U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy

ORDER
JO 1030.3A

Effective Date:
January 30, 2012

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 collison report, major service disruptions) that necessitate an event review and reporting to the Chief Operating Officer (COO). This order specifies ATO policy for investigating 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 all 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.

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Chief Operating Officer
Air Traffic Organization

Distribution: ZAT-721; ZAT-464

Initiated By: AJS-0
ATO Safety

RECORD OF CHANGES

DIRECTIVE No. **JO 1030.3**

CHANGE TO BASIC	SUPPLEMENTS			OPTIONAL	CHANGE TO BASIC	SUPPLEMENTS			OPTIONAL

Initial Event Response
Explanation of Changes

Direct questions through appropriate service center office staff to the office of primary responsibility (OPR)

General – this revision includes several organizational changes reflected in the 1100-series orders/notices to reflect the latest Air Traffic Organization.

a. 1-5. c.
Added statement about the importance of safety culture and that every employee must fully and openly participate to identify and mitigate risks.

b. 1-7. b. (3)
Added more description of significant events, and included the 33% loss of separation minima.

c. 1-7. d.
New paragraph added to describe the types of events that do not rise to the level of interest, and/or are reported separately through other organizations/policies.

d. 1-10. b.
Added the statement of responsibility for the Event Investigation Manager (EIM) Team Lead to fulfill the EIM responsibilities until an EIM is selected and available.

e. 1-10. d.
Added the National Technical Operations Aircraft Accident Representative (NTOAAR) definition.

f. 1-10. e.
Added the Noteworthy definition.

g. 1-10. f.
Added the Operational Support Group (OSG) definition.

h. 1-10. g.
Added the Operational Control Center (OCC) definition.

i. 1-10. i.
Added the Quality Control Group (QCG) definition.

j. 1-10. j.
Added the Regional Operations Center (ROC) definition.

k. 1-10. l.
Added the Significant Event definition.

l. 1-10. m.
Added the Technical Operations Aircraft Accident Representative (TOAAR) definition.

m. 1-10. n.
Added the Washington Operations Center (WOC) definition.

n. 2-1. a. Note
Added a strong reminder that suspicious, hostile, or terrorist related events are immediately reported to the DEN (for emphasis).

o. 2-1. a. (2)
Added the responsibilities of the Quality Control Group (QCG) during the notification process.

p. 2-1. a. (3)
Added more clarity about notification from the QCG to Regional Operations Center (ROC), Operations Support Group (OSG), and Service Units). Removed the responsibility for WOC notifications.

q. 2-1. a. (4)
New paragraph added to ensure notification of the Technical Operations Aircraft Accident Representative (TOAAR), and to describe the selection of personnel to participate in the Services Rendered Telcon.

r. 2-1. b. (4)
Added a statement that facility management review of the communications and radar associated with the event should not delay the timely notifications required elsewhere in this document.

s. 2-1. d.
Removed redundant text.

t. Figure 2-1
Streamlined the content to only contain Pathway A activities; Pathway B moved to a separate diagram, Figure 2-2, and Pathway C moved to a separate diagram, Figure 2-3.

u. 2-2. d.
Added the ability of the Director, System Operations Security (AJR-2) and Director, Air Traffic System Command Center (AJR-1) to invoke this order.

v. Figure 2-2
Added this diagram to only contain Pathway B activities; Pathway A is contained on a separate diagram, Figure 2-1; Pathway C is contained on a separate diagram, Figure 2-3.

w. 2-3. a. Note
Added a strong reminder that suspicious, hostile, or terrorist related events are immediately reported to the DEN (for emphasis).

x. Figure 2-3
Added this diagram to only contain Pathway C activities; Pathway A is contained on a separate diagram, Figure 2-1; Pathway B is contained on a separate diagram, Figure 2-2.

y. 2-4. a. (2)
Added the Event Response Group Director in-place of the Quality Assurance Director as part of the updated Safety organization alignment.

z. 2-4. a. (6)
Added the Directors of Operations to the notification listing contents.

aa. 2-4. a. (7)
Added the Service Unit headquarters offices to the notification listing contents.

bb. 3-1. a. (6)
Added Near Mid Air Collision (NMAC) reports to the listing of Red Events.

cc. 3-1. b. (4)
Added more description of surface events, and included the 33% loss of separation minima.

dd. 3-1. d.
New paragraph added to list the cross-functional expertise recommended for each Event Response Team (ERT).

ee. 3-2. b.
Added the Event Investigation Manager Team Lead and Event Response Group Director in-place of the Vice President of Safety as part of the updated Safety organization alignment.

ff. 3-2. d.
Added the Service Units in-place of the Quality Assurance on-call representative for notification of the Event Response Team (ERT) membership.

gg. 3-3. d. (3)
Added the Service Units in-place of the Quality Assurance on-call representative for notification of the Event Response Team (ERT) membership.

hh. 3-3. e. (1)
Added the requirement to complete an Investigative Report by the Director of Operations when the Event Response Team (ERT) is not launched.

ii. 4-1. a.
Added the Event Response Group as the parent sub-group for all Event Investigation Managers (EIM) under the updated Safety organization alignment.

jj. 4-1. c. Note
Added this reminder to the personnel involved with event response to avoid contact with anyone related to the event unless specifically coordinated with the EIM.

kk. 4-3. h.
Added the Event Response Group Director to the maintain contact with list of initial Event Investigation Manager (EIM) responsibilities.

ll. 4-3. i.
New paragraph added to emphasize the need for periodic updates to senior ATO leadership through the Event Response Group Director.

mm. 4-3. j.
New paragraph added requirement to establish daily briefing times and conduct verbal and written briefings to senior ATO leadership through the Event Response Group Director.

nn. 4-4. f
New paragraph added to emphasize the requirement to coordinate any request for Technical Operations documents/records through the National Technical Operations Aircraft Accident Representative (NTOAAR).

oo. 4-6. a
Added the Event Investigation Manager Team Lead and Event Response Group Director in-place of the Vice President of Safety as part of the updated Safety organization alignment. The Service Unit Vice Presidents and Directors of Operations were deleted from this paragraph because they are now notified by the Event Response Group Director.

pp. 4-6. c.
Added the requirement for the Event Investigation Manager (EIM) to complete briefings throughout the investigation period, including daily, as key details become available, and at the conclusion of the investigation.

qq. 4-7. Note
Added new note to emphasize that recommended corrective actions are developed through the Service Unit Director(s) of Operation, and Event Response Team (ERT) may include recommendations in their reports.

rr. 4-10. e.
New paragraph added to include the requirement for event response personnel to provide expedited access to security-related event data to the Manager, Tactical Security Operations after consultation with the Event Response Group Director.

ss. 4-11. d. (3)
Added the requirement for the Technical Operations Aircraft Accident Representative (TOAAR) to coordinate with the Technical Operations System Support Center (SSC) for extraction and delivery of ASDE-3/AMASS data to the National Airway System Engineering Group Surface Radar Systems Team.

tt. 5-5. b.
Added requirement for ATO Safety to maintain all associated raw data in accordance with (both) FAA Order 8020.11 and (emphasis added) FAA Order 8020.16.

uu. 6-1. a.
Added the statement regarding release of records is in accordance with Freedom of Information Act (FOIA), and further stipulated that some data associated with event response may be released outside the FOIA process. Added the requirement to have the ATO Mission Support Litigation Liaison Office approve release information.

vv. 6-1. c.
Added the requirement to have the Chief Counsel (AGC) or the ATO Mission Support Litigation Liaison Office approve release of data, summaries or information listed in this paragraph.

ww. 6-6. a.
Added the requirement for the event response entity (ATO Safety, Event Investigation Manager, or Director of Operations) to notify the Event Response Group Director, and also for Event Response Group Director to provide upward communications to senior ATO leadership, the Office of Communications, and the Office of Government & Industry Affairs.

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Chapter 1. General Information

1-1. PURPOSE OF THIS ORDER

This order describes the ATO's processes, roles and responsibilities, and timelines for collecting and reporting data in response to events in the NAS. Examples of significant events covered under this order are noteworthy aviation 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, or any other events as determined by the Vice President of ATO Safety or designee, or the service unit(s) Vice President(s). 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 are routinely handled by the Domestic Events Network (DEN). It is important that the ATO conduct an event review for each significant or noteworthy event to establish the facts, conditions, and circumstances; identify safety issues; and establish meaningful recommendations to prevent mitigate or reduce the possibility of recurrence.

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

1-2. AUDIENCE

This order applies to all ATO service units, all air traffic control (ATC) facilities, and all FAA contract and non-federal ATC facilities.

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 Web site 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 about conducting and communicating each event review. These best practices have often been captured in processes used at the local and regional level, and this order integrates and communicates these important practices for operations within the structure of ATO Operations or Safety.

There have also been other events in the NAS (for example, aircraft with extended taxi and ramp hold times, major ATC facility outages) that have received significant media and congressional interest. Although many of these types of events are not directly controlled by the ATO, the ATO must respond to inquiries from the media, Congress, and other governmental organizations; for example, 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 a data collection/reporting system are required for the ATO to meet its obligations and respond in an accurate and timely manner.

1-5. 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 chapter 2 of this order.

b. This order does not replace any current FAA or ATO orders.

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 mitigate unnecessary risk or reckless behavior.

d. Facility Managers, District Managers, and Directors of Operations must provide the necessary resources to meet the requirements of this order. This may require off-hours, weekend, and holiday hands-on leadership.

e. The parties identified in this order must prioritize these duties and processes ahead of other administrative requirements.

f. The provisions of this order do not override the provisions of agency collective bargaining agreements.

g. 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.

1-6. EXPLANATION OF POLICY

This order includes responsibilities and authority for ATO Safety, Event Response Group, the Event Investigation Manager (EIM); organizations supporting the 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 (WOC); 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, checklists, 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 found in this document. The principles outlined in this order must be closely followed to ensure a complete response to significant or noteworthy events.

1-7. SCOPE

a. This order gives guidance and a framework for responding to significant or noteworthy events, and security related events meeting the conditions outlined in paragraph 4-1d. Based on the level of visibility of the event, one of several responses may occur. For information on the tiered response, see chapter 3.

b. The following are some examples of the types of events for which the provisions of this order may be invoked:

(1) A significant or noteworthy aircraft accident or serious incident, e.g. a major air carrier crash, an accident involving a dignitary, an air taxi over runs the runway surface into an embankment.

(2) Significant or noteworthy loss of separation (33 percent or less of the standard), including near midair collisions reports; traffic alert and collision avoidance system (TCAS) resolution advisory (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 (for example, low-flying civilian/military aircraft, personnel performance).

(5) Loss of critical systems (simultaneous or overlapping primary and backup equipment outages).

(6) Loss of facility operational capability, as defined in FAA Order JO 1900.47.

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

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

(9) 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 National Transportation Safety Board (NTSB), the DOT Office of Inspector General (OIG), and the U.S. Government Accountability Office (GAO).

c. Additionally, the on-site review process described in this order must be invoked for all red events (see chapter 3), or when requested by the Vice President of ATO Safety (or designee). The Vice President of any operating service unit may invoke this process by coordinating through the Chief Operating Officer. The Directors of Operations may also request this process through their Vice Presidents.

