

NOTICE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

N 8900.31

National Policy

Effective Date:
2/12/08

Cancellation Date:
9/30/08

SUBJ: Revised Guidance for the Implementation of the Runway Incursion
Information Evaluation Program

1. Purpose of This Notice.

a. Announces revised guidance for the implementation of the Runway Incursion Information Evaluation Program (RIIEP) and extends the program's duration to September 30, 2008.

b. Provides guidance on the roles and responsibilities of the Regional Flight Standards Division (RFSD) managers, Flight Standards District Office (FSDO) managers, certificate management office (CMO) managers, principal inspectors (PI), aviation safety inspectors (ASI), and Regional FAAS Team Managers (RFM) and FAAS Team Program Managers (FPM) involved in investigating, processing, and reviewing runway incursion RIIEP questionnaires.

2. Audience. The primary audience for this notice is Flight Standards District Office (FSDO) and CMO ASIs. The secondary audience includes Flight Standards branches and divisions in the regions and in headquarters.

3. Where You Can Find This Notice. Inspectors can access this notice through the Flight Standards Information Management System (FSIMS) at <http://fsims.avs.faa.gov>. Operators and the public can find this notice at <http://fsims.faa.gov>.

4. Background.

a. One of the FAA's Flight Plan Objectives is to identify and reduce runway incursion collision risks. To achieve this goal, FAA initiatives include improved training, procedures, evaluation, analysis, testing, and certification to reduce the risk of runway incursions resulting from errors by pilots, air traffic controllers, pedestrians, vehicle operators, tug operators, and individuals conducting aircraft taxi operations.

b. To increase the amount of safety data, some of which would not otherwise be available from pilots, mechanics, and other ground personnel working for a certificate holder, Flight Standards Service (AFS) initiated the Runway Incursion Information Evaluation Program (RIIEP) to examine the root causes of surface incidents, including runway incursions. RIIEP provides an enforcement incentive to those persons involved in a runway incursion which may

possibly be linked to a noncompliance with Title 14 of the Code of Federal Regulations (14 CFR).

c. AFS ordinarily is immediately aware of all reported surface incidents because it is notified by the Air Traffic Organization. However, often the FAA knows little about why the reported incident happened or the factors and events that led to it.

Note: Runway incursions are defined as “any occurrence at an aerodrome involving the incorrect presence of an aircraft, vehicle or person on the protected area of a surface designated for the landing and take off of aircraft.” Runway incursions are identified and tracked at towered airports (those airports with an operating FAA or contract tower), and classified into three error types and four severity categories.

5. Runway Incursion Information and Evaluation Program (RIIEP).

a. **RIIEP Background.** In March 2000, the FAA implemented RIIEP for a period of one year. Through the RIIEP the FAA sought information about runway incursions by interviewing pilots involved in such events. Under the original RIIEP, pilots involved in runway incursions who cooperated with FAA inspectors by providing information about the incident were generally not subjected to punitive legal enforcement action for an apparent violation involving the incursion. We expected the pilot to share valuable safety information that would help us identify the cause of the runway incursion in which the pilot was involved. We wanted this information to determine root causes of runway incursions and to develop effective corrective actions to help reduce or eliminate this problem.

b. **RIIEP Successes/Failures.** Over the course of a year, RIIEP produced new information about some causes of runway incursions. The program showed promise as a useful tool for gathering information to develop strategies to prevent runway incursions. The FAA learned, however, that certain process changes were needed to make RIIEP more effective. In particular, we needed a more extensive interview questionnaire to give us detailed information that could help us determine the root causes of runway incursions more directly. In addition, we needed an improved method for processing information collected under RIIEP. With these changes, the FAA believes RIIEP could be a much more effective program for analyzing the causes of runway incursions and surface incidents, particularly the human factors aspects of those causes.

c. **RIIEP Modifications.** Based on information learned during the first year of the RIIEP, recommendations from the FAA Office of Chief Counsel, human factors personnel, the Air Traffic Organization, bargaining unit members, and regional and field aviation safety inspectors, the RIIEP has been modified to include the following:

(1) **RIIEP Questionnaire.** The AFS RIIEP questionnaire for collecting data is intended to give us detailed information that could help us determine the root causes of runway incursions more directly. The questionnaire is hosted on a server maintained by the Voluntary Safety Programs Branch, AFS-230. The questionnaire is accessible at <http://riiep.faa.gov>.

(2) **Surface Incidents Included Under the Auspices of RIIEP.** Under the previous RIIEP, only those incidents classified as “runway incursions” were afforded special treatment. To more fully address the safety issue of encroachments into the runway safety area and to afford equal

treatment from an enforcement perspective, AFS will process “surface incidents” under the auspices of RIIEP. By including surface incidents, we will have more data available from which to evaluate “root cause” in determining the human factors issues involved in runway incursions.

Note: The definition of surface incident found in FAA Order 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting (September 13, 2005) is as follows:

“Surface Incident—Any event during which unauthorized or unapproved movement occurs within the movement area or an occurrence in the movement area associated with the operation of an aircraft that affects or could affect the safety of flight.”

(3) RIIEP Web Questionnaire Interface to the Database Management Reporting System (DMRS). The DMRS is a centralized repository of safety, aircraft, and airport-related information maintained by the Air Traffic Organization (ATO) that allows internal FAA users access to a secure web-based reporting system from home, the office, or around the world. The DMRS obtains RIIEP questionnaire data from the RIIEP database.

(4) RIIEP Enforcement Incentive Policy. To encourage voluntary participation in the RIIEP, the FAA will process all runway incursions and surface incidents reported under RIIEP using either administrative action or informal action in accordance with Appendix F of FAA Order 2150.3, FAA Compliance and Enforcement Program, current edition, provided:

- (a) The nature of the apparent violation does not indicate that a certificate holder lacks qualification to hold a certificate;
- (b) The apparent violation was inadvertent, that is, it was not the result of purposeful conduct;
- (c) The apparent violation was not a substantial disregard for safety;
- (d) The apparent violator demonstrates a constructive attitude toward complying with the regulations and completes corrective action recommended by the FAA, if any; and
- (e) The apparent violation does not indicate a trend of noncompliance.

Note: An administrative action is either a warning notice or letter of correction. A letter of correction is issued when some type of corrective action, such as training, is taken for the individual.

Informal Action is either written or oral counseling as provided for in FAA Order 2150.3, current edition, Appendix F, or under the guidance of the FAA’s Safety Team (FAAS Team), which is a program designed to promote safety and technical proficiency by providing guidance and support for the aviation community through education and cooperative efforts.

In certain cases, the FAA may determine an airman should complete corrective action to help prevent another runway incursion or surface incident, such as remedial training.

Such corrective action is voluntary; however, refusal by the pilot or maintenance technician to undertake it could result in the event being excluded from the enforcement incentive of RIIEP described above, and referred to the FAA office having jurisdiction over the event for further investigation and legal enforcement action, if appropriate.

If an apparent violation resulting from the runway incursion or surface incident, or the circumstances surrounding the runway incursion or surface incident, demonstrate or raise a question of lack of qualification of an airman, the FAA will proceed with appropriate action. Unless the apparent violation involves an event accepted under the Aviation Safety Action Program (ASAP), FAA action in this case may include reexamination, certificate suspension pending successful reexamination, or certificate revocation.

Foreign airmen may not participate in RIIEP. "Foreign airmen" are defined as those airmen whose airman certificates are issued by a foreign country and for whom the FAA does not exercise enforcement authority.

(5) **Demonstrating a Constructive Attitude (Runway Safety Education).** In determining whether an apparent violator has a constructive attitude toward complying with the regulations, FAA may consider documentation showing the completion of an FAA-sponsored, industry-conducted safety seminar on the subject implicated in the apparent violation. We will consider successful completion and documentation of a Runway Safety education program (such as the one available at http://www.aopa.org/asf/online_courses/) favorably in determining the course of action we will take when a pilot or maintenance technician is involved in a runway incursion or surface incident. The referenced Runway Safety Education program will also qualify for credit under the Pilot Proficiency Program (WINGS) or the Aviation Maintenance Technician Awards (AMT) Program.

(6) **Using Information Provided By Pilots or Maintenance Technicians.** The FAA recognizes pilots and maintenance technicians will have concerns that the information they provide under this program will be used by the FAA to take legal enforcement actions against them. The FAA, however, does not use information provided by pilots or maintenance technicians during interviews conducted by FAA inspectors under RIIEP in any FAA legal enforcement action.

