of the Federal Aviation Act of 1958.

   a. Event Investigators in the Compliance Services Group currently certified as Event Investigation Managers (EIM).

   b. Other appropriate personnel in the Compliance Services Group who engage in official duties that require the individual to conduct onsite FAA investigations or evaluations pursuant to 49 U.S.C. and applicable Federal Aviation Regulations.

8.3 Lost, Stolen or Damaged Credential.

a. If any part of the event investigator credential is lost, stolen, or damaged, the CSG Manager must be notified immediately. A Security Incident Report form must be submitted to the Group Manager within five workdays, explaining the circumstances surrounding the loss.

b. Following notification of a lost, stolen, or damaged credential, the CSG Manager will immediately notify the Facility Security Division and Security and Hazardous Materials (ASH), and must provide the completed Security Incident Report form completed by the investigator as soon as possible. If the credential is recovered, the Facility Security Division must be advised.

c. Suspected or actual security discrepancies or irregularities must immediately be reported to the Facility Security Division.

8.4 Surrender of Credential.

a. An event investigator credential must be surrendered to the CSG Manager under any of the following circumstances:

(1) Termination of employment.

(2) Reassignment to a position which does not meet the eligibility requirements specified in paragraph 8.2.

(3) Issuance of a revised credential.

(4) Extended leave or absence of 30 days or more.

(5) Suspension of any duration.

b. The CSG Manager must ensure that any event investigator credential that becomes damaged or is surrendered in accordance with this section is forwarded to the issuing office for disposition or destruction.

Appendix A: Acronyms

AGC	Office of General Counsel
AGI	Office of Government and Industry Affairs
AIN	Personnel Security Division
AIRMAC	ATO Incident Response Management Center
AIRMET	Airmen's Meteorological Information
AJI	ATO Safety and Technical Training
AJR	ATO System Operation Services
AJT	ATO Traffic Services
AJV	ATO Mission Support Services
AJW	ATO Technical Operations
AMASS	Airport Movement Area Safety System
AOC	Office of Communications
AOMC	Operations and Monitoring Center
AOV	Air Traffic Safety Oversight Service
ARTS	Automated Radar Terminal System
ASDE	Airport Surface Detection Equipment
AFSIAG	Alaska Flight Services Information Area Group
ASH	Security and Hazardous Materials
ASOS	Automated Surface Observing System
ATC	Air Traffic Control
ATM	Air Traffic Management
ATO	Air Traffic Organization
ATOP	Advanced Technologies and Oceanic Procedures
ATREP	Air Traffic Representative
ATSAP	Air Traffic Safety Action Program
ATSC	Air Traffic Security Coordinator
AVP	Office of Accident Investigation and Prevention
BUE	Bargaining Unit Employee
CDR	Continuous Data Recording
CER	Covered Event Review
COO	Chief Operating Officer
CSG	Compliance Services Group
DALR	Digital Audio Legal Recorder
DARC	Direct Access Radar Channel
DCOO	Deputy Chief Operating Officer
DEN	Domestic Events Network
DME	Distance Measuring Equipment
DOT	Department of Transportation
DRPS	Data Recording and Playback System

DSR	Display System Replacement
DUATS	Direct User Access Terminal Service
EIM	Event Investigation Manager
ERAM	En Route Automation Modernization
ERG	Event Response Group (now known as the Compliance Services Group or CSG)
ERT	Event Response Team
FAA	Federal Aviation Administration
FCT	Federal Contract Tower
FOIA	Freedom of Information Act
FSDO	Flight Standards District Office
FSOC	Flight Service Operations Center
FSS	Flight Service Station
GAO	Government Accountability Office
GNAS	General National Airspace System
GPS	Global Positioning System
HQ	Headquarters
IIC	FAA Investigator in Charge
ILS	Instrument Landing System
KSN	Knowledge Sharing Network
LLWAS	Low-Level Windshear Alert System
LOB	Line of Business
MEARTS	Microprocessor En Route Automated Radar Tracking System
MOR	Mandatory Occurrence Report
NAS	National Airspace System
NATCA	National Air Traffic Controllers Association
NMAC	Near Mid-Air Collision
NOCC	National Operations Control Center
NOG	National Operations Group
NOP	National Offload Program
NOTAM	Notice to Airmen
NTOAAR	National Technical Operations Aircraft Accident Representative
NTSB	National Transportation Safety Board
NWS	National Weather Service
OCC	Technical Operations Control Center
OIG	DOT Office of the Inspector General
OJT	On-the-Job Training
OJTI	On-the-Job Training Instructor
OSG	Service Center Operations Support Group