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., the Domestic Events Network [DEN], the Service Center Situation Room), but rather to ensure the 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 at an ATO facility with an indefinite recovery period;

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

(3) Ongoing security events.

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

1-8. DISTRIBUTION

This order is distributed to the following ATO service units: En Route and Oceanic, Terminal, System Operations, and Technical Operations; ATO Safety; 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 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. **Event** - Any occurrence that impacts the safety or efficiency of the NAS.

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

c. **Event Response Team (ERT)** - A diverse group of subject matter experts (as outlined in paragraph 3-1d), led by the EIM, responsible for reviewing events and performing other duties as set forth in this order.

d. **National Technical Operations Aircraft Accident Representative (NTOAAR)** – National Operations Group (NOG) Aircraft Accident Program Manager located at the Air Traffic Control Systems Command Center (ATCSCC) in Warrenton, VA. The NTOAAR provides Technical Operations response to major accidents and guidance and support to TOAAR's. A previous term was NAAR.

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

f. **Operational Support Group (OSG) -** Provides oversight and support NAS procedures and special activities for the service units.

g. **Operational Control Center (OCC)** - Technical Operations Control Center responsible for coordinating unscheduled or scheduled shutdowns and restorations of NAS equipment, monitoring and remotely restoring NAS equipment and issuing NOTAMS as needed.

h. **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.

i. **Quality Control Group (QCG) -** Responsible for evaluation and review of services to ensure compliance with applicable directives.

j. **Regional Operations Center -** Provides command, control, and communications support for the region by collecting, screening, and summarizing information.

k. **Services Rendered Telephone Conference (SRT)** - A telephone conference conducted with the ATO Safety Event Response Group, the Director 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 ATO services associated with a significant or noteworthy event.

l. **Significant Event** – Any event in the NAS that may attract Regional or National Media attention, or regional or national political attention, or any aircraft proximity with less then 33 percent of the standard or any Near Mid Air Collision Report with evasive action or any major event that requires immediate upward notification to the service area or headquarters level.

m. **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.

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

Chapter 2. Facility Post-Event Notification Process

The following paragraphs track items included on Figures 2-1, 2-2, 2-3 and primarily encompass the response-triggering activities and the ATO responses that are expected to result. Every organization involved in the notification process must be constantly aware of the objective to keep the timely and factual information flowing upward (see FIG 2-4).

2-1. NOTIFICATION PROCESS FOR ACCIDENTS AND INCIDENTS

a. Initial Notification for Accidents and Incidents. See Figure 2-1.

(1) Immediately after a significant or noteworthy accident or incident that might generate regional or national media or congressional interest; managers who become aware of a significant event must notify their ROC as soon as feasible.

Note-
Unless information to the contrary is immediately available, accidents and other noteworthy incidents may be considered potentially security related (e.g., incidents that may potentially involve acts of terrorism or other hostile actions) and must be immediately reported to the Air Traffic Security Coordinators (ATSC) managing the Domestic Events Network (DEN). Effective responses to potential threats and other security related events are frequently extremely time critical; therefore, notifications via the DEN should not be delayed.

(2) The ROC personnel must notify the on-duty specialist from the Service Center QCG. The QCG on-call representative will conduct a quick initial review to validate the initial findings and then based on its significance, the QCG (through the ROC/WOC) must provide an abbreviated briefing to the on-call ERG Investigator as soon as practical, preferably in less than 1 hour after becoming aware of the event.

(3) If the ERG determines the event to be of significance the QCG will ensure that the ROC notifies the OSG (when appropriate), the involved Service Unit Headquarters Office (AJT-2, AJE-3, AJR-1 and AJW-1) and the OCC of a Services Rendered Telephone Conference (SRT). The QCG will notify the appropriate Director(s) of Operations of the event, following established procedures.

(4) 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. Additional SRT participants may be added at the request of the ERG or Director of Operations to include, but not limited to: AJT, AJE, AJW, and AJR as deemed appropriate.

b. Services Rendered Telephone Conference (SRT). Following a significant or noteworthy event, (as determined by the on-call ERG Investigator) the Service Center QCG must convene a 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 meeting/discussion.

(1) This telephone conference must occur within 3 hours of the time that the facility becomes aware that the event occurred.

(2) The QCG will ensure the SRT commences through the ROC.

(3) Once the ROC has been notified that a SRT is required, they will notify the WOC, and the WOC convenes the conference with the on-call ERG Investigator, the operational Service Unit headquarters office (when required), the appropriate Director of Operations, the appropriate OCC, and the Office of Accident Investigation and Prevention (AVP), when required.

(4) 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. Paragraph 4-11 contains

specifics on data to be reviewed. Facility management must make the audio communications available for playback during the SRT.

NOTE-
Depending on the significance of the event, such as a major air carrier accident, the SRT should be established as soon as possible and not be delayed for an internal review; in order to provide a venue for direct communications with ATO senior leadership, the involved facilities, the QCG, the Director(s) of Operation and Event Response Group.

(5) During the review of services, the facility and QCG must determine and report whether any non-compliance with FAA orders and directives occurred, regardless of whether this non-compliance was related to the event.

(6) To ensure accuracy and timing of the reportable facts the ERG representative on the SRT must review the audio communications for all red and yellow events.

(7) During the SRT the ERG and AVP (for accidents) will participate in the telephone conference and conduct a review of the information that is known at that time. The ERG will determine a color designation and the ERG Director will initiate a discussion with the appropriate Director(s) of Operations to determine the level of response as outlined in chapter 3. Additionally the Director of Operations will decide if the service center Operations Support Group (OSG) should be notified for accidents/incidents that impact present/future operations.

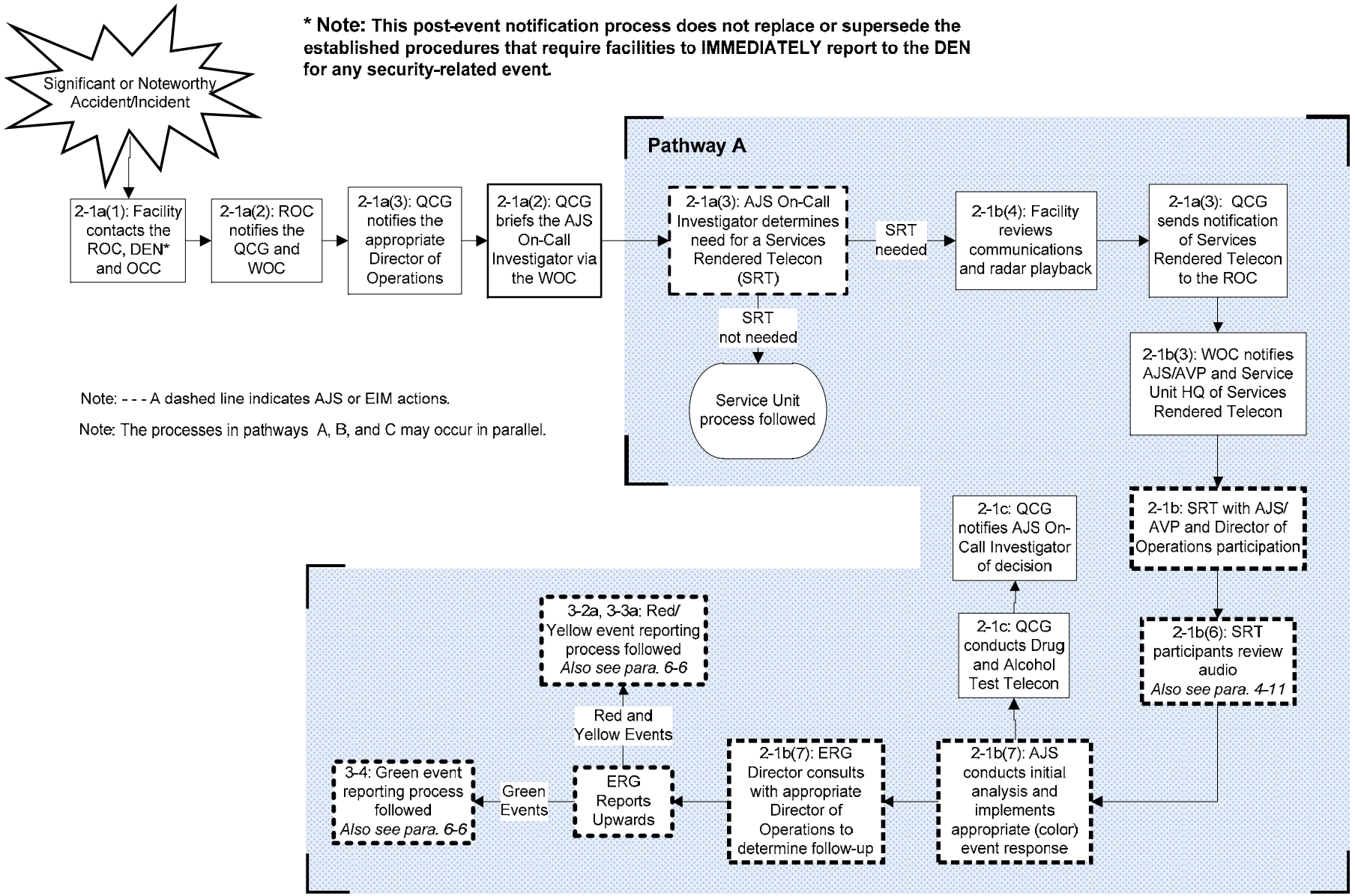
c. Post-Accident/Incident Drug and Alcohol Testing Determination. Following an event, the affected Director(s) of Operations are responsible for determining whether to conduct drug and/or alcohol testing for events covered by DOT Order 3910.1, Drug and Alcohol Free Workplace. When the QCG convenes a SRT and Post-Accident/Incident Drug and Alcohol Testing Determination is required, the Director's decision regarding testing will be made at the end of the SRT after discussion between only Air Traffic Management of the facility involved, the District Manager, and the Director. Immediately following the conclusion of the Post-Accident/Incident Drug and Alcohol Testing Determination segment of the SRT, the QCG must communicate the decision whether to perform drug and alcohol testing to the on-call ERG investigator.

NOTE-

ATO Safety on-call ERG Investigator is available for consultation during this determination process.

FIG 2-1

Event Notification: Accident/Incident



2-2. NOTIFICATION PROCESS FOR SECURITY, TRAFFIC MANAGEMENT, OR OTHER SIGNIFICANT EVENTS

a. For security events, facilities must immediately notify the ATSCs managing the DEN following established procedures found in FAA Order 7610.4, Special Operations, JO 7110.65, Air Traffic Control, and JO 7210.3 Facility Operations and Administration.

NOTE-
This post-event review process does not replace or supersede any established procedures, which require facilities to immediately report a security-related event to the ATSCs managing the DEN. Following established procedures, the ATSCs, Air Traffic System Command Center (ATCSCC) or National Operations Coordination Center (NOCC) will continue to carry out real-time coordination with involved facilities, ATO leadership, and other stakeholders, as needed.

b. ATO facilities that become aware of a security, traffic management, or other significant or noteworthy operational event that may generate significant media or congressional interest (e.g., an NAS related terrorist act, or an aircraft encounters a delay on the ground over 3 hours [Tarmac-3]), must notify their ROC, as soon as possible after the required notification to the ATSCs on the DEN, ATCSCC or the OCC.

c. ROC personnel must notify the WOC, the on-duty specialist from Service Center QCG and OSG (if required), and the appropriate Director(s) of Operations.

d. The Director of System Operations Security (AJR-2), Director of the Air Traffic System Command Center (AJR-1) or any Director of Operation may invoke this order.