(7) **RIIEP Application Under an Approved ASAP.** Reports of runway incursion and surface incident events that are accepted under an approved ASAP will be handled in accordance with Advisory Circular (AC) 120-66, Aviation Safety Action Programs (ASAP), current edition, and the Memorandum of Understanding between the FAA and the certificate holder. However, participation in RIIEP in conjunction with an ASAP is strongly encouraged, to include:

(a) Certificate holder's participation in RIIEP;

(b) For an ASAP report involving a pilot deviation or surface incident independently reported by the Air Traffic Organization, referral by the FAA Event Review Committee (ERC) representative of the event to the local FAA office RIIEP-trained aviation safety inspector (ASI). The RIIEP ASI will offer the reporting individual the opportunity to participate in the RIIEP questionnaire interview and capture acceptance/declination in the PTRS. Completed

questionnaires will be forwarded through RIIEP channels in accordance with the guidance in this notice; and

(c) Compliance with FAA Order 8900.1, volume 11, chapter 2, Section 1, paragraph 11-43E concerning enforcement investigation coordination of possible violations reported under an approved ASAP.

(d) RIIEP Renewal. RIIEP was renewed effective 20 July 2006, and, effective upon the publication of this notice, will remain in effect through September 30, 2008. Ninety days before the end of this period, the FAA will evaluate RIIEP to determine whether the program has provided valuable safety information and whether it should be extended.

6. Roles and Responsibilities.

a. Director, Flight Standards Service. The Director, Flight Standards Service (AFS-1), shall promote RIIEP and monitor AFS headquarters and regional division level responsiveness to program requirements. AFS-1 will be responsible for the following:

(1) Senior Level Support. AFS-1 will act as the lead program office for coordinating senior level support for RIIEP across other FAA organizations whose responsibilities are fundamental to reducing the occurrence of runway incursions including, but not limited to:

- Event investigations;
- Data collection;
- Risk analysis; and
- Development and implementation of risk mitigation strategies.

(2) AFS Liaison with the Office of Runway Safety. AFS-1 will appoint an AFS full time technical advisor to the Office of Runway Safety who will be responsible for developing and coordinating AFS RIIEP policy within that office, and within AFS.

(3) RIIEP Review. AFS-1 will monitor the participation in RIIEP achieved by AFS regional divisions.

(4) RIIEP Regional Coordination/Support. AFS-1 will coordinate support for RIIEP objectives as needed with RIIEP regional representatives.

b. Regional Flight Standards Division (RFSD) Managers. To ensure standardized, nationwide implementation, RFSD managers shall promote RIIEP and ensure division level response for program requirements. These managers will be responsible for the following:

(1) RIIEP Flight Standards Incursion Team (RIIEP-FSIT). RFSD managers shall establish and maintain a group of regional ASIs (operations and maintenance) who will serve as the RIIEP-FSIT at the division level. Ideally, the RFM will chair the RIIEP-FSIT. The RIIEP-FSIT will be responsible for coordinating National Runway Safety Program activities at the regional level and coordinating the activities of FAA field inspectors involved in investigating and interviewing pilots or maintenance technicians involved in a runway incursion or surface incident. Other team members on the FSIT shall represent FSDO and CMO facilities

(2) Flight Standards Participation in Regional Administrator's Runway Safety Program. AFS regional managers will ensure appropriate AFS participation in the regional administrator's Runway Safety Program to include AFS representation on the regional Runway Safety Team. Ideally, the RFM should represent AFS on the regional administrator's Runway Safety Team.

(3) Submitting RIIEP Questionnaires. Division managers will ensure RIIEP questionnaires are completed and entered into the RIIEP questionnaire database not later than 15 calendar-days after the ASI investigating the runway incursion or surface incident conducts the interview with the pilot or maintenance technician involved in the runway incursion or surface incident who has agreed to participate.

(4) RIIEP Questionnaire Quality Assurance Review. Each regional manager will appoint one or more individual(s) responsible for reviewing submitted RIIEP questionnaires. This regional level review is for the purpose of maintaining quality control and standardization of questionnaires that have been submitted into the RIIEP database at the local office level within a given region. When a regional division level quality assurance (QA) review has been completed for a submitted questionnaire, the QA status for that item should be updated in the RIIEP database by the regional level reviewing office. Regional division QA reviews should be completed no later than 30 calendar-days after the RIIEP ASI has submitted the RIIEP questionnaire data from an interview with the pilot or maintenance technician involved in the runway incursion or surface incident who has agreed to participate.

Note: Selected personnel from each region and FSDO/CMO may receive, training/familiarization on the use of the internet-based RIIEP by submitting an email request to the RIIEP database administrator in AFS-230, John Frye (john.frye@faa.gov).

(5) AFS Headquarters Data Analysis Reviews. Periodic reviews of submitted questionnaire data will be conducted at a national level to aggregate causal factors of pilot and mechanic runway incursions and surface incidents.

c. FSDO/CMO Managers, Principal Inspectors (PI). To ensure standard AFS nationwide implementation of RIIEP as outlined in AFS-1 guidance, FSDO/CMO managers and supervisory PI personnel will promote the RIIEP and ensure FSDO/CMO-level response to program requirements. FSDO/CMO managers and supervisory PI personnel will be responsible for the following:

(1) Inspector Availability. FSDO/CMO managers and supervisory PI personnel will ensure that no less than two (2) qualified inspectors are available to respond to runway incursions and surface incidents for the purpose of conducting an appropriate and timely investigation and interview.

(2) Investigation Activity Quality Control. FSDO/CMO managers and supervisory PI personnel will ensure quality control of investigation activities for the purpose of finding causal factors through the use of standard investigative expertise to support getting the best information available.

Note: Recounting pilot/mechanic versions of the incident without identifying the apparent causal factors for the event does not serve the objectives of the RIIEP.

(3) Use of Internet-Based RIIEP Questionnaires. Internet-based RIIEP questionnaires are accessible at <http://riiep.faa.gov>. Use of the RIIEP questionnaire on the RIIEP website is required to ensure the quality of data being compiled in the RIIEP database. FSDO/CMO managers and PI personnel shall ensure that investigating inspectors use the AFS standard RIIEP questionnaire on the website as the tool designed to assist in the determination of cause.

(4) Submitting RIIEP Questionnaires. FSDO/CMO managers and PIs will ensure RIIEP questionnaires are completed and submitted into the RIIEP database not later than 15 calendar-days after the ASI investigating the runway incursion or surface incident conducts the interview with a pilot or maintenance technician involved in an ATO-reported runway incursion or surface incident who has agreed to participate.

Note: The RIIEP database allows the ASI to save questionnaire entries that may be incomplete and return at a later occasion to complete the work. In that case the questionnaire data will remain in a “saved” status within the database until the ASI elects the “submit” option.

(5) Questionnaire Distribution. Each submitted RIIEP questionnaire should have a QA review by the office manager or his/her designated representative(s). When a local office level QA review has been completed for a given submitted questionnaire, the QA status for that item should be updated in the database to reflect completion of that review. Local office manager QA reviews should be completed no later than 15 calendar-days after the RIIEP ASI has submitted the RIIEP questionnaire data from an interview with the pilot or maintenance technician involved in the runway incursion or surface incident who has agreed to participate.

Note: Selected personnel from each region and FSDO/CMO may receive training/familiarization on the use of the Internet-based RIIEP by submitting an email request to the RIIEP database administrator in AFS-230, John Frye (john.frye@faa.gov).

d. ASIs. To ensure standard AFS nationwide implementation of the RIIEP as outlined in AFS-1 guidance, ASIs shall promote RIIEP and ensure FSDO/CMO-level response to program requirements. ASIs will be responsible for the following:

(1) Completing investigations as soon as possible and entering the RIIEP questionnaire data into the RIIEP database within 15 calendar-days after the interview with the pilot or maintenance technician involved in the runway incursion or surface incident who has agreed to participate.

(2) Using the standard AFS RIIEP questionnaire located on the RIIEP website as the tool for conducting the interview and assuring the pilot or maintenance technician responds to all questions, as appropriate.

(3) Conducting the interview in person, when able, and by telephone when unable.

(4) Using the answers given by interviewees to ask any other questions that may detail or define a specific cause of the runway incursion or surface incident, and recording the details in the “comments section” of the RIIEP questionnaire.

(5) Reviewing the RIIEP questionnaire data before submitting it to the RIIEP database.

e. FAA Safety Team. Regional FAAS Team Managers and FAAS Team Program Managers (RFM/FPM) are an integral part of the aviation safety education process.

(1) To ensure standard AFS nationwide implementation of RIIEP, RFM/FPM shall promote RIIEP to their respective aviation community.

(2) RFM/FPM will be responsible for:

(a) Including education briefings on RIIEP in their meetings with the aviation community.

