



U.S. Department of Transportation
Federal Aviation Administration

Office of Audit and Evaluation
Annual Report to Congress Fiscal Year 2019

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, 2018 – September 30, 2019

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.

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

Examples of the work completed in FY 2019

- *Whistleblower Retaliation*

On December 20, 2018, AAE issued a report of investigation based upon a safety disclosure by an FAA Aviation Safety Inspector. The whistleblower alleged that the Acting Manager of the Certificate Management Office (CMO) initiated two personnel investigations against him in

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.

retaliation for him previously raising safety concerns through the whistleblower program. He also alleged that management failed to follow guidance in FAA Order 8900.1 related to the Safety Assurance System (SAS).

Our investigation found that the Acting CMO Manager was not the person to initiate either investigation, and both were closed with no further action following an initial interview. However, we found that management had entered potentially inappropriate comments into a SAS Data Collection Tool, failed to resolve professional differences of opinion in accordance with 8900.1 guidance, and that written office procedures restricted inspectors from contacting Division Management without permission. We made appropriate recommendations to correct these deficiencies.

- *Aircraft Evaluation Group (AEG) Inspector Qualifications*

On February 22, 2019, AAE issued a report of investigation based on disclosures made by an FAA Aviation Safety Inspector. The whistleblower alleged that inspectors in the Long Beach and Seattle AEGs were conducting airman certification rating events without having completed all of the formal (in-residence) and On-the-Job Training (OJT) required by FAA orders. He also alleged that his Frontline Manager (FLM) retaliated against him for bringing forward these safety concerns.

Based on the position of the Flight Standards policy division responsible for setting policy related to inspector training, we confirmed that both formal and On-the-Job training was an expectation for the types of airman certification events conducted by AEG inspectors. We also found that the FLM had treated the contributor disparately from his colleagues. Thus, we substantiated both of the contributor's concerns.

Although the FLM retired before the completion of our investigation, we did make appropriate recommendations for our other findings. Subsequent to our investigation, the whistleblower raised the same concerns with the OSC. FAA's subsequent review recognized that the applicable FAA policy on training requirements contained an internal inconsistency, with one provision stating that either formal training or OJT were required, but not both. The policy division within Flight Standards has since revised and clarified the guidance.

- *Issuance of Fraudulent Medical Certificates*

On May 6, 2019, AAE issued a report of investigation based on a request by the Acting Administrator of the FAA. He had become aware of an ongoing criminal investigation by the Federal Bureau of Investigation (FBI) and the U.S. Department of Transportation Office of Inspector General (DOT OIG). The investigation concerned an Aviation Medical Examiner (AME) whose callous disregard for FAA standards resulted in what amounted to a medical certification "mill." The Acting Administrator wanted to know why the FAA did not identify this activity through established processes.

Our investigation found that the FBI and DOT/OIG could utilize investigative tools, such as undercover surveillance, not available to the Office of Aerospace Medicine (AAM). We also

found that the unique location of this AME would have made it impossible for AAM to conduct unannounced surveillance. However, we determined that AAM offered all assistance possible to law enforcement and took immediate administrative action when allowed. AAE made recommendations appropriate to ensure that all potential data analytics could be used by AAM to identify and prevent medical examination fraud in the future.

Summary of Disclosures Submitted to AAE in Fiscal Year 2019	
Total Submissions	192
Disclosures referred for investigation	98
Disclosures referred to the safety hotline	27
Disclosures that did not require further investigation ¹	67
Sources of Complaints Referred for Investigation	98
Pilots/Engineers – 23 Mechanics or Repairmen – 21 Flight Attendants – 5 Manufacturers – 15 Gate Agents/Ground Handlers - 4 Others ² – 11 FAA Employees – 19	
Investigations Status	
Violation Determined – 21 No Violation Determined; Investigation Closed – 26 Pending Review/Open Investigation -51	
¹ Further investigation not required because complaint was: not a violation, a duplicate, or previously investigated.	
² Can Include Airport Workers, IT Specialists, Quality Assurance, Cabin Hospitality, Dangerous Goods Agent.	

