

Southern Region

11/01/01

SUBJ: SOUTHERN REGION QUALITY ASSURANCE PROGRAM

A. GENERAL.

1. **PURPOSE.** This Order provides for the highest level of Quality Assurance (QA) for the Southern Region (ASO) Air Traffic Division (ATD). Additionally, this Order provides direction and guidance on the Region's QA Program, outlines procedures and methodologies to obtain assistance in Human factors analysis and training, assigns responsibility for administration of the program at the ASO ATD, facility, and individual employee levels, and addresses accountability and adherence requirements at all levels.

2. **DISTRIBUTION.** This Order is distributed to selected offices in Washington Headquarters, all ASO ATD branch offices, and all ASO Air Traffic field facilities.

3. **CANCELLATION.** This Order cancels Order SO 7210.13 dated June 5, 1998.

4. **BACKGROUND.** Order 7210.56, Air Traffic Quality Assurance, and its associated GENOT's and MOU documents, establish national QA programs and policies; additionally it requires each ATD to develop a regional QA directive and to assist designated field facilities to develop internal QA programs, as appropriate. The ASO QA Order supplements Order 7210.56 and also provides guidance and direction for identifying occurrences and causes of non-adherence with national, regional, and local facility standards while also providing for timely corrective action and the elimination of future instances of non-adherence to these standards.

5. **POLICY STATEMENT.** The ASO ATD and its field facilities are committed to providing the highest quality service to our customers. Safety is our first priority and our professionalism is indicative of our commitment. We will work to provide high quality air traffic services by proactively directing, coordinating, controlling, and ensuring the safe and efficient utilization of the national airspace system through strict adherence to the standards and requirements contained in national, regional, and local directives. All Air Traffic Managers, Operations and Support Managers, Support Specialists, Operational Supervisors, and Air Traffic Control Specialists will be provided the appropriate training as necessary to perform their job requirements. It is the intent of the ASO ATD that all QA Programs be developed in a collaborative effort with union involvement, and that operational error/deviation investigation reporting and review be conducted in accordance with the negotiated labor agreements and MOU's.

6. **OBJECTIVES.** To meet our goal of providing quality service to our customers, the ATD and its field facilities shall support the following objectives.

- a. Continually improve the air traffic system through QA efforts and by being accountable for providing the highest quality of service.
- b. Identify commendable activities and efforts that enhance individual, facility, or system performance and service.
- c. Ensure that commendable activities and efforts are promptly recognized and acknowledged appropriately.
- d. Share identified successes throughout the system.

Distribution:

Initiated By: ASO-505

- e. Problems and deficiencies that are identified shall be addressed through the three-step evaluation process.

B. HUMAN FACTORS ANALYSIS AND TRAINING.

1. DEFINITIONS.

Human Factors Team: Established by the ATD Manager, these teams are created in conjunction with bargaining unit representatives and trained to assist field facilities in identifying and resolving human factors issues.

Accountability/Compliance: Accurately applying the standards and requirements contained in national, regional, and local directives.

Accountability/Compliance Focal: The Air Traffic Manager or his/her designee who shall be a facility's focal point for a review of compliance with directives.

Accountability/Compliance Program: Contained within a facility's or organization's QA Program, it is an internal monitoring system of checks and balances that ensures a facility or organization consistently complies with applicable directives relating to its business activities.

Facility Accountability/Compliance Team: A team consisting of supervisory and non-supervisory personnel formed in accordance with the appropriate negotiated labor agreement. The purpose of the team is to assist the Facility Accountability/Compliance Focal with the evaluation of complex non-compliance issues.

Non-Compliance: Not applying the standards and/or requirements contained in national, regional, or local directives.

Safety Related Non-Compliance: Non-compliance with a national, regional, or local directive that causes a reduced level of safety.

OAT: Operational Assessment Team

Southern Star Operational Excellence Award: This award is designed to provide an opportunity for Division and Field managers to recognize instances of individual or team excellence that do not quite meet the criteria for other established awards. Examples of such events could be: Conducting one million facility OE/OD/TV free operations. Individual excellence in the handling of emergencies, significant unusual operational events, and/or performance significantly above and beyond normal expectations.