PIREP	Pilot Report
PPB	Plot Playback
QCG	Quality Control Group
RA	Resolution Advisory (TCAS)
RMLS	Remote Monitoring and Logging System
ROC	Regional Operations Center
RVR	Runway Visual Range
SAL	Simplified Automated Logging
SAR	System Analysis Recording
SATORI	Systematic Air Traffic Operations Research Initiative
SDS	Service Delivery Specialist
SER	Significant Event Report
SIGMET	Significant Meteorological Information
SME	Subject Matter Expert
SOC	Service Operations Center
SRT	Services Rendered Telephone Conference
SSC	TechOps Systems Support Center
SSR	System Service Review
STARS	Standard Terminal Automation Replacement System
TCAS	Traffic Alert and Collision Avoidance System
TDWR	Terminal Doppler Weather Data
TMU	Traffic Management Unit
TOAAR	Technical Operations Aircraft Accident Representative
TOM	Technical Operations Manager
TPR	Technical Performance Records
TSAP	Technical Operations Safety Action Program
UAS	Unmanned Aircraft System
VOR	Very High Frequency Omnidirectional Range
VSRP	Voluntary Safety Reporting Program
WOCC	Washington Operations Center Complex

Appendix B: Event Data

a. Event Synopsis. The QCG must provide a brief summary of the event, including equipment anomalies, staffing and/or personnel issues, weather including pilot reports (PIREP)/significant meteorological information (SIGMET)/airmen's meteorological information (AIRMET), surface conditions, NOTAMs, traffic (previous arrival/departure/overflight), etc., to AJI personnel within 4 hours from QCG notification of a significant event.

b. Event Replay Data.

(1) Falcon is the preferred tool to review radar for all En Route and Terminal events.

Note: It is very important that each facility become and remains familiar with its audio and computer data reduction equipment (radar, Airport Movement Area Safety System [AMASS], Airport Surface Detection Equipment [ASDE], etc.), transfer capabilities, and protocols, so if and when the need arises, unnecessary delays are not encountered.

(2) En Route and Oceanic.

(a) At the direction of the EIM or on-call CSG Investigator, facilities with Systematic Air Traffic Operations Research Initiative (SATORI) capability may be asked to provide a SATORI replay (typically from approximately 5 minutes before entry into the sector to approximately 5 minutes after leaving the sector) for the sector in which the event occurred. When requested, SATORI replays for all sectors that provided services to the aircraft during the 20 minutes before the event must be prepared at the direction of the EIM or on-call CSG Investigator. Combined sectors can be considered as one sector for this activity. The first SATORI replay must be prepared for the sector that provided service closest to the event. This replay must be uploaded to the appropriate secure KSN data location.

Note: SATORI refers to both the HOST SATORI (XP) and ERAM SATORI (E) playback toolset.

(b) Ocean 21/Advanced Technologies and Oceanic Procedures (ATOP) facilities must provide a System Analysis Recording (SAR) extraction with all relevant flight movement, safety function output, communication/coordination exchanges, external interface input/output, controller input messages/actions, audio file(s), and data recording and playback system (DRPS) files for the same time period described above. SAR data must only be filtered for time unless otherwise authorized by AJI personnel.

Note: DRPS replays can only be viewed on ATOP equipment at the operational ATOP sites, the William J. Hughes Technical Center, and the Lockheed Martin lab in Rockville, MD.

(c) Microprocessor En Route Automated Radar Tracking System (MEARTS) facilities must provide a continuous data recording (CDR) extraction with data classes TD, RT, RB, BT, and SC, and an audio file for the time period described above. CDR

data must only be filtered for time unless otherwise authorized by AJI personnel.