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 OIG	Total
Audit Reviews Initiated	14	32	0	46

Audit Reports Reviewed and Responses Drafted	20	16	0	36
Audit Recommendations Resulting from Completed Audits	58	13	0	71
Recommendations Resolved Based Upon FAA Responses	55	13	0	68

Hotline Operations

AAE operates the FAA Hotline, which receives reports related to 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 hotline receives reports from FAA employees, the aviation community, law enforcement and the public via an online web form, email, or mail.

In Fiscal Year 2019, the FAA Hotline received over 5,500 reports, which include comments, suggestions and general inquiries that are handled internally or redirected to the appropriate office. Based upon an analysis of all hotline reports, 4,727 were referred to FAA organizations for investigation or other appropriate action. This represents a large increase over the previous fiscal year in which 3,552 hotline reports were referred for investigation.

Appendix A: FAA Whistleblower Investigations

Tracking Number: EWB19501	<i>Date Received:</i> 10/9/18
<i>Reporter:</i> Cabin Crew, Charter on Demand. <i>Allegation(s):</i> Allowing passengers in the cockpit jumpseat.	
<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: EWB19505	<i>Date Received:</i> 10/25/18
<i>Reporter:</i> Gate/Station Agent, Scheduled Airline. <i>Allegation(s):</i> Failure to properly document aircraft loads/weights.	
<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: EWB19507	<i>Date Received:</i> 10/30/18
<i>Reporter:</i> Pilot/Engineer, Scheduled Airline. <i>Allegation(s):</i> Failure to follow training manual during simulator ride checks.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB19508	<i>Date Received:</i> 11/1/18
<i>Reporter:</i> Pilot/Engineer, Charter or On-Demand. <i>Allegation(s):</i> Possible intoxicated pilot	
<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: EWB19509	<i>Date Received:</i> 11/6/18
<i>Reporter:</i> Ground Handling Crew, Cargo Hauler. <i>Allegation(s):</i> Failure to document proper cargo weights.	
<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: EWB19510	<i>Date Received:</i> 11/7/18
<i>Reporter:</i> Other: Airport Manager. <i>Allegation(s):</i> Falsifying runway condition readings.	
<i>Referred To:</i> Airports	
<i>Findings:</i> Under Investigation.	

Tracking Number: EWB19515	<i>Date Received:</i> 11/19/18
<i>Reporter:</i> Manufacturing technician, Aircraft or Parts Manufacturer <i>Allegation(s):</i> Improper Fasteners; covering up damage during manufacturing.	
<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: EWB19517	<i>Date Received:</i> 11/22/18
<i>Reporter:</i> Pilot/Engineer, Charter on Demand. <i>Allegation(s):</i> Pilot aeromedical issues; improper maintenance deferral.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB19522	<i>Date Received:</i> 11/26/18
<i>Reporter:</i> Manufacturing, Aircraft or Parts Manufacturer. <i>Allegation(s):</i> Improper repair of aircraft damage on the ground.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB19523	<i>Date Received:</i> 11/26/18
<i>Reporter:</i> Manufacturing, Aircraft or parts Manufacturer. <i>Allegation(s):</i> Manufacturing issues: unapproved processes; measuring equipment and inspections.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> Violation of a regulation, order, or standard; corrective and/or enforcement action completed.	

Tracking Number: EWB19525	<i>Date Received:</i> 11/27/18
<i>Reporter:</i> Pilot/Engineer, Charter or On-Demand. <i>Allegation(s):</i> Boarding of intoxicated passengers.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB19526	<i>Date Received:</i> 11/28/18
<i>Reporter:</i> Pilot/Engineer, Charter or On-Demand. <i>Allegation(s):</i> Operations with incorrect Ops Specs and navigational data.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB19528	<i>Date Received:</i> 12/2/18
<i>Reporter:</i> Cabin Crew, Scheduled Airline. <i>Allegation(s):</i> Disciplined for requiring passengers to comply with FAR cabin safety instructions.	
<i>Referred To:</i> Flight Standards Service	

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

Tracking Number: EWB19529

Date Received: 12/4/18

Reporter: Pilot/Engineer, Charter or On-Demand. *Allegation(s):* Failure to document/repair a cockpit caution light illumination.