(1) If the Event Response Group involvement is requested, the QCG will notify the WOC, through the ROC, of the request. The WOC will ensure the on-call ERG investigator and the ERG Director is notified of the event. The ERG Director will initiate a discussion with the appropriate Director(s) of Operations to determine the appropriate response as outlined in chapter 3. Also see FIG 2-2.

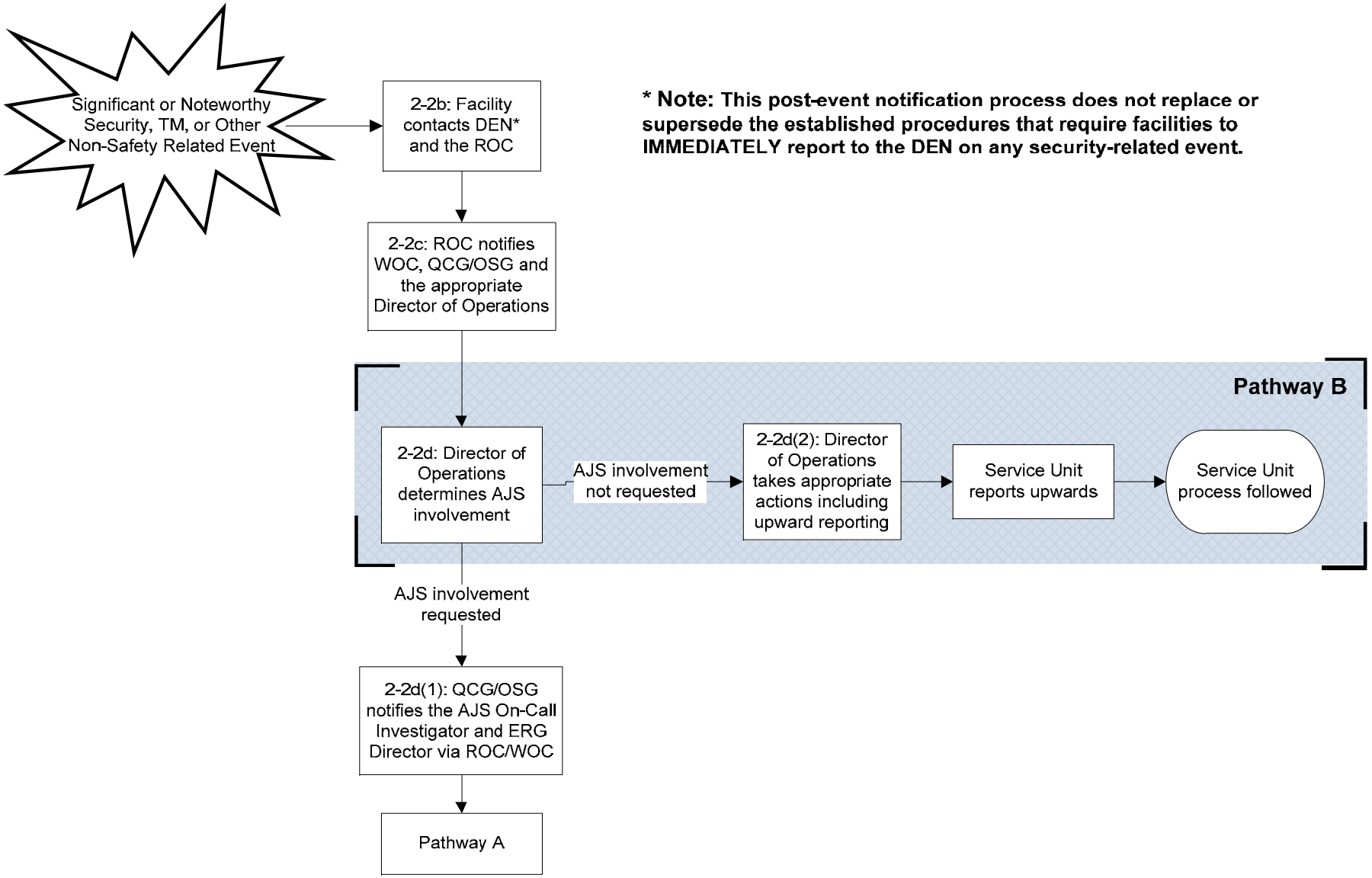
NOTE-
This ROC must notify the WOC using established procedures when notified of a Tarmac-3 or any other significant or noteworthy event that may generate significant media or congressional interest.

(2) If the Event Response Group involvement is not requested, the Director of Operations and/or appropriate Service Unit is responsible for taking appropriate follow-up action, including upward reporting and documented findings to all affected service unit Vice Presidents, and the Event Response Group Director.

e. The Director of Operations will decide if the service center Operations Support Group (OSG) should be notified for security, traffic management, and other significant events that may impact present/future operations.

FIG 2-2

Event Notification: Security, Traffic Management, or Other Non-Safety Related Event



*** Note: This post-event notification process does not replace or supersede the established procedures that require facilities to IMMEDIATELY report to the DEN on any security-related event.**

2-3. NOTIFICATION PROCESS FOR EQUIPMENT/SERVICE INTERRUPTIONS

a. Immediately after an equipment/service interruption that might generate significant media/congressional interest, the Air Traffic facility involved 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 to the DEN so that the appropriate agency may assist in the management of the incident.

b. In turn, the OCC must contact the National Operations Control Center (NOCC) when sufficient information is available.

c. For accidents, OCC personnel must initiate the TOAAR process (see appendix F). For other events (non-accidents), NOCC personnel will initiate their non-accident process.

NOTE-

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 other stakeholders, as needed.

d. 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).

e. ROC personnel must notify the WOC, the on-duty specialist from Service Center QCG and OSG, the appropriate Director(s) of Operations, and the OCC (unless the notification was received from the OCC).

(1) The Director of Operations will determine whether to immediately notify the on-call ERG Investigator. If the Director of Operation requests ATO Safety involvement, the QCG and/or OSG will notify the WOC, through the ROC, of the request. The WOC will ensure the on-call ERG Investigator and the ERG Director is notified of the event. The ERG Director will initiate a discussion with the appropriate Director(s) of Operations to determine the appropriate response as outlined in chapter 3. Also see FIG 2-3.

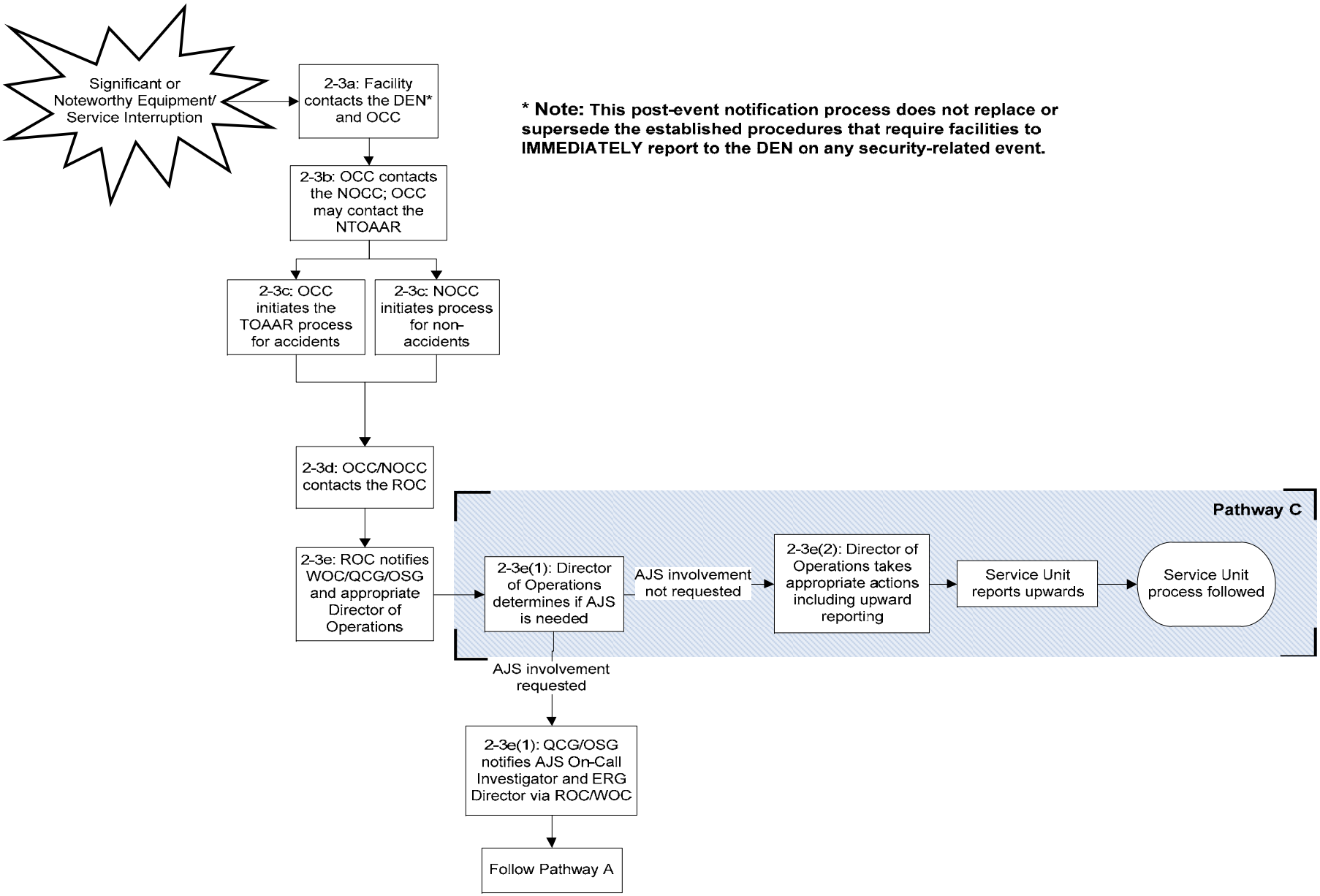
(2) If Event Response Group involvement is not requested, the Director of Operations is responsible for taking appropriate follow-up action, including upward reporting and documented findings to all affected service unit Vice Presidents, and the Event Response Group Director.

f. The Director of Operations will decide if the service center Operations Support Group (OSG) should be notified for equipment/service interruption events that impact present/future operations.

g. The Director of Operations may request an ERT, following procedures in paragraph 1-7c.