(b) Reviewing submitted RIIEP questionnaires to keep abreast of runway incursion and surface incident activity within their area/region.

(c) Including current runway incursion and surface incident activity as a topic in their meetings with the aviation community.

(d) Assisting the investigating ASI by directing them to appropriate instructors or learning materials when it is determined that remedial training is necessary when “lack of knowledge” is determined to be the cause of a runway incursion or surface incident.

Note: Selected RFM(s)/FPM(s) may receive training and familiarization on the use of the Internet-based RIIEP by submitting an email request to the RIIEP database administrator in AFS-230, John Frye (john.frye@faa.gov)

7. RIIEP Runway Incursion And Surface Incident Investigations. For all runway incursions or surface incidents reported to the Flight Standards Service by the Air Traffic Organization, the RIIEP trained aviation safety inspector (ASI) shall offer the person involved the opportunity to participate in a RIIEP interview using the RIIEP questionnaire. If the person accepts and the RIIEP questionnaire is completed, the ASI should complete a PTRS entry using the appropriate activity code for an investigation, either operations or airworthiness in accordance with FAA Order 8900.10, Volume 7, Chapter 1, Section 2, and enter "RIIEP" (without the quotes) in the National Use field. If the questionnaire interview is not accepted, or it is not completed, "NORRIIEP" (without the quotes) should be entered into the National Use field.

a. Aviation Safety Action Programs (ASAP). Notwithstanding the other provisions of this notice, reports of runway incursion and surface incident events that are accepted under an approved ASAP shall be handled in accordance with Advisory Circular (AC) 120-66, Aviation Safety Action Programs (ASAP), current edition, and the Memorandum of Understanding between the FAA and the certificate holder. However, as described in paragraph 4b(3)(g) of this notice, for an ASAP report involving a pilot deviation or surface incident that is independently reported by the Air Traffic Organization, the FAA ERC representative shall refer that

non-sole-source event to the local FAA office RIIEP trained ASI. The RIIEP ASI will offer the reporting individual the opportunity to participate in the RIIEP questionnaire interview and capture acceptance/declination in the PTRS. Completed questionnaires will be forwarded through RIIEP channels in accordance with the RIIEP guidance in this notice, but FAA action for the event will be accomplished in accordance with the above referenced ASAP guidance.

b. Non-Aviation Safety Action Programs. Runway incursion and surface incident investigations for individuals that are not under an approved ASAP shall be conducted in accordance with the guidance provided in this notice, FAA Order 8900.1, volume 8, chapter 4, Section 3, Accident Prevention Program Related Tasks, and FAA Order 2150.3, current edition, Appendix F (see also the applicable sections of FAA Order 8740.1, Federal Aviation Administration Safety Team Program Manager's Handbook, current edition). For events that qualify for inclusion under RIIEP, the following are some examples of different actions that may be taken. These examples are not all-inclusive and only serve as a guide.

(1) Informal Action (written or oral counseling). Informal action should be considered in those cases where the incident was inadvertent and not egregious, the airman has a constructive attitude toward complying with regulations, the airman agrees to answer the RIIEP questions, and the airman has completed a runway safety education program, such as the one available at http://www.aopa.org/asf/online_courses/. An example of a non-egregious runway incursion is crossing the "hold short" line by a small margin but stopping short of the runway edge. The appropriate work active code should be entered into the PTRS for events handled under RIIEP with informal action (1734 for operations and 3734 for maintenance).

(2) Administrative Action Warning Notice. An administrative action with a "warning letter" should be considered in those cases where the incident was more egregious than in the previous paragraph, but still inadvertent, the individual has a constructive attitude toward complying with regulations, and the individual has completed a runway safety education program, such as the one available at http://www.aopa.org/asf/online_courses/. An example is when an individual acknowledged "hold short" instructions but crossed the hold short line by a wide margin but still well short of the runway edge. The appropriate work activity code should be entered into the PTRS for events handled under RIIEP with administrative action- warning notice (1733 for operations and 3732 for maintenance).

(3) Administrative Action Letter of Correction with Remedial Training. An administrative action with a "Letter of Correction" should be considered in those cases that are more egregious than in the previous paragraph, but still inadvertent, where it is determined that a lack of knowledge with respect to runway safety is apparent, and where the individual has a constructive attitude toward complying with regulations. An example would be if an individual crossed the hold short line by a wide margin, entered the runway, and displays an apparent lack of knowledge of airport operations. Remedial training will be administered in accordance with the guidance in this notice; FAA Order 8900.1, volume 8, chapter 4, Section 3, Accident Prevention Program Related Tasks, and FAA Order 2150.3, current edition, Appendix F. The appropriate work activity code should be entered into the PTRS for events handled under RIIEP with administrative action—letter of correction (1733 for operations and 3732 for maintenance).

Note: Notwithstanding the provisions of FAA Order 2150.3, current edition, and FAA Order 8740.1, current edition, under RIIEP remedial training may be used to address runway incursions or surface incidents by individuals operating for compensation or hire, including those working for non-ASAP air carriers and others operating under parts 121, 125, and 135. If remedial training is selected, it shall be documented through a written agreement (see Appendix 4 of this notice).

Note: For those entities with an approved training program/curriculum, if remedial training is conducted under that training program/curriculum. It must be documented in accordance with the Pilot Records Improvements Act. Runway incursions or surface incidents may point to inadequacies in the area of runway safety training in an approved training program/curriculum. Principal inspectors (PI) and training center program managers (TCPM) should review such programs/curriculums to determine if there are inadequacies regarding runway safety training. If inadequacies are found, PI/TCPM shall request revision.

(4) Legal Enforcement Action. Except for events accepted under the ASAP, legal enforcement action should be considered in those cases that involve an egregious event—even if it was inadvertent—where the airman does not have a constructive attitude toward complying with regulations and refuses to answer RIIEP questions. In those instances where the airman refuses to answer any RIIEP questions or participate in remedial training, one may presume the airman does not have a constructive attitude and legal enforcement action should be considered.

(5) Remedial Legal Enforcement Action.

(a) Except for events accepted under the ASAP, when it is determined that the certificate holder lacks qualifications and the certificate holder is reasonably able to exercise the privileges of the certificate, emergency action to revoke the certificate should be taken in the interest of safety. Similarly, when there is a reasonable basis to question the certificate holder's qualifications and the certificate holder is reasonably able to exercise the privileges of the certificate, emergency action to suspend the certificate generally should be taken in the interest of safety.

(b) Except for events accepted under the ASAP, remedial legal enforcement action should be considered when an egregious event occurs and it is determined that the individual displays a major lack of knowledge with respect to runway safety and airport operations. An example would be if an individual crossed the hold short line by a wide margin, entered the runway and narrowly avoided a collision and displays a major lack of knowledge of airport operations. In those cases, inspectors should consider certificate reexamination, with certificate suspension pending successful reexamination.

(6) Evidence of Constructive Attitude.

(a) In determining whether an apparent violator has a constructive attitude toward complying with the regulations, FAA may consider documentation showing the completion of an FAA-sponsored, industry-conducted safety seminar on the subject implicated in the apparent violation.

(b) We will consider successful completion and documentation of a Runway Safety education program (such as the one available at http://www.aopa.org/asf/online_courses/) favorably in determining the course of action we will take when a pilot or maintenance technician is involved in a runway incursion or surface incident.

8. RIIEP Guidance Material. Copies of guidance material for use in RIIEP are included in Appendices A through H as follows:

- Appendix A, RIIEP—Sample Letter of Investigation;
- Appendix B, RIIEP—Sample Warning Notice;
- Appendix C, RIIEP Remedial Training—Sample Letter of Investigation;
- Appendix D, RIIEP Remedial Training—Sample Training Agreement;
- Appendix E, RIIEP Remedial Training—Sample Letter of Correction;
- Appendix F, RIIEP Remedial Training—Sample Termination of Training;
- Appendix G, Pilot Deviation RIIEP Questionnaire; and
- Appendix H, Maintenance Taxi Deviation RIIEP Questionnaire.

Note: The RIIEP Questionnaires in Appendices 7 and 8 are for informational purposes only. The current version of the questionnaires may be downloaded and printed by accessing the RIIEP Internet Web site at <http://riiep.faa.gov>.