Referred To: Flight Standards Service

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

Tracking Number: EWB19530

Date Received: 12/11/18

Reporter: Pilot/Engineer, Charter or On-Demand. *Allegation(s):* Failure to follow DOT/FAA random drug testing procedures; Failure to provide required rest; failure to follow training program; repair discrepancies; failure to follow PRIA procedures.

Referred To: Office of Aerospace Medicine & Flight Standards Service

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

Tracking Number: EWB19531

Date Received: 12/12/18

Reporter: Mechanic, Scheduled Airline. *Allegation(s):* Improper Maintenance.

Referred To: Flight Standards Service

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

Tracking Number: EWB19534

Date Received: 12/13/18

Reporter: Manufacturing, Aircraft or Parts Manufacturer. *Allegation(s):* Signing off work not observed or performed.

Referred To: Aircraft Certification Service

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

Tracking Number: EWB19003

Date Received: 12/20/18

Reporter: Pilot/Engineer, Charter or On-Demand. *Allegation(s):* Failure to comply with 14 CFR 135.41 and 91.19(a). Passenger transporting marijuana.

Referred To: Flight Standards Service

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

Tracking Number: EWB19005

Date Opened: 1/27/19

Reporter: Other: Cabin Hospitality, Charter or On-Demand. *Allegation(s):* Failure to provide prospectively known crew rest; failure to provide required rest; failure to refrain from alcohol consumption within 12 hours prior to duty.

Referred To: Flight Standards Service

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

Tracking Number: EWB19007	Date Received: 1/30/19
<i>Reporter:</i> Mechanic, Scheduled Airline. <i>Allegation(s):</i> Failure to document and repair discrepancy; Operation of an unairworthy aircraft; improper and undocumented repair; improper sign-off on unrepaired discrepancy.	
<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: EWB19008	Date Received: 1/30/19
<i>Reporter:</i> Mechanic, Scheduled Airline. <i>Allegation(s):</i> Failure to document and repair discrepancy; Operation of an unairworthy aircraft; improper and undocumented repair; improper sign-off on unrepaired discrepancy.	
<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: EWB19010	Date Received: 1/30/19
<i>Reporter:</i> Mechanic, Repair Station. <i>Allegation(s):</i> Failure to document and repair known discrepancy.	
<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: EWB19015	Date Received: 1/30/19
<i>Reporter:</i> Pilot/Engineer, Scheduled Airline. <i>Allegation(s):</i> Failure to comply with crew oxygen requirements; failure to comply with sterile cockpit procedures; improper cockpit use of an electronic device; failure to remain awake during flight.	
<i>Referred To:</i> Flight Standards Service & Office of Aerospace Medicine	
<i>Finding(s):</i> Violation of a regulation, order, or standard; corrective and/or enforcement action completed.	

Tracking Number: EWB19018	Date Received: 2/7/19
<i>Reporter:</i> Mechanic, Scheduled Airline. <i>Allegation(s):</i> Failure to comply with SMS guidelines for safety reporting; failure to follow published training manual requirements.	
<i>Referred To:</i> AAE investigated this matter	
<i>Finding(s):</i> Violation of a regulation, order, or standard; corrective and/or enforcement action initiated.	