FIG 2-3

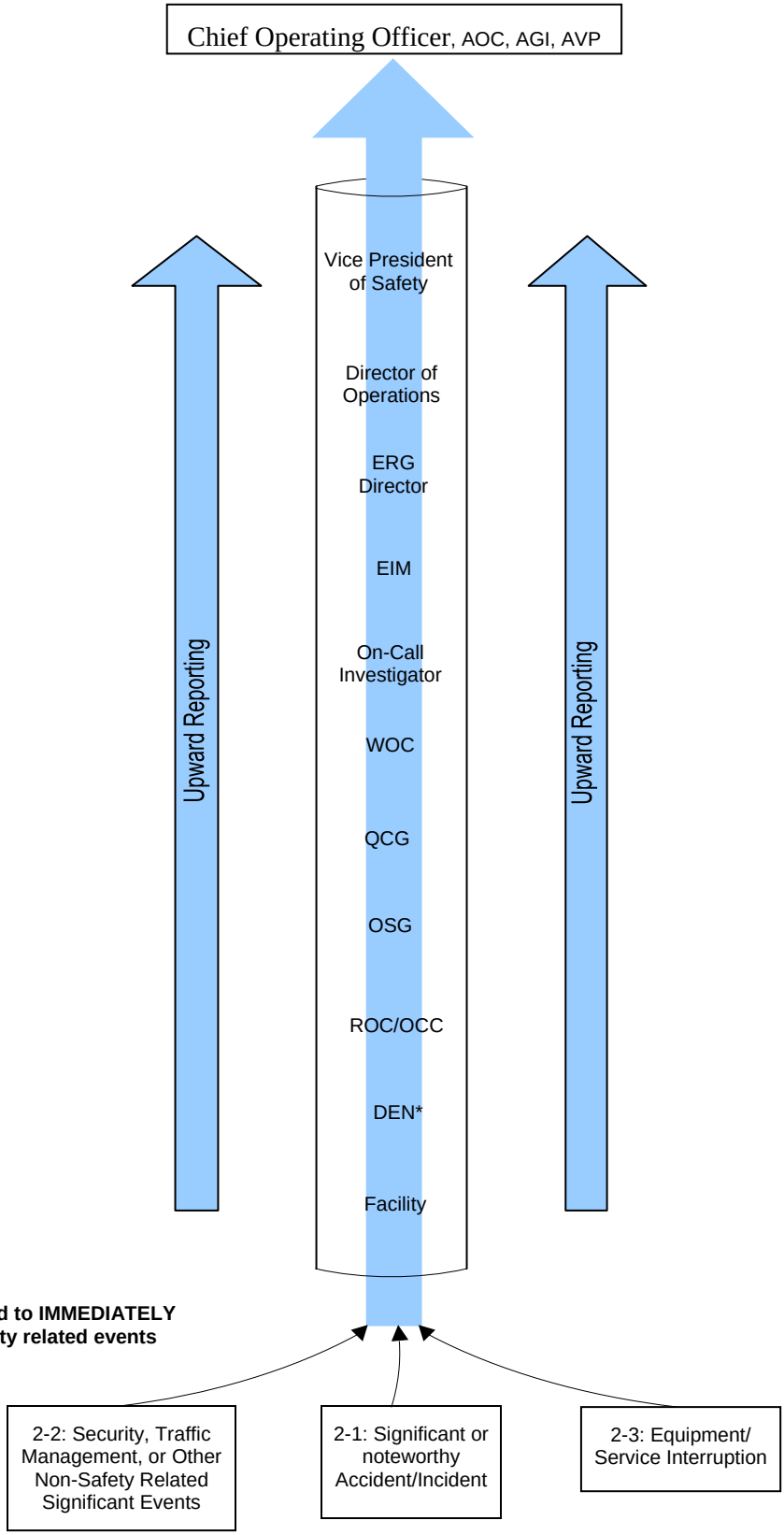
Event Notification: Equipment/Service Interruption



*** Note: This post-event notification process does not replace or supersede the established procedures that require facilities to IMMEDIATELY report to the DEN on any security-related event.**

FIG 2-4

Upward Reporting



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

2-4. NOTIFICATION LISTINGS

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 (AJS) is responsible for updating the following positions so that notifications specified in this order are properly received:

(1) ATO Safety on-call ERG Investigator

(2) Event Response Group Director

(3) Vice President for ATO Safety

(4) Chief Operating Officer

(5) Vice-Presidents and Directors of Operations

(6) Operational Service Unit Headquarters Offices (e.g. Terminal Quality Assurance: AJT-2, Manager, Tactical Operations Security (AJR-23), and Director Operations Security AJR-2, En Route & Oceanic, AJE-3, Technical Operations, AJW-1)

(7) Manager for Contract Flight Service Stations

b. 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 OSGs are responsible for updating their own on-duty specialist listings so that notifications specified in this order are properly received.

d. ATO Safety, the Service Center QCG and OSGs, and AVP are responsible for distributing any changes to their respective ROCs, WOC, and OCCs.

Chapter 3. ATO Safety Response

3-1. INITIAL EVENT ANALYSIS

Upon being notified of a significant or noteworthy accident or incident (see 2-1, above), ATO Safety on-call ERG Investigator must conduct an initial analysis and notify the Event Response Group Director in order to implement the appropriate level (red, yellow, green) of event response. In the case of security, traffic management, equipment/service disruptions and other non-safety related significant events (see 2-2 and 2-3, above) for which ATO Safety is notified, the appropriate level (red, yellow, green) of event response will be determined jointly by ATO Safety Event Response Group Director and the Director of Operations.

The following paragraphs track items included on FIG 3-1 and primarily encompass the response triggering activities and the ATO responses that are expected to result.

NOTE-
"*Event response" describes only the activities in this order using the red, yellow, green event references; it does not include the procedures contained in other policy documents.*

a. Red Events. ATO Safety on-call ERG Investigator must immediately notify ATO Safety Event Response Group Director, and classify events as red, using sound judgment and expertise, when they believe that an ERT should be launched immediately. The decision will be determined jointly with the affected Director(s) of Operation for security, traffic management, equipment/service disruptions and other non-safety related significant events. These 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) Events for which the NTSB convenes an Air Traffic Control Work Group to conduct an on-site investigation.

(4) Natural disasters affecting an ATO facility.

(5) Near Mid Air Collision Reports.

For the specific procedures regarding red events, see paragraph 3-2.

b. Yellow Events. ATO Safety on-call ERG Investigator must immediately notify ATO Safety Event Response Group Director, and classify events as yellow, using sound judgment and expertise, 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. The decision will be determined jointly with the affected Director(s) of Operation for security, traffic management, equipment/service disruptions and other non-safety related significant events. Such events may include:

NOTE-
"Event review" describes only activities in this order; it does not include procedures contained in other policy documents.

(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; traffic alert and collision avoidance system (TCAS) resolution advisory (RA) 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).

For the specific procedures for yellow events, see paragraph 3-3.

c. Green Events. ATO Safety on-call ERG Investigator must immediately notify ATO Safety Event Response Group Director, and classify events as green, using sound judgment and expertise, when no headquarters response appears to be required or headquarters may be able to monitor/review the post event process without launching a team. The decision will be determined jointly with the affected Director(s) of Operation for security, traffic management, equipment/service disruptions and other non-safety related significant events. Examples of events that would be classified as green may include:

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

(2) Inadvertent physical damage to navigational facilities.

(3) Loss of standard separation where 66 percent or more was maintained and the safety risk is judged to be low.

(4) Pilot deviation.

For the specific procedures for green events, see paragraph 3-4.

d. The Director of Operations, Event Response Group Director should consider the following ERT membership:

(1) Quality Control Group (QCG) specialist and/or affected service unit representative

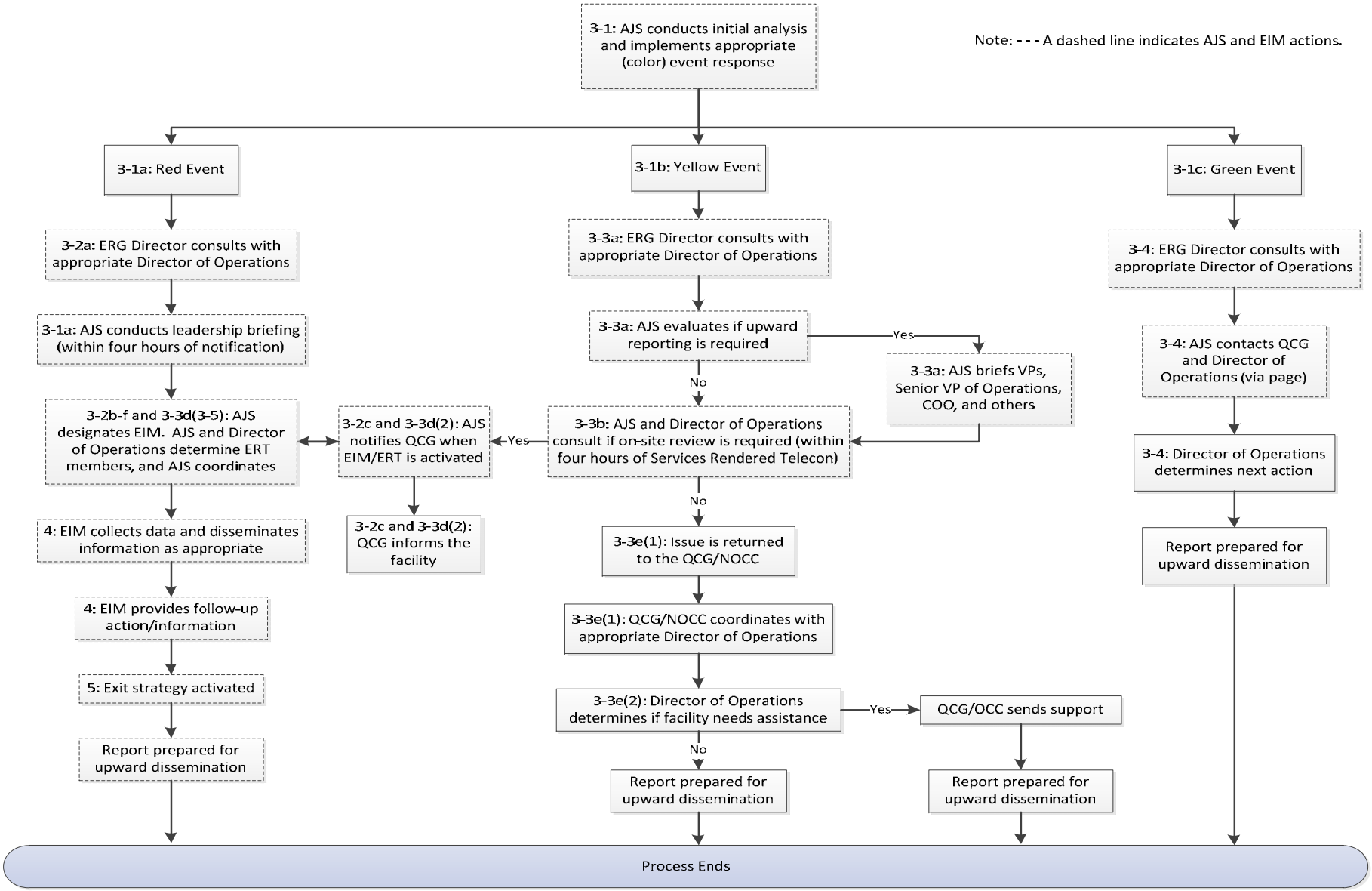
(2) System Operations (AJR) specialist

(3) Technical Operations (AJW) specialist

(4) Other safety specialist

FIG 3-1

Three-tiered Response



3-2. PROCESS FOR RED EVENTS

a. When the ATO Safety Event Response Group Director and the affected Director(s) of Operation, receive ATO Safety on-call ERG Investigator notification, the Director and Manager will jointly determine that a red event has occurred. ATO Safety Event Response Group Director will ensure the COO, the Vice President of ATO Safety, the appropriate service unit Vice President(s), and others as appropriate are briefed. This briefing must be conducted as soon as adequate factual information is available, but no later than 4 hours after learning of the event. The briefing must contain all available factual information about the event and the fact that the ERT is being launched.

b. ATO Safety Event Investigation Manager Team Lead thru the Event Response Group Director must designate the EIM for the ERT based on a list of approved EIMs maintained by ATO Safety. (For more information on the EIM, see paragraph 1-10b and appendix G.)

c. ATO Safety on-call ERG Investigator must inform the QCG that headquarters is launching the ERT immediately. The QCG must 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, ATO Safety Event Response Group Director, EIM and the appropriate Director of Operations to determine the size and composition of the ERT. Team members are designated by their organizations to assist ATO Safety. Service Units must notify the EIM of the offices that are sending representatives to participate in the ERT.

e. As soon as practical following the event notification, ATO Safety Event Response Group Director 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. When a red event occurs, ATO Safety Event Response Group Director must participate in the SRT and continue to gather additional factual information while the ERT is en route to the facility where the event occurred. Until the EIM is in-place, decisions related to the event response are the responsibility of the Event Response Group Director.

g. The event review process described in chapter 4 must be followed.

