



U.S. Department of Transportation
Federal Aviation Administration

Office of Audit and Evaluation
Annual Report to Congress Fiscal Year 2020

Required by 49 U.S.C. § 106(t)(7)

Executive Summary

The Federal Aviation Administration (FAA), Office of Audit and Evaluation (AAE) is pleased to submit its Annual Report to Congress for the “Aviation Safety Whistleblower Investigation Office” in fulfillment of the mission and statutory requirements established by the FAA Modernization and Reform Act of 2012, Public Law 112-95, Sec. 341, codified at 49 U.S.C. § 106(t)).

This report summarizes work that AAE either initiated or completed on a number of critical aviation safety activities in support of the FAA’s continuing mission to provide the safest, most efficient aerospace system in the world. In addition to conducting investigations under Section 106(t), we perform many other important safety-related investigations and safety oversight activities.

During this reporting period, our office investigated or oversaw disclosures pertaining to nearly every FAA organizational entity. Many of the allegations contained in these disclosures identified programmatic or operational deficiencies that could have directly impacted safety. In some cases, allegations were substantiated by our investigations, and our recommendations resulted in policy changes and the implementation of noteworthy corrective actions by the agency. We are pleased by the overall level of receptiveness from senior officials, and the openness we have received in response to our recommendations for improving aviation safety and FAA operations.

We recognize the strong commitment to aviation safety displayed both by those who filed reports with our office, as well as the dedication demonstrated by a cadre of FAA professionals providing their subject matter expertise to assist us in fulfilling this important work.

We appreciate the support that we have received from senior officials throughout the FAA and the entire U.S. Department of Transportation, the Office of Inspector General (OIG), the U.S. Office of Special Counsel (OSC), the U.S. Government Accountability Office (GAO), and Members of Congress and their staffs during this reporting period. We look forward to continuing this important mission in the coming years.

Significant Activity October 1, 2019 – September 30, 2020

Safety Oversight, Investigations and Whistleblower Protection

The FAA’s Aviation Safety Whistleblower Investigation Program receives and manages safety disclosures from FAA and aviation industry employees under Section 106(t). AAE also receives disclosures of alleged retaliation from the Department of Labor (DOL) made by aviation industry employees of U.S. air carriers, their contractors, or subcontractors as outlined under 49 U.S.C. § 42121(b)(1), the “Wendell H. Ford Aviation Investment and Reform Act for the 21st Century” (AIR 21),¹ but those disclosures are investigated by DOL.

AAE refers safety disclosures meeting the AIR21 criteria to appropriate FAA lines of business (LOBs) for investigation. Once the LOB completes the investigation, it submits a Report of Investigation (ROI) to AAE for evaluation and approval. These reports are not closed until any corrective actions are completed.

Disclosures from FAA personnel that allege safety violations are investigated either by AAE investigators, or by, or in coordination with, other FAA subject matter experts. All investigations receive extensive AAE oversight. Once an investigation is completed, AAE investigators prepare an independent report of investigation that outlines the findings. AAE provides the report to the Administrator and the affected FAA organization (*e.g.*, Flight Standards Service, Aircraft Certification, Air Traffic Organization, Airports) for corrective action, as recommended by AAE. In response, the Administrator provides a formal response to the recommendations to include any corrective actions implemented or planned.

Although the ultimate responsibility for implementing a corrective action plan falls upon the appropriate FAA functional organization, AAE monitors those corrective actions made as a result of our findings to ensure that they are implemented and evaluates their effectiveness.

FY2020 was a successful year for AAE, despite challenges associated with COVID-19. Employees showed their flexibility and resiliency and continued a normal pace of operations at the outset of COVID-19 related workplace restrictions. AAE was already equipped to work virtually and remotely, and we have fully accomplished our responsibilities.

Appendix A contains a comprehensive summary of all safety disclosures made by FAA employees and aviation industry employees.

¹ Under AIR 21, the Occupational Safety and Health Administration (OSHA) is responsible for investigations of alleged reprisal or discrimination for reporting aviation safety-related violations filed by employees of air carriers or their contractors or subcontractors. FAA is responsible for investigation of the initial safety-related disclosure(s) that led to the alleged reprisal. Although the investigations are conducted separately, OSHA and the FAA closely coordinate their activities.

