U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy

**ORDER
JO 7210.632**

Effective Date:
January 30, 2012

SUBJ: Air Traffic Organization Occurrence Reporting

The Air Traffic Organization (ATO) has moved to a more systemic view of safety within the National Airspace System (NAS). This view places more value on discovering why adverse safety events happen and in identifying risks, rather than determining who was at fault. It is the responsibility of all ATO employees who are engaged in and support air traffic services to report all suspected unsafe air traffic occurrences. The sharing of this information allows the ATO to more effectively and safely manage operations within the NAS. This directive modifies reporting requirements set forth previously to emphasize the collection of safety data as opposed to ascribing responsibility.

Elizabeth L. Ray
Vice President, Mission Support Services
Air Traffic Organization

NOV 10 2011

Date Signed

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Chapter 1. General

1-1. Purpose of This Order. This order provides guidance for processing mandatory ATO air traffic occurrence reports. This guidance indentifies what occurrences to report and how to report them. This order does not eliminate the requirements set forth in Federal Aviation Administration (FAA) Order JO 1030.3, Initial Event Response, that provides guidance for the immediate dissemination of information following significant ATO safety events.

1-2. Audience. This order applies to all ATO personnel, FAA contract tower employees, and anyone using ATO directives.

1-3. Where Can I Find This Order? This order is available on the MyFAA Employees Web site at https://employees.faa.gov/tools_resources/orders_notices/ and the FAA Web site at http.//www.faa.gov/regulations_policies/orders_notices/.

1-4. Cancellation. This order cancels FAA Order JO 7210.56, Air Traffic Quality Assurance, and FAA Order JO 7010.1, Air Traffic Organization Safety Evaluations and Audits.

1-5. Distribution. This order is distributed to the following ATO service units: Terminal, En Route and Oceanic, Technical Operations, Mission Support, and System Operations; ATO Safety; the Air Traffic Safety Oversight Service; the William J. Hughes Technical Center; the Mike Monroney Aeronautical Center; National Air Traffic Controllers Association; Professional Airway Systems Specialists; National Association of Government Employees; and to interested aviation public.

1-6. Definitions.

   a. Aircraft Accident – As defined in FAA Order JO 8020.16, an occurrence associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight and until such time as all such persons have disembarked, and in which any person suffers death or serious injury or in which the aircraft receives substantial damage.

   b. Aircraft Incident – As defined in FAA Order JO 8020.16, an occurrence other than an accident associated with the operation of an aircraft which affects or could affect the safety of operations.

   c. Air Traffic Incident – An air traffic incident encompasses all problems *not* affecting the aircraft directly; for example, near-midair collisions (NMAC); pilot, vehicle, or pedestrian deviations; Traffic Alert and Collision Avoidance System (TCAS) resolution advisory (RA) occurrences. An air traffic incident differs from an aircraft incident. Examples of aircraft incidents include occurrences such as emergency evacuations and in-flight major component failures.

   d. Electronic Occurrence Report (EOR) – An alert identified by an automated system such as Traffic Analysis and Review Program (TARP) or Operational Error Detection Patch (OEDP) that automatically uploads into the Comprehensive Electronic Data Analysis and Reporting (CEDAR) tool.

   e. Mandatory Occurrence Report (MOR) – An occurrence involving air traffic services for which the collection of associated safety-related data and conditions is mandatory. See Appendix A, Mandatory Occurrence Report Criteria, for a full listing of MORs.

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                                                                                                        Chapter 1

f. Measure of Compliance (MOC) – During a loss of standard separation occurrence involving radar separation minima for which recorded radar data is available, the greatest percentage of remaining separation (vertical or lateral) at the point of lowest separation conformance, as calculated by ATO Safety.

NOTE-
Explanation of how ATO Safety calculates MOC is provided in FAA Order JO 7210.633, Air Traffic Organization Quality Assurance Program (QAP).

g. Near mid-air collision (NMAC) – As defined in FAA Order 8020.11, an incident associated with the operation of an aircraft in which the possibility of collision has been reported by one of the involved flight crew *and* results in recorded proximity of less than 500 feet vertical and 0.5 nautical miles lateral to another aircraft.

h. Occurrence

(1) Any occurrence observed or suspected, that meets the definition of an MOR; or

(2) Any automated loss of standard separation detection alert (EOR).

i. Risk Analysis Event (RAE) – A loss of standard separation occurrence that has a MOC with less than 66% required separation maintained.