3-3. PROCESS FOR YELLOW EVENTS

a. When ATO Safety Event Response Group Director and the affected Director(s) of Operation, receive ATO Safety On-Call ERG Investigator notification, the Director and Manager will jointly determine that a yellow event has occurred, they determine whether upward reporting is required to the COO, the Vice President of ATO Safety, the appropriate service unit Vice President(s), and others as appropriate.

b. For accidents and incidents (see 2-1, above), and based on the information discussed in the SRT and a review of the voice tapes, ATO Safety on-call ERG Investigator and ATO Safety Event Response Group Director, in consultation with the Director of Operations, will within 4 hours of the SRT, determine whether an on-site event review is required and whether the ERT should be launched.

c. For security, traffic management, equipment/service disruptions and other non-safety related significant/noteworthy events (see 2-2 and 2-3, above), and based on the information discussed in the SRT and a review of the voice tapes, within 4 hours of the SRT, the Director of Operations will determine whether an on-site event review is required and whether the ERT should be launched.

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

(1) ATO Safety Event Response Group EIM Team Lead must designate the EIM for the ERT based on a list of approved EIMs that ATO Safety maintains. (For more information on the EIM, see paragraph 1-10b and appendix G.)

(2) ATO Safety on-call ERG Investigator must inform the QCG immediately 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, ATO Safety Event Response Group Director, and the appropriate Director of Operations to determine the size and composition of the ERT. Team members are designated by their organizations to assist ATO Safety. Service Units must notify the EIM of the offices that are sending representatives to participate in the ERT.

(4) ATO Safety Event Response Group Director must communicate the decision to implement a yellow event and/or launch the ERT to the COO, and the appropriate service unit Vice President(s).

(5) ATO Safety Event Response Group Director must notify the Assistant Chief Counsel for Litigation within 4 hours of any yellow event with an accident where air traffic services were provided. ATO Safety Event Response Group Director must communicate whether an ERT is being launched, whether the NTSB is participating, and who has been designated as the EIM (if applicable).

(6) The event review process described in chapter 4 must be followed.

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

(1) ATO Safety on-call ERG 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 appropriate follow-up action, including the completion of an Investigative Report (see appendix H) as well as the upward reporting to ATO Safety, and all affected service unit Vice Presidents.

(2) The Director of Operations will determine if the facility needs assistance and must send support if warranted.

3-4. PROCESS FOR GREEN EVENTS

Green events follow a determination that an event does not warrant a red or yellow classification. When ATO Safety jointly with the affected Director(s) of Operation, determines that a green event has occurred, the on-call ERG Investigator will notify the QCG for follow-on coordination with the appropriate Director of Operations. The Director of Operations is responsible for taking appropriate follow-up action, including upward reporting to ATO Safety Event Response Group Director, and all affected service unit(s) Vice President(s). If appropriate, the QCG will prepare a voice and radar reconstruction of the event and ensure that all files associated with the event are stored on ATO Safety Knowledge Sharing Network (KSN) site.

3-5. RESPONSE TO SELECTED EVENTS

The Vice Presidents of the operational service units may request that an ERT be implemented through the Chief Operating Officer. Directors of Operations may initiate such requests through their service unit Vice Presidents.

Chapter 4. On-Site Event Review

4-1. AUTHORITIES

a. For safety events, this order grants authority to the Event Response Group, and the EIM. The authority of each member of the ERT comes from FAA Orders JO 7210.3, 8020.11, and 8020.16.

b. For non safety-related events, the Chief Operating Officer or designee grants authority to the Event Response Group, the EIM and the ERT.

c. The EIM manages **all** ATO resources responding to the event review, determines the facts of the event, and disseminates and briefs factual information to ATO Safety Event Response Group Director, 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.

d. While this order does not apply to security related events, the Chief Operating Officer (AJO) may request that AJS use the EIM process to conduct a post-event review/investigation of security related events that impacted the safety or efficiency of the NAS. The Director, System Operations Security (AJR-2) may request the EIM process through the Vice-President for System Operations (AJR-0) when warranted.

Note-
Discussion with any involved personnel about the event should be limited unless coordinated with the EIM to avoid influencing the employee on his/her recollection of the event.

4-2. ON-SITE COORDINATOR UNTIL THE ARRIVAL OF THE EIM

The air traffic manager of the facility is responsible for designating the air traffic on-site coordinator until the arrival of the EIM. If the Operations Support Group (OSG) has been designated as leading a situation response that is geographically or organizationally related to an event, the EIM should consult with the OSG to determine the earliest time an event review may begin.

4-3. 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. Make contact with ATO Safety ERG Investigator to get any additional information about the event. At this point, responsibility for review of the event transfers from the on-call ERG 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 and System Support Center (SSC) or General National Airspace System (GNAS) manager and the District Manager on expectations, requirements, and responsibilities.

e. 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.

f. Determine if navigational facilities and/or ATC equipment is involved or suspected of being involved and determine if all required notification has been accomplished, including the appropriate Notices to Airmen (NOTAM).

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

h. Establish and maintain contact with the Director, Event Response Group and the Director(s) of Operations for the service unit(s) involved in the event.

i. Provide periodic updates to the senior ATO leadership through the Director, Event Response Group.

j. Establish Daily Briefing times and conduct verbal and written briefings to the senior ATO leadership through the Director, Event Response Group.

k. Begin the On-site Event Review Checklist (see appendix A).

4-4. NTSB COORDINATION

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

a. Act as the primary ATO liaison with the FAA IIC or FAA NTSB Air Traffic Control Work Group member.

NOTE-

The EIM may not serve as a Group member to a formal NTSB investigation and the other ERT members are there 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. Ensure that data and information are complete and review before they are provided to the NTSB.

d. With the concurrence of the FAA IIC/FAA NTSB Air Traffic Control Work Group member, act as the sole ATO representative responsible for providing data directly to the NTSB. Copies of data/information should be provided to the FAA IIC, if requested.

e. When advised by the FAA IIC/FAA NTSB Air Traffic Control Work Group member 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 FAA IIC/FAA NTSB Air Traffic Control Work Group member before granting the NTSB access.

f. 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 8020.16A paragraph 160 for additional guidance).

Note-

For the specific procedures for release of information, see chapter 6.

4-5. 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).

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 accidents, the Litigation Division attorney assigned to the accident will provide legal advice and counsel to those facilities and employees whose performance is 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 well-being as required, and provide them with a briefing on investigation procedures and their right to counsel and union representation (if appropriate) during any interview. Additionally, the EIM must inform personnel 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 Team Lead must arrange with the Assistant Chief Counsel for Litigation to conduct pre- and post-interview debriefings of all FAA ATO employees with whom the NTSB requests an interview.

4-6. UPWARD REPORTING

a. The EIM must disseminate and brief factual information through ATO Safety Event Response Group (both the Director and EIM Team Lead).

b. The EIM is required to brief ATO Safety Event Response Group, the Vice President of ATO Safety, the involved service unit(s) Vice President(s), and the Chief Operating Officer each day regarding the progress of the investigation and ATO event review. Daily briefing times will be scheduled in advance, and notifications will be made to appropriate service unit(s) Vice President(s) and Director of Operations for their participation.

c. Briefings must be conducted throughout the entire investigation and specifically as key details become available, at a minimum on a daily basis, and after conclusion of the on-site investigation.

4-7. 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 post event. The EIM must promptly advise the FAA's IIC (if appropriate), ATO Safety Event Response Group, the Vice President of ATO Safety, the involved service unit(s) Vice President(s), the appropriate Director(s) of Operations, and the Chief Operating Officer of any deficiencies noted and the recommended corrective actions.

Note-
Recommendation development is traditionally the responsibility of the Service Unit Director(s) of Operation, but the ERT will often develop recommendations for inclusion in their reports.

4-8. 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 does not designate an IIC, the EIM must coordinate FAA investigation activities with the military investigator through the military air traffic representative (ATREP) or, in the absence of an ATREP, directly with the military investigator.

b. The Event Response 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 with the Assistant Chief Counsel for Litigation any requests from the military to interview or obtain a written statement from an employee of the FAA.

4-9. 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/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, 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) Expedited handling of data requests may occur if the ERT determines that their timely review cannot withstand the anticipated delay due to published policies and processes for supplying requested data.

(2) Operating service units should identify reach-back resources (not located with the members of the ERT) that are capable of rapid response to ERT action requests.

4-10. 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 ATO Safety Vice President who will ensure appropriate coordination with the Chief Operating Officer, the Office of Communications, the Office of Government and Industry Affairs, the COO, and the Administrator. ATO Safety Vice President may delegate limited review of information to be released to the Event Response Group Director.

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 ATO Safety Event Response Group Director or the EIM.

e. The Manager, Tactical Operations Security, or the DEN will be provided expedited access to security-related event data event data after consultation with the Event Response Group Director.

4-11. EVENT DATA

a. Event Synopsis. The QCG must provide a brief summary of the event, including what happened, services rendered, alcohol/drug test determination, 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 ATO Safety personnel within 6 hours from QCG notification. Changes to the data requests listed below must be approved by the EIM.

b. Event Replay Data.

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.

(1) En Route and Oceanic.

(a) Facilities with Systematic Air Traffic Operations Research Initiative (SATORI) capability must initially provide a SATORI replay (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. 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 ATO Safety on-call ERG 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 secure KSN data location [https://ksn2.faa.gov/faa/qa] within 3 hours of the reported event.

Note-

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

(b) 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 ATO Safety 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 ATO Safety personnel.

NOTE-
Falcon data with the associated ATC communications will relieve the 3-hour requirement; however, a SATORI replay must be prepared within 24 hours.

(2) Terminal. The QCG must ensure that data is extracted and upload them to a secure KSN site as soon within 3 hours after the event unless otherwise authorized by ATO Safety personnel.

c. Audio Data. Facilities that can create electronic audio files must provide an MP3 or WAV file with the time channel 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 ATO Safety personnel. Digital Audio Legal Recorder (DALR) access may permit ATO Safety personnel to obtain audio data remotely. Facilities that cannot prepare audio files within 3 hours after the event must be able to play the audio over the phone when directed.