Examples of the work completed in FY 2020

Lack of Oversight

AAE conducted an investigation of an anonymous disclosure related to alleged wrongdoing by an Aviation Safety Inspector from an air carrier Certificate Management Team. The disclosure alleged improper oversight of the carrier related to aircraft onboarding, aircraft configuration changes, and use of alternate means of compliance. Some allegations were substantiated, and we made multiple recommendations. Over the last year there have been numerous substantiated investigations concerning this carrier, including findings of undocumented maintenance activities, lack of defined procedures for tagging aircraft parts, noncompliance with maintenance manuals and use of unauthorized maintenance checklists. These findings, collectively, may be considered indicators of potential underlying deficiencies concerning the Certificate Management Office's oversight of the carrier. We recommended that our investigative findings, and any other assessments or investigations, should be fully examined to identify any risk to oversight responsibilities that may require mitigation by Flight Standards leadership. The Associate Administrator for Aviation Safety informally concurred with the recommendations, and the formal written response is still pending review.

Regulatory Non-compliance

AAE issued a report and recommendations related to a safety disclosure received from a Flight Standards (AFX) Aviation Safety Inspector (ASI) assigned to an air carrier Certificate Management Office (CMO). The ASI alleged that the CMO management authorized a regulatory non-compliance, for which there is no approved process, resulting in the carrier operating aircraft in revenue service that did not meet airworthiness limitations, or the requirements of the carrier's approved maintenance program. Our investigation substantiated the allegation and found that AFX allowed continued operation of affected aircraft in commercial passenger carrying service without a process for allowing or providing an approved means to document that authorization. We also found that AFX lacks sufficient guidance regarding Risk Based Decision Making (RBDM) and the application of regulatory exemptions and/or deviations to resolve operational non-compliance disclosed by air carriers. We issued six recommendations to the Associate Administrator for Aviation Safety (AVS-1). These recommendations focused on ensuring regulatory compliance over airline operations. AVS-1 concurred with the recommendations and corrective action is ongoing.

Failure to Follow Requirements

AAE conducted an assessment of oversight responsibilities assigned to a North Dakota Flight Standards District Office (FSDO) of certificate holders located in the Pacific Region, specifically Guam and Micronesia. Our assessment indicated that the transfer of those certificates did not follow the requirements outlined in Flight Standards guidance, oversight of these certificate holders may have degraded, and further action was needed to ensure appropriate oversight is accomplished. AAE issued a safety notification to the Administrator, and later made three recommendations to the Administrator to ensure that the documentation requirements per Order 8900.1 for the certificates transferred from Hawaii to this North Dakota office is completed, and

that oversight of these certificates be assigned to a fully trained and Safety Assurance System (SAS) proficient Principal Operations Inspector with oversight from a Front Line Manager that understands his or her responsibility of conducting data reviews of SAS. The Administrator and AVS-1 concurred with the recommendations, and corrective action remains ongoing.

Summary of Disclosures Submitted to AAE in Fiscal Year 2020	
Total Submissions	162
Disclosures referred for investigation	87
Disclosures referred to the safety hotline	25
Disclosures that did not require further investigation ¹	50
Sources of Complaints Referred for Investigation	87
Pilots/Engineers – 21 Mechanics or Repairmen – 17 Flight Attendants – 5 Manufacturers – 21 Gate Agents/Ground Handlers - 1 Others ² – 9 FAA Employees – 13	
Investigations Status	
Violation Determined – 22 No Violation Determined; Investigation Closed – 18 Pending Review/Open Investigation -47	
<small>¹ Further investigation not required because complaint was: not a violation, a duplicate, or previously investigated. ² Can Include Can Include: Flight Nurses, Simulator Instructors, Executives, Publication Librarians, Safety Specialists.</small>	

OIG and GAO Audits

In accordance with FAA Order 1100.167B, AAE serves as FAA’s primary interface to, and maintains a continuous liaison for audits and recommendations on FAA-related engagements by GAO, DOT OIG, and other OIGs. AAE reviews the sufficiency and responsiveness of draft FAA responses to these external audits and monitors the implementation of corrective action commitments by FAA organizations in response to these external audits.

