U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy

ORDER
JO 1030.3C

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SUBJ: Event Response

This order prescribes Federal Aviation Administration Air Traffic Organization (ATO) procedures and responsibilities for immediate notification and response to events that necessitate direction by and reporting to the Chief Operating Officer (COO), including event review.

This order also specifies ATO policy and procedures for post-event investigations where ATO involvement could be a factor. Regardless of other investigations or assessments conducted by organizations outside the ATO, it is important that the ATO proceed with its own fact-finding at every level to provide transparency of its operation of the National Airspace System (NAS). This order provides direction and guidance to ATO Service Units, Service Areas, Service Centers, offices that deal with the dissemination of information following an event, and facilities that are called upon to assist in event reviews following such events.

The ATO, through the processes in this order, will ensure that the facts surrounding immediate notification events are adequately compiled and reported in the most expeditious manner to the COO.

The mission to improve the safety and efficiency of the NAS is never complete. All concerned personnel must familiarize themselves with the provisions of this order related to their operational responsibilities and use their best judgment if they encounter situations not specifically described in the order.

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Chapter 1. General Information

1-1. Purpose of This Order.

a. The purpose of this order is to establish a standardized process for the Air Traffic Organization (ATO) to effectively respond to potentially significant and noteworthy events within the National Airspace System (NAS). This process addresses inquiries from the media, Congress, and other governmental organizations, including the National Transportation Safety Board (NTSB), the Department of Transportation (DOT) Office of the Inspector General (OIG), and the US Government Accountability Office (GAO).

b. This order outlines the procedures for conducting thorough event reviews and designates focal points responsible for collecting and disseminating critical data related to these events. The event reviews identify safety issues, establish the facts, conditions, and circumstances surrounding events, and develop meaningful recommendations to prevent, mitigate, or reduce the likelihood of recurrences. Additionally, this order ensures that the ATO responds accurately and promptly to all relevant stakeholders.

c. Examples of Potentially Significant Events (PSEs) covered by this order are provided in paragraph 1-8.

d. The definition of terms found in Appendix A support the application of this order.

1-2. Line of Authority.

a. The Chief Operating Officer (COO), Deputy Chief Operating Officer (DCOO), ATO Service Unit (SU) Vice Presidents (VPs), Deputy Vice Presidents (DVPs), Service Area (SA) Directors, or the Director / Deputy Director of Operational System Intelligence (AJS) System Integrity Directorate (AJS-1) may invoke the event response procedures specified in this order.

1-3. Audience.

a. This order applies to all ATO personnel and contractors, Federal Aviation Administration (FAA) contract tower employees, non-Federal Air Traffic Control (ATC) facility employees, and stakeholders using ATO directives.

1-4. Where Can I Find This Order? This order is available on the MyFAA employee website at https://employees.faa.gov/tools_resources/orders_notices/.

1-5. Cancelation. This order cancels FAA Order JO 1030.3B, *Initial Event Response*.

1-6. Explanation of Changes. Explanation of changes can be found in Appendix B of this order.

1-7. Policy.

a. This order includes the authority and responsibility for AJS, the Safety Intelligence and

Response Group (SIRG), the SAs, and the SUs in coordination with the Washington Operations Center Complex (WOCC), the Regional Operations Centers (ROCs), and the Operations Control Centers (OCCs) to conduct the procedures, notification, and support for the steps in the event response process, including data collection and review, release of information, litigation support, and record keeping. The principles outlined in this order must be closely followed to ensure a complete response to events.

b. Immediately following a PSE, the parties identified in this order must follow the specific procedures for event notification and post-event review as outlined in Chapters 2–4 of this order.

c. Provisions of this order do not supersede the provisions of agency Collective Bargaining Agreements (CBAs).

d. Except under very unusual circumstances, the event review portion described in this document will not begin until the conclusion of the event so as not to adversely impact the operation and/or management of the event.

1-8. Roles and Responsibilities.

a. SA Directors and AJS management must provide the necessary resources to meet the requirements of this order.

b. Facilities must notify the Joint Air Traffic Operations Command (JATOC) Safety Event Network (JSEN) of any PSE in a timely manner.

c. The following are some examples of the types of events for which the provisions of this order may be invoked.

Note: *This list is not all-inclusive, and facilities should use their best judgment.*

(1) Aircraft accident or significant incident where ATC services were provided. (e.g., accident involving an air carrier, accident/incident involving a dignitary, fatality.)

(2) Loss of standard separation and Near Mid-Air Collision (NMAC). (e.g., NMAC reports, Traffic Alert and Collision Avoidance System Resolution Advisories with evasive action, or lack of positive control.)

(3) Surface event (e.g., runway excursion, runway incursion, or collision on movement area).

(4) Loss of critical aircraft systems and/or critical air traffic services.

(5) There is an unexpected loss of radio contact and radio communications with any Instrument Flight Rules (IFR) or Visual Flight Rules (VFR) aircraft.

(6) Turbulence, including wake turbulence, where injuries or structural damage are

reported.

(7) Natural disasters, widespread equipment/power interruptions, or events involving an Unmanned Aircraft System (UAS).

