

NOTICE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
Air Traffic Organization Policy

N JO 7210.661

Effective Date:
May 23, 2007

Cancellation Date:
May 22, 2008

SUBJ: Terminal/TRACON Audit Process for Operational Errors & Operational Deviations

- 1. Purpose of This Notice.** This Notice implements a change to FAA Order 7210.56C until the baseline document can be completely revised and published. The ATO's Safety Services office provides policy interpretations concerning administration of this Notice.
- 2. Audience.** This notice applies to the all Washington headquarters, Air Traffic Organization offices including all air traffic field facilities; service center offices; the William J. Hughes Technical Center; and the Mike Monroney Aeronautical Center.
- 3. Where Can I Find This Notice?** This notice is available on MyFAA employee Web site at https://employees.faa.gov/tools_resources/orders_notices/ and on the air traffic publications Web site at http://www.faa.gov/airports_airtraffic/air_traffic/publications.
- 4. Cancellation.** This notice cancels GENOT 6/53, N 7210.638, Change to FAA Order 7210.56C, Air Traffic Quality Assurance, effective 9/26/06.
- 5. Action.** Air traffic facility managers shall ensure that the provisions of this notice are briefed to all front-line managers, controllers-in-charge (CIC), and air traffic controllers actively conducting operations.
- 6. Procedures.** Change the following paragraphs in Federal Aviation Administration Order (FAAO) 7210.56, Air Traffic Quality Assurance.
 - a.** Add Chapter 8, Terminal/TRACON Audit Process for Operational Errors & Operational Deviations, and the following subparagraphs:

8-1-1. BACKGROUND

The FAA does not have a system that ensures accurate OE/OD reporting at all terminal/TRACON air traffic control facilities. Thus, we are establishing the facility audit process that allows the use of playback tools to identify OE/OD's. This procedure will provide greater assurance that substantially all OE/ODs are being reported. The changes described in this Notice are effective and will be incorporated in the next revision of FAA Order 7210.56.

8-1-2. FACILITY AUDIT PROCESS

The following provides requirements and guidance concerning the facility audit process:

- a. Each terminal/TRACON facility will develop, in writing, a method to review a random sample of radar and voice data to assess that OE/ODs are being fully reported. Sampling methods will include periods of high-risk factors (e.g. peak traffic times), alerts from equipment such as, but not limited to, AMASS, ASDE-X, low altitude alerts, conflict alerts, reports from pilots concerning quality of services, TCAS events, and other air traffic incidents that are not identified as OE/ODs. To improve the accuracy of the reporting process, the use of replay capabilities and voice files will be used to conduct random audits of air traffic services. This includes the use of all automation play-back tools which are available for review at the facility i.e. AMASS, ASDE-X, RAPTOR, and voice files, etc.
- b. Each facility will conduct a monthly audit based on the criteria identified and provided by the safety Investigation & Evaluation office.
- c. This monthly audit will consist, at a minimum, of two one-hour periods of data.
- d. Audits will be considered as a primary source for reporting an OE/OD or initiating an investigation.
- e. The results and the associated data of each audit shall be documented and retained at the facility for a period of one year.
- f. The facility will forward a quarterly report to their respective Service Center, Safety Assurance Office, for review. The Service Center, Safety Assurance Office, will compile the findings and forward them to the Terminal Safety and Operations Support Office. The Terminal Safety and Operations Support Office will forward these reports to the Safety Investigation & Evaluation Office for validation and oversight.

8-1-3. SAFETY ASSURANCE OFFICE RANDOM AUDIT

- a. The Safety Investigation & Evaluation Office will advise selected facilities by the seventh of each month that in lieu of the facility audit process, a Safety Investigation & Evaluation Office random audit will be conducted.
 - b. This random audit will include all air traffic operations that have replay (radar data and/or voice) capability. Safety Investigation & Evaluation will determine the specific times, dates, and type of operation, etc.
 - c. Selected facilities will conduct the audit, document their findings, and forward the results to the Safety Investigation & Evaluation Office electronically or by approved overnight delivery within seven business days. The data and findings from this audit shall also be retained at the facility for a period of one year. Safety investigations data and analysis will be retained for a period of two and one half years.
- b. Amend Appendix 1, Radar Data Processing, subparagraph 1c by replacing all existing text with the following:

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c. NTAP, SATORI, CDR data and other reduction or playback tools will be used in the investigation of suspected incidents to determine the amount of separation that existed or the position of the aircraft. Additionally, these tools may be used for individual employee review/improvement, system/facility investigations, audits or evaluations. When this is accomplished and an OE/OD is discovered, the incident will be reported and processed in accordance with this order.

6. Distribution. This notice is distributed to the following Air Traffic Organization service units: En Route & Oceanic, Terminal, Safety, and System Operations Services; service center offices; Air Traffic Safety Oversight Service; the William J. Hughes Technical Center; the Mike Monroney Aeronautical Center; and all air traffic control field facilities.

7. Background: The FAA does not have a system that ensures accurate OE/OD reporting at all terminal/TRACON air traffic control facilities. Thus, we are establishing the facility audit process that allows the use of playback tools to identify OE/OD's. This procedure will provide greater assurance that substantially all OE/ODs are being reported. The changes described in this Notice are effective and will be incorporated in the next revision of FAA Order 7210.56.

8. Implementation. This notice shall be implemented on the effective date.



Lyle A. Mello
Acting Vice President, Safety Services
Air Traffic Organization