Tracking Number: EWB19019	Date Received: 2/19/19
<i>Reporter:</i> Mechanic, Scheduled Airline. <i>Allegation(s):</i> Failure to properly troubleshoot open blow out door; “pencil whipping” maintenance; operation of an unairworthy aircraft; contrary to 14 CFR 119.65(d)(3), pressure to not document discrepancies.	
<i>Referred To:</i> AAE investigated this matter.	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB19023	<i>Date Received: 2/20/19</i>
<i>Reporter: Gate/Station Agent, Scheduled Airline. Allegation(s): Failure to properly document cargo bin loads; failure to properly compute weight and balance.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): Under Investigation.</i>	

Tracking Number: EWB19028	<i>Date Received: 2/28/19</i>
<i>Reporter: Pilot/Engineer, Charter or On-Demand. Allegation(s): Operations in weather conditions below company/approach minimums; VFR operations in IMC; failure to allow PIC to have authority on the safe operation of aircraft.</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): No violation of a regulation, order, or standard.</i>	

Tracking Number: EWB19030	<i>Date Received: 3/18/19</i>
<i>Reporter: Manufacturing; Aircraft or Parts Manufacturer. Allegation(s): B787 manufacturing structural gaps.</i>	
<i>Referred To: Aircraft Certification Service</i>	
<i>Finding(s): No violation of a regulation, order, or standard.</i>	

Tracking Number: EWB19032	<i>Date Received: 3/18/19</i>
<i>Reporter: Manufacturing; Aircraft or Parts Manufacturer. Allegation(s): Computer lab engineer concerns about non-logic inputs.</i>	
<i>Referred To: Aircraft Certification Service</i>	
<i>Finding(s): No violation of a regulation, order, or standard.</i>	

Tracking Number: EWB19036	<i>Date Received: 3/16/19</i>
<i>Reporter: Mechanic, Scheduled Airline. Allegation(s): Sign-off of work not performed; operation of an unairworthy aircraft.</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: EWB19038	<i>Date Received: 3/27/19</i>
<i>Reporter: Cabin Crew, Scheduled Airline. Allegation(s): Suspended for enforcing FARs. See EWB19528</i>	
<i>Referred To: Flight Standards Service</i>	
<i>Finding(s): No violation of a regulation, order, or standard.</i>	

Tracking Number: EWB19042	<i>Date Received: 3/28/19</i>
<i>Reporter: Mechanic, Charter or On-Demand. Allegation(s): Failure to document and repair discrepancy operation of an unairworthy aircraft.</i>	
<i>Referred To: Flight Standards Service</i>	

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

Tracking Number: EWB19043

Date Received: 4/1/19

Reporter: Mechanic, Scheduled Airline. *Allegation(s):* Punished for documenting discrepancies.

Referred To: AAE is investigating this matter.

Finding(s): Under Investigation.

Tracking Number: EWB19046

Date Received: 4/4/19

Reporter: Pilot/Engineer, Charter or On-Demand. *Allegation(s):* Failure to provide prospective rest; failure to document/repair known discrepancies.

Referred To: Flight Standards Service

Finding(s): Under Investigation.

Tracking Number: EWB19047

Date Received: 4/8/19

Reporter: Mechanic, Maintenance Staffing. *Allegation(s):* Mechanic damaged an aircraft and was terminated for reporting the damage.

Referred To: Flight Standards Service

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

Tracking Number: EWB19048

Date Received: 4/8/19

Reporter: Manufacturing, Aircraft or Parts Manufacturer. *Allegation(s):* Improper engine blade repair.

Referred To: Aircraft Certification Service

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

Tracking Number: EWB19053

Date Received: 4/19/19

Reporter: Mechanic, Scheduled Airline. *Allegation(s):* Failure to accomplish required maintenance.

Referred To: Flight Standards Service

Finding(s): Under Investigation.

Tracking Number: EWB19055

Date Received: 4/12/19

Reporter: Gate/Station Agent, Ground Handling. *Allegation(s):* Failure to comply with cabin security checks.

Referred To: Flight Standards Service

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

Tracking Number: EWB19056

Date Received: 4/14/19

Reporter: Pilot/Engineer, Scheduled Airline. *Allegation(s):* Pressuring and failure to document discrepancies.

Referred To: Flight Standards Service

Finding(s): Under Investigation.

Tracking Number: EWB19057

Date Received: 4/15/19

Reporter: Pilot/Engineer, Aircraft or Parts Manufacturer. *Allegation(s):* Failure to test/verify changes to Ultra.