(8) Events that generate, or could generate, high interest from local, regional, or national news media; social media; Congress; the DOT; or other news/governmental agencies.

(9) Debris-generating space launches or re-entry vehicle mishaps and associated Debris Response Areas.

(10) An accident or incident involving FAA aircraft that is managed by the Flight Program Operation's Aircraft Emergency Response Plan.

d. The provisions of this order are not intended to be activated in response to ongoing events that are being managed through other existing procedures (e.g., JATOC, Domestic Events Network (DEN), National Operations Control Center). Such events may include, but are not limited to:

(1) Natural or man-made disasters affecting ATC services with an indefinite recovery period.

(2) Equipment/power interruptions affecting multiple facilities with indefinite restoration time.

(3) Ongoing security-related events.

(4) Serious or fatal on-the-job employee injuries.

1-9. Distribution. This order is distributed to the following: ATO SUs; ROCs; all ATC facilities, including FAA, non-federal, and FAA contract facilities; Office of Aviation Safety (AVS); FAA Office of the Chief Counsel (AGC); WOCC; the William J. Hughes Technical Center for Advanced Aerospace; and the Mike Monroney Aeronautical Center.

1-10. Disposition of Transmittal. Retain this order until it is superseded by a change or new basic order.

Chapter 2. Notification

2-1. Notification. Every organization involved in the event notification process must be aware of the importance of providing timely and factual information. The facility managers, or their designee, must ensure the JSEN is notified as soon as feasible after becoming aware of a PSE or noteworthy operational event that may generate media or Congressional interest (e.g., a domestic aircraft that encounters a delay on the ground over 3 hours (Tarmac-3)).

2-2. Security-Related Events.

a. The ATO regularly responds to events involving national defense, homeland security, law enforcement, and disaster response factors. ATC facilities must immediately notify the DEN of these events (generally referred to as "security-related") following established procedures found in FAA Order JO 7610.4, *Sensitive Procedures and Requirements for Special Operations*; FAA Order JO 7610.14, *Non-Sensitive Procedures and Requirements for Special Operations*; FAA Order JO 7110.65, *Air Traffic Control*; and FAA Order JO 7210.3, *Facility Operation and Administration*.

2-3. Equipment/Service Interruptions. The notification process for equipment and service interruptions is outlined in FAA Order JO 6030.41, *Technical Operations Notification of System and Service Interruptions and Other Significant Events*.

a. Immediately after an equipment/service interruption that might generate media or Congressional interest, including pilot reports of GPS interference/anomalies, the involved facility must notify the OCC.

b. JSEN personnel must notify the WOCC, ROC, appropriate SA Director(s), and the OCC (unless the notification was received from the OCC).

2-4. Notification Listings. The appropriate Line(s) of Business (LOBs) are responsible for maintaining the following.

a. The ATO is responsible for maintaining the list of personnel/offices that are referenced in this Chapter during the notification process.

b. All LOBs and Staff Offices are responsible for providing any applicable personnel changes to their respective ROCs, WOCC, and OCCs.

c. Operational System Intelligence (AJS), Mission Readiness Services (AJV), and AVS are responsible for distributing any changes to their respective ROCs, WOCC, and OCCs.

2-5. Mandatory Occurrence Reporting. Facilities must file Air Traffic Mandatory Occurrence Reports (MORs) in accordance with FAA Order JO 7210.632, *Air Traffic Organization Occurrence Reporting*, and must select the "Potentially Significant Event" checkbox when required.

Note: *Filing an MOR and/or reporting an aircraft accident through a Voluntary Safety*

Reporting Program does not alleviate the facility's responsibility to follow the applicable reporting requirements specified in FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Aircraft Incident Notification, Investigation, and Reporting.

2-6. Use of Common Post-Event Checklist.

a. The JSEN will identify and notify the facility of the events that must be documented using the Common Post-Event Checklist (CPEC).

Chapter 3. Services Rendered Teleconference

3-1. Event Notification.

a. Upon notification of a PSE or noteworthy event, the JSEN must conduct an initial analysis and make event notifications as required. The JSEN Investigator and JSEN Manager or designee will determine if the event requires upward notification and a Services Rendered Teleconference (SRT).

b. An SRT may be conducted when requested by the COO, DCOO, SU VP, DVP, SA Director, or the Director or Deputy Director of AJS-1.

c. When an SRT is required to review services provided, the JSEN will facilitate and coordinate to ensure that all required participants are notified in accordance with the JSEN Standard Operating Procedures.

d. The affected SA Director(s) or their designee(s) must participate in the SRT.

e. The SRT will ordinarily be convened on the next administrative day. This allows the facility time to complete the CPEC and JSEN investigators time to complete a preliminary investigation.

f. When an event warrants it, such as a major air carrier accident or a fatal accident involving ATC services, the SRT should be convened as soon as practical, but no later than the next calendar day.

Note: *The timelines outlined above reflect standard operating guidance, these timelines are not absolute and may be modified, expedited, or overridden at the discretion of leadership based on the severity of the event, operational considerations, or other extenuating circumstances.*

3-2. SRT Process.

a. Pre-SRT:

(1) The JSEN will develop an event replay to be displayed during the SRT.