OIG and GAO Audit Activity in FY 2019	DOT OIG	GAO	Other Reviewers	Total
Audit Reviews Initiated	18	24	2	44
Audit Reports Reviewed and Responses Drafted	23	35	0	58
Audit Recommendations Resulting from Completed Audits	90	41	0	131
Recommendations Resolved Based Upon FAA Responses	86	41	0	127

FAA Hotline Operations

Pursuant to FAA Order 1070.1A, the FAA hotline receives reports related to potentially unsafe and unauthorized aviation activity that may violate an FAA regulation, order, or any other provision of Federal law related to aviation safety; or fraud, waste, abuse, or misconduct associated to FAA programs, personnel, organizations, or facilities. The FAA hotline receives reports from FAA employees, the aviation community, law enforcement and the public via an online web form, email, or mail. Based upon an analysis of all matters submitted to the FAA Hotline in Fiscal Year 2020, there were more than 5,200 referrals to FAA organizations for investigation or other appropriate action. The number of referrals to FAA organizations increased by 12 percent over Fiscal Year 2019.

Appendix A: FAA Whistleblower Investigations

Tracking Number: EWB20001	<i>Date Received:</i> 10/2/2019
<i>Reporter:</i> Other. <i>Allegation(s):</i> Failure of an air carrier to track and report Hazardous Materials Violations; failure to report training issues; failure to comply with SMS manual.	
<i>Referred To:</i> Office of Hazardous Materials Safety and Flight Standards Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB20002	<i>Date Received:</i> 10/3/2019
<i>Reporter:</i> Manufacturing Employee. <i>Allegation(s):</i> Manufacturing technician reporting air carrier subcontractor shipping of mismarked parts and improper repair of defective parts.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> Violation of a regulation, order, or standard. Corrective and/or enforcement action initiated.	

Tracking Number: EWB20009	<i>Date Received:</i> 10/10/2019
<i>Reporter:</i> Manufacturing Employee. <i>Allegation(s):</i> Manufacturing technician reports lack of control over vendor inputs at an air carrier subcontractor.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB20012	<i>Date Received:</i> 10/18/2019
<i>Reporter:</i> Manufacturing Employee. <i>Allegation(s):</i> Failure of an air carrier subcontractor to properly inspect parts.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB20014	<i>Date Received:</i> 10/20/2019
<i>Reporter:</i> Flight Attendant. <i>Allegation(s):</i> Air Carrier's failure to provide required rest.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20015	<i>Date Received:</i> 10/22/2019
<i>Reporter:</i> Mechanic. <i>Allegation(s):</i> Air carrier mechanic reporting improper sign-offs of a botched navigation database upload.	
<i>Referred To:</i> Flight Standards Service	
<i>Findings:</i> Violation of a regulation, order, or standard. Corrective and/or enforcement action completed.	

Tracking Number: EWB20016	<i>Date Received: 10/22/2019</i>
<i>Reporter: Pilot/Engineer. Allegation(s): Unqualified check airmen; lack of SOP.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): No violation of a regulation, order, or standard.</i>	

Tracking Number: EWB20021	<i>Date Received: 11/2/2019</i>
<i>Reporter: Pilot/Engineer. Allegation(s): Air Carrier instructor pilot reporting training document falsification.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): Violation of a regulation, order or standard. Corrective and/or enforcement action completed.</i>	

Tracking Number: EWB20022	<i>Date Received: 11/5/2019</i>
<i>Reporter: Mechanic. Allegation(s): Part 121 mechanic reporting a conflict between the GMM and the AMM.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): No violation of a regulation, order, or standard.</i>	

Tracking Number: EWB20024	<i>Date Received: 11/6/2019</i>
<i>Reporter: Manufacturing employee. Allegation(s): Component approval without current or approved specifications.</i>	
<i>Referred To: Aircraft Certification Service</i>	
<i>Finding(s): Under investigation.</i>	