2. RESPONSIBILITIES.

a. The ATD Manager shall:

- 1) Establish jointly with regional union representatives, teams specifically trained to assist field facilities in dealing with human factors issues. These will include environmental, psychological and behavioral factors of providing quality air traffic control services.
- 2) Support field facilities that request assistance in human factors training, and/or request assistance in analyzing human factors issues associated with operational error/deviations.
- 3) Determine when field facilities require assistance in human factors analysis, and provide that assistance.

- b. Air Traffic Facility Managers shall analyze operational incidents for human factors issues and, when appropriate, request assistance from the ATD Manager in human factors training and/or analysis.

C. QUALITY ASSURANCE PROGRAMS.

1. **OVERVIEW.** Order 7210.56 requires that each ATD and those other facilities as designated by the ATD Manager develop QA Programs/Directives. Each ARTCC shall develop and maintain a QA Program/Directive, additionally; each Hub Facility shall develop and maintain a Facility/Hub QA Program/Directive. Hub Managers may designate, at their discretion, those facilities within their Hub, which shall develop and maintain Facility QA Programs.

2. **RESPONSIBILITIES.**

- a. The ATD Manager shall:

- (1) Comply with the requirements in Order 7210.56, paragraph 2-1-2.b.
- (2) Review, and support as appropriate, field facility and ASO-505 nominations for Southern Star Operational Excellence Awards.
- (3) To the extent possible, support quarterly QA workshops where selected field personnel, in concert with ASO-505, will develop, initiate, and distribute programs that promote the communication of QA initiatives throughout the field facility structure. These would include Operational Error/Operational Deviation/Technical Violation (OE/OD/TV) prevention, customer feedback, teamwork, and communication.

- b. The Evaluations Staff (ASO-505) shall:

- (1) Provide facilities support and direction as necessary to assist them in developing and maintaining their QA Programs.
- (2) Conduct regular audits and monitor facility compliance with regional, national, and local directives.
- (3) Track the operational error rate per 100,000 operations at all facilities and conduct site audits of facilities that exceed their target operational error rate (the facility target operational error rate is contained in the Air Traffic Manager's performance standards).
- (4) Conduct site visits and/or audits of facilities when deemed necessary. When appropriate, or when requested by the facility Air Traffic Manager, form Operational Assessment Teams to conduct these visits and/or audits.
- (5) Maintain a file containing current Hub/Facility QA Programs. These programs shall be reviewed by ASO-505 when created, and when changed, to ensure they are in accordance with the requirements in Order 7210.56 and this order. ASO-505 will assist those facilities whose QA Programs do not meet these requirements.
- (6) Support and maintain the Southern Star Operational Excellence Award Program. Nominations submitted to the ATD shall be reviewed and approved (as appropriate). Awards should be presented to recipients in a timely manner.

- (1) Develop a QA Program in accordance with Order 7210.56 and this Order. All QA Programs shall, as a minimum, include the items listed in paragraph 3. PROGRAM CONTENT, of this Order. In addition, QA Programs shall address those items and issues that are unique to each facility and be developed in accordance with the FAA/NATCA MOU on Program Content.
- (2) Provide a copy of their current QA Program to ASO-505. This shall include any updates or amendments made to the Program.
- (3) Review operational activities to identify examples of operational excellence and make nominations for the Southern Star Operational Excellence Award.
- (4) Ensure that all Quality Assurance related briefing items generated at Regional and Headquarters levels are briefed to all operational personnel in a timely manner.