1-7. Related Publications.

a. FAA Order JO 7110.65, Air Traffic Control

b. FAA Order JO 7210.633, Air Traffic Organization Quality Assurance Program (QAP)

c. FAA Order JO 7210.634, Air Traffic Organization Quality Control (QC)

d. FAA Order JO 7200.20, Voluntary Safety Reporting Program

e. FAA Order JO 1030.3, Initial Event Response

f. FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting

g. FAA Order 8020.11, Aircraft Accident and Incident Notification, Investigation, and Reporting

h. FAA Order 1350.15, Records Organization, Transfer, and Destruction Standards

Chapter 2. Reporting Requirements

2-1. Introduction. This chapter describes the specific occurrences that must be reported and the methods used to report them. Under the following procedures, it is possible that one occurrence will generate multiple reports, which is preferable to missed reports. ATO Safety is responsible for reconciling all duplicate reports.

2-2. Safety Culture Expectations.

   a. The requirements for reporting the occurrences described by this directive are intended solely to ensure that safety data that may benefit the NAS are collected. The simple act of reporting an occurrence should not routinely trigger any quality control actions.

   b. References to specific reported occurrences must not be entered into an employee's training records. Managers must only enter any assigned training following guidance in FAA Order JO 3120.4, Air Traffic Technical Training, and FAA Order JO 7200.20, Voluntary Safety Reporting Program (VSRP), without any reference to the incident.

2-3. Responsibilities.

   a. ATO Organizational Responsibilities.

   (1)   ATO Safety is responsible for all policies and procedures related to air traffic incident and occurrence reporting and data collection according to this directive and FAA Order JO 7210.633, Air Traffic Organization Quality Assurance Program (QAP). Only ATO Safety may approve extensions of timeframes, exemptions from specific requirements, and other specific waivers to the provisions of this directive.

   (2)   The Mission Support, Litigation Liaison Office, is responsible for all policies and procedures related to aircraft accidents, aircraft incidents, and litigation support for enforcement and accidents.

   (3)   Each service unit is responsible for ensuring that their employees report all occurrences and support the data collection and analysis processes required by this directive or requested by ATO Safety.

   b. Employee Responsibilities.

   (1)   Employees must ensure that all occurrences of which they are aware, through either direct involvement or observation, are reported. All personnel with knowledge of an occurrence are encouraged to report even if it results in multiple submissions of the same occurrence.

   (2)   Nonmanagement employees eligible to participate in a VSRP such as Air Traffic Safety Action Program (ATSAP) may satisfy the reporting requirements of this directive by reporting occurrences through those programs, except as specified in FAA Order JO 7200.20 and this order.

REFERENCE–
FAAO JO 7200.20, paragraph 2-8b and c, VSRPs and FAA Order JO 7210.632, Air Traffic Organization Occurrence Reporting

   (3)   Management employees must report occurrences according to this directive. In addition, if eligible to participate they may also file a VSRP report.

2-4. What to Report. All observed or suspected occurrences which meet the MOR criteria as defined in appendix A.

2-5. How to Report. As soon as practical, without impacting operations:

   a. Nonmanagement personnel must report the occurrence:

      (1)   As soon as practical, to on-duty management/controller-in-charge (CIC) but no later than the end of duty shift; or

      (2)   According to FAA Order JO 7200.20.

   b. Management personnel/CIC:

      (1)   Must ensure that all reported or observed occurrences are entered into CEDAR as the appropriate MOR before the end of the current duty shift.

      (2)   Must update the original MOR to note all new pertinent information when more than one report of the same occurrence is received.

      (3)   Each MOR is assigned a unique identification number. Upon request, management must provide employees with a copy of the MOR.

      (4)   For an employee-reported occurrence that does not meet any MOR criteria, remind the employee about their VSRP. Management must still address any valid safety concerns identified by the employee.

   c. At locations without CEDAR (including nonfunctioning CEDAR):

      (1)   Non-management personnel must report the occurrence

         (a) As soon as practical, to on-duty management no later than the end of duty shift; or

         (b) According to FAA Order 7200.20.

      (2)   Management personnel/CIC must meet all the requirements of paragraph 2-5b by:

         (a) E-mailing or faxing the appropriate, completed hard copy MOR form to ATO Safety before the end of their current duty shift (see Appendix B, Air Traffic Mandatory Occurrence Report Manual Reporting Worksheet, and Appendix C, Technical Operations Services Mandatory Occurrence Report (MOR) Worksheet, for examples of hard copy forms). ATO Safety must provide the MOR tracking number to the facility point of contact (POC) by the next administrative day.

         (b) Copy the designated air traffic facility or technical operations district POC on their email or include a copy of their fax with their shift log.

   d. All alerts generated by OEDP in en route facilities must be manually entered as an EOR in CEDAR until a facility has an ATO Safety-approved process for uploading alerts to CEDAR.