(2) Facility management must review all services provided, including all available ATC communications and radar playback, in preparation for the SRT briefing to determine and report whether any non-compliance occurred with FAA orders and directives, regardless of whether the non-compliance was related to the event.

b. During the SRT:

(1) The JSEN facilitator will display the replay and the CPEC.

(2) Facility management will brief the event.

(3) At the conclusion of the replay, the JSEN facilitator will solicit questions from the ATO parties involved and, if appropriate, the Office of Accident Investigation and Prevention (AVP).

(4) Any other SRT participants should coordinate questions through the SA Director(s) or JSEN Manager.

(5) The JSEN will report any applicable follow-up actions discussed during the SRT to ATO leadership.

3-3. SRT Outcomes. Based on the review of services provided, one or more of the following outcomes may result. The color code determination is used solely to identify the level of AJS involvement or response that may be warranted and should not be interpreted as a measure of event severity.

a. Red Events require an Event Response Team (ERT) launch to conduct an on-site investigation.

(1) Immediate launch may be assigned based on the initial assessment of event severity and deficiencies noted in service delivery. Examples of events that may require an ERT launch include, but are not limited to, the following:

- Aircraft accident or serious incident involving air carrier or air taxi aircraft, an accident/incident involving dignitaries, including fatal events.
- Aircraft accident involving general aviation aircraft, including fatal events, with deficiencies noted in the service delivery.
- Events that generate, or could generate, a high level of interest from local, regional, or national news media; social media; Congress; the DOT; or other news or governmental agencies.
- Loss of ATC equipment functionality with large regional or national impacts.
- Events for which the NTSB is doing an on-site investigation (see Sections 5.4 and 5.5).

b. Yellow Events require follow-up activities to identify, assess, and mitigate the factors contributing to the event. These activities may include any applicable Quality Control Service Review, Management Action Plan, or ERT launch. An ERT launch may be directed by the COO, DCOO, AJS / Air Traffic Services (AJT) VP or DVP, AJT SA Director(s), or the Director of AJS-1 or requested by any SU VP. Examples of events with follow-up required include, but are not limited to, the following:

- Aircraft incidents with deficiencies noted in air traffic service delivery.
- Collision on a movement area.

- An event in which the risk of collision existed, such as:
  - Overflight of an aircraft or vehicle on the airport surface with less than 500 feet of vertical separation,
  - Air carrier or air taxi runway excursion, and
  - NMAC.
- Loss of ATC equipment functionality with localized impacts.
- Loss of critical air traffic services (e.g., ATC Zero).
- Unexpected loss of radar contact and radio communications with any IFR or VFR aircraft.
- Turbulence, including wake turbulence, where injuries or structural damage is reported.
- Natural disasters, widespread equipment/power interruptions, security events, or events involving a UAS (refer to Public Law 112-95, Section 331(8)).

c. Green Events are defined as AJS Monitored Events where an ERT launch is not required. Despite the absence of an ERT, AJS will maintain its role in monitoring and reviewing the follow-up activities in response to these events. It may still be necessary for the respective SU to undertake progressive actions to identify, assess, and address any further findings that may arise.

3-4. Post-Accident/Incident Drug and Alcohol Test Determination (D/ATD). In accordance with DOT Order 3910.1, *Drug and Alcohol-Free Departmental Workplace Program*, post-accident or post-incident testing must be conducted as soon as possible after any accident or incident that involves one or more of the following events:

- A fatality
- Injury requiring medical treatment away from the accident site
- Substantial damage to aircraft, vehicles, and/or substantial damage to other property
- Other unsafe practices as defined by FAA orders or regulations

a. AJS will determine, based on all reasonably available facts, whether the accident or incident meets any of the criteria requiring post-accident or post-incident testing as outlined above.

b. The SA Director Team will take all practical steps to identify the employees who must undergo post-accident or post-incident testing. The SA Director Team will notify the JSEN, within one hour of the event notification, of the employees identified for testing.

c. If an incident requires both an SRT and a D/ATD, the D/ATD determination process must occur before the SRT.

Chapter 4. Process for an ERT Launch

4-1. ERT Launch.

a. When an ERT launches immediately for an event, AJS will ensure that the COO, DCOO, SU VP(s), and others, as appropriate, are notified. The notification must contain all available factual information about the event.

b. The Safety Investigation and Response Team (SIRT) Manager will request a preliminary report of all relevant data to support the investigation. Solicited data may include, but is not limited to, the following:

(1) Quality Assurance validated safety data, including MORs, Aviation Risk Identification and Assessment, and Shared Application for Factor Evaluation.

(2) Corrective Action Plans.