3. PROGRAM CONTENT.

- a. Operational Error/Deviation/Technical Violation (OE/D/TV) Prevention. Facilities designated by the ATD shall establish a formal Hub/Facility OE/D/TV prevention program. These programs may be contained with the Hub/Facility QA Program/Directive or may be a separate program or directive. OE/D/TV Prevention Programs shall be comprehensive, designed for participation of all personnel, and emphasize individual responsibility and accountability at all levels. This requirement, and the content items listed below are outlined in FAAO 7210.56. Additionally, the development of the program content of QA Orders is covered in an FAA/NATCA MOU. Facilities that currently have QA Programs designed in accordance with FAAO 7210.56 and the concept of this order, need not replace them strictly as a result of the change in this order.
- b. Teamwork. Designated facilities shall include in their QA Program/Directive a program that promotes teamwork within the facility, between facilities, and between the facility and customer groups.
- c. Communications. QA Programs shall foster improved communications among all personnel to create an atmosphere conducive to sharing information.
- d. Customer Service Feedback. QA programs shall include means to solicit employee and customer feedback regarding the quality of service provided by the facility.
- e. Back to Basics Program. The objective of the Back to Basics Program is to reduce operational errors and improve customer service by emphasizing proper use of the basics of air traffic control. These programs shall emphasize the importance of phraseology, ensuring pilot readbacks are complete and correct, issuing clearances that ensure separation, Pilot Briefer refresher training, prioritizing duties, and utilizing a checklist during position relief briefings. These basics shall be emphasized during regular team briefings, monthly on the QA bulletin board, or through other available information distribution methods. Additionally, these basics shall be emphasized during any performance-related discussions.
- f. Site Specific Items. Hub/Facility QA Programs shall include items that address issues that are unique to each facility while considering facility specific historical data and information. Hub's/Facility's shall consider past deficiencies identified by headquarters, regional, special, and/or internal evaluations when developing these items.
- g. Facility Accountability and Adherence. QA Programs shall include a process to identify instances and causes of non-adherence to national, regional, and local facility standards, immediately rectify identified occurrences, and prevent future occurrences of the identified item.

4. FACILITY ACCOUNTABILITY AND COMPLIANCE.

a. **OVERVIEW.** Safety is the keystone to providing quality air traffic services. It is recognized that adherence to national, regional, and local standards and requirements is imperative to prevent any degradation in the level of service provided. All personnel will hold themselves, and each other, accountable for their job performance.

b. **RESPONSIBILITIES.**

- 1) The ATD Manager shall provide field facilities the direction and support necessary to ensure compliance with national, regional, and local directives.
- 2) The Evaluations Staff (ASO-505) shall:
 - a) Evaluate and analyze all operational incidents to identify non-compliance issues.
 - b) Assist facilities with identification and resolution of non-compliance issues when requested and request Washington Headquarters support when appropriate.
- 3) ARTCC, Hub, and Air Traffic Managers shall:
 - a) Provide direction, guidance, and leadership in QA to ensure compliance with national, regional, and local directives.
 - b) Address issues of non-compliance at the facility level. When assistance is needed, consult with ASO-505 for resolution of these issues.
 - c) Designate (when other than the ATM) a facility Accountability/Compliance Focal.
- 4) Facility Accountability/Compliance (A/C) Focals shall:
 - a) In concert with the Air Traffic Manager or the Support Manager designated QA responsibility (if other than the Accountability/Compliance Focal), assist in, or actually administer, as designated by the Air Traffic Manager, the facility QA Program.
 - b) Identify the cause(s) of non-compliance issues.
 - c) Assist Operational Supervisors, in concert with facility training personnel, in developing remedial training plans for operational personnel. The A/C Focal shall ensure that training plans properly address identified performance deficiencies, are conducted in accordance with applicable negotiated labor agreements, and ensure future compliance with applicable directives.
 - d) In concert with the Air Traffic Manager, and when deemed by both the ATM and the A/C Focal to be appropriate, form a facility accountability/compliance team and ensure that the team operates in accordance with the applicable negotiated labor agreement.
 - e) When necessary, request the facility accountability/compliance team to review non-compliance issues. Consider compliance team recommendations prior to determining the cause of non-compliance.
 - f) Assign non-compliance issues to the appropriate area in the facility for action.

D. AIR TRAFFIC INCIDENTS AND FACILITY OUTAGES.**1. AIR TRAFFIC INCIDENTS.**

a. **General.** Orders 7210.56 and 8020.11 identify categories of Air Traffic Incidents and the reporting requirements for each. Additionally, Order 7210.56 provides guidance regarding Quality Assurance Reviews (QAR).

b. Responsibilities and Reporting Procedures.

(1) The Evaluations Staff (ASO-505) shall:

- (a) Function as the ATD duty contact during administrative, as well as non-administrative hours, for all operational incident reporting.
- (b) Provide guidance and assistance to facility personnel during the reporting process.
- (c) Gather information during the reporting process that will provide sufficient information for briefings to the Manager and Assistant Manager of the ATD.