Tracking Number: EWB20025	<i>Date Received: 11/7/2019</i>
<i>Reporter: Pilot/Engineer. Allegation(s): Ignoring aircraft deficiencies reported by pilots and medical crews directing missions.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): Under investigation.</i>	

Tracking Number: EWB20027	<i>Date Received: 11/12/2019</i>
<i>Reporter: Mechanic. Allegation(s): Air carrier mechanic reporting retaliation for documenting missing cargo bin fire seals.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): Violation of a regulation, order, or standard. Corrective and/or enforcement action complete.</i>	

Tracking Number: EWB20028	<i>Date Received: 11/15/2019</i>
<i>Reporter: Pilot/Engineer. Allegation(s): Lack of prospectively scheduled rest, engine overhaul exceedance.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): Violation of a regulation, order, or standard. Corrective and/or enforcement action initiated.</i>	

Tracking Number: EWB20029	<i>Date Received:</i> 11/18/2019
<i>Reporter:</i> Other – Flight Nurse. <i>Allegation(s):</i> Pilot operated illegally in IMC due to pressure by company.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Violation of a regulation, order, or standard. Corrective and/or enforcement action initiated.	

Tracking Number: EWB20030	<i>Date Received:</i> 11/18/2019
<i>Reporter:</i> Pilot/Engineer. <i>Allegation(s):</i> Pressure to operate in an unsafe environment.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB20034	<i>Date Received:</i> 11/24/2019
<i>Reporter:</i> Manufacturing Employee. <i>Allegation(s):</i> Improper NCMR procedures.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB20035	<i>Date Received:</i> 12/2/2019
<i>Reporter:</i> Mechanic. <i>Allegation(s):</i> Repair Station Mechanic reporting that repairs were made using improper maintenance manual	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB20036	<i>Date Opened:</i> 12/2/2019
<i>Reporter:</i> Mechanic. <i>Allegation(s):</i> Air carrier mechanic reporting failure to document discrepancies.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB20037	<i>Date Received:</i> 12/5/2019
<i>Reporter:</i> Mechanic. <i>Allegation(s):</i> Air carrier mechanic reporting improper maintenance procedures.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Violation of a regulation, order, or standard. Corrective and/or enforcement action initiated.	

Tracking Number: EWB20041	<i>Date Received:</i> 12/16/2019
<i>Reporter:</i> Pilot/Engineer. <i>Allegation(s):</i> Crew rest/duty day issues; improper maintenance.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: IWB20801	<i>Date Received:</i> 12/16/2019
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Reporter: FAA Employee. *Allegation(s):* Designated Airworthiness Representatives (DARs) that issued the airworthiness certificates for an air carrier's specific fleet failed to follow FAA guidance to issue the certificates.

Referred To: AAE investigated this matter.

Finding(s): The allegations were substantiated. AAE made three recommendations to the Administrator to correct the retaliatory action and to cease work assignments by inspectors not qualified to perform the work. The Administrator concurred with the recommendations.

Tracking Number: IWB20802

Date Received: 12/18/2019

Reporter: FAA Employee. *Allegation(s):* Concerns regarding oversight responsibilities assigned to the Fargo Flight Standards District Office (FSDO) of certificate holders located in the Pacific Region, specifically Guam and Micronesia.

Referred To: AAE investigated this matter and made a safety notification to the Administrator.

Finding(s): AAE made three recommendations to the Administrator to ensure that the documentation requirements per Order 8900.1 for the certificates transferred from Hawaii to Fargo is completed; and that oversight of these certificates be assigned to a fully trained and SAS proficient POI, with oversight from an FLM that understands his or her responsibility of conducting data reviews of SAS.

Tracking Number: DI20-000132

Date Received: 12/18/2019

Reporter: FAA Employee. *Allegation(s):* Two air traffic controllers using cell phones while on position in an air traffic control tower.

Referred To: AAE and the Air Traffic Organization investigated this matter.

Finding(s): Violation of a regulation, order, or standard. Corrective action completed.