NOTE-
1. *ERAM will provide automated upload of OEDP alert data – ERAM facilities will no longer be required to manually enter OEDP alert data into CEDAR once this upload capability is active and validated.*

2. *TARP alert data will automatically upload to CEDAR and will not require manual entry of any alert data by terminal facilities.*

2-6. Relieving and/or Restricting Operational Personnel. The decision to relieve personnel from operational positions is based upon management's determination that safety or the employee's well-being may be impacted. A review of an occurrence should not routinely trigger relieving/restricting an employee from an operational position. Relief from an operational position(s) does not restrict an employee from operational duties.

2-7. Reporting Compliance. Actions to be taken as a result of failure to report will be according to the FAA Personnel Management System and applicable collective bargaining agreements.

Chapter 3. Notifications

3-1. Flight Crew Notification of Suspected Pilot Deviations (PD).

 a. When the employee providing air traffic services determines that pilot actions affected the safety of operations, the employee must report through the MOR process and notify the flight crew as soon as operationally practical using the following phraseology:

PHRASEOLOGY-
(Aircraft identification) POSSIBLE PILOT DEVIATION, ADVISE YOU CONTACT (facility) AT (telephone number).

 b. The employee reporting the occurrence should notify the front-line manager (or controller-in-charge), operations manager, as appropriate, of the circumstances involved so that they may be communicated to the pilot upon contacting the facility.

NOTE-
This notification, known as the "Brasher Notification," is intended to provide the involved flight crew with an opportunity to make note of the occurrence and collect their thoughts for future coordination with Flight Standards regarding enforcement actions or operator training.

Chapter 4. Data Retention

4-1. Data Retention. FAA Order 1350.15 provides general requirements for data and record retention. FAA Order JO 8020.16 provides retention requirements for aircraft accidents, aircraft incidents, litigation, and enforcement support. The following are the retention requirements for occurrences covered under this order:

    a. Data involved in ATO Safety-identified RAEs must be retained according to FAA Order JO 7210.633.

    b. NMAC and PD reports will be identified from EORs and MORs and categorized following FAA Order JO 7210.633 and associated ATO Safety standard operating procedures. Upon notification by ATO Safety that an occurrence is a NMAC or PD, facility management must ensure that supporting data are provided and retained according to FAA Order JO 8020.16.

    c. In cases in which multiple retention requirements are applicable, data and record retention must adhere to the requirement stipulating the longest amount of time.

Appendix A. Mandatory Occurrence Report Criteria

A-1. Introduction.

   a. All employees must ensure that the following occurrences, of which they are aware, through either direct involvement or observation, are reported. These occurrences or conditions must be reported using the mandatory occurrence report (MOR) process described in this directive or in FAA Order JO 7200.20, Voluntary Safety Reporting Program (VSRP). Submission of a VSRP report satisfies non-management employees' requirement to report according to this directive except when the employee providing air traffic services determines that pilot actions affected the safety of operations. When such a determination is made, pilot actions must also be reported as an MOR in accordance with paragraphs A2-A8.

   b. Submission of a VSRP does not exempt employees from making appropriate notifications when the employee providing air traffic services determines an occurrence involved national security or the immediate safety of flight (for example, in-flight emergencies, overdue aircraft, no radio [NORDO]/no radio acknowledgement [NORAC] aircraft, aircraft accidents).

REFERENCE–
FAAO JO 7200.20, paragraph 2-8a, VSRPs and FAA Order JO 7210.632, Air Traffic Organization Occurrence Reporting

A-2. Airborne Loss of Separation.

   a. Any suspected loss of radar separation involving instrument flight rules (IFR) aircraft other than as a result of compression on final approach.

NOTE-
Loss of separation on final approach will be closely monitored using electronic loss of separation detection, assessed for risk and corrective action identified using the Quality Assurance and Quality Control processes.

   b. Any suspected loss of separation involving visual flight rules (VFR) aircraft in Class B and C airspace, Terminal Radar Service Area (TRSA), or practice VFR approaches.

   c. Any suspected loss of separation involving formation flights.

   d. Any suspected loss of separation involving non-radar standards.

A-3. Airport Surface Loss of Separation.

   a. Any ground surveillance alert [Airport Surface Detection Equipment (ASDE) or Airport Movement Area Safety System (AMASS)] between two aircraft.

   b. Any ground surveillance alert (ASDE or AMASS) between an aircraft and a vehicle.

   c. Any suspected loss of runway/airport surface separation between two aircraft.

   d. Any suspected loss of runway/airport surface separation between an aircraft and a vehicle.

   e. Any suspected loss of runway/airport surface separation between an aircraft and a pedestrian.

A-4. Terrain/Obstruction.

   a. Any suspected loss of separation between an IFR aircraft and terrain or obstacles; for example, operations below minimum vectoring altitude.

b. Any operation of a VFR aircraft in proximity to terrain or obstructions that the employee providing air traffic services determines affected the safety of flight. These occurrences normally result in air traffic control (ATC) issuing a safety alert or control action.