(2) Reporting personnel shall:

- (a) Make preliminary notification to the ATD through the Regional Operations Center (ROC) via telephone within the time frames specified in the above orders. Reporting personnel shall ensure preliminary information is transmitted in accordance with the applicable orders and, when practicable, that the ROC has received a copy of the transmittal prior to the notification call being placed.
- (b) Make a request for additional time through the ROC to the ATD duty specialist if a reporting deadline is approaching and facility personnel are not yet prepared to make full preliminary notification. Requests for additional time shall include, as a minimum, the following information:
 1. The type of incident being investigated.
 2. The date, time, and location of the incident.
 3. The identification of involved aircraft and/or facilities.
 4. Whether the incident involves a loss of separation.
 5. The reason for the request and the amount of additional time needed.
 6. If clarification is needed on any item prior to making the preliminary call, contact any member of the ASO-505 staff during administrative hours, or during non-administrative hours, contact the ATD duty specialist through the ROC.

2. FACILITY OUTAGES.

a. **General.** Timely notification of significant ATC service interruptions and events is important in the determination of the overall impact to air traffic operations. This section outlines responsibilities and procedures for Air Traffic field facility personnel when reporting significant facility service outages/interruptions to the ATD.

b. Responsibilities and Reporting Procedures.

(1) The Evaluations Staff (ASO-505) shall:

- (a) Function as the ATD duty contact during non-administrative hours, for all facility outage reporting. They should be reported to the appropriate Regional Branch during administrative hours.
- (b) Provide guidance and assistance to facility personnel during the reporting process.
- (c) Gather information during the reporting process that will provide sufficient information for briefings to the Manager and Assistant Manager of the ATD.

(2) Reporting personnel shall:

- (a) Notify the ATD and/or the Air Traffic Control System Command Center (ATCSCC) through the ROC of all significant equipment outages and events as defined below. This notification is in addition to normal coordination with Airway Facilities and other required reporting.
- (b) Immediate notification shall be made to the ATD and ATCSCC through the ROC within five (5) minutes, or as soon as practicable of the occurrence whenever:
 - 1. There is an evacuation of any facility due to fire, smoke, bomb threat, weather, HAZMAT conditions, etc.
 - 2. There is a loss of communications, a full power outage, a loss of radar service, or a loss of automation systems at all Level 10 or higher facilities and San Juan CERAP.
 - 3. Level 9 and below facilities and AFSS's shall notify the ATD through the ROC within fifteen (15) minutes, or as soon as practicable of the occurrence whenever there is a total loss of communications, a full power outage, a loss of radar service, or a loss of automation systems.
 - 4. Initial notifications shall include the following information, if known:
 - a. Location of the outage.
 - b. Time of the outage.
 - c. Nature of outage.
 - d. Backup system in use (if any).
 - e. Known or anticipated impact.

5. Follow-up notifications are due to the ATD through the ROC thirty (30) minutes, or as soon as practical, after the initial event (conference ATCSCC as appropriate) and should contain the following updated information:
 - a. Additional details as available.
 - b. Information on transition to backup systems.
 - c. Current situation.
 - d. Air Traffic restrictions implemented (if any).
 - e. Any known air traffic impact.

Reported information shall be coordinated with the appropriate local Airway Facilities personnel to ensure accuracy and consistency with other reports.

E. AIRCRAFT ACCIDENTS/INCIDENTS AND POST ACCIDENT/COVERED EVENT DRUG AND ALCOHOL TESTING.

1. **GENERAL.** Order 8020.11 identifies the different categories of aircraft accidents and incidents and outlines personnel responsibilities including reporting requirements regarding each category. This section outlines specific procedures for reporting and investigating aircraft accidents/incidents as well as establishing the criteria used in making Post-Accident/Covered Event Drug and Alcohol testing determinations.

2. **DEFINITIONS.**

Covered Event: Defined as an accident or occurrence that involves one or more of the following:

- a. A fatality.
- b. A serious injury.
- c. Substantial damage to the aircraft.
- d. Substantial damage to other vehicles or other property.

Note: The appropriate Flight Standards District Office (FSDO) is the final authority for damage determinations regarding aircraft accidents. Additionally, definitions of the above factors may be found in Order 8020.11.