9. Action. FSDO, CMO, and RFSD managers should inform all RIIEP and ASAP ERC ASIs, all FAASTeam members and appropriate aviation industry entities as to the publication of this notice. Announcement of the information contained in this notice should be given wide distribution to the aviation industry. FSDO/CMOs disseminating announcements concerning this notice to non-ATOS entities will use the guidance in paragraph 9a below. ATOS FSDO/CMOs will use the guidance in paragraph 9b below.

a. Non-ATOS Program Tracking and Reporting Subsystem (PTRS) Input. Inspectors shall make a PTRS entry to record the actions directed by this notice. This notice requires PTRS entries, as follows:

Initial Announcement. Document the conveyance of an announcement of the information in this notice for each air carrier or aviation entity as follows:

- (1) Use PTRS code 1030, Staff/Admin/Convey Nonreg. Sfty.
- (2) Enter “890031” in the “National Use” field (without the quotes).
- (3) Once the above information has been provided to the air carrier or aviation entity, close out the PTRS.

b. ATOS Action. Principal airworthiness and operations inspectors with oversight responsibility for air carriers that provide transportation for passengers and/or cargo shall provide each Director of Safety of the respective operator with a copy of this notice.

(1) Principal inspectors (PI) must assess the air carrier's response to the recommendations. An air carrier's failure to implement these recommendations into their existing program could result in potential increased risk levels in several areas.

(2) PIs must determine if additional surveillance is required or further action is necessary to address the potential increased risk levels. Possible additional actions may include retargeting the Comprehensive Surveillance Plan to include accomplishing appropriate Safety Attribute Inspections or Element Performance Inspections, convening a System Analysis Team, or reevaluating air carrier approvals or programs.

(3) ATOS Reporting. Two entries are required by this notice, as follows:

Initial Announcement. PIs will make an ATOS entry using the "Other Observation DOR" functionality to record the initial announcement concerning the publication of this notice. The PI will access the "Create DOR" option on the ATOS home page, select the "Other Observation" tab, and:

- (a) Select System: 7.0 Technical Administration.
- (b) Select Subsystem: 7.2 Other Programs.
- (c) Select the appropriate air carrier from the drop-down menu.
- (d) Enter the date the activity was started and completed.
- (e) Enter the location where the activity was performed.
- (f) For ATOS Airworthiness, enter "890031" in the "Local/Regional/National Use" field (without the quotes).
- (g) For ATOS Operations, enter "890031" in the "Local/Regional/National Use" field (without the quotes).
- (h) Use the "Comments" field to record any comments reflecting interaction with the air carrier and the air carrier's response to the recommendation.
- (i) Input any actions taken in the "Reporting Inspector Action Taken" field.
- (j) Select the "Save" button after all entries have been made.

10. Disposition. This notice will not be incorporated into Order 8900.1, Flight Standards Information Management System (FSIMS) and will expire September 30, 2008. You may direct questions concerning the operation of the web based RIIEP questionnaire to the system administrator in AFS-230 at 703-661-0263, Attention, John Frye (john.frye@faa.gov). Questions on RIIEP policy may be directed to the Flight Standards Service Technical Advisor to the Office of Runway Safety, Ed Jarvis, 202-385-4886, ed.jarvis@faa.gov. Questions concerning the responsibilities under this notice of FAAS Team managers may be directed to the National FAAS Team Manager, Kevin Clover, 562-421-7655, kevin.l.clover@faa.gov.

ORIGINAL SIGNED by

James J. Ballough
Director, Flight Standards Service

Appendix A. RIIEP—Sample Letter of InvestigationU.S. Department
of Transportation**Federal Aviation
Administration**

Washington DC Flight Standards District Office

800 Independence Ave, SW
Washington, DC 20591**Note:** See also FAA Order 2150.3,
current edition, Appendix A

Certified Mail—Return Receipt

John P. Jones
123 Taxiway Lane
Runway, ST 12345-6789

Dear Mr. Jones:

RE: File # 020WA2004

[Make the appropriate selection (or enter the current information) from the words enclosed in brackets.]

This office is investigating an incident that occurred on *[March 2, 2004, at 9:30 a.m.]* at the *[Philadelphia International Airport]*, involving a *[Mooney N-20-C, N111JP]*. Records indicate that you were the *[Pilot-In-Command of this aircraft]* *[Maintenance Technician in charge of towing this aircraft]*.

[N111JP] crossed the hold short line at the intersection of *[Taxiway Uniform and Runway 27 Left without a clearance]* and caused another aircraft to abort its takeoff. This action is contrary to Title 14 of The Code of Federal Regulations (14 CFR), commonly referred to as the “Federal Aviation Regulations.”

This letter is to inform you that the incident is under investigation by the Federal Aviation Administration (FAA) and has been classified as a *[runway incursion]* *[surface incident]*. In order to analyze why *[runway incursions]* *[surface incidents]* occur, the FAA is conducting the Runway Incursion Information Evaluation Program (RIIEP).

As an incentive to encourage participation in the RIIEP, for airmen who cooperate and provide detailed information regarding the deviation, the FAA plans to forgo punitive legal enforcement actions (certificate suspension for a fixed period or civil penalty), and instead use administrative action or counseling, which involve no finding of violation, provided:

- a.** The nature of the apparent violation does not indicate that a certificate holder lacks qualification to hold a certificate;
- b.** The apparent violation was inadvertent, that is, it was not the result of purposeful conduct;

- c. The apparent violation was not a substantial disregard for safety or security;
- d. The apparent violator has a constructive attitude toward complying with the regulations;
and
- e. The apparent violation does not indicate a trend of noncompliance.

If the [*runway incursion*] [*surface incident*] demonstrates, or raises a question of, a lack of qualification of the [*pilot*] [*maintenance technician*], the FAA will proceed with appropriate action. This may include reexamination, certificate suspension pending successful reexamination, or certificate revocation.

The key component of the RIIEP is to encourage individuals involved in [*runway incursions*] [*surface incidents*] to answer questions from a standardized RIIEP Questionnaire, a copy of which is attached for your review. If you agree to participate in the RIIEP, I will contact you to get your answers.

If you have any questions, please contact me at [*703-661-8100, extension 274*], between the hours of [*8:00 a.m. and 4:30 p.m., Monday through Friday*].

We would appreciate hearing from you within ten days of receipt of this letter with any evidence or statements you might care to make regarding this matter. Any verbal or written statements will be given consideration in the investigation.

If we do not hear from you within ten days, the report will be processed without the benefit of your information and you will not be eligible for consideration under the auspices of the RIIEP.

Sincerely,

Iam A. Niceguy
Aviation Safety Inspector, [*Operations*] [*Airworthiness*]

Enclosures:

1. RIIEP [*Pilot Deviation*] [*Maintenance Taxi Deviation*] Questionnaire.
2. Privacy Act Notice.

Appendix B. RIIEP—Sample Warning Notice



U.S. Department
of Transportation
**Federal Aviation
Administration**

Washington DC Flight Standards District Office

800 Independence Ave, SW
Washington, DC 20591

Note: See also FAA Order 2150.3,
current edition, Appendix A

Certified Mail—Return Receipt

John P. Jones
123 Taxiway Lane
Runway, ST 12345-6789

Dear Mr. Jones:

RE: File # 020WA2004

[Make the appropriate selection (or enter the current information) from the words enclosed in brackets.]

On *[March 2, 2004]*, at *[9:30 a.m.]* at the *[Philadelphia International Airport]*, you were the *[Pilot-In-Command of Mooney N-20-C, registration number N111JP]* *[Mechanic in charge of towing Mooney N-20-C, registration number N111JP]*. You allowed *[N111JP]* to cross the hold short line at the intersection of *[Taxiway Uniform and Runway 27 Left]* without a clearance. Your action caused another aircraft to *[abort its takeoff.]* You have been advised that your action is contrary to Title 14 of the Code of Federal Regulations *[Part 91, § 91.123]*. By cooperating and voluntarily providing answers to the questions on the Runway Incursion Information Evaluation Program (RIIEP) questionnaire, you have fulfilled the requirements of the RIIEP.

Under the provisions of the RIIEP, and further investigation concerning the circumstances of this incident, the FAA will forgo punitive legal enforcement action (certificate suspension for a fixed period or civil penalty). In lieu of such action we are issuing this letter that will be made a matter of record for a period of two years, after which, the record of this matter will be expunged.

This letter constitutes neither an admission nor an adjudication of a violation. We appreciate your cooperation in enhancing safety in this matter and expect your full compliance with the regulations in the future.

Sincerely,

Iam A. Niceguy
Aviation Safety Inspector, *[Operations]* *[Airworthiness]*

Appendix C. RIIEP Remedial Training—Sample Letter of Investigation

U.S. Department
of Transportation
**Federal Aviation
Administration**

Washington DC Flight Standards District Office

800 Independence Ave, SW
Washington, DC 20591

Note: See also FAA Order 2150.3,
current edition, Appendix A

Certified Mail—Return Receipt

John P. Jones
123 Taxiway Lane
Runway, ST 12345-6789

Dear Mr. Jones:

RE: File # 020WA2004

[Make the appropriate selection (or enter the current information) from the words enclosed in brackets.]