(3) External Compliance Verification outcomes.

c. Coordination must take place between the SIRT Manager, Event Investigation Manager (EIM), the appropriate SA Director(s), and SU or SA management to determine the size and composition of the ERT. Team members are designated by their organizations to assist AJS.

d. The SIRT Manager must notify the Assistant Chief Counsel in AGC of any event that includes an accident where air traffic services were provided and an ERT will be launched. The SIRT Manager will advise AGC when the NTSB is participating and who has been designated as the EIM.

e. The SIRT Manager will notify the appropriate bargaining unit National Safety Representative when an ERT is to be launched. The SIRT Manager will also notify the National Air Traffic Controllers Association (NATCA) Air Safety Investigations Chair when the NTSB convenes an ATC Work Group.

f. The event review process described in Chapter 5 must be followed.

Chapter 5. On-Site Event Review

5-1. Authorities.

a. The COO, or their designee, grants authority to the SIRT to conduct an on-site safety or non-safety-related investigation as appropriate.

b. The EIM manages all ATO resources responding to the event review during the investigation.

c. The ERT determines the facts of the event and disseminates information.

d. A member of the ERT may be excused or replaced by the EIM at any time.

e. Team members are required to remain assigned to the ERT until released by the EIM.

f. The SA Director(s) and SIRT Manager will determine the need for additional Subject Matter Expert (SME) input.

g. Examples of non-safety-related events could include, but are not limited to, the following.

(1) Hotline complaints.

(2) Congressional inquiries.

(3) White House inquiries.

(4) Other FAA leadership requests.

5-2. On-Site Coordinator Until Arrival of the EIM. Facility Management is responsible for designating the facility on-site coordinator until the arrival of the EIM.

Note: *Discussion with any personnel involved in the event should be limited unless coordinated with the EIM to avoid influencing the employees' recollections of the event.*

5-3. Initial EIM Activities. Prior to a launch or immediately upon arriving at the facility where the event occurred (or the FAA facility where the event review will take place), the EIM must:

a. Gather all available data regarding the safety event.

b. Assume the lead ATO role for all activities, including those regarding the NTSB or Air Traffic Safety Oversight investigation and ATO event investigation response review.

c. Convene the ERT for an introductory meeting. The EIM must brief ERT members on the ATO's responsibilities, procedures, and objectives for the event review, as well as explain what is expected of each team member.

d. Conduct an in-brief, as appropriate, with affected FAA manager(s) on expectations, requirements, and responsibilities.

e. In accordance with the NATCA/FAA CBA, afford the bargaining unit Principal Facility Representative (FACREP) the opportunity to attend the in-brief and out-brief associated with an on-site investigation.

f. Ensure that if a bargaining unit employee is to be interviewed by the EIM/ERT, the FACREP, or their designee, will be present if the employee so requests.

g. Generally, ensure that the event review will not begin until the conclusion of the event so as not to adversely influence the event outcome.

h. Establish and maintain contact with the SIRT Manager and the SA Director(s) for the SU(s) involved in the event.

5-4. NTSB Coordination. The EIM must personally direct or delegate all ATO facility activities with respect to an on-site NTSB Air Traffic Control Work Group. The EIM must:

a. Act as the primary ATO liaison with the FAA Investigator-in-Charge (IIC) or NTSB Air Traffic Control Work Group Chairman.

Note: *The EIM may not serve as a group member on a formal NTSB investigation. The other ERT members are present to actively support the NTSB investigation through the EIM.*

b. Facilitate and assist facility personnel in the compilation of audio recordings, radar data, and other related documentation requested by the NTSB.

c. Act as the sole ATO representative responsible for providing data directly to the NTSB. Review all data and information and ensure that they are complete and correct before they are provided to the NTSB.

d. When advised that the NTSB requires a briefing on the air traffic aspects of the event, arrange for the Air Traffic Manager (ATM) to provide the requested briefing as soon as possible. Any direct requests from the NTSB to the facility must be coordinated with the NTSB Air Traffic Control Work Group Chairman before granting the NTSB access.

e. Any request for Technical Operations documents or records must be made through the National Technical Operations Aircraft Accident Representative (NTOAAR). The NTOAAR will obtain the requested information and release it directly to the EIM.

Note: *For the specific procedures for release of information, refer to Chapter 6. Refer to FAA Order JO 8020.16 for additional guidance.*

5-5. Legal Coordination for NTSB Investigations. While on site, the EIM must establish and maintain contact with the Assistant Chief Counsel, Aviation Litigation Division (AGC-300) or their designated representative, when/as applicable.

a. For events related to accidents, incidents, and other situations where tort litigation may arise, AGC-300 is the primary office that provides legal counsel to the Administrator and all FAA employees. For these events, the EIM must promptly notify AGC-300 to ensure that an attorney is assigned to provide legal advice and/or counsel to the involved employees, EIM, and ERT, particularly for those whose actions are under review by the NTSB.

b. The EIM must provide the AGC-300 attorney a brief overview of the initial report and coordinate their arrival to the facility prior to or at the same time the NTSB will arrive. Additionally, logistical information shall be provided to the attorney regarding local accommodations to facilitate impromptu ERT meetings, the address of the involved ATO facilities, facility point of contact information, and any other pertinent information. The EIM must coordinate and schedule the following activities with the AGC-300 attorney:

(1) Review pertinent information inclusive of transcripts, radar replays, airspace procedures in question, tour of the physical space, applicable personnel statements, proposed schedule of pre-interview briefings of witnesses, and the NTSB requested order of witnesses.