3. **RESPONSIBILITIES.**

- a. The ATD Manager/Assistant Manager shall be responsible for the final determination pertaining to whether or not to conduct post accident/covered event drug and alcohol testing. This determination will be made after receiving the recommendation of the Air Traffic Manager of each involved facility through ASO-505.

b. The Evaluations Staff shall:

- (1) Be the ATD contact for receiving preliminary information through the Regional Operations Center (ROC) on all aircraft accidents/incidents.
- (2) Ascertain, which air traffic facilities, are involved in an accident and their level of involvement.
- (3) Assist facilities in determining if an event requires a drug/alcohol testing determination according to the criteria established in DOT Order 3910.1, Drug and Alcohol-Free Workplace. If the criteria are met, ASO-505 will contact the appropriate facilities to initiate action.
- (4) Brief the ATD Manager/Assistant Manager on the pertinent information regarding each accident including the facility manager's recommendation regarding alcohol/drug testing.
- (5) When appropriate, or at the ATD Manager's/Assistant Manager's direction, conference the facility manager, through the ROC, with the Division Manager/Assistant Manager.
- (6) After the ATD Manager's/Assistant Manager's determination, advise and assist those involved facilities as necessary.

c. Hub Managers shall provide support to their facilities during the investigation and drug and alcohol testing determination as necessary.

d. Facility Managers shall:

- (1) Ensure that a timely and thorough investigation is conducted, that they personally review voice tapes and other pertinent data (may be accomplished via telephone), and provide a drug and alcohol testing recommendation to ASO-505 (coordinated with the Hub Manager, as appropriate).
- (2) Prior to allowing involved employees to leave the facility (before a drug and alcohol testing determination has been made) ensure they sign the Post Accident Substance Testing: Absence Agreement Letter. Examples of these letters are available Post Accident Substance Testing guide provided by the ASO-505 office, or on the ASO-505 Web Site, (<http://asoatsnt17.ats.aso.faa.gov/QuickPlace/aso-505/Main.nsf>), Covered Event Information link.

4. **PROCEDURES.** Post-Accident/Covered Event Drug and Alcohol Testing shall be limited to employees whose job performance at or about the time of the event provides reason to believe that their performance may have contributed to the accident or cannot be completely discounted as a contributing factor to the accident or incident. It is recommended that reporting personnel utilize the checklist in Appendix 1 of this Order as a tool for completing the procedures contained in this Order.

- a. In the event of a covered accident as described in paragraphs E.2.(a-d), the air traffic facility first receiving notification of the accident should notify ROC. The ROC will then accomplish notification to the appropriate National Weather Service (NWS) office as described in the NWS/ATD/ROC Letter of Agreement. This document contains procedures for NWS notification.
- b. When the ROC receives a report of an aircraft accident involving an aircraft which was receiving services from an air traffic facility within ASO at or just prior to the time of the accident, or has received a weather briefing pertinent to that flight within the past 24 hours, the ROC shall notify ASO-505.

- c. ASO-505 will discuss the accident with each potentially involved facility, request that they determine if their facility had any contact with the aircraft and, if so, perform a review of air traffic performance.
- d. Each facility will investigate the performance of each employee who was in contact with or was otherwise involved with the aircraft and have the air traffic manager formulate a specific recommendation pertaining to drug/alcohol testing based on each employee's performance. The air traffic manager, as a minimum, shall review all applicable voice recordings prior to making any recommendations. Timely completion of the investigation is important, as strict guidelines exist for performing drug and alcohol testing. All recommendations shall be forwarded to ASO-505 in a timely manner to allow for compliance with timelines established in Order DOT 3910.1, Chap. IV, par. 4d(5) and 4d(6).
- e. Once the air traffic manager has finalized the drug and alcohol testing recommendation (coordinated with the hub manager, if appropriate), the ATM will contact the ROC for a conference with ASO-505. ASO-505 will review the data and ascertain the ATM's recommendation.
- f. ASO-505 will coordinate all information and recommendations with ASO-500/501 and relay all determinations back to the involved ATM's. When there is a decision to test, ASO-505 shall complete all coordination with the Aviation Medical Division, ASO-300.

F. AIR TRAFFIC OPERATIONAL ERRORS AND DEVIATIONS, INVESTIGATION AND REPORTING. Order 7210.56 and associated GENOT's and MOU's outline responsibilities and procedures for reporting and investigating OE/OD/TV events. This section outlines additional responsibilities, follow-up procedures, a recommended investigation outline, and final investigation report procedures.