Tracking Number: EWB20043

Date Received: 1/1/2020

Reporter: Manufacturing Employee. *Allegation(s):* Manufacturing auditor reports that a manufacturing company is not complying with Advisory Circular 21-43A.

Referred To: Aircraft Certification Service

Finding(s): No violation of a regulation, order, or standard.

Tracking Number: EWB20052

Date Received: 1/12/2020

Reporter: Manufacturing Employee. *Allegation(s):* Inadequate quality inspections; improper modification of parts; improper handling of defective part.

Referred To: Aircraft Certification Service

Finding(s): Violation of a regulation, order, or standard. Corrective and/or enforcement action initiated.

Tracking Number: EWB20053

Date Received: 1/13/2020

Reporter: Other – Publications Librarian. *Allegation(s):* Use of outdated and incorrect maintenance data by an air carrier.

Referred To: Flight Standards Service

Finding(s): Under investigation.

Tracking Number: EWB20056	<i>Date Received: 1/23/2020</i>
<i>Reporter: Manufacturing Employee. Allegation(s): A Vice President reporting that PMA parts were being shipped without 8130 tags from supplier.</i>	
<i>Referred To: Aircraft Certification Service</i>	
<i>Finding(s): No violation of a regulation, order, or standard.</i>	

Tracking Number: EWB20058	<i>Date Received: 1/30/2020</i>
<i>Reporter: Manufacturing Employee. Allegation(s): Manufacturing technician reporting acceptance and shipping of defective parts.</i>	
<i>Referred To: Aircraft Certification Service</i>	
<i>Finding(s): No violation of a regulation, order or standard,</i>	

Tracking Number: EWB20059	<i>Date Received: 1/30/2020</i>
<i>Reporter: Manufacturing Employee. Allegation(s): Corporate management providing misleading or fraudulent information to the FAA Administrator.</i>	
<i>Referred To: Aircraft Certification Service</i>	
<i>Finding(s): Under investigation.</i>	

Tracking Number: EWB20060	<i>Date Received: 2/3/2020</i>
<i>Reporter: Pilot/Engineer. Allegation(s): Part 135 pilot reporting the Chief Pilot Operating without a medical; operating unrepaired aircraft.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): Violation of a regulation, order, or standard. Corrective and/or enforcement action completed.</i>	

Tracking Number: EWB20061	<i>Date Received: 2/5/2020</i>
<i>Reporter: Ground Crew. Allegation(s): Failure of an air carrier to properly account for passenger baggage weights.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): Under investigation.</i>	

Tracking Number: EWB20062	<i>Date Received: 2/12/2020</i>
<i>Reporter: Mechanic. Allegation(s): Repair Station mechanic reporting improper autoclave and parts tracking procedures.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): Violation of a regulation, order, or standard. Corrective and/or enforcement action initiated.</i>	

Tracking Number: EWB20063	<i>Date Received: 2/12/2020</i>
<i>Reporter: Flight Attendant. Allegation(s): Improper forward entry door procedures.</i>	
<i>Referred To: Flight Standards Service</i>	

Finding(s): Violation of a regulation, order, or standard. Corrective and/or enforcement action completed.

Tracking Number: EWB20069

Date Received: 2/19/2020

Reporter: Pilot/Engineer. *Allegation(s):* Failure to follow approved pilot training program.

Referred To: Flight Standards Service

Finding(s): Under investigation.

Tracking Number: EWB20071

Date Received: 2/25/2020

Reporter: Manufacturing Employee. *Allegation(s):* Manufacturing mechanic reporting aircraft fuel tank bonding failures.

Referred To: Aircraft Certification Service

Finding(s): Violation of a regulation, order, or standard. Corrective and/or enforcement action completed.

Tracking Number: EWB20073

Date Received: 2/28/2020

Reporter: Manufacturing Employee. *Allegation(s):* Failure to implement mandatory OJT.

Referred To: Aircraft Certification Service

Finding(s): No violation of a regulation, order, or standard.