(2) ATM consultation(s).

(3) The provision of pertinent documents to the attorney after the field phase is completed.

(4) Review in-brief and out-brief provided to the NTSB Air Traffic Control Work Group, when requested.

(5) Other pertinent activities.

c. The EIM is responsible for updating the AGC-300 attorney with any new information about the services provided by the ATO or any other matters related to the NAS. If multiple facilities are involved, the EIM shall coordinate with the attorney to ensure that all employees receive legal services.

d. The EIM must ensure that employees involved in the event receive a briefing on the investigation procedures, their right to counsel, and, if appropriate, their right to union representation during any interview. The EIM shall coordinate pre- and post-interview debriefs of all employees who the NTSB interviewed with the AGC-300 attorney.

5-6. FAA IIC or FAA Representative Coordination. For accident investigations when an FAA IIC or other FAA representative is present on site, the EIM must:

a. As the ATO representative, establish liaison with the FAA IIC and act as the FAA IIC's principal contact for all ATO information and documentation. Provide an initial briefing of pertinent facts to the FAA IIC at the earliest opportunity.

b. Provide copies of all data/information to the FAA IIC, as requested.

c. For investigations when the FAA IIC is not present on site, the individual designated as the FAA SME will provide updates to the FAA IIC as necessary. At the conclusion of the investigation, the EIM must ensure that the out-brief summary is forwarded to the FAA IIC.

5-7. Military Event Coordination Procedures.

a. When air traffic services are involved in a military event and AVP or the Flight Standards District Office does not designate an IIC, the EIM must coordinate FAA investigation activities with the military investigator through the FAA Air Traffic Representative (ATREP) or, in the absence of an ATREP, directly with the military investigator.

b. The SIRT Manager must coordinate with the manager of the System Operations Security (AJR) Special Operations Security Group (AJR-25) to ensure appropriate coordination with Department of Defense and other interagency security counterparts are carried out.

c. The EIM must coordinate any requests from the military to interview or obtain a written statement from an employee of the FAA with the Assistant Chief Counsel for Litigation.

5-8. Air Traffic Review. During the on-site investigation, the EIM must conduct a review of all air traffic aspects of the event to confirm the adequacy of equipment, procedures, and personnel prior to, during, and after the event. The EIM must promptly advise the FAA IIC (if appropriate), the SIRG Manager, the COO, DCOO(s), SU VP(s) and DVP(s), the appropriate SA Director(s), and others as deemed appropriate of any deficiencies noted.

5-9. Data Gathering Protocol.

a. ERT members must keep the EIM informed of all aspects of the event review and gather information as directed by the EIM.

(1) Information related to the event or to the air traffic operation that is discovered by a member of the ERT during the on-site portion of the event review must be provided to the EIM as soon as possible and before dissemination to persons outside of the ERT.

(2) To ensure that the most complete and comprehensive factual information is available to ATO executives, the EIM and members of the ERT must communicate all factual information they receive.

(3) Members of the ERT must deliver information they receive only to the EIM unless otherwise authorized by the EIM.

b. All organizations with relevant data must provide it promptly to the EIM. As directed by the EIM, any ERT member may engage facilities, the appropriate General Manager(s), SA Director(s), or headquarters organizations during the course of the event review to obtain data.

c. The facility must comply with the requests made by the EIM.

(1) The EIM may request expedited handling of data to prevent unnecessary delays in the investigation. Facilities / Service Centers are expected to comply with such requests.

(2) Operating SUs should identify resources, in addition to the members of the ERT, that are capable of rapidly responding to ERT requests.

5-10. Upward Reporting.

a. The EIM must provide updates to senior ATO leadership through the SIRT Manager on any air traffic related accident/incident investigations. The EIM should provide key details to the SIRT Manager on a daily basis during the on-site investigation. The SIRT Manager will ensure that the notes are distributed to the appropriate ATO leadership.

b. The EIM must provide immediate updates to the SIRT Manager on any key details as they become available.

c. All ERT members will provide their daily notes to the EIM for combined upward reporting.

d. If safety concerns arise during the event review, the EIM or SIRT Manager must inform the Director so that they can be addressed immediately or further investigated as deemed appropriate.

5-11. Conclusion Notification. The EIM must inform the affected ATM(s), the affected SU(s), the affected Director(s), and the SIRT Manager when the NTSB and the FAA IIC / FAA NTSB Air Traffic Control Work Group member(s) and/or the ERT have departed the facility and/or when the field phase of any event review is complete.

5-12. Exit Briefings. The EIM must:

a. On ERT investigations, conduct an exit briefing with the ERT, facility management, district management, SIRG Manager, SIRT Manager, affected Director(s), and senior ATO leadership. The SIRT Manager, or their designee, will ensure that notifications are made to the COO, DCOO, appropriate SU VP(s) and DVP(s), and appropriate Director(s) for their participation.

***Note**: This is not applicable to investigations pertaining to Administrator's Hotline Complaints or OIG investigations. If any safety-related items arise during Hotline/OIG investigations, the EIM should ensure that the ATM is made aware before the EIM leaves the facility.*

b. Afford the bargaining unit FACREP the opportunity to attend any exit briefing conducted with the ATM.