REFERENCE–
FAAO 7110.65, paragraph 2-1-6, Safety Alert

A-5. Airborne Air Traffic Control Anomaly (Airspace/Altitude/Route/Speed) not Involving a Loss of Separation.

a. Any instance in which an aircraft enters airspace on other than the expected or intended altitude, routing, or airspeed, or without a point-out or hand-off.

b. Any instance where an aircraft operates at an altitude, routing, or airspeed that the employee providing air traffic services determines affected the safety of flight or operations. These occurrences normally result in ATC issuing a safety alert or control action. All non-loss Traffic Alert and Collision Avoidance System (TCAS) resolution advisories (RA) and/or spillouts must be reported under this MOR.

c. Any occurrence where an aircraft enters special use airspace (for example, a warning area, military operations area, or ATC-assigned airspace) without coordination and/or authorization.

A-6. Airport Environment.

a. The presence of an aircraft, vehicle, or pedestrian on any movement area or runway safety area not expected/intended by ATC.

b. Any instance in which an aircraft unexpectedly lands or departs, or attempts to land or depart, a runway or surface.

c. Any instance in which an aircraft lands or departs on, or flies an unrestricted low approach to, a closed runway (or portion thereof).

d. Any go-around initiated by either a flight crew or ATC involving turbojet aircraft within a 1/2-mile of the arrival threshold not involving practice approaches.

e. Any instance in which any part of the aircraft has crossed over the runway hold-short line and the controller cancels the take-off or the flight crew aborts the take-off.

f. Any instance in which an aircraft unintentionally maneuvers off the runway/taxiway.

g. Any improper/unexpected presence of a vehicle or aircraft inside the instrument landing system (ILS) protected area.

A-7. Communication. Any instance in which communication with an aircraft was not established or not maintained as expected/intended, and results in alternative control actions or additional notifications by ATC, or a flight crew, or in a landing without a clearance.

NOTE-
Examples of "additional notifications" would include notifications required according to FAA Order JO 1030.3 or to the Domestic Events Network for NORDO aircraft

A-8. Emergency or In-Flight Hazard. The following are provided as examples and are not intended to be all inclusive.

NOTE-
Emergency or in-flight hazards may be declared by ATC, flight crews, or other than flight crew members.

    a. Medical emergency.

    b. Inflight equipment malfunction requiring special handling.

    c. Bird strike.

    d. Fuel quantity emergency.

    e. Pilot disorientation.

    f. VFR pilot in or trapped on top of clouds.

    g. Laser light illumination.

    h. Hijacking.

    i. Bomb Threat.

A-9. Inquiry. Any expression of concern or inquiry by any external entity to a management official/controller-in-charge (CIC) or to ATC on the radio concerning the proximity or operation of an aircraft, either airborne or on the surface, including near midair collision (NMAC) notifications from a flight crew.

A-10. Technical Operations MORs. The following occurrences are only applicable to technical operations personnel.

    a. Hazardously misleading information (see FAA Order 6000.15, General Maintenance Handbook for NAS Facilities) being used by an aircraft.

    b. Misreported National Airspace System (NAS) outages; for example, from a code 80 (unscheduled) to a code 60 (scheduled).

    c. Misreported preventive maintenance accomplishment.

    d. Noncompliance with:

        (1) Outage coordination requirements.

        (2) Notice to airmen (NOTAM) processes and procedures.

        (3) Unauthorized or noncompliant modifications to NAS equipment.

Appendix B. Air Traffic Mandatory Occurrence Report
Manual Reporting Worksheet

Submission using CEDAR is <u>preferred</u>. If CEDAR is <u>unavailable</u>, please submit the completed FAA
Form 7210-13 to: 9-ATOS-HQ-INVESTIGATIONS/AWA/FAA   **or**   FAX to (202) 385-4857

<u>SECTION A</u>

FAC ID. Three-letter/digit identifier taken from Order 7350.8.

DATE (UTC). Two-digit day (dd), two-digit month (mm), and four-digit year (yyyy).

TIME (UTC). Four-digits, universal coordinated time.

SIGNIFICANT OCCURRENCE. Select one of two options listed.

MOR REPORTED BY. Select from the options listed, and describe "other" in the Summary Section J (if
appropriate).

<u>SECTION B</u>

MOR TYPE. Select from the options listed, and describe "other" in the Summary Section J (if appropriate).

AIRCRAFT #1. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select
IFR or VFR, select formation flight and provide non-standard characteristics, facility communicating with aircraft
(i.e., tower, TRACON, CERAP, ARTCC), position communicating with aircraft (i.e., LC, FC, sector-ID), and the
air-ground radio frequency.