1. RESPONSIBILITIES.

- a. The Evaluations Staff shall be the ATD contact for all notification, coordination, review, clarification, and any other communications or correspondence regarding operational errors and deviations.
- b. Hub Managers shall provide support and guidance to their facilities to ensure adherence to Order 7210.56 and this Order when investigating and reporting operational errors and deviations.
- c. Air Traffic Managers shall:
 - (1) Provide support and guidance to facility personnel to ensure adherence to Order 7210.56 and this Order when investigating and reporting operational errors and deviations.
 - (2) Where appropriate, provide a copy of all recertification plans to ASO-505 as soon as practicable.
 - (3) In situations where an employee is involved in multiple OE/D's within a 2-½ year period, a teleconference is required with the ATD Manager/Assistant Manager. If the OE/D is a TV or low severity error, the employee may be returned to duty prior to contacting the ATD. If the OE is of moderate or high severity, contact the ATD Manager/Assistant Manager prior to returning the employee to duty.
 - (4) ARTCCs shall prepare a SATORI, with voice, on each OE within 72 business hours and place the SATORI on the AAT-200 SATORI network sever in accordance with FAAO 7210.56, paragraph 6-1-3.b. Additionally, SATORI's should be developed and used by the facility for training and recertification efforts.

- (5) TRACONs shall perform a CDR extraction, save and post on the AAT-200 file transfer protocol secured Intranet site within 72 business hours in accordance with FAAO 7210.56, paragraph 6-1-3.c.

Note: SATORI requirements may be revised or waived by ASO-505 due to extenuating circumstances such as automation and/or workload constraints, equipment malfunctions, and/or other significant factors.

2. PROCEDURES.

- a. When a suspected operational error or deviation occurs, conduct a preliminary investigation. Order 7210.56 and the FAA/NATCA MOU outlines classification procedures and reporting requirements for a suspected event.
- b. If the initial investigation warrants, complete Form 7210-2, Preliminary Operational Error/Deviation Investigation, and SO Form 7210-2 as depicted in Appendix 3 of this order. Transmit the **completed** forms to the ROC via telephone facsimile. The ROC will notify ASO-505/ATD duty specialist prior to transmitting the form via telephone facsimile to the Washington Headquarters Operations Center (WOC).
- c. Make a request for additional time through the ROC to the ATD duty specialist if the 3 hour reporting deadline is approaching and facility personnel are not yet prepared to make full preliminary notification. Requests for additional time shall include, as a minimum, the following information:
 - (1) The type of incident being investigated (OE or OD).
 - (2) Whether the event qualifies as a Technical Violation (TV).
 - (3) The date, time, and location of the incident.
 - (4) The identification of involved aircraft and/or facilities.
 - (5) The closest vertical and lateral separation between aircraft in OE's.
 - (6) The reason for the request and the amount of additional time needed.
- d. If clarification is needed on any item prior to making the preliminary call, contact any member of the ASO-505 staff during administrative hours, or after administrative hours, contact the ATD duty specialist through the ROC.
- e. After transmission of Form 7210-2 via facsimile, call the ROC and request a teleconference with ASO-505. ASO-505 will host a teleconference to discuss the circumstances surrounding the error. At the discretion of ASO-500/501, participants may include ASO-500, ASO-501, the facility/Hub ATM, ASO-505 staff, the supervisor in charge of the operation at the time of the occurrence, and/or the facility/Hub quality assurance staff.
- f. An operational error/deviation follow-up briefing to the ATD via teleconference shall be scheduled by the responsible facility the next administrative day, unless otherwise coordinated, following the incident (these briefings may actually take place more than one (1) administrative day following the incident, but **must** have been **scheduled** by the next administrative day). ASO-505 serves as the ATD point of contact for scheduling these briefings and ASO-500/501 may be present for these conferences. Participants in these briefings should include the Air Traffic Manager, the Operations Manager (if applicable), the involved employees first level supervisor, the supervisor (or CIC) in charge at the time

of the incident. The involved employee(s), and the facility bargaining unit representative may attend if mutually agreeable to both parties. Although it is desirable to have the above listed individuals attend the briefing, the final decision regarding who will participate shall be at the discretion of the Air Traffic Manager. When directed by the ATD Manager/Assistant Manager, a facility manager may be requested to present the briefing in person at the Regional Headquarters.

