

# U.S. DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION

JO 7210.632 CHG 1

Air Traffic Organization Policy

Effective Date: February 27, 2020

### **SUBJ:** Air Traffic Organization Occurrence Reporting

- 1. Purpose. This change incorporates instructions for documenting loss of control attributed to wake turbulence from another aircraft or reports of injuries to crews or passengers attributed to turbulence other than wake. Until oceanic mandatory occurrence reports (MORs) are enabled in the Comprehensive Electronic Data Analysis and Reporting (CEDAR) tool, this change adds a placeholder (Appendix A, paragraph A-8) for oceanic MORs with instructions to continue reporting oceanic occurrences as currently reported while Oakland, Anchorage, and New York ARTCCs must mark 'Oceanic' for occurrences that happen in oceanic airspace. The Appendix A changes also provide procedures for reporting hazards related to unmanned aerial system (UAS) operations, and incorporates administrative edits. Otherwise unchanged paragraphs are also re-sequenced to accommodate the new reporting instructions.
- **2. Who this Change Affects.** This change applies to all Air Traffic Organization (ATO) personnel and anyone using ATO directives related to ATO safety occurrence reporting.
- 3. Disposition of Transmittal. Retain this transmittal until superseded by an order revision.

#### PAGE CHANGE CONTROL CHART

Remove Pages	Dated	<b>Insert Pages</b>	Dated
10, 11, 12	1/30/2012	10, 11, 12, 13	2/27/2020

Renumber existing pages 13-23 as 14-24 (no other changes were on those pages).

**4. Administrative Information.** These changes provide policy guidance to better document occurrences involving UAS operations, safety risk associated with turbulence in the National Airspace System, and occurrences that happen in US-controlled oceanic airspace. Please direct questions to AJI-12, ATO Quality Assurance Program.

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# U.S. DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy



Effective Date: January 30, 2012

SUBJ: Air Traffic Organization Occurrence Reporting

The Air Traffic Organization (ATO) has moved to a more systemic view of safety within the National Airspace System (NAS). This view places more value on discovering why adverse safety events happen and in identifying risks, rather than determining who was at fault. It is the responsibility of all ATO employees who are engaged in and support air traffic services to report all suspected unsafe air traffic occurrences. The sharing of this information allows the ATO to more effectively and safely manage operations within the NAS. This directive modifies reporting requirements set forth previously to emphasize the collection of safety data as opposed to ascribing responsibility.

Elizabeth L. Ray
Vice President, Mission Support Services
Air Traffic Organization

11/10/2011

Date Signed

Distribution: ZAT-721; ZAT-464 Initiated By: AJS-0

ATO Safety

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## Chapter 1. General

- **1-1. Purpose of This Order**. This order provides guidance for processing mandatory ATO air traffic occurrence reports. This guidance indentifies what occurrences to report and how to report them. This order does not eliminate the requirements set forth in Federal Aviation Administration (FAA) Order JO 1030.3, Initial Event Response, that provides guidance for the immediate dissemination of information following significant ATO safety events.
- **1-2. Audience**. This order applies to all ATO personnel, FAA contract tower employees, and anyone using ATO directives.
- **1-3.** Where Can I Find This Order? This order is available on the MyFAA Employees Web site at https://employees.faa.gov/tools\_resources/orders\_notices/ and the FAA Web site at http://www.faa.gov/regulations\_policies/orders\_notices/.
- **1-4.** Cancellation. This order cancels FAA Order JO 7210.56, Air Traffic Quality Assurance, and FAA Order JO 7010.1, Air Traffic Organization Safety Evaluations and Audits.
- **1-5. Distribution**. This order is distributed to the following ATO service units: Terminal, En Route and Oceanic, Technical Operations, Mission Support, and System Operations; ATO Safety; the Air Traffic Safety Oversight Service; the William J. Hughes Technical Center; the Mike Monroney Aeronautical Center; National Air Traffic Controllers Association; Professional Airway Systems Specialists; National Association of Government Employees; and to interested aviation public.

#### 1-6. Definitions.

- **a.** Aircraft Accident As defined in FAA Order JO 8020.16, an occurrence associated with the operation of an aircraft which takes place between the time any person boards the aircraft with the intention of flight and until such time as all such persons have disembarked, and in which any person suffers death or serious injury or in which the aircraft receives substantial damage.
- **b.** Aircraft Incident As defined in FAA Order JO 8020.16, an occurrence other than an accident associated with the operation of an aircraft which affects or could affect the safety of operations.
- **c. Air Traffic Incident** An air traffic incident encompasses all problems *not* affecting the aircraft directly; for example, near-midair collisions (NMAC); pilot, vehicle, or pedestrian deviations; Traffic Alert and Collision Avoidance System (TCAS) resolution advisory (RA) occurrences. An air traffic incident differs from an aircraft incident. Examples of aircraft incidents include occurrences such as emergency evacuations and in-flight major component failures.
- **d.** Electronic Occurrence Report (EOR) An alert identified by an automated system such as Traffic Analysis and Review Program (TARP) or Operational Error Detection Patch (OEDP) that automatically uploads into the Comprehensive Electronic Data Analysis and Reporting (CEDAR) tool.
- **e. Mandatory Occurrence Report (MOR)** An occurrence involving air traffic services for which the collection of associated safety-related data and conditions is mandatory. See Appendix A, Mandatory Occurrence Report Criteria, for a full listing of MORs.

**f. Measure of Compliance (MOC)** – During a loss of standard separation occurrence involving radar separation minima for which recorded radar data is available, the greatest percentage of remaining separation (vertical or lateral) at the point of lowest separation conformance, as calculated by ATO Safety.