This office is investigating an incident that occurred on *[March 2, 2004, at 9:30 a.m.]* at the *[Philadelphia International Airport]*, involving a *[Mooney N-20-C, N111JP]*. Records indicate that you were the *[Pilot-In-Command of this aircraft]* *[Maintenance Technician in charge of towing this aircraft]*.

[N111JP] crossed the hold short line at the intersection of *[Taxiway Uniform and Runway 27 Left without a clearance]* and caused another aircraft to abort its takeoff. This action is contrary to Title 14 of The Code of Federal Regulations (14 CFR), commonly referred to as the “Federal Aviation Regulations.”

This letter is to inform you that the incident is under investigation by the Federal Aviation Administration (FAA) and has been classified as a *[runway incursion]* *[surface incident]*. In order to analyze why *[runway incursions]* *[surface incidents]* occur; the FAA is conducting the Runway Incursion Information Evaluation Program (RIIEP).

As an incentive to encourage participation in the RIIEP, for airmen who cooperate and provide detailed information regarding the deviation, the FAA plans to forgo punitive legal enforcement actions (certificate suspension for a fixed period or civil penalty), and instead use administrative action or counseling, which involve no finding of violation, provided:

- a.** The nature of the apparent violation does not indicate that a certificate holder lacks qualification to hold a certificate;
- b.** The apparent violation was inadvertent, that is, it was not the result of purposeful conduct;

- c. The apparent violation was not a substantial disregard for safety or security;
- d. The apparent violator has a constructive attitude toward complying with the regulations;
and
- e. The apparent violation does not indicate a trend of noncompliance.

One form of administrative action is remedial training, which is documented with the issuance of a letter of correction. It appears that you might benefit from such remedial training. To be allowed to participate in the corrective action through remedial training program, you must respond to this letter within 10 days of receipt and specifically express your interest in pursuing a course of remedial education. However, the final determination to use remedial training is a within the discretion of the FAA. While participation in remedial training is voluntary, refusal to do so could result in punitive legal enforcement action being taken.

If you wish to receive remedial training, you will meet with an aviation safety inspector who will confirm whether training is appropriate and will propose a training course for you, at your expense. If you agree to the proposed remedial training program, a written agreement describing the terms and conditions of the training program will be signed by you and the FAA. Upon satisfactory completion of the prescribed training program within the time specified, you will be issued a letter of correction and the matter will be closed. Failure to carry out any of the terms of the remedial training agreement will result in termination of your participation in the program and may lead to appropriate legal enforcement. Information provided to the FAA, including the response to this letter, may be used in determining whether remedial training is appropriate. We may use our decision to not offer you remedial training, or your failure to complete the program satisfactorily, in any later legal enforcement action we take.

Information on the corrective action through remedial training program may be obtained by contacting [*name of Aviation Safety Inspector*] at [*703-661-8100, extension 285*], between the hours of [*8:00 a.m. and 4:30 p.m., Monday through Friday*].

If the [*runway incursion*] [*surface incident*] demonstrates, or raises a question of, a lack of qualification of the [*pilot*] [*maintenance technician*], the FAA will proceed with appropriate action. This may include reexamination, certificate suspension pending successful reexamination, or certificate revocation.

The key component of the RIIEP is to encourage individuals involved in [*runway incursions*] [*surface incidents*] to answer questions from a standardized RIIEP Questionnaire, a copy of which is attached for your review. If you agree to participate in the RIIEP, I will contact you to get your answers.

If you have any questions, please contact me at [*703-661-8100, extension 274*], between the hours of [*8:00 a.m. and 4:30 p.m., Monday through Friday*].

We would appreciate hearing from you within ten days of receipt of this letter with any evidence or statements you might care to make regarding this matter. Any verbal or written statements will be given consideration in the investigation.

2/12/08

N 8900.31
Appendix C

If we do not hear from you within ten days, the report will be processed without the benefit of your information and you will not be eligible for consideration under the auspices of the RIIEP and corrective action through remedial training program.

Sincerely,

Iam A. Niceguy
Aviation Safety Inspector, [Operations][Airworthiness]

Enclosures

1. RIIEP [Pilot Deviation] [Maintenance Taxi Deviation] Questionnaire.
2. Privacy Act Notice

Appendix D. RIIEP Remedial Training—Sample Training Agreement

U.S. Department
of Transportation
**Federal Aviation
Administration**

Washington DC Flight Standards District Office

800 Independence Ave, SW
Washington, DC 20591

Note: See also FAA Order 2150.3,
current edition, Appendix A

Certified Mail—Return Receipt

John P. Jones
123 Taxiway Lane
Runway, ST 12345-6789

Dear Mr. Jones:

RE: File # 020WA2004

[Make the appropriate selection (or enter the current information) from the words enclosed in brackets.]

On *[March 6, 2004]*, you were advised that this office was investigating an incident that occurred on *[March 2, 2004, at 9:30 a.m.]* at the *[Philadelphia International Airport]*, involving a *[Mooney N-20-C, N111JP]*. Records indicate that you were the *[Pilot-In-Command of this aircraft]* *[Maintenance Technician in charge of towing this aircraft]*.

Our investigation indicates that *[N111JP]* crossed the hold short line at the intersection of *[Taxiway Uniform and Runway 27 Left without a clearance]* and caused another aircraft to abort its takeoff. This action is contrary to Title 14 of The Code of Federal Regulations (14 CFR), commonly referred to as the “Federal Aviation Regulations.”

In consideration of all available facts and circumstances, your agreement to participate in the RIIEP, and your interest in participating in remedial training, we have determined that remedial training as a substitute for legal enforcement action is appropriate. Accordingly, your signature on this letter signifies your agreement to complete the prescribed course of remedial training within the assigned period of time. To complete this remedial training program successfully you must comply with the following terms:

- a.** You must obtain the required training from an approved source. Approval can be obtained verbally from *[Bette B. Wright, Aviation Safety Inspector, Washington DC Flight Standards District Office (FSDO)]*, upon obtaining the services of a certified flight instructor.
- b.** Once training begins, you are required to make periodic progress reports to the Washington DC FSDO.
- c.** You are required to complete all elements of the remedial training syllabus and meet acceptable completion standards within 21 days of accepting this training agreement.

d. You are required to provide the Washington DC FSDO SPM with written documentation indicating satisfactory completion of the prescribed remedial training. You must provide the original of a written certification signed by the certified flight instructor who conducts the remedial training. The written certification must describe each element of the syllabus for which instruction was given, and the level of proficiency you have achieved.

e. All expenses incurred for the prescribed training will be borne by you.

REMEDIAL TRAINING SYLLABUS

SYLLABUS OBJECTIVE: To improve the pilot's knowledge and proficiency concerning the information contained in Advisory Circular [91-73 Part 91 and Part 135 Single-Pilot Procedures During Taxi Operations, current edition] [120-74, Parts 91, 121, 125, and 135 Flightcrew Procedures During Taxi Operations, current edition].

SYLLABUS CONTENT:

a. A minimum of [4] hours of ground instruction on the following subjects:

- (1) Standard Operating Procedures (SOP) for Taxi Operations;
- (2) Situational Awareness;
- (3) Use of Written Taxi Instructions;
- (4) ATC/Pilot Communication;
- (5) Taxiing;
- (6) Airport Surface Operations at Non-Towered Airports and Airports When the Tower is Closed; and
- (7) Use of Aircraft Exterior Lights to Make the Aircraft more Conspicuous.

b. [Two hours] of airport taxi operations in an appropriate aircraft or flight simulator (as described in 14 CFR Part 61, § 61.1(b)(5)) to demonstrate application of the ground instruction above, to include:

- (1) Standard Operating Procedures for Taxi Operations;
- (2) Situational Awareness;
- (3) Use of Written Taxi Instructions;
- (4) ATC/Pilot Communication;
- (5) Taxiing;

(6) Airport Surface Operations at Non-Towered Airports and Airports When the Tower is Closed; and

(7) Use of Aircraft Exterior Lights to Make the Aircraft more Conspicuous.

COMPLETION STANDARDS: The training will have been successfully completed when the assigned instructor, by oral testing and practical demonstration, certifies that the participating pilot has completed instruction in the above-mentioned subjects in accordance with the remedial training syllabus.

Betty B. Wright

Aviation Safety Inspector

Date

I agree to comply with the terms and conditions specified in this letter. I understand that failure to complete any element of this agreement within the prescribed period of time may result in my removal from the corrective action through remedial training program and may result in appropriate legal enforcement action.