(3) Terminal. Unless otherwise directed or approved, the QCG must ensure that event replay data is extracted and uploaded to a secure KSN site by the end of the next administrative day for all significant events. If the facility is unable to meet this time requirement, coordination should take place as soon as possible with QCG and AJI personnel.

c. Audio Data. Facilities that can create electronic audio files must provide an MP3 or WAV file with the time channel and without skip silence for each position that provided service to the aircraft from approximately 5 minutes before initial contact to approximately 5 minutes after the event. For expediency, audio files during this initial stage do not need to be certified unless otherwise directed by AJI personnel. Digital Audio Legal Recorder (DALR) access may permit AJI personnel to obtain audio data remotely, however unless otherwise approved, facilities should prepare audio files as soon as possible before the end of the next administrative day.

d. Radar Data. The file must include data from 5 minutes before initial contact to 5 minutes after the event. Common Automated Radar Terminal System (ARTS) facilities must provide a CDR extraction with the following data classes: TA, TU, TG, and CR and whenever possible the ARTS or Standard Terminal Automation Replacement System (STARS) facilities must provide the associated weather file and a Plot Playback (PPB) file with the Exercise Filter set to Operational Data only.

Note: National Offload Program (NOP) access may permit AJI personnel to obtain data remotely, otherwise expect a request for HOST, SAR, DARC, DSR, ERAM, ARTS, Micro EARTS, or STARS data.

(1) Surface Surveillance Data. To obtain a video playback of an ASDE-X or ASDE-3/AMASS recorded surface event, contact the National Airway Systems Engineering Group Surface Radar Systems Team through the NTOAAR. Requests should include the playback start time and stop time, as well as the identification of involved aircraft.

Note: During normal business hours, a video playback for a recorded surface event can typically be created in 1 hour (for set up and processing of the data) plus the duration of the playback. Additional time is necessary for the local extraction of ASDE-3/AMASS data and transmission to National Airway Systems Engineering. Response times outside of normal business hours depend on personnel availability and travel time/distance to the duty station. Safety equipment is not to be disabled or taken off-line for data extraction without the approval of the facility manager.

(2) ASDE-X Data. A remote data connection exists between each operational ASDE-X facility and the National Airway Systems Engineering Group, located at the Mike Monroney Aeronautical Center in Oklahoma City. An on-site data recorder automatically captures and transfers ASDE-X system data to a central repository located in Oklahoma City via this remote connection.

(3) ASDE-3/AMASS Data. A remote data connection for ASDE-3/AMASS facilities does not exist. ASDE 3/AMASS recorded surface event data must be extracted locally by Technical Operations Support personnel and then forwarded to the National Airway Systems Engineering Group Surface Radar Systems Team for video playback creation. ASDE-3/AMASS log data may only be extracted during a scheduled system outage. ASDE 3/AMASS data extraction procedures are contained in FAA Order JO 6330.5, *Maintenance of Airport Surface Detection Equipment (ASDE-3) Collocated with Airport Movement Area Safety System (AMASS)*. When requested, the NTOAAR will coordinate with the Technical Operations Systems Support Center (SSC) to extract the event data and forward it to the National Airway Systems Engineering Group Surface Radar Systems Team for the video playback.

e. Transcripts.

(1) The QCG must ensure that transcripts are prepared in accordance with FAA Order 8020.16. The EIM will determine if a full or partial transcript is required. The draft transcript must be prepared within 48 hours of the event or as requested by the EIM or AJI on-call representative.

(2) The EIM must provide the FAA IIC/FAA NTSB Air Traffic Control Work Group member with working copies of draft transcripts and voice tapes as soon as possible.

f. Low-Level Windshear Alert System (LLWAS) Data or its replacement system Wind Measurement Equipment (WME). When requested, the TOAAR will coordinate with the SSC to extract and record the requested data. LLWAS data may take up to 24 hours to produce.

g. Runway Visual Range (RVR) Recording. When requested, the TOAAR will coordinate with the SSC to prepare the RVR recording. This recording may take up to 24 hours to produce.

h. Instrument Landing System (ILS), Very High Frequency Omnidirectional Range (VOR), and Distance Measuring Equipment (DME) "as-found readings." When requested, the TOAAR will coordinate with the SSC to produce ILS, VOR and DME "as-found readings." These readings may take up to 24 hours to record depending on staffing levels and travel time to a potentially remote location.

i. Terminal Doppler Weather Radar (TDWR) data. When requested, the TOAAR will coordinate with the SSC to archive and record any TDWR data required. The data may take up to 24 hours to produce.