#### NOTE-

Explanation of how ATO Safety calculates MOC is provided in FAA Order JO 7210.633, Air Traffic Organization Quality Assurance Program (QAP).

**g.** Near mid-air collision (NMAC) – As defined in FAA Order 8020.11, an incident associated with the operation of an aircraft in which the possibility of collision has been reported by one of the involved flight crew *and* results in recorded proximity of less than 500 feet vertical and 0.5 nautical miles lateral to another aircraft.

#### h. Occurrence

- (1) Any occurrence observed or suspected, that meets the definition of an MOR; or
- (2) Any automated loss of standard separation detection alert (EOR).
- i. Risk Analysis Event (RAE) A loss of standard separation occurrence that has a MOC with less than 66% required separation maintained.

#### 1-7. Related Publications.

- a. FAA Order JO 7110.65. Air Traffic Control
- b. FAA Order JO 7210.633, Air Traffic Organization Quality Assurance Program (QAP)
- c. FAA Order JO 7210.634, Air Traffic Organization Quality Control (QC)
- **d.** FAA Order JO 7200.20, Voluntary Safety Reporting Program
- e. FAA Order JO 1030.3, Initial Event Response
- **f.** FAA Order JO 8020.16, Air Traffic Organization Aircraft Accident and Incident Notification, Investigation, and Reporting
  - g. FAA Order 8020.11, Aircraft Accident and Incident Notification, Investigation, and Reporting
  - h. FAA Order 1350.15, Records Organization, Transfer, and Destruction Standards

## **Chapter 2. Reporting Requirements**

**2-1. Introduction.** This chapter describes the specific occurrences that must be reported and the methods used to report them. Under the following procedures, it is possible that one occurrence will generate multiple reports, which is preferable to missed reports. ATO Safety is responsible for reconciling all duplicate reports.

### 2-2. Safety Culture Expectations.

- **a.** The requirements for reporting the occurrences described by this directive are intended solely to ensure that safety data that may benefit the NAS are collected. The simple act of reporting an occurrence should not routinely trigger any quality control actions.
- **b.** References to specific reported occurrences must not be entered into an employee's training records. Managers must only enter any assigned training following guidance in FAA Order JO 3120.4, Air Traffic Technical Training, and FAA Order JO 7200.20, Voluntary Safety Reporting Program (VSRP), without any reference to the incident.

#### 2-3. Responsibilities.

#### a. ATO Organizational Responsibilities.

- (1) ATO Safety is responsible for all policies and procedures related to air traffic incident and occurrence reporting and data collection according to this directive and FAA Order JO 7210.633, Air Traffic Organization Quality Assurance Program (QAP). Only ATO Safety may approve extensions of timeframes, exemptions from specific requirements, and other specific waivers to the provisions of this directive.
- (2) The Mission Support, Litigation Liaison Office, is responsible for all policies and procedures related to aircraft accidents, aircraft incidents, and litigation support for enforcement and accidents.
- (3) Each service unit is responsible for ensuring that their employees report all occurrences and support the data collection and analysis processes required by this directive or requested by ATO Safety.

#### b. Employee Responsibilities.

- (1) Employees must ensure that all occurrences of which they are aware, through either direct involvement or observation, are reported. All personnel with knowledge of an occurrence are encouraged to report even if it results in multiple submissions of the same occurrence.
- (2) Nonmanagement employees eligible to participate in a VSRP such as Air Traffic Safety Action Program (ATSAP) may satisfy the reporting requirements of this directive by reporting occurrences through those programs, except as specified in FAA Order JO 7200.20 and this order.

#### REFERENCE-

FAAO JO 7200.20, paragraph 2-8b and c, VSRPs and FAA Order JO 7210.632, Air Traffic Organization Occurrence Reporting

- (3) Management employees must report occurrences according to this directive. In addition, if eligible to participate they may also file a VSRP report.
- **2-4. What to Report**. All observed or suspected occurrences which meet the MOR criteria as defined in Appendix A.

#### **2-5. How to Report**. As soon as practical, without impacting operations:

- **a.** Nonmanagement personnel must report the occurrence:
- (1) As soon as practical, to on-duty management/controller-in-charge (CIC) but no later than the end of duty shift; or
  - (2) According to FAA Order JO 7200.20.
  - **b.** Management personnel/CIC:
- (1) Must ensure that all reported or observed occurrences are entered into CEDAR as the appropriate MOR before the end of the current duty shift.
- (2) Must update the original MOR to note all new pertinent information when more than one report of the same occurrence is received.
- (3) Each MOR is assigned a unique identification number. Upon request, management must provide employees with a copy of the MOR.
- (4) For an employee-reported occurrence that does not meet any MOR criteria, remind the employee about their VSRP. Management must still address any valid safety concerns identified by the employee.
  - **c.** At locations without CEDAR (including nonfunctioning CEDAR):
    - (1) Non-management personnel must report the occurrence
      - (a) As soon as practical, to on-duty management no later than the end of duty shift; or
      - (b) According to FAA Order 7200.20.
    - (2) Management personnel/CIC must meet all the requirements of paragraph 2-5b by:
- (a) E-mailing or faxing the appropriate, completed hard copy MOR form to ATO Safety before the end of their current duty shift (see Appendix B, Air Traffic Mandatory Occurrence Report Manual Reporting Worksheet, and Appendix C, Technical Operations Services Mandatory Occurrence Report (MOR) Worksheet, for examples of hard copy forms). ATO Safety must provide the MOR tracking number to the facility point of contact (POC) by the next administrative day.
- (b) Copy the designated air traffic facility or technical operations district POC on their email or include a copy of their fax with their shift log.
- **d.** All alerts generated by OEDP in en route facilities must be manually entered as an EOR in CEDAR until a facility has an ATO Safety-approved process for uploading alerts to CEDAR.