Tracking Number: IWB20803

Date Received: 3/5/2020

Reporter: FAA Employee. *Allegation(s):* Management at a TRACON dismissed an Air Traffic Controller's suspected substance abuse and mishandled reasonable suspicion protocol.

Referred To: AAE and the Office of Hazardous Materials Safety investigated this matter.

Finding(s): Report is in draft.

Tracking Number: EWB20077

Date Received: 3/6/2020

Reporter: Mechanic. *Allegation(s):* Repair station mechanic reporting acceptance of a repair that was measured as out of limits.

Referred To: Flight Standards Service

Finding(s): Under investigation.

Tracking Number: IWB20804

Date Received: 3/9/2020

Reporter: FAA Employee. *Allegation(s):* Management is not following guidance and/or policy by knowingly allow a violation(s) to not go forward in the enforcement process.

Referred To: AAE is investigating this matter.

Finding(s): Under investigation.

Tracking Number: EWB20078

Date Received: 3/15/2020

Reporter: Mechanic. *Allegation(s):* An air carrier mechanic reported that they submitted an SMS complaint referencing an overturned nitrogen cart, and was subsequently suspended.

Referred To: Flight Standards Service

Finding(s): No violation of a regulation, order, or standard.

Tracking Number: EWB20079	Date Received: 3/25/2020
<i>Reporter:</i> Other – Simulator Instructor. <i>Allegation(s):</i> Instructor reporting that their successful checkride was invalid and that training forms were falsified.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20081	Date Received: 3/30/2020
<i>Reporter:</i> Pilot/Engineer. <i>Allegation(s):</i> Part 121 pilot reporting improper downgrade to first officer	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20083	Date Received: 4/1/2020
<i>Reporter:</i> Manufacturing Employee. <i>Allegation(s):</i> Manufacturing technician reporting shipping sub-standard parts with supervisory knowledge.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB20086	Date Received: 4/3/2020
<i>Reporter:</i> Mechanic. <i>Allegation(s):</i> Repair Station Mechanic repair station repaired multiple parts using incorrect methods and materials.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20087	Date Received: 4/3/2020
<i>Reporter:</i> Flight Attendant. <i>Allegation(s):</i> Reported being required to be on duty before the end of their required rest period.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB20089	Date Received: 4/8/2020
<i>Reporter:</i> Pilot/Engineer. <i>Allegation(s):</i> Part 135 pilot reporting crew rest violations, lack of proper training, and threatening pressure to operate illegally.	
<i>Referred To:</i> Flight Standards Service.	
<i>Finding(s):</i> Violation of a regulation, order, or standard. Corrective and/or enforcement action completed.	

Tracking Number: IWB20805	Date Received: 4/13/2020
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> A CMO authorized a regulatory non-compliance, for which there is no approved process, resulting in the carrier operating aircraft in revenue service that did not meet airworthiness limitations and the requirements of the carrier’s approved maintenance program.	
<i>Referred To:</i> AAE investigated the matter.	

Finding(s): The allegations were substantiated. AAE made six recommendations to the Administrator to address unusual air carrier operational events to ensure regulatory compliance of airline operations.

Tracking Number: EWB20093	<i>Date Received:</i> 4/14/2020
<i>Reporter:</i> Mechanic. <i>Allegation(s):</i> Mechanic reporting a repair station is shipping unrepairs parts with inaccurate documentation.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB20095	<i>Date Received:</i> 4/30/2020
<i>Reporter:</i> Manufacturing Employee. <i>Allegation(s):</i> Manufacturing technician reporting failure of company to follow proper procedures for treating metal parts for aircraft and engines.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20096	<i>Date Received:</i> 5/5/2020
<i>Reporter:</i> Pilot/Engineer. <i>Allegation(s):</i> Part 135 pilot reporting installation of an unapproved aircraft COVID-19 protective device.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Violation of a regulation, order, or standard. Corrective and/or enforcement action initiated.	

Tracking Number: EWB20097	<i>Date Received:</i> 5/5/2020
<i>Reporter:</i> Pilot/Engineer. <i>Allegation(s):</i> Part 135 pilot reporting unrepairs flight instrument discrepancies.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Report of Investigation under review.	