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 ATO Safety personnel to obtain position 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 paragraph 534 of FAA Order JO 6330.5B, Maintenance of Airport Surface Detection Equipment (ASDE-3) Collocated with Airport Movement Area Safety System (AMASS). When requested, the TOAAR 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 whether 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 ATO Safety on-call QA 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. 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 8020.16A paragraph 160 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) at 1-800-242-8194/8895 or AOMC@noaa.gov 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 at 816-584-7269 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) at 703-724-7552/703-439-9790. A fax number is also available: 703-729-5270. 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 the FSS located closest to the event site. The FSS will then coordinate with other facilities as necessary to provide the requested data. Of the Alaska facilities, three operate 24/7. If information is needed during the time that an FSS is closed, the call will be routed to the appropriate full-time FSS. 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. Contact numbers for Alaska facilities are located in the FAA Directory.

Chapter 5. Event Response Conclusion

5-1. NOTIFICATION

The EIM must inform the affected facility manager(s), the affected Director(s) of Operations, and ATO Safety Event Response 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.

5-2. EXIT BRIEFINGS

The EIM must:

a. Arrange for an exit briefing by the NTSB Air Traffic Control Work Group Chairman.

b. Conduct a separate exit briefing with the ERT, facility management, Event Response Group, Director of Operations and senior ATO leadership

NOTE-
Every opportunity should be made to allow the respective QCG, Director(s) of Operations, Service Unit Vice President, ATO Safety Event Response Group, Chief Operating Officer and other ATO leadership to participate via a Telcon

5-3. TEAM STATUS

a. Once the EIM recommends that the ERT's on-site review of the event be concluded, the Vice President of ATO Safety will decide on 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.

5-4. REQUESTS

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

5-5. 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 Order 1350.15, or 8020.16, whichever is longer or appropriate; a copy of each record must be given to ATO Safety.

b**.** For incidents and accidents involving one or more fatal injuries, ATO Safety must maintain associated raw data (in electronic form, if available) in accordance with FAA Order 8020.11 and FAA Order 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, Records Organization, Transfer, and Destruction Standards and FAA Order 8020.16, Air Traffic Organization Accident and Incident Notification, Investigation, and Reporting.

5-6. INVESTIGATION REPORT

a. As soon as possible, but within 10 days of the conclusion of all investigative activities, the EIM or Director of Operations must prepare a report to ATO Safety Event Response Group of the activities undertaken during the investigation (for example, summary of findings, interviews, data reviews). This report must describe all identified non-compliances and other performance/safety or peripheral operational and pertinent administrative issues and provide recommendations to address the identified issues. Appendix H contains a short outline for the investigative report following all red and yellow events.

(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.

(3) ERG will offer the Service Unit(s) affected an opportunity to review each report prior to approval.

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

c. The appropriate Director of Operations or ATO Safety Event Response Group Director will distribute the completed investigative report to the appropriate facility(s) involved, the appropriate service unit Vice Presidents, any associated Directors of Operation, the appropriate Service Center QCG, the appropriate Service Center OSG, the Chief Operating Officer and ATO Safety Event Response Group. Reports containing sensitive information will be marked and distributed in accordance with established policies.

5-7. CERTIFICATION AND REFRESHER TRAINING

ATO Safety Event Response Group Director must:

a. Ensure that, at a minimum, there are three approved EIMs within ATO Safety at any given time (barring extreme circumstances) and that these EIMs are available to perform the functions described in this order. EIM qualification requirements are listed in appendix G.

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.

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, as 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 ATO Safety Vice President who must ensure appropriate coordination with the Chief Operating Officer, the ATO Mission Support Services Litigation Liaison Office, the Office of Communications, the Office of Government and Industry Affairs, the COO, and the Administrator. ATO Safety Vice President may delegate limited review of information to be released to the Event Response Group Director.

b. The EIM must direct all public inquiries concerning the event through ATO Safety Event Response Group, to the FAA Office of Communications. The Office of Government and Industry Affairs and the Office of Communications depend on ATO Safety 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 Order 8020.11, Chapter 10, and FAA Order 8020.16, Chapter 10, Public Release of Accident and Incident Information. ATO Safety should not attempt to determine what ATO-derived data is to be released; as the Chief Operating Officer, the Office of Government and Industry Affairs, the Office of Communications, the COO, and the Administrator will receive guidance from 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

During 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 FAA Office of Government and Industry Affairs and the COO.

6-5. OTHER REQUESTS

The release of any information to the NTSB or other non-FAA organizations must be approved by ATO Safety Vice President, who will ensure appropriate coordination with the Chief Operating Officer, the Office of Communications, the Office of Government and Industry Affairs, System Operations Security, Mission Support Litigation, the COO, and the Administrator. The ATO Safety Vice President may delegate limited review of information to be released to the Event Response Group Director.

6-6. ROUTINE DISSEMINATION DURING THE INVESTIGATIVE PHASE

a. The organization/person (e.g., ATO Safety, EIM or Director of Operations) responsible for the event review must ensure that notifications are transmitted to the ATO Safety Event Response Group Director, who will ensure notification to the Chief Operating Officer, 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 WOC 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 ATO Safety's Event Response Group. The ATO Safety Event Response Group must ensure appropriate coordination with the Chief Operating Officer 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; and ATO Safety 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 ATO Safety Vice President who must ensure appropriate coordination with the Chief Operating Officer and the ATO Mission Support Services Litigation Liaison Office for information that leaves the ATO.

c. The organization/person (e.g., ATO Safety, EIM or Director of Operations) responsible for the event review is responsible for the upward communications, including ATO Safety, the Office of Communications (AOC), and the Office of Government and Industry Affairs (AGI). The Event Response Group Director must ensure that the same data regarding all events are provided to the Chief Operating Officer 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 ATO Safety Vice President who must ensure appropriate coordination with the Chief Operating Officer and the ATO Mission Support Services Litigation Liaison Office for information that leaves the ATO.

(1) Email messages with preliminary information must be sent to the to the Assistant Administrator for Government and Industry Affairs (AGI-1) with copies to Congressional Liaison at 'AWA-AGI-STAFF@faa.gov and to the Deputy Assistant Administrator for Public Affairs (AOC-2A) with a copy sent to the Manager of Media Relations (AOC-100).

(2) Subsequent emails must be sent as appropriate.

d. The organization/person (e.g., ATO Safety, 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 Chief Operating Officer, and the Administrator. Any data given to the FAA IIC must first be coordinated for release to the NTSB. Inquiries from the NTSB do not remove the requirement listed in paragraph 6-1 a. to coordinate with ATO Safety Vice President who must ensure appropriate coordination with the Chief Operating Officer and the ATO Mission Support Services Litigation Liaison Office for information that leaves the ATO.

e. The organization/person (e.g., ATO Safety, 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 ATO Safety Vice President who must ensure appropriate coordination with the Chief Operating Officer 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. ATO Safety 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.

Appendix A. FAA Form 1030-1, On-site Event Review Checklist

1. General. This appendix contains the checklist the EIM and members of the ERT should use as a comprehensive (end-to-end) means of gathering data, planning for interviews and analysis, and keeping ATO Safety, Directors of Operations, and ERT members informed throughout the event review process. EIMs should keep completed checklists until the conclusion of the event review to support the preparation of the investigative report.

2. Form Availability. EIMs will have access to this form electronically as a fillable PDF document.

3. Using a Fillable PDF.

a. When opening the document, click the “Highlight Fields” button at the top right-hand corner to highlight those fields that need to be filled in.

b. Boxes that require a date have a drop-down calendar. Simply select the date desired.

c. There is a “Print Form” button at the bottom of the form. Click this when the form is complete and it will go to the selected printer.

On-Site Event Checklist

Activity	Date Completed or Verified
Pre-Arrival Activities:	
EIM must:	
• Complete the Data Request Form (including technical requests, if applicable) and send it to the Event Response Group.	_____
• Request information (e.g., facility contact information, past investigation history) from other investigators/evaluators in the mail group.	_____
ERT members (time permitting**) must**:	
• Read the preliminary event report. o *What information is missing?* o *What questions does the report raise?*	_____
• Review pertinent charts, approach plates, etc.	_____
• Review the facility's history of errors and incident processing.	_____
• Review available radar/voice/movie files.	_____
• Develop a list of questions.	_____
• Review all available data not obtained from the Data Request Form. o **Technical**. *ODS, NAS Technical Evaluation Program (past two), flight inspection reports, web Facility Service and Equipment Profile, TechNet, etc.* o **Air Traffic**. *Review the Air Traffic Quality Assurance database, the Facility Safety Assessment System, etc*.	_____ _____
On-Site Activities:	
• Brief the facility manager on the purpose of your visit.	_____
• Receive an in-briefing from facility personnel on the circumstances surrounding the event.	_____
• Explain the ERT's planned activities.	_____
Data Review:	
• Preliminary event report	_____
• Voice recordings of communications	_____
• Computer data *(CDR printouts, National Track Analysis Program, Data Analysis and Reduction Tool)*	_____
• Applicable procedures, in particular special local procedures that pertain to the event	_____
• Facility procedures for reporting and investigating events	_____
Supervision:	
• Was the supervisor on duty and present in the operating area?	_____
• What were the supervisory activities/responsibilities at the time of the event?	_____
• What were the related actions pre- and post- event?	_____
• Is there a completed personnel statement?	_____

On-Site Event Checklist

Activity	Date Completed or Verified
Staffing:	
• Position/sector/System Support Center (SSC) staffing at the time of the event	
• Normal and minimum staffing for the facility/area/SSC in which the event occurred	
• Staffing available for the shift	
• Accountability for available staffing at the time of the event (overtime/leave)	
• Status of available staffing (breaks, de-briefings, and other duties as assigned)	
Training:	
• Was training in progress (OJT, skill check, etc.) at the time of the event?	
• Did training contribute to the event?	
• How many total hours did the trainee have on the position?	
• What is the trainee's previous progress?	
• Was the instructor certified to conduct OJT?	
• Is the instructor's appraisal current?	
• What are the equipment certification responsibilities?	
Operational Data:	
• Controller time on position prior to the event	
• Traffic volume at time of the event o *How was this determined?*	
• Traffic complexity o *What were the determining factors?*	
• Traffic management initiatives/MAP in effect o *Rationale or lack thereof*	
• Weather conditions	
• Were positions/sectors combined? o *Was this justified?* o *Was this a factor?*	
• Status of facility equipment o *Did suboptimal performance contribute to complexity?* o *Equipment modifications* o *Software updates* o *Equipment availability (redundancy)* o *Service availability*	
• Review operational responsibilities and jurisdiction boundaries	

On-Site Event Checklist

Activity	Date Completed or Verified
Personnel Data:	
• Position/performance level *(Air Traffic Control Specialist /Certified Professional Controller IT/FLM/Staff/Developmental/Air Traffic Manager/Airway Transportation System Specialist)*	
• Total time certified on position/equipment of the event	
• Air Traffic Control Specialist background	
• Credential status	
• Review FAA Form 3120-4 and/or FAA Form 3400-3	
• Operational currency	
• Weekly work schedule (e.g., 3rd day of 5) o *Rotation* o *Was the controller working overtime?* o *Leave use*	
• Review proposed Return to Duty Plan	
Interviews:	
• After completing the preliminary investigation, interview all involved personnel (as necessary) to corroborate your findings. Conduct these interviews using the Air Traffic Control Specialist Interview Protocol and Sample Questions.	
• Interview any other personnel that can contribute to a more complete understanding of the event	
Supporting Material:	
• Obtain additional documentation to support your observations, assessment, and conclusions. This information is in addition to the data obtained through the Data Request Form.	
Reporting Requirements:	
• Report to ATO Safety Event Response Group, at least once each day, the findings of the ongoing event review.	
• Before leaving the facility, de-brief the Director of Operations and facility manager on the initial findings and possible recommendations of the event review.	
• Email an Exit Summary (to ATO Safety Event Response Group) at the completion of the on-site event review.	
• Submit a draft investigative report within 10 days to the EIM Team Lead.	
• Send copies of all data collected during the investigation, including Data Request Forms, appended forms, electronic media, etc., to AJS-3200.	