#### NOTE-

- **1.** *ERAM* will provide automated upload of OEDP alert data ERAM facilities will no longer be required to manually enter OEDP alert data into CEDAR once this upload capability is active and validated.
- **2.** TARP alert data will automatically upload to CEDAR and will not require manual entry of any alert data by terminal facilities.
- **2-6. Relieving and/or Restricting Operational Personnel**. The decision to relieve personnel from operational positions is based upon management's determination that safety or the employee's well-being may be impacted. A review of an occurrence should not routinely trigger relieving/restricting an employee from an operational position. Relief from an operational position(s) does not restrict an employee from operational duties.

**2-7. Reporting Compliance**. Actions to be taken as a result of failure to report will be according to the FAA Personnel Management System and applicable collective bargaining agreements.

## **Chapter 3. Notifications**

### 3-1. Flight Crew Notification of Suspected Pilot Deviations (PD).

**a.** When the employee providing air traffic services determines that pilot actions affected the safety of operations, the employee must report through the MOR process and notify the flight crew as soon as operationally practical using the following phraseology:

### PHRASEOLOGY-

(Aircraft identification) POSSIBLE PILOT DEVIATION, ADVISE YOU CONTACT (facility) AT (telephone number).

**b.** The employee reporting the occurrence should notify the front-line manager (or controller-in-charge), operations manager, as appropriate, of the circumstances involved so that they may be communicated to the pilot upon contacting the facility.

#### NOTE-

This notification, known as the "Brasher Notification," is intended to provide the involved flight crew with an opportunity to make note of the occurrence and collect their thoughts for future coordination with Flight Standards regarding enforcement actions or operator training.

## **Chapter 4. Data Retention**

- **4-1. Data Retention**. FAA Order 1350.15 provides general requirements for data and record retention. FAA Order JO 8020.16 provides retention requirements for aircraft accidents, aircraft incidents, litigation, and enforcement support. The following are the retention requirements for occurrences covered under this order:
- **a.** Data involved in ATO Safety-identified RAEs must be retained according to FAA Order JO 7210.633.
- **b.** NMAC and PD reports will be identified from EORs and MORs and categorized following FAA Order JO 7210.633 and associated ATO Safety standard operating procedures. Upon notification by ATO Safety that an occurrence is a NMAC or PD, facility management must ensure that supporting data are provided and retained according to FAA Order JO 8020.16.
- **c.** In cases in which multiple retention requirements are applicable, data and record retention must adhere to the requirement stipulating the longest amount of time.

#### **Appendix A. Mandatory Occurrence Report Criteria**

#### A-1. Introduction.

a. All employees must ensure that the following occurrences, of which they are aware through either direct involvement or observation, are reported. These occurrences or conditions must be reported using the mandatory occurrence report (MOR) process described in this order or in FAA Order JO 7200.20, *Voluntary Safety Reporting Program (VSRP)*. Submission of a VSRP report satisfies non-management employees' requirement to report according to this directive except when the employee providing air traffic services determines pilot actions affected the safety of operations. When such a determination is made, pilot actions must also be reported as an MOR in accordance with paragraphs A-2 to A-9.

**b.** Submission of a VSRP does not exempt employees from making appropriate notifications when the employee providing air traffic services determines an occurrence involved national security or the immediate safety of flight (for example, in-flight emergencies, overdue aircraft, no radio [NORDO]/no radio acknowledgement [NORAC] aircraft, aircraft accidents).

#### REFERENCE-

FAA Order JO 7200.20, paragraph 2-8a, VSRPs and FAA Order JO 7210.632, Air Traffic Organization Occurrence Reporting

- **c.** Until specific oceanic MORs are enabled in the Comprehensive Electronic Data Analysis and Reporting (CEDAR) tool, a placeholder (paragraph A-8) is added for oceanic MORs. When occurrences happen in oceanic airspace:
- (1) Oakland, Anchorage, and New York ARTCCs will mark the MOR 'Yes' in response to 'Did the event occur in oceanic airspace?'
  - (2) Facilities must continue reporting oceanic occurrences in keeping with current processes.

#### A-2. Airborne Loss of Separation.

**a.** Any suspected loss of radar separation involving instrument flight rules (IFR) aircraft other than as a result of compression on final approach.

#### NOTE-

Loss of separation on final approach will be closely monitored using electronic loss of separation detection, assessed for risk and corrective action identified using the Quality Assurance and Quality Control processes.

- **b.** Any suspected loss of separation involving visual flight rules (VFR) aircraft in Class B and C airspace, Terminal Radar Service Area (TRSA), or practice VFR approaches.
  - **c.** Any suspected loss of separation involving formation flights.
  - **d.** Any suspected loss of separation involving non-radar standards.

#### NOTE-

A suspected loss of separation involving non-radar standards that occurs in oceanic airspace is covered in A-8, Oceanic Environment.

**A-3.** Unmanned Aircraft System (UAS). Any instance where a pilot reports or ATC becomes aware of unauthorized UAS activity or authorized UAS activity that is conducted in an unsafe or hazardous manner. For authorized UAS activities conducted in an unsafe manner, please note the Certificate of Authorization (COA) number, when available, and violation that occurred in the MOR.

#### A-4. Airport Surface Loss of Separation.

a. Any ground surveillance alert [Airport Surface Detection Equipment (ASDE) or Airport.

- **b.** Any ground surveillance alert (ASDE or AMASS) between an aircraft and a vehicle.
- **c.** Any suspected loss of runway/airport surface separation between two aircraft.
- **d.** Any suspected loss of runway/airport surface separation between an aircraft and a vehicle.
- **e.** Any suspected loss of runway/airport surface separation between an aircraft and a pedestrian.