5-13. Investigation Report.

a. As soon as practical, following the conclusion of all investigative activities, the EIM must prepare a report to the COO and DCOO outlining the activities undertaken during the investigation (e.g., summary of findings, interviews, data reviews, follow-up). This report must list all identified non-compliances and any other pertinent administrative, safety, or peripheral operational issues.

(1) The EIM must solicit comments on the draft report from ERT members.

(2) ERT members must ensure the accuracy of the data in the report.

b. The SIRG Manager will ensure that the completed investigative report is distributed to the appropriate parties in accordance with AJS distribution processes.

c. SIRT reports containing sensitive information will be marked and distributed in accordance with established policies.

5-14. Event Data Management.

a. The EIM must ensure that all original documentation is protected, including the original voice tapes and/or computer data. The release of any original document, voice tape, personnel statement, or computer data file without the written approval of the Assistant Chief Counsel for Litigation is prohibited.

b. The appropriate SA Director(s) must aid, or arrange for additional personnel to aid, the air traffic facility in preparing the event documentation and material requested by the FAA IIC or FAA NTSB Air Traffic Control Group member.

c. ATM(s) must ensure that data associated with the event is properly secured and dissemination is restricted (except to the appropriate SA Director(s) and ERT members) unless authorized by the SIRT Manager or the EIM.

d. Security (AJR-2) leadership or Air Traffic Security Coordinators will be provided expedited access to security-related event data after consultation with the SIRT Manager.

e. Once the onsite phase of the ERT has concluded, individuals with access to the data that were collected during any portion of the event review must continue to adhere to the policies outlined in this order and in all other applicable agency policies.

5-15. Disposition of Records for Incidents and Accidents.

a. For all incidents and accidents, the EIM and the ERT must retain and protect all pertinent data for analysis. At the conclusion of an NTSB investigation or ATO review, the facility must retain all original records in accordance with FAA Order JO 8020.16 or FAA Order 1350.14, *Records Management*, whichever is longer or appropriate; a copy of each record must be given to AJS.

b. For incidents and accidents involving one or more fatal injuries, AJS must maintain all data as supplied by the facility (in electronic form, if available) in accordance with FAA Order 8020.11, *Aircraft Accident and Incident Notification, Investigations, and Reporting*, and FAA Order JO 8020.16.

c. Accident and incident data related to litigation must be retained in accordance with the direction of the Assistant Chief Counsel for Litigation. Retention periods are described in FAA Order 1350.14 and FAA Order JO 8020.16.

Chapter 6. External Release of Information

6-1. Media Requests. Media requests must be forwarded to the Office of Communications (AOC).

6-2. Litigation Requests. Litigation requests must be forwarded to AGC.

a. In the event a tort litigation claim is filed against the United States, the ATO Litigation Team (AJS-1220) will send a Notice of Litigation to the Safety Programs Group (AJS-12) Group Manager (GM). The GM or representative must provide the Litigation Team, the FOIA Team (AJS-1720), and the Litigation Investigator assigned to the case with all documents, data, notes, voice recordings, and any other materials, including all forms of electronic media relating to the accident no later than close of business on the due date listed within the notice. While litigation is pending, all files shall remain secured and removed from access. Personnel are not permitted to review or access any part of the files without the expressed consent of the Litigation Team.

Note: *In accordance with FAA Order JO 8020.16, all involved ATO offices, facilities, and employees must ensure that all original records, including notes, emails, voice communications, radar data and facility logs are retained until notified in writing that all litigation has been completed.*

6-3. Congressional Requests. All Congressional requests for records, documents, access to facilities, and other specific data must be forwarded to the COO, DCOO, AOC, and the FAA Office of Government and Industry Affairs (AGI).

6-4. NTSB Requests. NTSB and FAA IIC / FAA NTSB Air Traffic Control Work Group Chairman requests directed to the ATO that are generated after the completion of the field phase will be handled in accordance with FAA Order 8020.11 or FAA Order JO 8020.16.

6-5. Other Requests. The release of any information to non-FAA organizations not previously outlined above must be approved by the AJS VP, who will ensure appropriate coordination with the COO, DCOO, and AOC.

Chapter 7. FAA Contract and Non-Federal Facilities

7-1. Applicability of This Order. This order applies to FAA contract and non-federal facilities to the extent that the FAA has a responsibility to provide regulatory oversight and have event reporting requirements. At all times, the FAA should apply this order and other orders as regulator when providing oversight. Upon order updates/modifications, AJS must ensure that organizations providing contract air traffic services (e.g., contract towers and contract flight service stations) receive this policy document, including updates and modifications, and are offered briefings on the content of this document, and that the ATO's evaluations of their contract services include compliance with this policy.

7-2. Support Limitations to FAA Contract and Non-Federal Facility Employees. FAA employees must not provide FAA contract and non-federal facilities with briefings on NTSB investigation practices, legal ramifications of services provided, or any other interaction that could be construed as supervisory in nature. Any questions concerning the scope of permissible support should be directed to AGC.