Note: Any request for Technical Operations documents or records must be made through the NTOAAR. The NTOAAR will obtain the requested information and release it directly to the EIM. See FAA Order 8020.16 for additional guidance.

j. Weather Data. The EIM must establish and maintain contact with the National Weather Service (NWS) to obtain a data save of pertinent weather observation and forecast information. The EIM must contact the NWS Automated Surface Observing System (ASOS) Operations and Monitoring Center (AOMC) to initiate a data save of 1-minute observations. Usually 1 minute

data sets from 1 hour before the event to 1 hour after the time of the event are sufficient. The EIM must also contact the NWS Aviation Weather Center lead forecaster desk to initiate a data save of pertinent weather forecast information.

k. Flight Plans. The EIM must obtain flight plan information from the Lockheed Martin Flight Service (LMFS), Direct User Access Terminal Service (DUATS), or Alaska Flight Service Station (FSS), as appropriate.

(1) For an event that occurs in the continental United States, the EIM must contact the Lockheed Martin Flight Service Operations Center (FSOC). The Lockheed Martin FSOC will check for any services provided by Lockheed Martin or DUATS and provide the requested data to the EIM. If audio data are requested and more than 15 days have passed since the event, there may be a delay from Lockheed Martin as the FSOC does not have the ability to retrieve archived data. Text data are only stored for 15 days unless they have already been requested for the event investigation. If the Lockheed Martin FSOC is unavailable, the EIM must contact the Flight Service Program Office.

(2) For an event that occurs in Alaska, the EIM must contact Alaska Flight Services Information Area Group (AFSIAG), who will then coordinate with the appropriate FSS facility to provide the requested data. Again, text data are only stored for 15 days, and audio information is stored for 45 days unless it has been previously requested for an event investigation.

Appendix C: Technical Operations Aircraft Accident Representative (TOAAR) Responsibilities

The TOAAR is responsible for decisions related to the operational condition of facilities that may have been involved in an event.

When notified of an event, the TOAAR and Air Traffic Organization (ATO) personnel responsible for air traffic services promptly develop a list of facilities/equipment/systems that may have been involved in the event for consideration during the investigation or review. Because some events are due to aircraft-related incidents (for example, fuel exhaustion, nose-wheel collapse, vehicle strikes navigation aid, engine-generator fire), the TOAAR may not always require input from the ATO when making these decisions. This list is reduced by defined principles, based on the circumstances surrounding the event, to a minimum list of facilities/equipment systems. These facilities/equipment systems are then either removed from service or deemed appropriate to remain in service due to operational assessments, based on the decision of Technical Operations and ATO personnel responsible for air traffic services and Technical Operations.

The TOAAR determines the activities necessary to return each facility/equipment system to service—typically certification, flight inspection, or a combination of these—and advises the Operations Control Centers (OCC) for implementation by field personnel. The OCC provides the status of activities to all concerned entities. An incident/accident package containing appropriate facility documentation is assembled and distributed.

(See Federal Aviation Administration Order 8020.16 for detailed responsibilities for the TOAAR and Technical Operations.)

Appendix D: Technical Investigation Checklist

The following list of questions may be used when conducting an investigation where a National Airspace System (NAS) system or service contributed to an air traffic control event. The CSG on-call Investigator will complete this questionnaire by conducting interviews with airway transportation system specialists, air traffic controllers, operations control center (OCC) specialists, and managers.

1. Was the system in service during the time of the event?

    a.   If not, was the system out of service due to scheduled or unscheduled maintenance?

    b.   Was a notice to airmen issued to document the outage?

    c.   Was there a redundant system or service available?

2. At the time of the event, was the equipment/system operating as intended?

    a.   If not, please describe.

    b.   Was a Significant Event Report (SER) prepared?

3. Did air traffic personnel or the appropriate OCC/service operations center (SOC) call the system out of service before the event?

4. Did weather or any other catastrophic event contribute to this outage?

5. When was the last system certification performed and documented?

    a.   Are there trends found in the certification records?