Referred To: Aircraft Certification Service

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

Tracking Number: EWB19059

Date Received: 4/17/19

Reporter: Mechanic, Repair Station. *Allegation(s):* Improper maintenance; rampant drug and alcohol abuse.

Referred To: Flight Standards Service and Office of Aerospace Medicine

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

Tracking Number: EWB19060

Date Received: 4/20/19

Reporter: Manufacturing, Aircraft or Parts Manufacturer. *Allegation(s):* Defects on B787 nacelle production.

Referred To: Aircraft Certification Service.

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

Tracking Number: EWB19061

Date Received: 4/24/19

Reporter: Pilot/Engineer, Charter or On-Demand. *Allegation(s):* Failure to report accident and accident damage.

Referred To: Flight Standards Service and Office of Aerospace Medicine

Finding(s): Under Investigation.

Tracking Number: EWB19063

Date Received: 5/15/19

Reporter: Mechanic, Repair Station. *Allegation(s):* Failure to provide written work task card.

Referred To: Flight Standards Service

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

Tracking Number: EWB19064

Date Received: 5/2/19

Reporter: Mechanic, Scheduled Airline. *Allegation(s):* Improper Maintenance

Referred To: Flight Standards Service

Finding(s): Under investigation.

Tracking Number: EWB19065

Date Received: 5/16/19

Reporter: Other: Contract Engineer, Scheduled Airline. *Allegation(s):* Use of Eos to approve sub-standard parts.

Referred To: Flight Standards Service

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

Tracking Number: EWB19067

Date Received: 5/28/19

<i>Reporter:</i> Pilot/Engineer, Scheduled Airline. <i>Allegation(s):</i> Violations of SMS obligations under 14 CFR Part 5.
<i>Referred To:</i> AAE is investigating this matter.
<i>Finding(s):</i> Under Investigation.

Tracking Number: EWB19068	<i>Date Received:</i> 5/28/19
<i>Reporter:</i> Pilot/Engineer, Scheduled Airline. <i>Allegation(s):</i> Pilot forced to undergo unwarranted medical exam.	
<i>Referred To:</i> Office of Aerospace Medicine & Flight Standards Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB19070	<i>Date Received:</i> 5/29/19
<i>Reporter:</i> Pilot/Engineer, Charter or On-Demand. <i>Allegation(s):</i> Lack of prospectively known crew rest.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB19072	<i>Date Received:</i> 6/4/19
<i>Reporter:</i> Manufacturing, Aircraft or Parts Manufacturer. <i>Allegation(s):</i> Falsification of B777X certification documents.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB19074	<i>Date Received:</i> 6/10/19
<i>Reporter:</i> Other: Quality Assurance, Repair Station. <i>Allegation(s):</i> Shipping parts with missing or incomplete paperwork.	
<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: EWB19084	<i>Date Received:</i> 6/21/19
<i>Reporter:</i> Cabin Crew; Charter or On-Demand. <i>Allegation(s):</i> Violation of use of alcohol before flight regulations/standards.	
<i>Referred To:</i> Flight Standards Service & Office of Aerospace Medicine	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB19090	<i>Date Received:</i> 6/25/19
<i>Reporter:</i> Other: Dangerous Goods Agent, Scheduled Airline. <i>Allegation(s):</i> Individual reported non-compliance with HAZMAT handling and was suspended.	
<i>Referred To:</i> Flight Standards Service and Office of Hazardous Materials Safety	
<i>Finding(s):</i> Violation of a regulation, order, or standard; corrective and/or enforcement action initiated.	

Tracking Number: EWB19091	Date Received: 6/25/19
Reporter: Mechanic, Repair Station. Allegation(s): "Pencil whipping" of daily checks.	
Referred To: Flight Standards Service	
Finding(s): Under Investigation.	

Tracking Number: EWB19095	Date Received: 6/27/19
Reporter: Technician, Repair Station. Allegation(s): Failure to utilize appropriate repair equipment.	
Referred To: Flight Standards Service	
Finding(s): No violation of a regulation, order, or standard.	