#### A-5. Terrain/Obstruction.

- **a.** Any suspected loss of separation between an IFR aircraft and terrain or obstacles; for example, operations below minimum vectoring altitude.
- **b.** Any operation of a VFR aircraft in proximity to terrain or obstructions that the employee providing air traffic services determines affected the safety of flight. These occurrences normally result in air traffic control (ATC) issuing a safety alert or control action.

#### REFERENCE-

FAA Order 7110.65, paragraph 2-1-6, Safety Alert

# A-6. Airborne Air Traffic Control Anomaly (Airspace/Altitude/Route/Speed) not Involving a Loss of Separation.

- **a.** Any instance in which an aircraft enters airspace on other than the expected or intended altitude, routing, or airspeed, or without a point-out or hand-off.
- **b.** Any instance where an aircraft operates at an altitude, routing, or airspeed that the employee providing air traffic services determines affected the safety of flight or operations. These occurrences normally result in ATC issuing a safety alert or control action. All non-loss Traffic Alert and Collision Avoidance System (TCAS) resolution advisories (RA) and/or spillouts must be reported under this.
- **c.** Any occurrence where an aircraft enters special use airspace (for example, a warning area, military operations area, or ATC-assigned airspace) without coordination and/or authorization.

#### NOTE-

A suspected anomaly not involving loss of separation that occurs in oceanic airspace is covered in A-8, Oceanic Environment.

#### A-7. Airport Environment.

- **a.** The presence of an aircraft, vehicle, or pedestrian on any movement area or runway safety area not expected/intended by ATC.
- **b.** Any instance in which an aircraft unexpectedly lands or departs, or attempts to land or depart, a runway or surface.
- **c.** Any instance in which an aircraft lands or departs on, or flies an unrestricted low approach to, a closed runway (or portion thereof).
- **d.** Any go-around initiated by either a flight crew or ATC involving turbojet aircraft within a 1/2-mile of the arrival threshold not involving practice approaches.
- **e.** Any instance in which any part of the aircraft has crossed over the runway hold-short line and the controller cancels the take-off or the flight crew aborts the take-off.
  - **f.** Any instance in which an aircraft unintentionally maneuvers off the runway/taxiway.
- **g.** Any improper/unexpected presence of a vehicle or aircraft inside the instrument landing system (ILS) protected area.

**A-8. Oceanic Environment.** Any instance where aircraft operating in oceanic airspace are suspected of:

- a. Losing separation.
- **b.** Operating at an altitude, routing or reporting point other than expected/cleared.
- **c.** Not maintaining communications (to include timely position or other reports) as required or expected/intended resulting in additional notifications/queries, or alternative actions by ATC or a flight crew.

#### NOTE-

Until oceanic reporting is enabled in CEDAR, facilities will continue reporting oceanic occurrences in keeping with current processes, while Oakland, Anchorage, and New York ARTCCs will mark the MOR 'Yes' in response to 'Did the event occur in oceanic airspace?'

**A-9. Communication.** Except for occurrences in oceanic airspace (which are reported in A-8), any instance in which communication with an aircraft was not established or not maintained as expected/intended, and results in alternative control actions or additional notifications by ATC, or a flight crew, or in a landing without a clearance.

#### NOTE-

Examples of "additional notifications" would include notifications required according to FAA Order JO 1030.3 or to the Domestic Events Network for NORDO aircraft

**A-10. Emergency or In-Flight Hazard.** The following are provided as examples and are not intended to be all inclusive:

#### NOTE-

Emergency or in-flight hazards may be declared by ATC, flight crews, or other than flight crew members.

- a. Medical emergency
- **b.** Inflight equipment malfunction requiring special handling
- c. Passenger/flight crew injury due to turbulence other than wake
- **d.** Fuel quantity
- e. Pilot disorientation
- **f.** VFR pilot in or trapped on top of clouds
- g. Laser light illumination
- h. Hijack
- i. Bomb threat
- i. Bird strike
- k. Other
- **A-11. Inquiry.** Any expression of concern or inquiry by any external entity, to include a flight crew, to a management official/controller-in-charge (CIC) or to ATC on the radio concerning:
- **a.** The proximity or operation of an aircraft, either airborne or on the surface, including near midair collision (NMAC) notifications from a flight crew.
  - **b.** An upset, pitch, or roll attributed to wake turbulence from another aircraft.

#### NOTE-

When notifying ATC of a wake event, pilots are requested to be as descriptive as possible (e.g., bank angle, altitude deviations, intensity, duration of event).

#### REFERENCE-

AIM, Section 7-3, Wake Turbulence, paragraph 7-3-8g, Pilot Responsibility

- **A-12. Technical Operations MORs.** The following occurrences are only applicable to technical operations personnel:
- **a.** Hazardously misleading information (see FAA Order 6000.15, *General Maintenance Handbook for NAS Facilities*) being used by an aircraft.
- **b.** Misreported National Airspace System (NAS) outages; for example, from a code 80 (unscheduled) to a code 60 (scheduled).
  - **c.** Misreported preventive maintenance accomplishment.
  - **d.** Noncompliance with:
    - (1) Outage coordination requirements.
    - (2) Notice to Airmen (NOTAM) processes and procedures.
    - (3) Unauthorized or noncompliant modifications to NAS equipment.

# Appendix B. Air Traffic Mandatory Occurrence Report Manual Reporting Worksheet

Submission using CEDAR is <u>preferred</u>. If CEDAR is <u>unavailable</u>, please submit the completed FAA Form 7210-13 to: 9-ATOS-HQ-INVESTIGATIONS/AWA/FAA **or** FAX to (202) 385-4857

#### **SECTION A**

FAC ID. Three-letter/digit identifier taken from Order 7350.8.