AIRCRAFT #2. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select
IFR or VFR, select formation flight and provide non-standard characteristics, facility communicating with aircraft
(i.e., tower, TRACON, CERAP, ARTCC), position communicating with aircraft (i.e., LC, FC, sector-ID), and the
air-ground radio frequency.

REQUIRED SEPARATION. Provide required feet/NM separation.

OBSERVED SEPARATION. Provide observed feet/NM separation.

AIRSPACE CLASS. Select from the options listed, and describe "other" (if appropriate).

<u>SECTION C</u>

MOR TYPE. Select from the options listed, and describe "other" (if appropriate).

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select
IFR or VFR, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position
communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio
frequency.

LOCATION. Latitude/longitude, or navigation aid radial/distance, or intersection name to best define the
event location.

REQUIRED ALTITUDE. Provide required feet above MSL, or flight-level (FL).

OBSERVED ALTITUDE. Provide observed feet above MSL, or flight-level (FL).

<u>SECTION D</u>

MOR TYPE. Select from the options listed.

OCCURRENCE LOCATION. Describe the airport location in detail, using prominent landmarks/features.

AIRCRAFT #1. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

OTHER -

AIRCRAFT (if applicable). Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

VEHICLE (if applicable). Check appropriate vehicle type, provide description if "other," and vehicle identification (i.e., license, VIN, serial number), facility communicating with vehicle (i.e., tower, airport operations, fire/rescue), position communicating with vehicle (i.e., GC, LC, ops-desk, battalion chief), and the air-ground/mobile radio frequency.

PEDESTRIAN (if applicable). Individual's full name.

SECTION E

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select IFR or VFR, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

MOR TYPE. Select from the options listed, being careful to check all selections that apply, and complete the facility ID communicating with aircraft, position communicating with aircraft (i.e., GC, LC, sector-ID), and the air-ground radio frequency.

ALTITUDE/ROUTE/SPEED. Select from the options listed, being careful to check all selections that apply.

VISUAL/CONTACT/SFVR. Select from the options listed, and complete the meteorological (METAR) observation closest to the event.

SECTION F

MOR TYPE. Select from the options listed, and complete the facility ID communicating with aircraft, position communicating with aircraft (i.e., GC, LC, sector-ID), and the air-ground radio frequency.

RESULTING ACTIONS. Select from the options listed.

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select IFR or VFR, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

SECTION G

MOR TYPE. [form being modified]

AIRBORNE OCCURRENCE. Select from the options listed.

REPORTING SOURCE. Individual's full name, facility/organization name or reporting entity (i.e., carrier name, fixed-base operator name, Congressional office).

CONTACT NUMBER. Provide telephone number to reach the reporting individual.

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select IFR or VFR, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

SECTION H

EMERGENCY

MOR TYPE. Select from the options listed, and describe "other" (if appropriate).

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

EQUIPMENT. Aircraft equipment that is malfunctioning, (i.e., flight-management system, cabin-pressurization, rudder-trim, engine).

PASSENGER/CREW. Medical condition that necessitated air traffic response, (heart-attack, temporary blindness, flu-symptoms, injury due to turbulence).

ROUTE. Three-letter identifier for departure airport, destination airport, and diversion airport (if appropriate).

SECURITY

MOR TYPE. Select from the options listed.

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

NEAREST CITY. City, state for laser events only.

ALTITUDE. Aircraft altitude at time of event; feet above MSL, or flight-level (FL).

ROUTE. Three-letter identifier for departure airport, destination airport, and diversion airport (if appropriate).

LOCATION. Latitude/longitude, or navigation aid radial/distance, or intersection name to best define the event location.

TIME. Four-digits, universal coordinated time, as recorded at the DEN.

SECTION I

SURFACE

MOR TYPE. Select from the options listed, and complete the approach type/suffix (if appropriate).

LOCATION. Describe the airport location in detail, using prominent landmarks/features.

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

APPROACH/LANDING/TAKEOFF

MOR TYPE. Select one from the options listed.

LOCATION. Describe the airport location in detail, using prominent landmarks/features.

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

VEHICLE

MOR TYPE. Select from the options listed, and complete the ILS type/suffix (if appropriate).

LOCATION. Describe the airport location in detail, using prominent landmarks/features.

VEHICLE. Check appropriate vehicle type, provide description if "other," and vehicle identification (i.e., license, VIN, serial number), facility communicating with vehicle (i.e., tower, airport operations, fire/rescue), position communicating with vehicle (i.e., GC, LC, ops-desk, battalion chief), and the air-ground/mobile radio frequency.

PEDESTRIAN

MOR TYPE. Check appropriate boxes.

LOCATION. Describe the airport location in detail, using prominent landmarks/features.

NAME. Individual's full name.