- g. These follow-up briefings shall include, as a minimum, the following information:
- (1) Synopsis of the incident including any additional information not previously disclosed.
 - (2) Comparison of the specific incident with any others that occurred within the same facility or operational area within the previous year. A shorter time frame may be used if the data is statistically relevant.
 - (3) Planned corrective actions.
 - (4) In the event of repeat or multiple OE/D's, a summary of similarities between the incidents and corrective actions taken by the facility.
- h. If the decision is made to decertify the employee(s) involved in the operational error/deviation, the operational supervisor, in conjunction with the facility support staff and the air traffic manager (or their designee), shall develop a recertification plan, which shall include a remedial action plan, in accordance with Order 7210.56, par. 5-1-9, Return to Operational Duty, Order 3120.4, par. 2-12, Proficiency Training, and paragraph F.1.c of this order. A copy of the recertification plan shall be submitted to ASO-505 as soon as possible after completion.

Note: If a determination not to decertify is made, the employee's first-level supervisor must complete the requirements of FAAO 7210.56, par. 5-1-9, Return to Operational Duty.

3. **FOLLOW-UP INVESTIGATION.** The procedures for conducting a follow-up investigation are contained in Order 7210.56. This section provides recommendations for areas to concentrate in when conducting a follow-up investigation as well as transmittal of Form 7210-3 Final Operational Error/Deviation Report.

Recommended follow-up investigation checklist:

- a. When beginning a follow-up investigation, determine the actual cause of the error/deviation (i.e., awareness issues, procedural issues, hearback/readback, phraseology, etc.)
- b. Determine the order/LOA/procedure/etc. that was violated.
- c. Review voice, radar, and any other pertinent data available.
- d. Review Form 7320-4 for any equipment or traffic management issues.
- e. Review resource management issues (were positions combined/decombined or in process of being combined/decombined).
- f. Was the position relief briefing a factor?
- g. Review the employees last Technical Training Discussion.
- h. Review time on position data to ensure position currency.

- i. Review random tape monitors for the last 15 days to determine if identified performance issues are reoccurring.
4. **OPERATIONAL ERROR/DEVIATION FINAL REPORT, FORM 7210-3.** Each facility shall, when automation systems permit, utilize the automated Final Operational Error/Deviation Report, Form 7210-3. Facilities shall:
- a. Retain the original copy of Form 7210-3, with original signatures, in accordance with Order 7210.56.
 - b. Electronically transmit to ASO-505, via Lotus Notes attachment, the automated Final Operational Error/Deviation Report. Any pertinent information such as controller statements, union statements and any recommendations from operational error review boards should be electronically transmitted as an attachment to the Final Operational Error/Deviation Report. If electronic transmission is not possible, coordinate with ASO-505 to determine an alternative form of transmittal. Original signatures on these documents should be indicated by entering /s/ (original signed by) in the appropriate signature block.
 - c. ASO-505 will review the report and either obtain the ATD Manager's signature or, at the discretion of the ATD Manager, sign for ASO-500. ASO-505 will transmit the final report to AAT-210 and ATX-400 and return a copy of page 10, Division Manager's Conclusions and Recommendations, to the facility along with a cover memorandum with the original retained on file in ASO-505.
5. **OPERATIONAL ERROR/DEVIATION TRACKING/ANALYSIS PROGRAM.** The ATD will provide trend analysis, statistical data, recommendations and other pertinent information to assist the field facilities with their prevention efforts. The information provided may include, but not limited to:
- a. Trend Analysis/Tracking Reports. The Regional QA Staff is responsible for tracking regional occurrences and trends. This includes maintenance of the regional ACCESS OE/D data base, tracking of causal factors, identification of awareness items, Quarterly Alert Bulletins, and monthly AAT-20 evaluation checklist items.
 - b. Surface Error Reduction Program. Special emphasis has been placed on the prevention of surface errors and deviations. The Regional QA Staff will provide assistance and support to all terminal facilities to ensure national surface error prevention strategies have been implemented as required.
 - c. Operational Review Program. The ASO ATD shall raise facility operational awareness by establishing methods of early identification of facility trends. Data obtained from the analysis of operational statistics will be used to heighten awareness of facility's OE/OD trends.
 - d. Operational Review Program Content. The intent of this program is to identify facility trends. This shall be accomplished through a statistically based, continuous review of OE/ODs based on facilities' past performances and actions previously taken to eliminate errors and correct performance deficiencies. Based on the statistical data, and other pertinent factors surrounding the facilities performance, the ATD will determine appropriate actions to be taken by either the facility and/or ATD.