DATE (UTC). Two-digit day (dd), two-digit month (mm), and four-digit year (yyyy).

TIME (UTC). Four-digits, universal coordinated time.

SIGNIFICANT OCCURRENCE. Select one of two options listed.

MOR REPORTED BY. Select from the options listed, and describe "other" in the Summary Section J (if appropriate).

#### **SECTION B**

MOR TYPE. Select from the options listed, and describe "other" in the Summary Section J (if appropriate).

AIRCRAFT #1. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select IFR or VFR, select formation flight and provide non-standard characteristics, facility communicating with aircraft (i.e., tower, TRACON, CERAP, ARTCC), position communicating with aircraft (i.e., LC, FC, sector-ID), and the air-ground radio frequency.

AIRCRAFT #2. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select IFR or VFR, select formation flight and provide non-standard characteristics, facility communicating with aircraft (i.e., tower, TRACON, CERAP, ARTCC), position communicating with aircraft (i.e., LC, FC, sector-ID), and the air-ground radio frequency.

REQUIRED SEPARATION. Provide required feet/NM separation.

OBSERVED SEPARATION. Provide observed feet/NM separation.

AIRSPACE CLASS. Select from the options listed, and describe "other" (if appropriate).

#### **SECTION C**

MOR TYPE. Select from the options listed, and describe "other" (if appropriate).

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select IFR or VFR, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

LOCATION. Latitude/longitude, or navigation aid radial/distance, or intersection name to best define the event location.

REOUIRED ALTITUDE. Provide required feet above MSL, or flight-level (FL).

OBSERVED ALTITUDE. Provide observed feet above MSL, or flight-level (FL).

#### **SECTION D**

MOR TYPE. Select from the options listed.

OCCURRENCE LOCATION. Describe the airport location in detail, using prominent landmarks/features.

AIRCRAFT #1. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

#### OTHER -

AIRCRAFT (if applicable). Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

VEHICLE (if applicable). Check appropriate vehicle type, provide description if "other," and vehicle identification (i.e., license, VIN, serial number), facility communicating with vehicle (i.e., tower, airport operations, fire/rescue), position communicating with vehicle (i.e., GC, LC, ops-desk, battalion chief), and the airground/mobile radio frequency.

PEDESTRIAN (if applicable). Individual's full name.

#### **SECTION E**

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select IFR or VFR, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

MOR TYPE. Select from the options listed, being careful to check all selections that apply, and complete the facility ID communicating with aircraft, position communicating with aircraft (i.e., GC, LC, sector-ID), and the air-ground radio frequency.

ALTITUDE/ROUTE/SPEED. Select from the options listed, being careful to check all selections that apply.

VISUAL/CONTACT/SFVR. Select from the options listed, and complete the meteorological (METAR) observation closest to the event.

#### **SECTION F**

MOR TYPE. Select from the options listed, and complete the facility ID communicating with aircraft, position communicating with aircraft (i.e., GC, LC, sector-ID), and the air-ground radio frequency.

RESULTING ACTIONS. Select from the options listed.

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select IFR or VFR, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

#### **SECTION G**

MOR TYPE. [form being modified]

AIRBORNE OCCURRENCE. Select from the options listed.

REPORTING SOURCE. Individual's full name, facility/organization name or reporting entity (i.e., carrier name, fixed-base operator name, Congressional office).

CONTACT NUMBER. Provide telephone number to reach the reporting individual.

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, select IFR or VFR, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

#### **SECTION H**

#### **EMERGENCY**

MOR TYPE. Select from the options listed, and describe "other" (if appropriate).

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

EQUIPMENT. Aircraft equipment that is malfunctioning, (i.e., flight-management system, cabin-pressurization, rudder-trim, engine).

PASSENGER/CREW. Medical condition that necessitated air traffic response, (heart-attack, temporary blindness, flu-symptoms, injury due to turbulence).

ROUTE. Three-letter identifier for departure airport, destination airport, and diversion airport (if appropriate).

#### **SECURITY**

MOR TYPE. Select from the options listed.

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

NEAREST CITY. City, state for laser events only.

ALTITUDE. Aircraft altitude at time of event; feet above MSL, or flight-level (FL).

ROUTE. Three-letter identifier for departure airport, destination airport, and diversion airport (if appropriate).

LOCATION. Latitude/longitude, or navigation aid radial/distance, or intersection name to best define the event location

TIME. Four-digits, universal coordinated time, as recorded at the DEN.

#### SECTION I

#### **SURFACE**

MOR TYPE. Select from the options listed, and complete the approach type/suffix (if appropriate).

LOCATION. Describe the airport location in detail, using prominent landmarks/features.

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

#### APPROACH/LANDING/TAKEOFF

MOR TYPE. Select one from the options listed.

LOCATION. Describe the airport location in detail, using prominent landmarks/features.

AIRCRAFT. Provide aircraft identification (i.e., call-sign, registry-number), aircraft model/suffix, facility communicating with aircraft (i.e., tower, airport operations, fire/rescue), position communicating with aircraft (i.e., GC, LC, ops-desk, fire-rescue vehicle), and the air-ground/mobile radio frequency.

#### **VEHICLE**

MOR TYPE. Select from the options listed, and complete the ILS type/suffix (if appropriate).

LOCATION. Describe the airport location in detail, using prominent landmarks/features.

VEHICLE. Check appropriate vehicle type, provide description if "other," and vehicle identification (i.e., license, VIN, serial number), facility communicating with vehicle (i.e., tower, airport operations, fire/rescue), position communicating with vehicle (i.e., GC, LC, ops-desk, battalion chief), and the air-ground/mobile radio frequency.