SECTION J

SUMMARY. Provide a brief summary that will provide enough information for QA to understand what occurred. Include information about items that require additional information in the specific MOR you are reporting.

FIG B-1
FAA Form 7210-13, Air Traffic Mandatory Occurrence Report

SECTION A Complete for ALL MORs	1. Reporting FAC ID	2. Date UTC (dd/mm/yyyy)	3. Time UTC	4. Significant Occurrence? ☐ Yes ☐ No

5. MOR reported by (select one):
☐ Controller providing services   ☐ FLM   ☐ Internal Facility Review
☐ CIC   ☐ Aircraft Owner/Operator   ☐ Electronically Detected
☐ External Facility Referral   ☐ Hotline (Describe in summary)   ☐ Other (Describe in summary)

SECTION B – AIRBORNE SEPARATION ONLY Complete for Airborne Separation MORs

AIRBORNE SEPARATION MORs

B1. MOR type - suspected airborne loss involving (select one):

☐ IFR aircraft   ☐ VFR aircraft (in Class B or practice VFR approach) ☐ Other suspected loss (describe in summary)
☐ Formation flights ☐ Non-radar

B2. Aircraft #1 information:

Aircraft ID	Aircraft Type/Suffix	IFR/VFR	Formation Flight
		☐ IFR ☐ VFR	☐ No ☐ Non-standard _____ ☐ Standard Trailing A/C beacon

Facility communicating with A/C	Position communicating with A/C	Frequency	TCAS RA ☐ Yes ☐ No

B2. Aircraft #2 information:

Aircraft ID	Aircraft Type/Suffix	IFR/VFR	Formation Flight
		☐ IFR ☐ VFR	☐ No ☐ Non-standard _____ ☐ Standard Trailing A/C beacon

Facility communicating with A/C	Position communicating with A/C	Frequency	TCAS RA ☐ Yes ☐ No

B3. *Required* separation:	B4. *Observed* separation	B5. Airspace class:
Vertical _____ ft Lateral _____ nm	Vertical _____ ft Lateral _____ nm Only include observed separation if provided by the reporting person	☐ A ☐ C ☐ B ☐ Other (describe in summary)

SECTION C – TERRAIN/OBSTRUCTION ONLY Complete for Terrain/Obstruction MORs

TERRAIN/OBSTRUCTION MORs

C1. MOR type - Improper/unexpected operation of aircraft near terrain/obstruction involving (select one):

☐ MVA   ☐ MIA   ☐ MEA   ☐ MOCA ☐ MCA   ☐ Other (describe in summary)
☐ MRA

C2. Aircraft information:

Aircraft ID	Aircraft Type/Suffix	IFR/VFR	Facility communicating with A/C	Position communicating with A/C	Frequency
		☐ IFR ☐ VFR			

C3. Occurrence location:	C4. *Required* altitude:	C5. *Observed* altitude:
Describe where the occurrence occurred in relation to a navigational aid or fix (VOR, intersection, localizer, etc.)		Only include observed altitude if provided by the reporting person

FAA FORM 7210-13

FIG B-1
FAA Form 7210-13, Air Traffic Mandatory Occurrence Report (continued)

SECTION D – SURFACE SEPARATION ONLY Complete for Surface Separation MORs	**SURFACE SEPARATION MORs**

SURFACE SEPARATION MORs

D1. MOR type - suspected surface loss involving (select one):

☐ Two aircraft ☐ Ground surveillance alert between two aircraft

☐ Aircraft and vehicle ☐ Ground surveillance alert between aircraft/vehicle
☐ Aircraft and pedestrian

D2. Occurrence location:

Describe where on the airport surface the occurrence occurred

D3. Aircraft #1 information:

Aircraft ID	Aircraft Type/Suffix	Facility communicating with A/C	Position communicating with A/C	Frequency

D4. Other involved aircraft/vehicle/pedestrian information (only complete one sub-section as applicable):

D4a. Aircraft

Aircraft ID	Aircraft Type/Suffix	Facility communicating with A/C	Position communicating with A/C	Frequency

D4b. Vehicle

Vehicle type:	Vehicle ID	Facility communicating with vehicle	Position communicating with vehicle	Frequency
☐ Airport operator ☐ Contractor ☐ FAA ☐ A/C not for flight ☐ Tug (summary) ☐ Other ☐ Tug with aircraft				

D4c. Pedestrian

Pedestrian name (if known):

AIRSPACE/ALTITUDE/ROUTE/SPEED MORs

SECTION E–AIRSPACE/ALTITUDE/ROUTE/SPEED ONLY Complete for Airspace/Altitude/Route/Speed MORs

E1. Aircraft information:

Aircraft ID	Aircraft Type/Suffix	IFR/VFR	Facility communicating with A/C	Position communicating with A/C	Frequency
		☐ IFR ☐ VFR			