John P. Jones

Date

Appendix E. RIIEP Remedial Training—Sample Letter of Correction

U.S. Department
of Transportation
**Federal Aviation
Administration**

Washington DC Flight Standards District Office

800 Independence Ave, SW
Washington, DC 20591

Note: See also FAA
Order 2150.3, current edition,
Appendix A

Certified Mail—Return Receipt

John P. Jones
123 Taxiway Lane
Runway, ST 12345-6789

Dear Mr. Jones:

RE: File # 020WA2004

[Make the appropriate selection (or enter the current information) from the words enclosed in brackets.]

Our investigation indicates that on *[March 2, 2004]*, at *[9:30 a.m.]* at the *[Philadelphia International Airport]*, you were the *[Pilot-In-Command of Mooney N-20-C, registration number N111JP]* *[Mechanic in charge of towing Mooney N-20-C, registration number N111JP]*. You allowed *[N111JP]* to cross the hold short line at the intersection of *[Taxiway Uniform and Runway 27 Left]* without a clearance. Your action caused another aircraft to *[abort its takeoff.]* You have been advised that your action is contrary to Title 14, Code of Federal Regulations *[Part 91, § 91.123]*.

As a result of our discussion with you on *[March 4, 2004]*, you agreed to participate in the Runway incursion Information Evaluation Program (RIIEP) and complete a program of remedial training as a substitute for legal enforcement action. You have submitted evidence showing satisfactory completion of *[four]* hours of ground instruction on topics from Advisory Circular *[91-73A, Part 91 and Part 135 Single-Pilot Procedures During Taxi Operations]* *[120-74A, Parts 91, 121, 125, and 135 Flightcrew Procedures During Taxi Operations]*. You have also completed *[two]* hours of airport taxi operations in an appropriate aircraft or flight simulator demonstrating your knowledge of Standard Operating Procedures During Taxi Operations as specified in the training agreement.

In closing this case, we have considered all available facts and concluded that, based on your satisfactory completion of the remedial training program, legal enforcement action will not be pursued. In place of such action, we are issuing this letter that will be made a matter of record for a period of 2 years, after which the record of this matter will be expunged. This letter constitutes neither an admission nor an adjudication of a violation.

2/12/08

N 8900.31
Appendix E

We appreciate your cooperation in enhancing safety in this matter and expect your full compliance with the regulations in the future.

Sincerely,

Iam A. Niceguy
Aviation Safety Inspector, [*Operations*] [*Airworthiness*]

Appendix F. RIIEP Remedial Training—Sample Termination of Training

U.S. Department
of Transportation
**Federal Aviation
Administration**

Washington DC Flight Standards District Office

800 Independence Ave, SW
Washington, DC 20591

Note: See also FAA Order 2150.3,
current edition, Appendix A

Certified Mail—Return Receipt

John P. Jones
123 Taxiway Lane
Runway, ST 12345-6789

Dear Mr. Jones:

RE: File # 020WA2004

[Make the appropriate selection (or enter the current information) from the words enclosed in brackets.]

This letter is to inform you that we find you have not complied with the Runway Incursion Information Evaluation Program (RIIEP) remedial training agreement executed on *[March 8, 2004]*, requiring that you complete specified remedial training. Specifically, your designated flight instructor, *[Ms. Georgina Smith]*, advises you have not begun the navigational flight instruction you agreed to have completed by *[March 29, 2004]*. Although you were scheduled for ground instruction on *[March 9, 2004]*, for *[4]* hours of ground instruction on topics from Advisory Circular *[91-73A, Part 91 and Part 135 Single-Pilot Procedures During Taxi Operations]* *[120-74A, Parts 91, 121, 125, and 135 Flightcrew Procedures During Taxi Operations]*, you have not begun that instruction. Moreover, you have not contacted this office to request modification of any of the terms of the remedial training agreement.

In view of your failure to comply with the terms and conditions of the training program agreement, we have terminated your participation in the remedial training program effective this date and you no longer qualify for an alternative to legal enforcement action under the auspices of the RIIEP.

We have referred your case, involving the operation as *[Pilot-In-Command of Mooney N-20-C, registration number N111JP]* *[Mechanic in charge of towing Mooney N-20-C, registration number N111JP]* to the Assistant Chief Counsel for the Eastern Region for appropriate legal enforcement action.

I tried to B. Aniceguy
Aviation Safety Inspector, *[Operations]* *[Airworthiness]*

Appendix G. Pilot Deviation RIEP Questionnaire



Flight Standards Service Runway Incursion Information Evaluation Program (RIIEP) Questionnaire Pilot Deviation (PD)

Complete this form through the Database Management Reporting System (DMRS) or electronically in Word®.

SECTION 1. RUNWAY INCURSION (RI) OR SURFACE INCIDENT (SI) INFORMATION Mark the appropriate box

Date of event: _____ Interview Date: _____ Pilot Deviation #: _____

Region: _____ Airport: _____ PTRS #: _____

Location of Event (City/State) _____ FSDO Location _____

ASI's Name: _____ ASI's Phone #: _____ ASI's email: _____

Aircraft Make: _____ Other Aircraft Make: _____

Aircraft: <12,500 lbs _____ >12,500 lbs _____ Other Aircraft: <12,500 lbs _____ >12,500 lbs _____

If other party was not an aircraft, what was it? Vehicle: _____ Person: _____ Other: _____ Specify: _____

Have you applied to the ASAP Program? _____ When was your last regulatory check ride/review? _____

Have you submitted a NASA Aviation Safety Reporting System (ASRS) form? Yes _____ No _____

Do you participate in the FAA Wings Proficiency Awards Program? Yes _____ No _____

If you participate in the WINGS program, when did you last fly with a CFI? _____ If you participate in the WINGS program, when was the last time you attended an FAA Safety Seminar? _____

SECTION 2. PILOT INFORMATION

1. What is the highest pilot certificate that you hold?	<input type="checkbox"/> Student	<input type="checkbox"/> Recreation	<input type="checkbox"/> Private	<input type="checkbox"/> Comm.	<input type="checkbox"/> ATP	
1a. If you are a student, has your instructor given you training on surface movement operations (surface markings, signs, ATC instruction, etc)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
2. What category & class ratings do you have? (Mark all that apply)	<input type="checkbox"/> ASES	<input type="checkbox"/> AMES	<input type="checkbox"/> ASEL	<input type="checkbox"/> AMEL	<input type="checkbox"/> Rotor Craft - Helicopter	
3. Do you have a CFI certificate?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
4. Under what 14 CFR were you operating during the runway incursion?	<input type="checkbox"/> 121	<input type="checkbox"/> 135	<input type="checkbox"/> 91	<input type="checkbox"/> Other		
5. Under what 14 CFR rules have you flown in the past 2 years? (Mark all that apply.)	<input type="checkbox"/> 121	<input type="checkbox"/> 135	<input type="checkbox"/> 91	<input type="checkbox"/> Other		
6. How many crewmembers were on deck?	<input type="checkbox"/> I was solo	<input type="checkbox"/> 2	<input type="checkbox"/> 3			
7. Which pilot were you in the aircraft?	<input type="checkbox"/> Captain/PIC	<input type="checkbox"/> First Officer	<input type="checkbox"/> Second Officer			
8. Which pilot was at the controls when the event occurred?	<input type="checkbox"/> Captain	<input type="checkbox"/> First Officer				
9. How familiar were you with the other crewmembers?	<input type="checkbox"/> We are regular crew	<input type="checkbox"/> We've flown together once or twice	<input type="checkbox"/> Two of us are familiar, the other is not	<input type="checkbox"/> None of us has flown together		
10. How many total flight hours have you flown?	<input type="checkbox"/> <100	<input type="checkbox"/> 100 to 500	<input type="checkbox"/> 501 to 1,000	<input type="checkbox"/> 1,001 to 3,000	<input type="checkbox"/> 3,001 to 10,000	<input type="checkbox"/> Over 10,000
11. How many hours have you flown in the last 3 months?	<input type="checkbox"/> None	<input type="checkbox"/> 1 to 10	<input type="checkbox"/> 11 to 50	<input type="checkbox"/> 51 to 150	<input type="checkbox"/> 151 to 300	<input type="checkbox"/> Over 300
12. How many flight hours have you operated for compensation or hire in the last 3 months?	<input type="checkbox"/> None for compensation or hire	<input type="checkbox"/> 1 to 10	<input type="checkbox"/> 11 to 50	<input type="checkbox"/> 51 to 150	<input type="checkbox"/> 151 to 300	<input type="checkbox"/> Over 300
13. What are your total flight hours in the make/model of aircraft you were operating during the event?	<input type="checkbox"/> Under 100	<input type="checkbox"/> 100 to 500	<input type="checkbox"/> 501 to 1,000	<input type="checkbox"/> 1,001 to 3,000	<input type="checkbox"/> 3,001 to 10,000	<input type="checkbox"/> Over 10,000