6. When was the last unscheduled outage?

    a.   How was the outage reported (remote monitor, loss of service to air traffic or user, etc.)?

    b.   What was the duration of the outage?

    c.   What was the cause of the outage (power failure, component failure, etc.)?

    d.   Was there a recent similar outage or trend?

    e.   Was the cause code documented correctly in the RMLS/SAL?

    f.   Was the restoration code documented correctly?

    g.   Was the outage properly closed by the appropriate OCC/SOC?

    h.   Was there sufficient documentation in the Remote Monitoring and Logging System (RMLS)/Simplified Automated Logging (SAL) describing the troubleshooting, repair, and restoration of the facility?

i.   Was a certification made after maintenance and before the system was returned to service?

7. When was the last scheduled outage?

a.   What was the duration of the outage?

b.   Did the outage occur for scheduled periodic maintenance or some other scheduled event (runway construction, system upgrades, software updates, etc.)?

c.   Was the outage properly coordinated by the airway transportation system specialist?

d.   Was the outage properly documented by the OCC/SOC?

e.   Was there sufficient documentation in the RMLS/SAL describing the reason for the outage and the events involve with closing this issue?

f.   Was a certification made after maintenance and before the system was returned to service?

8. Check modification status in RMLS.

9. Technical Performance Records (TPR).

a.   Was a TPR established/available during the incident?

b.   Is the TPR comprehensive following FAA orders and policies?

c.   Is the trend for required TPR entries correctly documented?

d.   Are 2 years of records established?

10. Scheduled Maintenance.

a.   Is scheduled maintenance documented correctly in the RMLS/SAL?

b.   Is a full complement of maintenance scheduled following FAA orders?

c.   Has all required scheduled maintenance been performed and documented as completed?

11. NAS Performance Analysis System Data

a.   Was this system or service on the poor performer list?

b.   Was the system or service operating within range of the national average?

NOTE-

Questions found here are notional subjects that may become part of any event review. These questions are not intended to be comprehensive or to steer the event response team members or the event investigation manager.

Appendix E: Selection Criteria for the EIM and ERT Members

1. The Compliance Services Group Manager must:

a. Ensure that, at a minimum, there are three approved EIMs within AJI at any given time (barring extreme circumstances), and that these EIMs are available to perform the functions described in this Order.

b. Conduct annual refresher training for EIMs, as developed by ATO Technical Training. Refresher training must include mock exercises (for example, drills) designed to simulate possible events and should preferably be conducted in conjunction with AVP training. EIMs may elect to include frequently used ERT members in the annual refresher training and mock exercises.

c. Ensure that new EIMs receive accident investigations training, participate in briefings provided by AVP, and receive on-the-job training (OJT) during at least two on-site event reviews as ERT members.

2. Selection Criteria for the Event Investigation Manager (EIM). To ensure that the policies in this Order are executed as smoothly as possible, the Vice President of ATO Safety will select the very best personnel in the Air Traffic Organization (ATO) to serve as EIMs. These individuals must have demonstrated:

    a. Knowledge of:

        (1) Safety principles.

        (2) Risk identification.

        (3) Risk behaviors found in other accidents.

        (4) Human behaviors.

        (5) Air traffic regulations and standards.

        (6) Air traffic control procedures and techniques.

        (7) Air traffic automation systems.

        (8) Labor contracts.

        (9) Data sources.

    b. Skills, including:

        (1) Analytical problem solving.

        (2) Persistence and dedication to creating a safer culture.

        (3) Leadership of small teams.

   c. Ability to:

      (1) Deal well with others.

      (2) Solve organizational problems.

      (3) Write documents and conduct briefings.

      (4) Regularly connect insignificant facts to reach conclusions.

      (5) Motivate others to be efficient and effective members of a team.

   d. Experience:

      (1) Previous success as an EIM or member of an event response team (ERT).

      (2) As a team lead for significant air traffic investigation.

      (3) As a Federal Aviation Administration Investigator-in-Charge (IIC) and/or supporting an IIC.

      (4) Writing and briefing senior executives.

3. Training. New EIMs must receive accident investigations training, participate in briefings provided by Office of Accident Investigation and Prevention, and receive on-the-job training during at least two on-site event reviews as ERT members.

4. Selection Criteria Modification. As the organization gains experience with the processes outlined in this Order and as ATO managers become more confident that following the processes will lead to repeatable successes, the criteria outlined in this Appendix may be modified.