E2. MOR type - (only complete one sub-section as applicable):

E2a. ☐ **Aircraft entered airspace other than expected/intended and alternate actions were taken by ATC or the flight crew:**

Airspace entered:		Foreign facility deviation:	Action taken by:
Facility	Position	☐ Yes ☐ No	☐ ATC ☐ Flight crew

E2b. ☐ **Aircraft operated at altitude/route/speed other than expected/intended:**

Unexpected/unintended:	TCAS RA:	Foreign Facility Deviation:	Spillout:
☐ Altitude ☐ Route ☐ Speed	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No

E2c. ☐ **Aircraft conducted visual/contact approach or operated SVFR below weather minima:**

Aircraft operation/procedure:	METAR observation:
☐ Visual approach ☐ Contact approach ☐ SVFR	

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FIG B-1
FAA Form 7210-13, Air Traffic Mandatory Occurrence Report (continued)

	COMMUNICATION MORs	
SECTION F – COMMUNICATION ONLY Complete for Communication MORs	**F1. MOR type - Aircraft communications not (select one):** ☐ Established as expected/intended and ATC/flight crew actions or ATC notifications required ☐ Maintained as expected/intended and ATC/flight crew actions or ATC notifications required - Last contact: Facility ID:_____ Position: _____ Frequency: __ ___	**F2. Resulting actions:** ☐ Alternative action by ATC ☐ Alternative action by flight crew ☐ Additional notification by ATC ☐ Landing without clearance

F3. Aircraft information:

Aircraft ID	Aircraft Type/Suffix	IFR/VFR ☐ IFR ☐ VFR	Facility communicating with A/C	Position communicating with A/C	Frequency

INQUIRY MORs

SECTION G –INQUIRY ONLY Complete for Inquiry MORs

G1. MOR type – Public inquiry:

Any expression of concern or inquiry, by any external entity, that is made by email, telephone, radio, etc., concerning the proximity or operation of an aircraft, either airborne or on the surface

G2. Airborne occurrence: ☐ Yes ☐ No	G3. Reporting source:	G4. Contact number:

G5. Aircraft information:

Aircraft ID	Aircraft Type/Suffix	IFR/VFR ☐ IFR ☐ VFR	Facility communicating with A/C	Position communicating with A/C	Frequency

EMERGENCY MORs

SECTION H – EMERGENCY ONLY Complete for Emergency MORs

H1. MOR type – in-flight emergency conditions involving (select one):

☐ Medical emergency ☐ Avionics/instrument malfunction ☐ Disoriented ☐ VFR in/on top IFR conditions
☐ Mechanical malfunction ☐ Fuel Quantity ☐ Bird strike ☐ Other (describe in summary)

H1a. Aircraft information:

Aircraft ID	Aircraft Type/Suffix	Facility communicating with A/C	Position communicating with A/C	Frequency

H1b. Malfunctioning equipment component: Only complete for mechanical MORs	H1c. Passenger or crew condition: Only complete for medical MORs	H1d. Route information Departed Destination Diverted to

H2. MOR type – in-flight security conditions involving (select one):

☐ Laser light illumination ☐ Hijack ☐ Bomb threat

H2a. Aircraft information:

Aircraft ID	Aircraft Type/Suffix	Facility communicating with A/C	Position communicating with A/C	Frequency

H2b. Nearest major city: Only complete for laser light illuminations	H2c. Altitude:	H2d. Route information:		
		Departed	Destination	Diverted to
H2e. Location (lat/long or fix/radial distance):	**H2f. Time DEN notified (UTC):**			

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FIG B-1
FAA Form 7210-13, Air Traffic Mandatory Occurrence Report (continued)

AIRPORT ENVIRONMENT MORs	

I1. MOR type - airport environment MORs involving aircraft on the airport surface:
 	
☐ Aircraft on movement area/runway safety area other than expected/intended
 	
   - Other aircraft within one-mile of landing threshold? ☐ Yes ☐ No
 	
☐ Canceled takeoff clearance or flight crew aborted takeoff after crossing hold-short line
☐ Aircraft unintentionally maneuvered off runway or taxiway
☐ Aircraft within ILS protected area other than expected/intended
 	
   - Other aircraft on final approach – ID _____   Type/Suffix ____
_____
	I1a. Occurrence location:
	
	Describe where on the airport surface the occurrence occurred

I1b. Aircraft information:

Aircraft ID	Aircraft Type/Suffix	Facility communicating with A/C	Position communicating with A/C	Frequency