Tracking Number: EWB19096	Date Received: 7/2/19
Reporter: Mechanic, Repair Station. Allegation(s): Improper Maintenance	
Referred To: Flight Standards Service	
Finding(s): Under Investigation.	

Tracking Number: EWB19097	Date Received: 7/2/19
Reporter: Pilot/Engineer, Scheduled Airline. Allegation(s): Failure to follow training program.	
Referred To: Flight Standards Service	
Finding(s): Under Investigation.	

Tracking Number: EWB19100	Date Received: 7/11/19
Reporter: Pilot/Engineer, Charter or On-Demand. Allegation(s): Use of unqualified pilots.	
Referred To: Flight Standards Service	
Finding(s): Under Investigation.	

Tracking Number: EWB19101	Date Received: 7/11/19
Reporter: Pilot/Engineer, Charter or On-Demand. Allegation(s): Use of unqualified pilots.	
Referred To: Flight Standards Service	
Finding(s): Under Investigation.	

Tracking Number: EWB19105	Date Received: 7/17/19
Reporter: Mechanic, Repair Station. Allegation(s): Fail MTU Maintenance on CF6-80 Engines and High Pressure Air Seal on the CF34-10 Engine on replacement parts. Individual terminated after reporting safety issues.	
Referred To: Flight Standards Service	
Finding(s): Under Investigation.	

Tracking Number: EWB19109	Date Received: 7/23/19
Reporter: Other: Production Control, Repair Station. Allegation(s): Documented unperformed work.	
Referred To: Flight Standards Service	

Finding(s): Under Investigation.

Tracking Number: EWB19112

Date Received: 8/5/19

Reporter: Other: Quality Assurance Auditor, Scheduled Airline. *Allegation(s):* Failure to Report SDRs.

Referred To: Flight Standards Service

Finding(s): Under Investigation.

Tracking Number: EWB19113

Date Received: 8/5/19

Reporter: Mechanic, Scheduled Airline. *Allegation(s):* Multiple safety complaints to employer.

Referred To: Flight Standards Service

Finding(s): Under Investigation.

Tracking Number: EWB19114

Date Received: 8/8/19

Reporter: Mechanic, Charter or On-Demand. *Allegation(s):* Improper Maintenance; missed inspections; contaminated fuel.

Referred To: Flight Standards Service

Finding(s): Under Investigation.

Tracking Number: EWB19117

Date Received: 8/14/19

Reporter: Other: Operations Manager, Air Carrier. *Allegation(s):* Operation without required rest; overweight aircraft.

Referred To: Flight Standards Service

Finding(s): Under Investigation.

Tracking Number: EWB19118

Date Received: 8/4/19

Reporter: Manufacturing, Repair Station. *Allegation(s):* Individual terminated for bringing safety related concerns to employer.

Referred To: Flight Standards Service

Finding(s): Under Investigation.

Tracking Number: EWB19119

Date Received: 8/15/19

Reporter: Cabin Crew, Scheduled Airline. *Allegation(s):* Failure to comply with Fatigue Risk Management Program.

Referred To: Flight Standards Service

Finding(s): Under Investigation.

Tracking Number: EWB19120

Date Received: 8/15/19

Reporter: Mechanic, Repair Station. *Allegation(s):* Installation of a part with no documentation.

Referred To: Flight Standards Service

Finding(s): Under Investigation.

Tracking Number: EWB19122	<i>Date Received:</i> 8/19/19
<i>Reporter:</i> Manufacturing, Aircraft or Parts Manufacturer. <i>Allegation(s):</i> Acceptance of a bent part.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB19123	<i>Date Received:</i> 8/20/19
<i>Reporter:</i> Mechanic, Charter or On-Demand. <i>Allegation(s):</i> Failure to follow AMM procedures for excessive oil consumption.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB19125	<i>Date Received:</i> 8/24/19
<i>Reporter:</i> Manufacturing, Aircraft or Parts Manufacturer. <i>Allegation(s):</i> Improper engineering for B737 MAX nacelles.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> No violation of a regulation, order, or standard.	