#### **PEDESTRIAN**

MOR TYPE. Check appropriate boxes.

LOCATION. Describe the airport location in detail, using prominent landmarks/features.

NAME. Individual's full name.

#### **SECTION J**

SUMMARY. Provide a brief summary that will provide enough information for QA to understand what occurred. Include information about items that require additional information in the specific MOR you are reporting.

# FIG B-1 FAA Form 7210-13, Air Traffic Mandatory Occurrence Report

,	1. Reporting FAC ID 2. Date	UTC (dd/mm/yyyy)		3. Time UTC		4. Significant O	ccurrence?			
SECTION A Complete for ALL MORs						☐ Yes ☐				
SECTION A mplete for A MORS	F MOD reported by (colors									
CTION lete fo MORs	5. MOR reported by (select one):  Controller providing services FLM Internal Facility Review									
SE mp	☐ CIC ☐ Ai	rcraft Owner/Operato	r 🗌 Ele	ectronically Dete	ected					
ပိ	External Facility Referral	☐ Hotline (De	escribe in summa	ary) 🗌 Other	(Describe	in summary)				
		Al	RBORNE SEPA	RATION MORS	:					
	B1. MOR type - suspected airborne loss involving (select one):									
	☐ IFR aircraft ☐ VFR aircraft (in Class B or practice VFR approach) ☐ Other suspected loss (describe in summary) ☐ Formation flights ☐ Non-radar									
	-									
	B2. Aircraft #1 information Aircraft ID	Aircraft Type/Suffix		IFR/VFR	Formation	. Eliaht				
	Allicialt ID	Aliciali Type/Sullix		□ IFR	Formation No	□ Non-standar	·d			
<u>o</u>				☐ VFR	Stand		ailing A/C beacon			
RAT 8							T010 D1			
PAF OR	Facility communicating with A/C	Position communicating	with A/C	Frequenc	СУ		TCAS RA			
SEI o fo						☐ Yes ☐ No				
B – AIRBORNE SEP ONLY Complete for orne Separation MC										
SOR Smp	B2. Aircraft #2 information									
Y C. Se	Aircraft ID	Aircraft Type/Suffix		IFR/VFR	Formation	n Flight				
r P F			7 /	☐ IFR ☐ VFR	☐ No ☐ Stand	□ Non-standar	rd ailing A/C beacon			
ON B – AIRBORNE SEPAR. ONLY Complete for Airborne Separation MORs			\ / /		Stariu	alu	alling A/C beacon			
TIO	Facility communicating with	Position communicating v	with A/C	Frequenc	су		TCAS RA			
SECTION B – AIRBORNE SEPARATION ONLY Complete for Airborne Separation MORs	A/C	/ /    /	V /				Yes			
0,		/ /\ \    \	\				□ No			
	B3. Required separation:	B4.	Observed sepa	ration		B5. Airspace	class:			
	Verticalft_ater	alnm Verti	ical	ft Lateral	nm		r (describe in summary)			
		Only i	include observed sepa	aration if provided by	the reporting	3				
			RRAIN/OBSTR	UCTION MORs						
NO	C1. MOR type - Improper/un					alving (soloct one	۸۰.			
CTI	☐ MVA ☐ MIA	■ MEA	MOCA			ner (describe in su	*			
rru(	☐ MRA	□ IVIEA	□ MOCA	☐ MCA		iei (describe ili su	mmary)			
BS]	C2. Aircraft information:									
N/O lete		aft Type/Suffix IFF	R/VFR Facili			communicating	Frequency			
RAII omp			IFR A/C	nunicating with	with A/C	;				
ERF CC Obst			VFR							
SECTION C – TERRAIN/OBSTRUCTION ONLY Complete for Terrain/Obstruction MORs						_				
N C O erra	C3. Occurrence location:		C4. Required altitude:			C5. Observed altitude:				
OF F										
EC										
G	Describe where the occurrence occurre navigational aid or fix (VOR, intersection					Only include observe reporting person	ed altitude if provided by the			

FIG B-1
FAA Form 7210-13, Air Traffic Mandatory Occurrence Report (continued)

	SURFACE SEPARATION MORS										
	D1. MOR type - suspected surface loss involving (select one):  D2. Occurrence location										
	☐ Two aircraft	☐ Grou	und surveillar	nce alert betw	een two aircraf	t					
	Aircraft and vehicle Ground surveillance alert between aircraft/vehicle Aircraft and pedestrian										
_	D3. Aircraft #1 information:  Aircraft ID Aircraft Type/Suffix Facility communicating with A/C Position communicating Frequency										
SECTION D – SURFACE SEPARATION ONLY Complete for Surface Separation MORs	Aircraft ID Aircraft		Type/Suffix Facility communicat		unicating with A/0	ing with A/C Position with A		cating	Frequency		
SEI e fo	D4. Other involved aircraft/vehicle/pedestrian information (only complete one sub-section as applicable):										
CE tio	D4a. Aircraft							,			
D – SURFACE SEP ONLY Complete for face Separation MC	Aircraft ID	Aircraft Type/		/pe/Suffix Facility communicatin		ing with Position communicating		with A/C	Frequency		
N =	D4b. Vehicle										
TION D – ( ONL) Surface	Vehicle type: ☐ Airport operator ☐	Contractor			Facility communicating vehicle	with	Position communicating with vehicle		Frequency		
SEC	☐ FAA ☐ A/C not for flight ☐ Other				vernole						
	(summary)  Tug with aircraft										
	D4c. Pedestrian										
	Pedestrian name (if known):										
	AIRSPACE/ALTITUDE/ROUTE/SPEED MORS										
	E1. Aircraft information:										
Rs	Aircraft ID	Aircraft	Type/Suffix				Position communicating Frequency		Frequency		
SECTION E-AIRSPACE/ALTITUDE/ROUTE/SPEED ONLY Complete for Airspace/Altitude/Route/Speed MORs	□ VFR communicating with A/C A/C										
JTE e/Sp	E2. MOR type - (only										
:/ROU	E2a. Aircraft entered airspace other than expected/intended and alternate actions were taken by ATC or the flight crew:										
de/	Airspace entered:		Foreign facility deviation:			Action take	en by:				
ALTITU e/Altitu	Facility	Position		☐ Yes ☐ No			☐ ATC ☐ Flight	crew			
ace	E2b. Aircraft ope	erated at a	ltitude/route	e/speed other	than expecte	d/inte	nded:				
AC	Unexpected/unintended:		TCAS RA:		Foreign I	Foreign Facility Deviation:		Spillout:			
RSF r Ai	Altitude		Yes		☐ Yes	□Yes		Yes			
₽ Ā	Route		□ No		□ No			□ No			
- Fere	Speed										
OI d	E2c. Aircraft con	ducted vis	sual/contact	annroach or	operated SVF	R be	low weather mini	ma·			
S	Aircraft operation/proced		METAR obse								
S NL)	☐ Visual approach										
Ō	☐ Visual approach ☐ Contact approach ☐ SVFR										