I2. MOR type – airport environment MORs involving aircraft landing/departing/on low-approach: ☐ Aircraft landed/departed or attempted to land/depart runway/surface other than expected/intended ☐ Aircraft landed/departed or executed low approach to closed runway (or closed portion thereof) ☐ Turbojet go-around within ½ mile of arrival threshold (non-flight training)	**I2a. Occurrence location:** Describe where on the airport surface the occurrence occurred

I2b. Aircraft information:

Aircraft ID	Aircraft Type/Suffix	Facility communicating with A/C	Position communicating with A/C	Frequency

I3. MOR type – airport environment MORs involving vehicles on the airport surface:
 	
☐ Vehicle on movement area/runway safety area other than expected/intended
 	
   - Aircraft within one-mile of landing threshold?   ☐ Yes   ☐ No
 	
☐ Vehicle within ILS protected area other than expected/intended
 	
   - Aircraft on final approach – ID _____   Type/Suffix ____
_____
	I3a. Occurrence location:
	
	Describe where on the airport surface the occurrence occurred

I3b. Vehicle information:

Vehicle type: ☐ Airport operator ☐ Contractor ☐ FAA ☐ A/C not for flight ☐ Tug (summary) ☐ Other ☐ Tug with aircraft	Vehicle ID	Facility communicating with vehicle	Position communicating with vehicle	Frequency

I4. MOR type – airport environment MOR involving pedestrian on the airport surface: ☐ Pedestrian on movement area/runway safety area other than expected/intended - Aircraft within one-mile of landing threshold? ☐ Yes ☐ No	**I4a. Occurrence location:** Describe where on the airport surface the occurrence occurred

I4b. Pedestrian name (if known):

Left margin: SECTION I – AIRPORT ENVIRONMENT ONLY Complete for Airport Environment MORs

(watermark: SAMPLE)

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FIG B-1
FAA Form 7210-13, Air Traffic Mandatory Occurrence Report (continued)

SUMMARY
J1. Summary – provide a brief summary for all MORs in this section that will provide enough information for QA to understand what occurred. Include information about items that require additional information in the specific MOR you are reporting.

SECTION J – SUMMARY
Complete for ALL MORs

SAMPLE

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Appendix C. Technical Operations Services
Mandatory Occurrence Report (MOR) Worksheet

Submission using CEDAR is <u>preferred</u>. If CEDAR is <u>unavailable</u>, please submit the completed FAA Form 7210-14 to: 9-ATOS-HQ-INVESTIGATIONS/AWA/FAA   **or**   FAX to (202) 385-4857

<u>SECTION A</u>

FAC ID. Four-letter/digit identifier taken from Order 7350.7.

DATE (UTC). Two-digit day (dd), two-digit month (mm), and four-digit year (yyyy).

TIME (UTC). Four-digits, universal coordinated time.

MOR REPORTED BY. Select one from the options listed.

<u>SECTION W</u>

MOR TYPE. Select one from the options listed.

FSEP TYPE. Five-letter/digit identifier taken from Order 6000.5.

FACILITY ID. Four-letter/digit identifier taken from Order 7350.7.

LOCATION. City, state is required.

<u>SECTION J</u>

SUMMARY. Provide a brief summary that will provide enough information for QA to understand what occurred. Include information about items that require additional information in the specific MOR you are reporting.

FIG C-1
FAA Form 7210-14, Technical Operations Mandatory Occurrence Report

| Section A | 1. Reporting Facility ID | 2. Date UTC (dd/mm/yyyy) | | 3. Time UTC | |

4. MOR Reported by (check one):

☐ First Level Manager   ☐ Engineering Services Manager   ☐ Technical Services Employee

☐ Facility Manager   ☐ 2nd Level Engineering Manager   ☐ Engineering Services Employee

☐ District Manager   ☐ QC/NASTEP Program Manager   ☐ 2nd Level Engineering Employee

☐ Technical Services Manager   ☐ ATSS   ☐ OTHER

Section W - TECHNICAL OPERATIONS — Complete for Technical Operations MORs

TECHNICAL OPERATIONS MORs

W. MOR TYPE (check ONLY one) - Technical Operations occurrence involving:

☐ Hazardously Misleading Information (HMI) being used by an aircraft

☐ Misreported National Airspace System (NAS) outages, e.g., from a Code 80 to a Code 60

☐ Misreported preventive maintenance (PM) accomplishment

    Noncompliance with:

    ☐ Outage coordination requirements

    ☐ Notice to Airmen (NOTAM) processes and procedures

    ☐ Unauthorized or noncompliant modifications to NAS equipment

(Complete section W1. below)

W1. For the specific MOR TYPE checked above enter the following information:

FSEP Facility Type: Facility Identifier: Location:

Section J - SUMMARY — Complete for ALL MORs

SUMMARY

J. Summary – provide a brief summary that will provide enough information for QA to understand what occurred. Include information about items that require additional information in the specific MOR you are reporting.

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