**Flight Standards Service
Runway Incursion Information Evaluation Program (RIIEP) Questionnaire
Pilot Deviation (PD)**

14. In how many accidents and/or incidents have you (as a crewmember) been in your lifetime? None 1 Accident only 1 Incident Only 1 Accident & 1 Incident Over 1 Accident & 1 Incident
15. In how many accidents and/or incidents have you been involved (as a crewmember) during the last 2 years? None 1 Accident only 1 Incident only 1 Accident & 1 Incident Over 1 Accident & 1 Incident
16. How often do you operate at towered airports? Always Sometimes Infrequently
17. Was the event at your home base/airport? Yes No
18. If you were not at your home base/airport, how many times in the last year have you operated at this particular location before this occurrence? My first time here 2 to 10 times Over 10 times

SECTION 3. THE OPERATION

19. During what part of the day did the event occur? Dawn Daytime Dusk Night
20. How clearly could you see at the time the event took place? Clear, No Factor Glare from lights, sun, etc. IMC only There was an obstruction (Explain in comments)
21. If weather was a problem, describe the situation. Not weather related Rain, Hail, Freezing Rain Fog or Haze Snow, Ice, Sleet on Taxiway Snow obscured signs or markings Other, Explain
22. Did you review the airport diagram before taxi? Yes No
23. Did you use the airport diagram during taxi? Yes It was available, but I didn't use it It was not available
24. During what phase of flight did the event occur? Taxiing Before Takeoff During Takeoff During Landing Taxiing After Landing
- 24a. If departing, how many aircraft were on your taxiway waiting for takeoff? None 1 to 3 4 to 10 Over 10 Do not know
- 24b. If landing, how many aircraft were ahead of you in landing sequence? None 1 to 3 4 to 10 Over 10 Do not know
- 24c. Were you following another aircraft that you believed had the same taxi clearance? Yes No Not sure Not Applicable
25. What was happening inside the cockpit when the event occurred? Reading the checklist Resolving a malfunction Discussion with cabin crew Other, Explain
26. Did anything unusual happen when the event occurred? Yes, explain No
27. Could you see the airport signs, pavement markings and lighting from the flight deck (cockpit)? Yes No, Explain
- 27a. If Yes to Question 27, were the signs, pavement markings, and lighting clear? Yes No
28. If the signs or pavement markings were unclear or misleading, how did they contribute to the event (Mark All That Apply)? Signs confusing, misleading, or worn (Explain in comments) Pavement markings confusing misleading or worn (Explain in comments)
29. Were elevated "Guard Lights" (wig wag) or in-surface lights available at the intersection? Yes No Don't know



**Flight Standards Service
Runway Incursion Information Evaluation Program (RIIEP) Questionnaire
Pilot Deviation (PD)**

29a	If elevated "Guard Lights" (wig wag) or in-surface lights were available at the intersection, indicate whether or not they were working (Mark all that apply).	<input type="checkbox"/>	Elevated Guard Lights (wig wag) working	<input type="checkbox"/>	Elevated Guard Lights (wig wag) NOT working	<input type="checkbox"/>	In-surface Guard Lights working	<input type="checkbox"/>	In-Surface Guard Lights NOT working
30.	Were "Stop Bar Lights" available at the intersection?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	Don't know		
30a	If "Stop Bar Lights" were available at the intersection, indicate whether or not they were working.	<input type="checkbox"/>	Stop Bar Lights working	<input type="checkbox"/>	Stop Bar Lights NOT working				
31.	Were you, or another pilot onboard, communicating with ATC?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No				

SECTION 4. ATC INSTRUCTIONS & COMMUNICATIONS

32.	Were you wearing a headset when you received the clearance, and during the incident?	<input type="checkbox"/>	Yes, I was wearing a headset	<input type="checkbox"/>	No, I was using the aircraft speaker & mike								
33.	If there were 2 or more crewmembers, which pilot was communicating with ATC when the event occurred?	<input type="checkbox"/>	Captain	<input type="checkbox"/>	First Officer	<input type="checkbox"/>	Second Officer						
34.	How congested was the radio frequency when you received your clearance?	<input type="checkbox"/>	It was clear	<input type="checkbox"/>	Light	<input type="checkbox"/>	Moderate	<input type="checkbox"/>	Heavy	<input type="checkbox"/>	Extreme		
35.	How congested was the radio frequency when the event occurred?	<input type="checkbox"/>	It was clear	<input type="checkbox"/>	Light	<input type="checkbox"/>	Moderate	<input type="checkbox"/>	Heavy	<input type="checkbox"/>	Extreme		
36a	If selected "Taxiing after landing" or "During landing" in Question 24, when did you hear the clearance in question?	<input type="checkbox"/>	Not in question	<input type="checkbox"/>	Landing roll	<input type="checkbox"/>	Taxiing after landing	<input type="checkbox"/>	Do not recall				
36b	If selected "Taxiing before takeoff" or "During takeoff" in Question 24, when did you hear the clearance in question?	<input type="checkbox"/>	Not in question	<input type="checkbox"/>	At ramp/gate	<input type="checkbox"/>	Taxiing for takeoff	<input type="checkbox"/>	Do not recall				
37.	Did you receive the taxi clearance you expected?	<input type="checkbox"/>	Yes, a usual clearance for the situation	<input type="checkbox"/>	No, airport changed from usual	<input type="checkbox"/>	No, different clearance due to another aircraft						
38.	If all or part of the clearance was not completely clear, what about it was unclear?	<input type="checkbox"/>	Clearance was clear	<input type="checkbox"/>	Controller talked too fast	<input type="checkbox"/>	Controller Accent	<input type="checkbox"/>	Controller used phrases I did not recognize	<input type="checkbox"/>	Controller used airport locations I could not see or recognize	<input type="checkbox"/>	Other, explain
39.	Did you need to ask ATC for clarification?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No								
39a	If "NO" to 39 above, why didn't you ask ATC for clarification, or progressive taxi instruction?	<input type="checkbox"/>	I understood the clearance	<input type="checkbox"/>	ATC was too busy	<input type="checkbox"/>	I was too busy	<input type="checkbox"/>	Other, Explain				
39b	If "YES" to 39 above, why did you ask for clarification or progressive taxi instruction?	<input type="checkbox"/>	Controller talked too fast	<input type="checkbox"/>	Controller Accent	<input type="checkbox"/>	Controller used phrases I did not recognize	<input type="checkbox"/>	Controller used airport locations I could not see or recognize	<input type="checkbox"/>	Other, Explain		
40.	Did you write down the clearance?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No								
41.	Did you read back the taxi clearance?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No								
42.	How did you note any hold-short locations in the clearance?	<input type="checkbox"/>	Wrote it down	<input type="checkbox"/>	Wrote it down and coordinated with crew	<input type="checkbox"/>	Spoke / coordinated with crew	<input type="checkbox"/>	Memory				

Appendix H. Maintenance Taxi Deviation Questionnaire



Flight Standards Service
Runway Incursion Information Evaluation Program (RIIEP) Questionnaire
Maintenance Taxi Deviation (MTD)

Complete this form through the Database Management Reporting System (DMRS) or electronically in Word®.