Appendix B. FAA Form 1030-2, Data Request Form

1. General. This appendix contains the checklist the EIM and members of the ERT should use whenever they determine that additional information is required to complete their event review. This form is in two sections:

a. Page 1 is completed for transmission to the organization possessing the data needed to complete the event review.

NOTE-
All pages are transmitted when completed.

b. The checklist pages contain the normal data types that routinely are used by the ERT members during their review.

(1) The left-hand column is completed by the EIM or ERT member(s) making the data request. Place a checkmark next to the required items.

(2) The date EIM or ERT member(s) making the data request completes the "Date Received column" once the data is received.

(3) When the EIM authorizes that data be shared with the IIC or another organization, the EIM or ERT member(s) may record the transfer in the far right-hand column.

c. EIMs should keep completed checklists until the conclusion of the event review to support the preparation of the investigative report.

2. Form Availability. EIMs will have access to this form electronically as a fillable PDF document.

3. Using a Fillable PDF.

a. When opening the document, click the "Highlight Fields" button at the top right-hand corner to highlight those fields that need to be filled in.

b. Boxes that require a date have a drop-down calendar. Simply select the date desired.

c. For the field that requires a time, type in the four-digit military time and the entry will convert to a standard AM/PM format. For example, "0300" converts to "3:00 AM," but "1500" converts to "3:00 PM."

d. For fields requiring a phone number, type in the ten-digit number without punctuation and the entry will convert to the standard phone number format. For example, "2022673003" converts to "(202) 267-3003."

e. There is a "Print Form" button at the bottom of the form. Click this when the form is complete and it will go to the selected printer.

FIG B-1
Data Request Form

To:

From: Air Traffic Organization – ATO Safety, Quality Assurance

Event: _____ Event Date: _____

Description of Support Requested:

Requesting the following items to be available upon arrival on **[date] at approximately [time] local**

Event Investigation Manager

Name: **Office: [number]**

Location: **Cell: [number]**

Please supply or arrange for two (2) copies of the items checked on the following pages.

FAA ATO Safety Requesting Representative:

_____ [name] _____ Date: _____

Required (✓)	Item	Date Received	Provided To:
	GENERAL		
	In-brief (to be provided by the facility)		
	Voice tapes – working copy		
	Radar data		
	ASDE-3/AMASS/ASDE-X replay file		
	Draft chronological summary of events		
	Movie file (Camtasia, Captivate; if available)		
	Transcripts – draft (if available)		
	Significant Event Report (SER)		
	PERSONNEL		
	3120s, Training Jackets		
	eLMS, review 3400-3		
	ATC Medical Clearance (cover memo)		
	Employee credentials (ATCS, ATSS, AFSS)		
	Personnel statements		
	Personnel work schedules		
	Return to Duty Plan		
	AIR TRAFFIC/FACILITY ENVIRONMENT		
	Applicable charts/plates		
	Airport Diagram		
	Facility SOP/local orders and directives		
	Applicable Letters of Agreement		
	Video map/EOVM		
	Control room/cab layout diagram		
	Last two Facility Audits		
	Facility/Area binders- MBI, R&I, etc.		
	ATC Facility Tour		
	Airfield Tour		
	DOCUMENTS – ACCIDENT/INCIDENT SPECIFIC		
	8020-9, Report of Accident		
	8020-3, Accident Notification		
	8020-6, Report of Aircraft Accident		
	7230-4, Facility Daily Record of Operation		
	7230-3, Personnel Log		
	7230-10, Position Log		
	Flight inspection reports (previous two)		
	7210-2, Preliminary OE/OD Investigative Report		

Required (✓)	Item	Date Received	Provided To:
	Incident Report (PD, VPD, NMAC, etc.)		
	Post-event MBI		
	6000 series TPRs (12 months)		
	Event ticketing		
	Simplified Automated Logging (SAL) export file		
	Reference data for equipment involved		
	Joint Acceptance Inspection Report		
	Radio Frequency Interference (RFI) Reports		
	FAA Order 8020.16, Figure 9-3-2 (Aircraft Accident/Incident TOAAR Worksheet)		
	FAA Order 8020.16, Figure 9-3-2 (Facility Restoration Checklist)		
	System's Built In Test (BIT) and System Logs		
	Facility engineering drawings (schematics, blueprints)		
	Related UCRs/Discrepancy Reports		
	EQUIPMENT		
	Copy ARTS/STARS Optical Disk or DAT		
	Verify ARTS clock (GPS, CTS or WWV time source)		
	CDR keyboard entries/interfacility messages		
	DSR MDM status		
	DARC/CENRAP/ etc. status		
	MIA/MVA/Class B map		
	WEATHER/FLIGHT PLAN		
	Weather Sequence/ATIS/ASOS/AWOS		
	ASOS/AWOS five mins. +/- one hour ("Archive")		
	PIREPs/Field condition reports		
	NOTAMs/Letters to Airmen		
	Flight plan record/AFSS event reconstruction		
	DUATS/vendor flight plan info		
	Tower Visibility Chart		
	LLWAS record		
	Flight Progress Strips		
	Applicable SIGMETs/AIRMETs/CWA		
	OTHER		

Appendix C. Form 1030-3, NTSB Checklist

1. General. This appendix contains the checklist the EIM and members of the ERT should use whenever the NTSB is conducting their independent investigation into the event. The checklist is divided into two sections:

a. The first half is designed for the arrival of the EIM and those activities that should be completed prior to arrival of the NTSB.

b. The second half of the checklist covers the joint activities involving the members of the NTSB investigative team once they arrive.

c. EIMs should keep completed checklists until the conclusion of the event review to support the preparation of the investigative report.

2. Form Availability. EIMs will have access to this form electronically as a fillable PDF document.

3. Using a Fillable PDF.

a. When opening the document, click the “Highlight Fields” button at the top right-hand corner to highlight those fields that need to be filled in.

b. Boxes that require a date have a drop-down calendar. Simply select the date desired.

c. There is a “Print Form” button at the bottom of the form. Click this when the form is complete and it will go to the selected printer.

FIG C-1
NTSB Checklist

Activity	Date Completed
EIM Arrival at Air Traffic Facility	
Introduce yourself and the ERT members to the facility ATM.	
ERT members and organizations.	
NTSB Air Traffic Group members and organizations.	
Establish contact with the Director(s) of Operations for the service unit(s) involved in the event.	
Conduct an initial briefing for the facility management team. • Participants are at the discretion of the ATM.	
Briefly explain the process and protocol for the investigation/review.	
Explain transfer of data to/from the NTSB & your personal role as EIM.	
Ascertain what data is currently available (tapes, transcripts, ATCS statements, etc).	
Request a briefing of the event for the NTSB Air Traffic Group.	
Request point of contact (POC) for acquisition of data & coordination.	
Request a room of sufficient size for the NTSB Air Traffic Group -- room needs electrical outlets for laptop computer plug-in and must be private so that the room's occupants cannot be overheard or disturb other offices with their activities.	
Request a room of sufficient size to accommodate the one-on-one witness preparation -- should be able to accommodate 4 persons; room must be a private space, (not a common break or lunch room).	
Discuss availability/schedule of FAA personnel expected to be interviewed by the NTSB Air Traffic Group.	
Assure the Facility manager that you will keep him/her apprised of relevant information that affects them on a daily basis, and that a summary briefing will be provided upon the final departure of the NTSB Air Traffic Group.	
Conduct a meeting with the ERT members. • Assure that members are familiar with the investigative protocols and your expectations.	
NTSB Arrival at Air Traffic Facility	
Meet and greet as the POC for the facility and the ATO.	
Introduce NTSB Chairman to the facility ATM.	
Show NTSB to conference room, other facility rooms, & emergency egress routes.	
Do not permit the NTSB group to enter the operational quarters of the facility without an appropriate FAA escort.	

Appendix D. Air Traffic Control Specialist Interview Protocol and Sample Questions

Use the following protocol and questions when conducting interviews during an event review.

1. Interview Protocol:

a. Provide the interviewee with a copy of HRPM ER-4.1, paragraph 9.

b. Permit one representative of the interviewee's choosing to be present; the representative may not respond to any questions.

c. Introduce team members and explain the interview process.

d. Instruct all participants to turn off cellular phones.

e. Use the sample questions below to gain information helpful to the event review. One interviewer should ask questions at a time.

f. Take copious notes (all event response team [ERT] members).

g. Offer the opportunity for additional feedback.

IMPORTANT: If the interviewee discloses information that may lead to disciplinary action, **end the interview and advise facility management.**

2. Sample Interview Questions:

a. What is your position of record?

b. Chronologically list your FAA experience (including all positions held).

c. For what positions/sectors or equipment do you hold certifications?

d. Do you have any staff or support specialist time?

e. Are you a pilot?

f. What ratings (for example, private, commercial, and/or instrument) do you hold?

g. What positions/equipment did you work that day?

h. What position were you assigned to at the time of the incident?

i. Do you stand or sit when working operational positions?

j. Are you an on-the-job training (OJT) Instructor?

k. How often do you perform OJT?

l. Did you have any prolonged work periods that day?

m. Was there anything unusual going on in the facility that day (for example, equipment outages, distractions in the operating quarters or equipment area, construction, inspections, scheduled outages)?

n. Were there any unusual operating configurations?

o. How busy was the facility that day?

p. Did you ask for assistance?

q. Was traffic normal?

r. Were there any weather deviations?

s. Have you ever been involved in any incidents?

t. What are the requirements for pilot report solicitation?

u. How is this information disseminated?

v. How are significant meteorological information and airmen's meteorological information handled?

w. What are the posting requirements at the sector?

x. What is the phraseology for precipitation dissemination?

y. What are the levels of precipitation?

z. What is your responsibility in advising the pilot about weather?

aa. In the last 12 months, what has the facility done to emphasize the importance of weather?

bb. Do you use memory joggers? If so, what are they?

cc. Do you use a position relief checklist?

dd. What was the noise level in the area?

ee. How are distractions handled by the front-line manager?

ff. In your own words, describe the sequence of events as best you can recall them?

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 ERT members or the event investigation manager.

Appendix E. Technical Investigation Checklist

The following list of questions is to be used when conducting an investigation where a National Airspace System (NAS) system or service contributed to an air traffic control event. This questionnaire will be completed 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 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?

★ 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 RMLS/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 Remote Monitoring and Logging System (RMLS)/Simplified Automated Logging (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 F. 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 G. Selection Criteria for the EIM and ERT Members

1. 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.