NOTE: Statistical analysis processes and programs should be shared with all facilities that have a desire to conduct similar analysis. ASO-505 will serve as a conduit for this distribution.

Original signed by

Ronald J. Liszt
Acting Manager, Air Traffic Division, ASO-500

Appendix 1

COVERED EVENT CHECKLIST	AIRCRAFT ID:	
	DATE:	
	TIME	COMPLETED
<p>Determine if the accident/incident is a covered event. (FSDO will normally report the level of damage/seriousness of injury) (ASO-505 will assist in the determination)</p>		
<p>Facility ATM shall review voice recordings and other data pertinent to the event.</p>		
<p>ATM shall forward testing recommendation to ASO-505, through ROC. (ASO-505 will forward recommendation to ASO-501/500)</p>		
<p>ASO-505 will coordinate ASO-501/500's determination to the facility ATM. DETERMINATION: _____</p>		
<p>If testing is to be performed employee notification must be accomplished prior to testing. Whenever feasible, drug testing must be completed within 4 hours of the accident/incident. If alcohol testing can not be completed within 8 hours of the accident, no alcohol testing can occur. ASO-505 will notify the Drug Program Coordinator (DPC). ASO-505 will need employee's name and SSN.</p>		
<p>Issue employee(s) Letter of Notification to Post-Accident Drug Test. (Ref: Drug and Alcohol Testing Guide, Green Book, Ch. V, par. 5)</p>		
<p>If employee(s) request to leave the facility, issue appropriate memorandum. (Ref: NATCA/FAA Agreement, Article 73, Section 15) (Ref: NAATS/FAA MOU, Implementation of DOT3910.1, dated 8/27/94)</p>		
<p>NOTES:</p>		

Appendix 2. Instructions for SO Form 7210-2, Preliminary Operational Error/Deviation Investigation Supplemental Data.

REPORT #: Enter the same report number as on Form 7210-2.

Note: Blocks 1-4 are separate columns for each involved individual. The first column is intended for use if only one person is identified as being involved in the error/deviation. The subsequent columns are for any contributory personnel. Blocks 5 and 6 are for resource management data information pertaining to the incident.

Block 1 Enter the date of the last Technical Training Discussion.

Block 2 If any involved specialist has been certified on the position on which the error or deviation occurred for less than one (1) year, enter the total training time used on that position.

Block 3 Identify the day and workweek of each involved specialist. The first number should be the day of the workweek for the specialist, and the second number should be the number of days in the week for the specialist.

Example: 3 of 5
 4 of 4
 6 of 6

Block 4 List any known current restrictions to each involved specialist's medical certification.

Block 6 List time on position for Tracker Position, H/O Position, and D-side Position. Indicate position by using a "T" for Tracker, "H/O" for H/O and "D" for D-side positions.

Appendix 3
SO SUPPLEMENTAL PAGE

PRELIMINARY OPERATIONAL ERROR/DEVIATION INVESTIGATION REPORT

REPORT # _____

CONTROLLER INFORMATION

Primary	Contributory	Contributory	Contributory
1. DATE OF LAST TTD			
2. IF CERTIFIED ON THE ASSIGNED POSITION LESS THAN 1 YEAR, INDICATE TOTAL TRAINING TIME ON THE POSITION			
3. WEEKLY WORK SCHEDULE (i.e., DAY 3 of 5 DAYS)			
4. LIST ANY RESTRICTIONS TO CURRENT PHYSICAL			

FOLLOWING DATA TAKEN AT TIME OF ERROR/DEVIATION

5. NAME OF OSIC/CIC	6. HOW LONG WAS D-SIDE ON POSITION?	7. HOW LONG WAS TRACKER/HO ON POSITION?