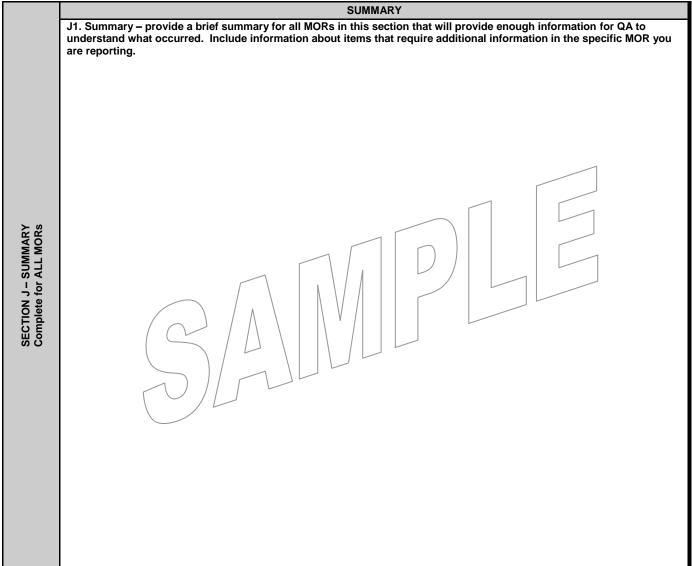
# FIG B-1 FAA Form 7210-13, Air Traffic Mandatory Occurrence Report (continued)

_	COMMUNICATION MORs									
NO!	F1. MOR type - Aircraft communications not (select one):								F2. Resulting actions:	
CAT or oRs									Alternative action by ATC	
UNI Ste fo	☐ Maintained as expected/intended and ATC/flight crew actions or ATC notifications required								☐ Alternative action by ATC☐ Alternative action by flight	
DMM nple								crew	nal natification by	
- Co Dor Si	- Last contact	: Facility ID:	_ Positio	n:		Frequency: Additional notification by ATC				
SECTION F – COMMUNICATION ONLY Complete for Communication MORs	F3. Aircraft inform	otion						Landin	g without clearance	
ē o ġ	Aircraft ID Aircraft Type/Suffix								Frequency	
SEC				IFR	communica A/C	ating with	with A/C			
•				VFR						
				INC	QUIRY MOR	S				
<b>&gt;</b>	G1. MOR type – Pu		ny ovtorn	al antitu	that is made	hu amail t	alanhana ra	dia ata aan	corning the provimity	
UIR for	or operation of an a	oncern or inquiry, by a ircraft, either airborne of G3. Reporting source	or on the	surface	mai is made	e by email, t	elephone, ra	idio, etc., con	cerning the proximity	
SECTION G -INQUIRY ONLY Complete for Inquiry MORs	G2. Airborne occurrence:				ntact numbe	r:				
G − omp	Yes								7	
ioN Y.C Inqui	☐ No									
ECT PNL	G5. Aircraft inform Aircraft ID	Aircraft Type/Suffix	/ 150	R/VFR	Facility		Position con	municating	Frequency	
S	Alicialt ID	All Clair Type/Sulli/	` "	_	communica	ating with	with A/C	intuiticating	requericy	
			-	] IFR ] VFR =	A/C					
	EMERGENCY MORS									
	H1. MOR type – in-flight emergency conditions involving (select one).									
	☐ Medical emergency ☐ Avionics/instrument malfunction ☐ Discriented ☐ VFR in/on top IFR conditions									
	☐ Mechanical malfunction ☐ Fuel Quantity ☐ Bird strike ☐ Other (describe in summary)									
	H1a. Aircraft infor	Mation: Aircraft Type/Suffix	Facili	tv commu	nicating with A	√¢ Pos	sition commun	icating F	requency	
				with A/C				3	,	
		+11								
	IMA Malformation in a maintain and a							H1d. Rou	ite information	
ΙCΥ	H1b. Malfunctioning equipment component:			H1c. Passenger or crew condition:				Departed		
EMERGENCY nplete for cy MORs									Destination	
EMERGEI mplete for cy MORs								Destination	1	
- EN								Diverted to	r	
TION H – ONLY Cor Emergen	Only complete for mechan				medical MORs					
ION Eme		flight security condit		•						
SECTION H – E ONLY Com Emergenc	Laser light illum	☐ Laser light illumination ☐ Hijack ☐ Bomb threat								
S		H2a. Aircraft information:								
	Aircraft ID	Aircraft Type/Suffix	Facility	communic	ating with A/C	Position with A/C	communicatin	g Frequenc	у	
	H2b. Nearest major city:			H2c. Altitude:			H2d. Route information			
						Departed	De	stination	Diverted to	
	Only complete for laser lig		1164 =	<b></b>						
	H2e. Location (lat/ distance):	iong or fix/radial	H2f. Ti (UTC):	H2f. Time DEN notified						
			( )							
			1						İ	