SECTION 1. RUNWAY INCURSION (RI)	OR SURFACE INCIDENT (SI)	INFORMATION
---	---------------------------------	--------------------

Mark the appropriate box

Date of event: _____ Interview Date: _____ Deviation #: _____

Region: _____ Airport: _____ PTRS #: _____

Location of Event (City/State): _____ FSDO Location: _____

ASI's Name: _____ ASI's Phone #: _____ ASI's email: _____

Aircraft Make: _____ Other Aircraft Make: _____

Aircraft: <12,500 lbs >12,500 lbs Other Aircraft: <12,500 lbs >12,500 lbs

If other party was not an aircraft, what was it? Vehicle: _____ Person: _____ Other: _____ Specify: _____
Yes No

Have you submitted a NASA Aviation Safety Reporting System (ASRS) form? _____ Yes No

Have you applied to the ASAP? _____ Do you participate in the AMT Awards Program? _____ Yes No

SECTION 2. MAINTENANCE TECHNICIAN INFORMATION

1. How many maintenance technicians were on deck? I was solo 2 3
2. Which crewmember seat were you occupying in the aircraft when the event occurred? Left (Captain) Right (First Officer)
3. Which maintenance technician was at the controls when the event occurred? Left (Captain) Right (First Officer)
4. How familiar were you with the other maintenance technician(s)? We taxi together regularly We've taxied together once or twice We've never taxied together
5. Does your company have a training program for aircraft taxi operations? Yes No
6. Did you receive the required company training and qualification prior to operating the aircraft? Yes No N/A
7. Are you left or right seat qualified, or both? Left only Right only Both
8. Did your training consist of airport layout and complexity? Yes No Don't know
9. Did your training consist of airport signs and markings? Yes No
10. Are you familiar with pilot/controller phraseology? Yes No
11. Do you know the proper call sign to use when communicating with ground control? Yes No
12. Did you listen to ATIS? Yes No
13. Are you familiar with day and night operations at this airport? Yes No
14. Are you familiar with the required "read-back" procedures? Yes No
15. Are you familiar with emergency procedures (loss of situational awareness) in case of an emergency? Yes No
16. Are you familiar with "light gun signals"? Yes No
17. Are you familiar with special maintenance taxi routings on the airport? Yes No
18. Did you get a pre-taxi briefing? Yes No



**Flight Standards Service
Runway Incursion Information Evaluation Program (RIIEP) Questionnaire
Maintenance Taxi Deviation (MTD)**

SECTION 3. THE OPERATION

19. During what part of the day did the event occur?	<input type="checkbox"/> Dawn	<input type="checkbox"/> Daytime	<input type="checkbox"/> Dusk	<input type="checkbox"/> Night		
20. How clearly could you see at the time the event took place?	<input type="checkbox"/> Clear, No Factor	<input type="checkbox"/> Glare from lights, sun, etc.	<input type="checkbox"/> IMC Only	<input type="checkbox"/> There was an obstruction (Explain in comments)		
21. If weather was a problem, describe the situation.	<input type="checkbox"/> Not weather related	<input type="checkbox"/> Rain, Hail, Freezing Rain	<input type="checkbox"/> Fog or Haze	<input type="checkbox"/> Snow, Ice, Sleet on Taxiway	<input type="checkbox"/> Snow obscured signs or markings	<input type="checkbox"/> Other, Explain
22. Did you review the airport diagram before taxi?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
23. Did you use the airport diagram during taxi?	<input type="checkbox"/> Yes	<input type="checkbox"/> It was available, but I didn't use it	<input type="checkbox"/> It was not available			
24. Were you following another aircraft that you believed had the same taxi clearance?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not sure			
25. What was happening inside the cockpit when the event occurred?	<input type="checkbox"/> Reading the checklist	<input type="checkbox"/> Resolving a malfunction	<input type="checkbox"/> Discussion with other technician	<input type="checkbox"/> Other, Explain		
26. Did anything unusual happen when the event occurred?	<input type="checkbox"/> Yes, Explain	<input type="checkbox"/> No				
27. Could you see the airport signs, pavement markings, and lighting from the flight deck (cockpit)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No, Explain				
27a If Yes to Question 27, were the signs, pavement markings, and lighting clear?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
28. If the signs or pavement markings were unclear or misleading, how did they contribute to the event? (Mark all that apply)	<input type="checkbox"/> Signs confusing, misleading or worn [Explain in comments]	<input type="checkbox"/> Pavement markings confusing misleading or worn (explain in comments)				
29. Were elevated "Guard Lights" or in-surface lights available at the intersection?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
29a If elevated "Guard Lights" or in-surface lights were available at the intersection, indicate whether or not they were working (Mark all that apply).	<input type="checkbox"/> Elevated Guard Lights (wig wag) working	<input type="checkbox"/> Elevated Guard Lights (wig wag) NOT working	<input type="checkbox"/> In-surface Guard Lights working	<input type="checkbox"/> In-surface Guard Lights NOT working		
30. Were "Stop Bar Lights" available at the intersection?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
30a If "Stop Bar Lights" were available at the intersection, indicate whether or not the "Stop Bar Lights" were working?	<input type="checkbox"/> Stop Bar Lights were working	<input type="checkbox"/> Stop Bar Lights were not working				
31. Were you, or another maintenance technician onboard, communicating with ATC?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				

SECTION 4. ATC INSTRUCTIONS & COMMUNICATIONS

32. Were you wearing a headset when you received the clearance, and during the incident?	<input type="checkbox"/> Yes, I was wearing a headset	<input type="checkbox"/> No, I was using the aircraft speaker & mike	<input type="checkbox"/> No, I was using a handheld radio		
33. If there were 2 or more maintenance technicians, who (left or right seat) was communicating with ATC when the event occurred?	<input type="checkbox"/> Left seat (Captain)	<input type="checkbox"/> Right seat (First Officer)			
34. How congested was the radio frequency when you received your clearance?	<input type="checkbox"/> It was clear	<input type="checkbox"/> Light	<input type="checkbox"/> Moderate	<input type="checkbox"/> Heavy	<input type="checkbox"/> Extreme



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36. How congested was the radio frequency when the event occurred?	<input type="checkbox"/> It was clear	<input type="checkbox"/> Light	<input type="checkbox"/> Moderate	<input type="checkbox"/> Heavy	<input type="checkbox"/> Extreme	
36. When did you hear the clearance in question?	<input type="checkbox"/> Not in question	<input type="checkbox"/> In the non-movement area on AOA	<input type="checkbox"/> In the movement area on AOA	<input type="checkbox"/> Do not recall		
37. Did you receive the taxi clearance you expected?	<input type="checkbox"/> Yes, a usual clearance for the situation	<input type="checkbox"/> No, airport changed from usual	<input type="checkbox"/> No, different clearance due to another aircraft			
38. If all or part of the clearance was not completely clear, what about it was unclear?	<input type="checkbox"/> Clearance was clear	<input type="checkbox"/> Controller talked too fast	<input type="checkbox"/> Controller accent	<input type="checkbox"/> Controller used phrases I did not recognize	<input type="checkbox"/> Controller used airport locations I could not see or recognize	<input type="checkbox"/> Other, Explain
39. Did you need to ask ATC for clarification?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
39a If "NO" to 39 above, why didn't you ask ATC for clarification, or progressive taxi instruction?	<input type="checkbox"/> I understood the clearance	<input type="checkbox"/> ATC was too busy	<input type="checkbox"/> I was too busy	<input type="checkbox"/> Other, Explain		
39b If "YES" to 39 above, why did you ask for clarification or progressive taxi instruction?	<input type="checkbox"/> Controller talked too fast	<input type="checkbox"/> Controller accent	<input type="checkbox"/> Controller used phrases I did not recognize	<input type="checkbox"/> Controller used airport locations I could not see or recognize	<input type="checkbox"/> Other, Explain	
40. Did you write down the clearance?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
41. Did you read back the taxi clearance?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
42. How did you note any hold-short locations in the clearance?	<input type="checkbox"/> Wrote it down	<input type="checkbox"/> Wrote it down and coordinated with other maintenance technician(s)	<input type="checkbox"/> Spoke / coordinated with other maintenance technician(s)	<input type="checkbox"/> Memory		
43. Did you read back the hold short clearance?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				
44. Did you confirm "hold short" with another maintenance technician?	<input type="checkbox"/> Yes	<input type="checkbox"/> No				

SECTION 5. PHYSIOLOGICAL CONDITIONS

45. How much sleep did you have during the night (or day, if you were on a night schedule) prior to the event?	<input type="checkbox"/> Much more than my normal amount	<input type="checkbox"/> Somewhat more than my normal amount	<input type="checkbox"/> My normal amount	<input type="checkbox"/> Somewhat less than my normal amount	<input type="checkbox"/> Much less than my normal amount	
46. How many hours was it from the time you woke up to the time of the event?	<input type="checkbox"/> Under 2 hours	<input type="checkbox"/> 2-6 hours	<input type="checkbox"/> 7-12 hours	<input type="checkbox"/> 13-18 hours	<input type="checkbox"/> Over 18 hours	
47. Were you feeling fatigued just prior to the event?	<input type="checkbox"/> Much more than my normal amount	<input type="checkbox"/> Somewhat more than my normal amount	<input type="checkbox"/> My normal amount	<input type="checkbox"/> Somewhat less than my normal amount	<input type="checkbox"/> Much less than my normal amount	
48. Were you feeling rushed at the time?	<input type="checkbox"/> No	<input type="checkbox"/> Yes, Why? (Explain)				

SECTION 6. COMMENTS

This is space for any additional comments, both from the maintenance technician (s) and / or interviewer. Please feel free to add any impressions you might have about significant contributing factors to the runway incursion referred to in the questions above, runway incursions in general, or ways of preventing them in the future.