Tracking Number: EWB19126	<i>Date Received:</i> 8/29/19
<i>Reporter:</i> Other: Facilities Manager, Charter or On-Demand. <i>Allegation(s):</i> Improper maintenance and records destruction.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB19128	<i>Date Received:</i> 9/4/19
<i>Reporter:</i> Other: IT Video Manager, Charter or On-Demand. <i>Allegation(s):</i> Improper repairs; operation of an unairworthy aircraft; records destruction.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB19129	<i>Date Received:</i> 9/9/19
<i>Reporter:</i> Pilot/Engineer, Scheduled Airline. <i>Allegation(s):</i> Individual terminated for calling in fatigued.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB19135	<i>Date Received:</i> 9/13/19
<i>Reporter:</i> Pilot/Engineer, Charter or On-Demand. <i>Allegation(s):</i> Failure to maintain operational control.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB19136	<i>Date Received:</i> 9/17/19
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<i>Reporter:</i> Manufacturing, Aircraft or Parts Manufacturer. <i>Allegation(s):</i> Use of improper epoxy product.
<i>Referred To:</i> Aircraft Certification Service
<i>Finding(s):</i> Under Investigation.

Tracking Number: EWB19138	<i>Date Received:</i> 9/20/19
<i>Reporter:</i> Pilot/Engineer, Charter or On-Demand. <i>Allegation(s):</i> Lack of navigational documents; failure to provide proper training.	
<i>Referred To:</i> Flight Standards Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB19142	<i>Date Received:</i> 9/24/19
<i>Reporter:</i> Manufacturing, Aircraft or Parts Manufacturer. <i>Allegation(s):</i> Improper certification of incoming parts; substandard parts.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: EWB19145	<i>Date Received:</i> 9/27/19
<i>Reporter:</i> Manufacturing, Aircraft or Parts Manufacturer. <i>Allegation(s):</i> Improper parts measurements, failure to provide compliant parts.	
<i>Referred To:</i> Aircraft Certification Service	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: IWB19801	<i>Date Received:</i> 11/19/18
<i>Reporter:</i> FAA Employee <i>Allegation(s):</i> Numerous operations inspectors assigned to two FAA offices are conducting aircraft type certification evaluations but do not meet mandatory training requirements; retaliation by management for reporting these allegations.	
<i>Referred To:</i> AAE investigated this matter.	
<i>Finding(s):</i> 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: IWB19802	<i>Date Received:</i> 12/18/18
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> An air carrier's acquisition and operation of multiple aircraft from multiple foreign operators, despite an unknown airworthiness condition.	
<i>Referred To:</i> AAE investigated this matter and issued a safety notification to the Administrator.	
<i>Finding(s):</i> Matter is ongoing.	

Tracking Number: IWB19803	<i>Date Received:</i> 2/3/19
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> An FAA manager required an inspector to add an aircraft to a Part 135 certificate without the aircraft meeting FAA requirements.	
<i>Referred To:</i> AAE is investigating this matter.	

Finding(s): Under Investigation.

Tracking Number: IWB19804	<i>Date Received:</i> 6/13/19
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> An air carrier's use of its operations ASAP Program.	
<i>Referred To:</i> AAE investigated this matter.	
<i>Finding(s):</i> Report is in draft.	

Tracking Number: IWB19805	<i>Date Received:</i> 7/29/19
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> Concerns regarding the effectiveness of an air carrier's maintenance ASAP Program.	
<i>Referred To:</i> AAE investigated this matter.	
<i>Finding(s):</i> Report is in draft.	

Tracking Number: IWB806	<i>Date Received:</i> 9/4/19
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> FAA Registry shows many destroyed aircraft with a valid aircraft registration.	
<i>Referred To:</i> AAE is investigating this matter.	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: IWB19807	<i>Date Received:</i> 9/16/19
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> Violation of policy and procedure in the accountability of air traffic controllers maintaining medical clearance.	
<i>Referred To:</i> AAE is investigating this matter.	
<i>Finding(s):</i> Under Investigation.	