# FIG B-1 FAA Form 7210-13, Air Traffic Mandatory Occurrence Report (continued)

	AIRPORT ENVIRONMENT MORS									
	I1. MOR type - airpor	t environment MORs	surface:	I1a. Occurrence location:						
	☐ Aircraft on movem	d								
	- Other aircraft									
	Aircraft unintention	clearance or flight crew nally maneuvered off ru protected area other th	-short line							
		· on final approach – ID <sub>-</sub>	·		Describe where on the airport surface the occurrence occurred					
	I1b. Aircraft informa		ı							
	Aircraft ID	Aircraft Type/Suffix	Facility comm	nunicating with A/C	Position communication with A/C	nicating	Frequency			
	I2. MOR type – airpo approach:	rt environment MORs	involving ai	rcraft landing/depar	ting/on low-	I2a. Occu	ırrence location:			
VMENT S	Aircraft landed/departed or attempted to land/depart runway/surface other than expected/intended  Aircraft landed/departed or executed low approach to closed runway (or closed portion thereof)  Turbojet go-around within ½ mile of arrival threshold (non-flight training)									
S S S S S S S S S S S S S S S S S S S	I2b. Aircraft informa		1							
T ENVIF	Aircraft ID	Aircraft Type/Suffix	Facility comm	nunicating with	sition communicati	ng with A/C	Frequency			
SECTION I – AIRPORT ENVIRONMENT ONLY Complete for Airport Environment MORs	I3. MOR type – airport environment MORs involving vehicles on the airport surface:  Vehicle on movement area/runway safety area other than expected/intended  - Aircraft within one-mile of landing/threshold?  Vehicle within ILS protected area other than expected/intended  - Aircraft on final approach – ID  Type/Suffix  Describe where on the airport surface the occurrence occurred									
	flight	Vehicle	ID	Facility communicatin with vehicle	g Position con with vehicle	nmunicating	Frequency			
	,, ,						location:			
	surface:  Pedestrian on movement area/runway safety area other than expected/intended									
							Describe where on the airport surface the occurrence occurred			
	I4b. Pedestrian name	e (if known):			•					

FIG B-1 FAA Form 7210-13, Air Traffic Mandatory Occurrence Report (continued)



# **Appendix C. Technical Operations Services Mandatory Occurrence Report (MOR) Worksheet**

Submission using CEDAR is <u>preferred</u>. If CEDAR is <u>unavailable</u>, please submit the completed FAA Form 7210-14 to: 9-ATOS-HQ-INVESTIGATIONS/AWA/FAA **or** FAX to (202) 385-4857

#### **SECTION A**

FAC ID. Four-letter/digit identifier taken from Order 7350.7.

DATE (UTC). Two-digit day (dd), two-digit month (mm), and four-digit year (yyyy).

TIME (UTC). Four-digits, universal coordinated time.

MOR REPORTED BY. Select one from the options listed.

#### **SECTION W**

MOR TYPE. Select one from the options listed.

FSEP TYPE. Five-letter/digit identifier taken from Order 6000.5.

FACILITY ID. Four-letter/digit identifier taken from Order 7350.7.

LOCATION. City, state is required.

#### **SECTION J**

SUMMARY. Provide a brief summary that will provide enough information for QA to understand what occurred. Include information about items that require additional information in the specific MOR you are reporting.

FIG C-1
FAA Form 7210-14, Technical Operations Mandatory Occurrence Report

	1. Reporting Facility ID	2. Date UTC (dd/mm/yyyy)		3. Time UTC					
4	4. MOR Reported by (check	one):		<del></del>					
tior	4. MOR Reported by (check one):    First Level Manager								
ect	ng Services Employee								
District Manager QC/NASTEP Program Manager 2 <sup>nd</sup> Level Engineering									
	Technical Services Manager ATSS OTHER								
v	TECHNICAL OPERATIONS MORS								
NS IOR	W. MOR TYPE (check ONLY one) - Technical Operations occurrence involving:								
O L		ng Information (HMI) being used by	=						
RA	_	Airspace System (NAS) outages, e.		Code 60					
)PE	=		_						
O O O		ve maintenance (PM) accomplishme	ent .						
ia CA	Noncompliance with:  Outage coordinati								
H F	_	(NOTAM) processes and procedure							
EC.		oncompliant modifications to NAS	/						
- '- - T	Oliautilorized of the	ioncompilant modifications to NAS	equipment						
Section W - TECHNICAL OPERATIONS Complete for Technical Operations MORs	(Complete section W1. below)								
ctic	W1. For the specific MOR TV	YPE checked above enter the follow	ing information:						
Se	FSEP Facility Type:	Facility Identifier:	Location:						
		<del>                                     </del>							
			ALIMAN A DV						
	J. Summary – provide a brie	f summary that will provide enough	SUMMARY information for QA to	understand what occu	rred. Include information about				
	items that require additional	information in the specific MOR yo	ou are reporting.						
"									
Section J - SUMMARY omplete for ALL MORs									
¥ĕ.									
Σį									
or /									
ر ا te f									
tion									
Section J - SUMMARY									
0									