Tracking Number: IWB20806	<i>Date Received:</i> 5/7/2020
<i>Reporter:</i> FAA Employees. <i>Allegation(s):</i> Multiple allegations regarding the management and organizational structure of a safety organization within the FAA.	
<i>Referred To:</i> AAE is investigating this matter.	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20099	<i>Date Received:</i> 5/7/2020
<i>Reporter:</i> Pilot/Engineer. <i>Allegation(s):</i> HEMS pilot reporting termination for reporting several procedures at their employer that were in violation of FARs.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20102	Date Received: 5/18/2020
Reporter: Mechanic. Allegation(s): Air carrier mechanic terminated for failing to log an underfuselage scratch that they had reported to their supervisor.	
Referred To: Flight Standards Service	
Finding(s): Violation of a regulation, order, or standard. Corrective and/or enforcement action completed.	

Tracking Number: EWB20104	Date Received: 5/29/2020
Reporter: Other –Vice President Repair Services. Allegation(s): Repair Station VP reported being terminated for enforcing FAA regulations.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: EWB20105	Date Received: 6/3/2020
Reporter: Pilot/Engineer. Allegation(s): EWB19529 complainant alleging through a Congressional Inquiry that the Report of Investigation (ROI) was insufficient.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: H20A001CCO	Date Received: 6/4/2020
Reporter: US Senator. Allegation(s): Requested an independent investigation and response to eight questions concerning U.S. military helicopters hovering at low altitudes over crowds of protestors on June 1, 2020.	
Referred To: AAE investigated this matter.	
Finding(s): Our analyses produced evidence of a violation. Our findings were referred to the District of Columbia National Guard for corrective action as determined appropriate.	

Tracking Number: EWB20108	Date Received: 6/15/2020
Reporter: Flight Attendant. Allegation(s): Reports termination for reporting a pilot was intoxicated prior to flight to management.	
Referred To: Office of Aerospace Medicine & Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: EWB20109	Date Received: 6/15/2020
Reporter: Mechanic. Allegation(s): Part 135 Mechanic reporting company is transporting individuals as passengers on restricted UH-60s as well as helicopter operations in IMC.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: EWB20110	Date Received: 6/19/2020
Reporter: Mechanic. Allegation(s): Mechanic reporting failure to follow maintenance manuals, use proper fasteners, and clean/correct corrosion.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: EWB20112	Date Received: 6/22/2020
Reporter: Pilot/Engineer. Allegation(s): Part 135 Pilot reporting that company aircraft were operated illegally in RVSM airspace.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: EWB20113	Date Received: 6/22/2020
Reporter: Pilot/Engineer. Allegation(s): Pilot terminated for complaining about falsified flight time, improper maintenance and a charter flight with an unqualified pilot.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: EWB20115	Date Received: 6/26/2020
Reporter: Manufacturing Employee. Allegation(s): Previous whistleblower reporting being terminated for reporting lack of training.	
Referred To: Aircraft Certification Service	
Finding(s): Under investigation.	

Tracking Number: EWB20116	Date Received: 7/2/2020
Reporter: Mechanic. Allegation(s): Part 121 Mechanic reported concerns with pilot oxygen bottles to the air carrier CEO and was discharged.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: EWB20117	Date Received: 7/15/2020
Reporter: Mechanic. Allegation(s): Repair Station Mechanic reporting that parts are being removed from aircraft and sold on Facebook by a company manager.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: EWB20119	Date Received: 7/21/2020
Reporter: Other – Simulator Instructor. Allegation(s): Simulator instructor reporting concerns with their approved training program.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: EWB20121	Date Received: 7/27/2020
<i>Reporter:</i> Manufacturing Employee. <i>Allegation(s):</i> A company has remained out of compliance with a nonconformance cited by the FAA in 2012, which showed that the company was not maintaining current drawing revisions within a factory.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20122	Date Received: 7/22/2020
<i>Reporter:</i> Manufacturing Employee. <i>Allegation(s):</i> A company channel phased array that was being used for nondestructive testing (NDT) on a model of aircraft was not sufficiently sensitive to detect the minimal qualification of the approved standards.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20123	Date Received: 7/29/2020
<i>Reporter:</i> Pilot/Engineer. <i>Allegation(s):</i> Part 135 Pilot reporting lack of checklist usage, failure to report maintenance discrepancies on the road.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: H20A001CCO	Date Received: 7/29/2020
<i>Reporter:</i> Pilot/Engineer. <i>Allegation(s):</i> An air carrier does not promote a safety culture and does not adhere to FAA regulations.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20126	Date Received: 8/7/2020
<i>Reporter:</i> Pilot/Engineer. <i>Allegation(s):</i> Air carrier First Officer terminated for declining a flight after calling in fatigued.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20128	Date Received: 8/11/2020
<i>Reporter:</i> Manufacturing Employee. <i>Allegation(s):</i> Manufacturing assembly worker reporting a rushed work environment and lax standards.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> Under investigation.	