Chapter 8. Event Investigation Manager Credentials

8-1. Responsibilities.

a. The SIRT Manager is responsible for establishing criteria for eligibility, issuance, and accountability of event investigator badges and DOT Form 1681, *Application for Access*. Credentials are for use by authorized AJS-1 personnel while conducting onsite FAA investigations and evaluations.

b. The SIRT Manager is responsible for verifying eligibility and accountability of an event investigator credential.

c. The credential holder is responsible for safeguarding an event investigator credential. This credential is accountable government property.

d. The SIRT Manager is responsible for maintaining an up-to-date file of all current and past credential holders, original applications, credential receipts, badge numbers, and written reports on lost, stolen, or damaged credentials.

e. The SIRT Manager will conduct an annual audit of credentials issued under this order in accordance with FAA Order 1600.25, *Federal Aviation Administration (FAA) Official Credentials and Shields*. Results of the annual audit must be forwarded to the Office of Personnel Security (AXP) Personnel Security Policy and National Security Division (AXP-100).

8-2. Criteria for Eligibility. A credential is issued to appropriate personnel in the SIRT who engage in official duties that require the individual to conduct on-site FAA investigations or evaluations pursuant to applicable FARs and the Federal Aviation Act of 1958, Section 1002(b), *Investigations on Initiative of Administrator or Board*.

8-3. Lost, Stolen, Damaged, or Surrendered Credential. If any part of the event investigator credential is lost, stolen, damaged, or surrendered it must be handled in accordance with FAA Order 1600.25.

Chapter 9. Follow-up Actions

9-1. Facility Follow-up Actions. In accordance with FAA Order JO 7210.634, *Air Traffic Organization (ATO) Quality Control*:

a. For every fatal accident where ATC services were provided, a Covered Event Review must be conducted.

b. A System Service Review must be conducted post-event for any non-fatal accident or occurrence color coded “red” or “yellow.”

c. Any items of noncompliance identified through the on-site investigation process conducted by the ERT require follow-up action in accordance with applicable Quality Control Service Reviews.

9-2. AJS’s Role in Follow-up Actions. AJS will assist in the development of the corrective actions implemented.

Appendix A. Definitions

Aircraft/Airship/Spacecraft – Aircraft/airship is defined as a vehicle or device designed for travel or operation supported for flight in the Earth's atmosphere by buoyancy or by the dynamic action of air on its surfaces. Spacecraft is defined as a vehicle or device designed for travel or operation outside the Earth's atmosphere.

Covered Event Review (CER) – The intent of a CER is to supplement and document the existing required review of air traffic services rendered during an aircraft accident. A CER must include a review of all aspects of service (individual performance, equipment issues, weather, etc.) and identify any issues that cannot be ruled out as potentially contributing to the accident. (Refer to Federal Aviation Administration (FAA) Order JO 7210.634, *Air Traffic Organization (ATO) Quality Control*, paragraph 4-4, CER.)

Domestic Events Network (DEN) – A continuous telephone conference operated by FAA Air Traffic Security Coordinators linking major Air Traffic Control (ATC) facilities and key interagency elements involved with Air Domain security. The FAA uses the DEN to maintain shared situational awareness of and coordinate unified responses to security-related events involving the National Airspace System (NAS).

Evasive Action – Acute action taken by a pilot for the purpose of avoiding a collision. In the context of FAA Order JO 7110.65BB, *Air Traffic Control*, routine or obligatory adherence to a Traffic Collision and Avoidance System Resolution Advisory does not necessarily constitute an evasive maneuver.

Event – A notable occurrence within the NAS, involving accidents, incidents, and/or operational irregularity that may affect safety or efficiency.

Event Investigation Manager (EIM) – A specially trained Operational System Intelligence (AJS) employee appointed by AJS to oversee, manage, and serve as the primary contact for all field aspects of a Potentially Significant Event (PSE) review. The EIM is the focal point for event response activities and directs the Event Response Team (ERT) members. Until EIM selection, the Safety Investigations and Response Team Manager (supervisor) may attend to EIM responsibilities and activities outlined in this order.

Event Response Team (ERT) – A diverse group of Subject Matter Experts (SMEs) led by the EIM responsible for investigating significant events and performing other duties as set forth in this order.

Follow-up – Follow-up is the formal process initiated after a Services Rendered Teleconference (SRT) or ERT when additional action is required to address identified findings, contributing factors, or risks. This includes ensuring that corrective actions are effectively developed, implemented, and sustained to improve safety performance across the NAS.

Investigator-in-Charge (IIC) – An FAA employee (often designated by a Flight Standards District Office or the Accident Investigation and Prevention (AVP) Accident Investigation Branch (AVP-110) responsible for the overall FAA investigation. The FAA IIC serves as the principal contact for all aspects of that investigation and ensures that initial notifications are

made. They also work within the agency to formulate safety recommendations, if there needs to be any.

Joint Air Traffic Operations Command (JATOC) Safety Event Network (JSEN) – A diverse group of SMEs that operate a 24/7 interagency call center to collect safety related information regarding PSEs.