2. 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.

3. Selection Criteria for ERT Members. To complement the EIMs, and to ensure that investigative reviews of events are conducted effectively and efficiently, executives of the operational service units will nominate candidates to be ERT members on an annual basis. ERT candidates are nominated based on the criteria listed here and on the operational needs of the service unit. Service units must arrange for the availability and travel associated with each ERT candidate selected to serve. ERT candidates must have demonstrated:

a. Knowledge of:
(1) Relevant regulations and standards.
(2) The physical limits of systems and human operators.
(3) Safety principles.
(4) Risk identification.
(5) Risk behaviors found in other accidents.
(6) Human behaviors.
(7) Data sources.

b. Skills, including:
(1) Analytical problem solving.
(2) Persistence and dedication to creating a safer culture.
(3) Cooperation as part of a team.

c. Ability to:
(1) Support others in difficult, high-pressure situations.
(2) Write documents and conduct briefings.
(3) Regularly troubleshoot systems and/or human workplace situations.

d. Experience:
(1) Previous success as a member of an ERT or investigative team.
(2) Working at remote locations without support staff.

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.

Appendix H. Outline of Investigative Report

To ensure that important findings and recommendations of the Event Investigation Manager (EIM) and the event response team (ERT) are recorded and available for retrieval, the EIM will submit a report that includes the following topics, at a minimum:

1. **Executive Summary**. A brief summary (no details).

2. **Introduction**.
   - **a.** Reason for investigation.
   - **b.** EIM introduction and ERT members.

3. **Investigation**.
   - **a.** History of the Event.
   - **b.** Data gathering and analysis completed.

4. **Summary of Findings**.
   - **a.** Data collected during the on-site team activities.
   - **b.** Data gathered from other sources.
   - **c.** Data that could not be recovered or analyzed.

5. **Recommendations**.
   - **a.** From the operational service unit.
   - **b.** From the EIM and ERT.

6. **Corrective Actions**.
   - **a.** Completed at time of report.
   - **b.** Underway but not yet completed.

Appendix I. Acronyms

AGI	Office of Government and Industry Affairs
AIRMET	Airmen's meteorological information
AJS	ATO Safety
AMASS	Airport Movement Area Safety System
AOC	Office of Communications
AOMC	ASOS Operations and Monitoring Center
AOV	Air Traffic Safety Oversight Service
ARTS	Automated Radar Terminal System
ASDE	Airport Surface Detection Equipment
ASOS	Automated Surface Observing System
ATC	Air traffic control
ATIS	Automated Terminal Information Service
ATO	Air Traffic Organization
ATREP	Air traffic representative
ATSC	Air Traffic Security Coordinator
AVP	Office of Accident Investigation & Prevention
AWOS	Automated Weather Observation System
BIT	Built-in test
CENRAP	Center Radar ARTS Presentation/Processing
CDR	Continuous data recording
COO	Chief Operating Officer
CROC	Cornerstone Regional Operations Center
CTS	Coded time source
CWA	Center weather advisory
DALR	Digital Audio Legal Recorder
DARC	Direct Access Radar Channel
DAT	Digital audio tape
DEN	Domestic Events Network
DH	Decision height
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
eLMS	electronic Learning Management System
EIM	Event Investigation Manager
EIMTL	Event Investigation Manager Team Lead
EOVM	Emergency Obstruction Video Map
ERG	Event Response Group
ERGI	Event Response Group Investigator
ERT	Event response team
FAA	Federal Aviation Administration
FLM	Front line manager

FMS	Flight Management System
FOIA	Freedom of Information Act
FSDO	Flight standards district office
FSOC	Flight Service Operations Center
FSS	Flight service station
GAO	U.S. Government Accountability Office
GNSS	Global Navigation Satellite System
GPS	Global Positioning System
IFR	Instrument flight rules
IIC	Investigator-in-charge
ILS	Instrument landing system
IMC	Instrument meteorological conditions
KSN	Knowledge Sharing Network
LAAS	Local Area Augmentation System
LLWAS	Low-Level Windshear Alert System
LMFS	Lockheed Martin Flight Service
LNAV	Lateral navigation
MAP	Monitor alert parameter
MBI	Mandatory Briefing Item
MDA	Minimum descent altitude
MDM	Main display monitor
MEARTS	Microprocessor En Route Automated Radar Tracking System
MIA	Minimum IFR altitude
MLS	Microwave landing system
MVA	Minimum vectoring altitude
NAS	National Airspace System
NATCA	National Air Traffic Controllers Association
NDB	Non-directional beacon
NMAC	Near-midair collision
NNCC	National Network Control Center
NOCC	National Operations Control Center
NOP	National Offload Program
NOTAM	Notice to airmen
NSSE	National special security event
NTOAAR	National Technical Operations Aircraft Accident Representative
NTSB	National Transportation Safety Board
NWS	National Weather Service
OCC	Operations control center
OD	Operational deviation
ODALS	Omni-directional approach lighting system
ODS	Optical disk storage
OE	Operational error
OIG	Office of the Inspector General
OJT	On-the-job training
OSG	Service Center Operations Support Group
PAPI	Precision approach path indicator

PD	Pilot deviation
PIREP	Pilot report
PPB	Plot playback
QA	Quality Assurance
QCG	Service Center Quality Control Group
R&I	Read and initial
RA	Resolution Advisory
RCAG	Remote center air-ground
REIL	Runway end identifier lights
RFI	Radio frequency interference
RMLS	Remote Monitoring and Logging System
RMM	Remote maintenance monitoring
ROC	Regional operations center
RVR	Runway visual range
SAL	Simplified Automated Logging
SATORI	Systematic Air Traffic Operations Research Initiative
SER	Significant event report
SIGMET	Significant meteorological information
SOC	Service operations center
SOP	Standard operating procedures
SRT	Services Rendered Telephone Conference
SSC	System support center
STARS	Standard Terminal Automation Replacement System
TACAN	Tactical air navigation
TDWR	Terminal Doppler weather radar
TFR	Temporary flight restriction
TOAAR	Technical Operations Aircraft Accident Representative
TPR	Technical performance record
U.S.C.	United States Code
UAS	Unmanned aircraft system
UCR	Unsatisfactory condition report
VASI	Visual approach slope indicator
VMC	Visual meteorological conditions
VNAV	Vertical navigation
VOR	Very high frequency omni-directional range
VPD	Vehicle/pedestrian deviation
VRS	Voice recording system
WAAS	Wide Area Augmentation System
WOC	Washington Operations Center
WWV	The National radio station at Fort Collins, CO that broadcasts time information

Director of Ops Checklist

- **Participate in the Services Rendered Telephone Conf.**
- *Determine whether to conduct drug and/or alcohol testing.*
- *Request AJS assistance (EIM/ERT) through your Vice President, & Sr. VP for Operations*
- **Jointly determine with the Event Response Group Director or designee whether on-site event review and ERT is required** (within 4 hours of the Services Rendered Telcon)
- *Coordinate with ATO Safety Event Response Group Director & the EIMTL to determine size/composition of the ERT*
- **If no ERT, take appropriate actions, including all upward reporting**
- Ensure email notifications to both Office of Communications (AOC) and Office of Government and Industry Affairs (AGI) within 1-hour of the first update
- *Determine if the facility needs assistance and must send support if warranted.*
- **Review/approve & distribute the investigation report within 10 days**
- **Take appropriate follow-up action**
- **Communicate up**

BOLD – YOUR action

ITALICS – they are waiting on YOU

UNDER – expect data/calls from them

Director of Event Response Group

- WOC ensures you are notified
- On-call ERGI must notify you as soon as is practical
- **Discuss with appropriate Dir(s) of Ops to determine event response**
- *Decide if the OSG should be notified for events that impact present/future operations*
- **Conduct event analysis and determine (jointly with Dir of Ops) the appropriate level (red, yellow, green) of event response**
  - **RED** = ERT launched immediately
  - YELLOW = more information needed, or event review not needed immediately
  - **GREEN** = no HQ response required or headquarters able to monitor/review the event without launching anyone
- Dir of Ops takes appropriate follow-up action, (upward reporting and documented findings) when he/she handles event review
- Ensure email notifications to both Office of Communications (AOC) and Office of Government and Industry Affairs (AGI) within 1-hour of the first update to Event Response Group Director
- **Designate EIM for ERT within 4-hours**
- **Consult with Dir of Ops & EIM on ERT membership**
- **Ensure COO, Sr VP of Ops, VP of Safety, appropriate service unit VP(s), are briefed on event and planned response as soon as information is available;** no later than 4-hours; as required thereafter
- **Notify Asst Chief Counsel for Litigation of event, if an ERT is being launched, whether NTSB is participating, and who is EIM within 8-hours**
- EIM disseminates and briefs information following their assigned event each day
- **Coordinate with Director of Spec-Ops (AJR-24) to ensure DoD leadership are briefed**
- AJS VP may delegate limited review of information to you
- **Review/approve & distribute the investigation report within 10 days**
- **Communicate up**

BOLD – YOUR action

ITALICS – they are waiting on YOU

UNDER – expect data/calls from them

ERGI On-Call Checklist

- **Recognize significant event**
- **Notify Event Response Group Director/ERGTL**
- **Review the audio replay for all significant events**
- **Conduct initial analysis and declare level (red, yellow, green) of event response**
  - **RED** = EIM assigned
  - **YELLOW** = EIM or QCG lead? AJS is engaged
  - **GREEN** = DO assigned
- **Participate in the Services Rendered Telephone Conference**
- **Decide how much upward reporting is required and determine who should be briefed**
- Ensure email notifications to both Office of Communications (AOC) and Office of Government and Industry Affairs (AGI) within 1-hour of the first update to Event Response Group Director
- **Ensure the Event Response Director or designee determines whether ERT should be launched**; (within 4 hours of the Services Rendered Telephone Conf)
- **Inform QCG immediately when headquarters has decided to launch ERT**
- **If ERT is not launched, ensure the QCG or OCC/NOCC coordinate with Dir. of Ops**
- **Communicate up**

BOLD – YOUR action

ITALICS – they are waiting on YOU

UNDER – expect data/calls from them

QCG Checklist

- ROC notifies the on-duty specialist from the Service Center QCG
- **Provide briefing to on-call ERGI as soon as practical, preferably in less than 1 hour**
- *QCG determines whether to provide immediate notification to on-call QA rep, and the WOC*
- *If AJS involvement is required, QCG will notify WOC, of the notification required*
- *If AJS is not involved, ensure the appropriate Dir of Ops is notified*
- **Convene a Services Rendered Telephone Conference within 3 hours**
- **Send notification of the Services Rendered start-time to the ROC**
- **Convene a Post-Accident/Incident Drug and Alcohol Testing Determination Telephone Conference; if requested**
- *Communicate drug and alcohol testing decision to the on-call ERGI*
- *If ERT being launched, inform the facility's management*
- **Provide a brief summary of the event, to AJS within 6 hours**
- *Ensure data is uploaded to KSN site as soon as possible but no later than 3 hours*
- *Prepare voice & radar reconstruction*
- *Ensure transcripts are prepared in accordance with FAA Order 8020.16*
- **Communicate up**

BOLD – YOUR action

ITALICS – they are waiting on YOU

UNDER – expect data/calls from them