Tracking Number: OSC Referral DI-18-2728	<i>Date Received:</i> 8/28/18
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> FAA leadership has failed to revise and update AC 120-27, Aircraft Weight and Balance despite AAE's 2014 recommendation to do so.	
<i>Referred To:</i> AAE investigated this matter.	
<i>Finding(s):</i> The AC was revised and published May 6, 2019; however, additional corrective action, including inspector training, has been delayed by AVS.	

Tracking Number: OSC Referral DI-19-0547	<i>Date Received:</i> 11/14/18
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> A substantial and specific danger to public health and safety regarding an Air Traffic Manager's instruction; various violations of FAA Orders.	
<i>Referred To:</i> AAE investigated this matter.	
<i>Finding(s):</i> Not Substantiated.	

Tracking Number: OSC Referral DI-19-1077 & DI-19-1078	<i>Date Received:</i> 3/8/19
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> An FAA employee fraudulently sought and received reimbursement payments for two long term stays.	

Referred To: AAE and ASH investigated this matter.
Finding(s): Substantiated. Employee resigned. Referred to OIG.

Tracking Number: OSC Referral DI-1890 & DI-19-2117	<i>Date Received:</i> 4/3/19
<i>Reporter:</i> FAA Employee(s). <i>Allegation(s):</i> Converging runway operations at a large metropolitan airport do not comply with aircraft separation requirements identified in FAA Orders; management has refused to implement mitigation aids.	
<i>Referred To:</i> AAE investigated this matter.	
<i>Finding(s):</i> Not Substantiated.	

Tracking Number: OSC Referral DI-19-2560	<i>Date Received:</i> 5/3/19
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> Inspectors have failed to verify that all aircraft on carriers operating specifications are properly insured and that aircraft operate in the NAS without a certificate of liability insurance.	
<i>Referred To:</i> AAE investigated this matter.	
<i>Finding(s):</i> Both allegations were substantiated. Eight recommendations for corrective actions were made to the Associate Administrator for Aviation Safety. He concurred and they are being implemented.	

Tracking Number: OSC Referral DI-19-2420	<i>Date Received:</i> 5/13/19
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> An FAA Manager issued improper instructions related to NOTAM requirements for radar outages.	
<i>Referred To:</i> AAE investigated this matter.	
<i>Finding(s):</i> The allegations were substantiated, new guidance was issued, and an assessment was initiated to determine whether other NOTAM issuance deficiencies exist.	

Tracking Number: OSC Referral DI-19-2168	<i>Date Received:</i> 6/15/19
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> An Air Traffic Manager violated the Privacy Act of 1974 by permitting unauthorized personnel access to a data system containing air traffic controllers' Personal Identifiable Information (PII).	
<i>Referred To:</i> AAE investigated this matter.	
<i>Finding(s):</i> Substantiated, access was removed and action taken.	

Tracking Number: OSC Referral DI-19-3959	<i>Date Received:</i> 7/25/19
<i>Reporter:</i> FAA Employee. <i>Allegation(s):</i> Principal Inspectors have failed to ensure training centers are conducting only FAA approved training curriculum; pilots and flight crews may have obtained certification based on expired training courses.	
<i>Referred To:</i> AAE investigated this matter.	
<i>Finding(s):</i> Allegations substantiated. AAE issued four recommendations to the Associate Administrator for Aviation Safety and received his concurrence on all. Corrective action is ongoing.	

Tracking Number: OIG Referral H19E002CC	<i>Date Received: 7/10/19</i>
<i>Reporter: FAA Employee. Allegation(s): Misuse of federal funds; failure to move after receiving PCS funds by a district manager.</i>	
<i>Referred To: AAE is investigating this matter.</i>	
<i>Finding(s): Under Investigation.</i>	

Tracking Number: OIG Referral H19E003CC	<i>Date Received: 7/10/19</i>
<i>Reporter: FAA Employee. Allegation(s): Alleged misuse of overtime, and failure to act by Technical Operations Managers.</i>	
<i>Referred To: AAE is investigating this matter.</i>	
<i>Finding(s): Under Investigation.</i>	

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