Lack of Positive Control – Lack of Positive Control is an event where ATC took no action, untimely action, ineffective/inadequate action, or action that aggravated the event.

National Technical Operations Aircraft Accident Representative (NTOAAR) – The National Operations Group Aircraft Accident Program Manager provides Technical Operations response to major accidents and guidance and support to the Technical Operations Aircraft Accident Representatives (TOAARs).

National Operations Control Center (NOCC) – The NOCC provides operational management of NAS infrastructure. The NOCC is responsible for managing and communicating Technical Operations issues and maintenance activities at the national level, with a focus on minimizing operational impact. The NOCC represents the Vice President of Technical Operations in these functions.

Near Mid-Air Collision (NMAC) – A NMAC is an incident associated with the operation of an aircraft in which a possibility of collision occurs as a result of proximity of less than 500 feet to another aircraft or where a report is received from a pilot or other flight crew member stating that a collision hazard existed between two or more aircraft. This definition can be found in FAA Order JO 7210.632, *Air Traffic Organization Occurrence Reporting*, referencing FAA Order 8020.11, *Aircraft Accident and Incident Notification, Investigation, and Reporting*.

Operations Support Group (OSG) – Mission Readiness Services (AJV) Service Center groups providing oversight and support for NAS procedures and special activities for the Service Units.

Operations Control Center (OCC) – Technical Operations Control Center responsible for coordinating unscheduled or scheduled shutdowns and restorations of NAS equipment, monitoring and remotely restoring NAS equipment, and issuing Notices to Airmen as needed.

Post-Accident/Incident Drug and Alcohol Testing Determination (D/ATD) – In accordance with the Department of Transportation Order 3910.1, *Drug and Alcohol Free Departmental Workplace Program*, post-accident/incident drug and alcohol testing must be conducted as soon as possible after accidents or incidents involving a fatality, medical treatment away from the site, substantial damage to aircraft, vehicles, or property, or other unsafe practices as defined by FAA orders or regulations.

Potentially Significant Event (PSE) – Any event (see "Event" definition above) causing an impact to air traffic services or that may cause a facility/service interruption at airports, Air Route Traffic Control Centers, or other air traffic facilities. In addition, PSEs may include an unexpected loss or degradation of an automation, enterprise, navigation, or weather service

capability that compromised the ability to provide safe ATC or navigation services. Media events receiving national coverage are also considered PSEs.

Regional Operations Center (ROC) – The ROC provides communications support for command and control as well as for collecting and summarizing information.

Safety Intelligence and Response Group (SIRG) – A group comprised of three teams of technical experts that ensure Air Traffic and Technical Operations PSEs are upward reported to senior Air Traffic Organization (ATO) leadership, and provide expertise in the investigation process, safety assessments, and audits.

Service Area – A type of geographical subdivision within the agency (Central, Eastern, and Western). ATO Service Units have a director and staff presence within the Service Areas.

Service Center – AJV regionally located offices (i.e., Eastern, Central, and Western) that provide a wide variety of support to all Air Traffic and Technical Operations field facilities.

Service Unit – Individual organizational offices that fall under the ATO, including Air Traffic Services, Flight Program Operations, Mission Readiness Services, Program Management Organization, Operational System Intelligence, System Operations Services, and Technical Operations.

Services Rendered Teleconference (SRT) – A management virtual platform (i.e., ZOOM or Microsoft Teams) conducted to review and assess the ATO services associated with a PSE.

System Service Review (SSR) – A facility quality control process that provides a means of reviewing the air traffic services provided in any situation at any time under any circumstances in an in-depth, comprehensive, and collaborative manner.

Technical Operations Aircraft Accident Representative (TOAAR) – The OCC Team Lead, Service Delivery Specialist, or OCC Supervisor assigned to determine what, if any, NAS facilities are suspected of being involved in an aircraft accident/incident.

Unmanned Aircraft Systems (UAS) – An unmanned aircraft and associated elements (including communication links and the components that control the unmanned aircraft) that are required for the pilot in command to operate safely and efficiently in the NAS (refer to Public Law 112-95, Section 331(9)).

Washington Operations Center Complex (WOCC) – A function of the Office of National Security Programs & Incident Response (AXE), the WOCC is responsible for providing the Administrator, Deputy Administrator, and all FAA Lines of Business with information and communication support to respond to stakeholders in an informed and timely manner.

Appendix B. Explanation of Changes

Section	Change	Previous	Explanation
Title	Event Response	Initial Event Response	To be more inclusive
Authority	System Integrity (AJS-1)	System Integrity (AJS-1)	To align with the Air Traffic Organization (ATO) restructure
Paragraph 1-8	JATOC Safety Event Network (JSEN)	N/A	To memorialize the roles and responsibilities of the JSEN.
Chapter 3	Follow-up	N/A	To memorialize follow-up activities resulting from a Services Rendered Teleconference (SRT)
Chapter 9	Responding to Findings	N/A	To memorialize responding to findings from a System Service Review (SSR)
Throughout	AJS	Quality Control Group (QCG)	QCG is now part of AJS