

# U.S. DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION

Air Traffic Organization Policy

JO 7210.632 CHG 1

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 Retain this transmittal until superseded by an order revision.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	Insert Pages	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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# 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
- j. 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.