Tracking Number: EWB20129	Date Received: 8/13/2020
<i>Reporter:</i> Other: Operations Manager, Air Carrier. <i>Allegation(s):</i> Operation without required rest; overweight aircraft.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB20130	Date Received: 8/13/2020
Reporter: Other – Simulator Instructor. Allegation(s): A simulator instructor reported violations to the company and was terminated.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: EWB20133	Date Received: 8/25/2020
Reporter: Manufacturing Employee. Allegation(s): A Supply Quality Lead reporting failure to follow policies and procedures	
Referred To: Aircraft Certification Service	
Finding(s): Under investigation.	

Tracking Number: EWB20135	Date Received: 8/28/2020
Reporter: Pilot/Engineer. Allegation(s): Part 135 Pilot reporting maintenance and ops deficiencies dating from 2019.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: IWB20807	Date Received: 9/3/2020
Reporter: FAA Employee. Allegation(s): Concern focusing on the writing and acceptance of possible deficient CASS programs by Principal Inspector(s) in the Greater Chicago area.	
Referred To: AAE is investigating this matter.	
Finding(s): Under investigation.	

Tracking Number: EWB20137	Date Received: 9/4/2020
Reporter: Manufacturing Employee. Allegation(s): Former Operations Manager reporting that the company would document metal that came in and sold it as if they had tested and certified the metal.	
Referred To: Aircraft Certification Service	
Finding(s): Under investigation.	

Tracking Number: H20E001CCO	Date Received: 9/11/2020
Reporter: FAA Employee. Allegation(s): The Agency accepted hazardous materials training that was non-compliant with regulations for foreign-based cargo handlers.	
Referred To: Office of Hazardous Materials Safety	
Finding(s): Under investigation.	

Tracking Number: EWB20140	Date Received: 9/18/2020
Reporter: Pilot/Engineer. Allegation(s): HEMS pilot reporting being threatened for exercising his responsibilities as PIC; crew day exceedance; and logging NVG time without NVGs.	
Referred To: Flight Standards Service	
Finding(s): Under investigation.	

Tracking Number: EWB20142	<i>Date Received: 9/21/2020</i>
<i>Reporter: Mechanic. Allegation(s): Repair Station engine test cell operator reporting failure to follow procedures and pencil whipping maintenance.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): Under Investigation.</i>	

Tracking Number: EWB20143	<i>Date Received: 9/25/2020</i>
<i>Reporter: Manufacturing Employee. Allegation(s): Plant Quality Manager reported falsification of LEAP fairing coatings and testing and was terminated.</i>	
<i>Referred To: Aircraft Certification Service</i>	
<i>Finding(s): Under investigation.</i>	

Contacts

Director

H. Clayton Foushee, (202) 267-9000

Senior Technical Advisor

Erika Vincent, (202) 267-8585

Manager, Safety Investigations and AIR 21 Program

Barbara Barnet, (202)267-4187

Manager, Hotline and Data Analysis

Barbara Barnet, (202) 267-4187

OIG/GAO Audit Coordinator and Liaison

Pierre McLeod, (202) 267-9440

Manager, Administrative Operations and Information Service

Angelique Berry, (202) 436-5535