

ORDER

U. S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

WP AT 7210.6C

Western-Pacific Region

12/31/01

SUBJ: AIR TRAFFIC QUALITY ASSURANCE (QA) PROGRAM

1. **PURPOSE.** This Order prescribes the Western-Pacific (AWP) QA Program.
2. **DISTRIBUTION.** This Order is distributed to selected offices in Washington Headquarters, all AWP Region Air Traffic Division (ATD) branch/staff offices, and all AWP Region air traffic field facilities.
3. **CANCELLATION.** Order WP AT 7210.6B, Quality Assurance Program, dated 3/1/00 is canceled.
4. **EFFECTIVE DATE.** This Order is effective December 31, 2001.
5. **ACTION.** Within 120 days of the effective date of this Order:
 - a. Each Hub and Stand-Alone facility Air Traffic Manager (ATM) shall develop a QA directive and programs that comply with National and Regional directives (including those herein) and any applicable Collective Bargaining agreements. These programs shall, as a minimum, address OE/D prevention, teamwork, communications, and customer service.
 - b. Facility ATMs assigned to a Hub shall provide site-specific strategies to supplement the Hub QA Program. These site-specific strategies shall be included in the Hub QA Program as Appendices.
 - c. Notify the ATD via electronic means through the regional QA Staff, AWP-505 (cc: Mail address is 9-AWP-505), when this action is complete. When applicable, forward the report through the Hub Facility first.
6. **EXPLANATION OF CHANGES.** Significant changes to this Order were made as follows:
 - a. Paragraph 10. Modified ATD and ATM responsibilities.
 - b. Paragraph 11. New paragraphs on Evaluation responses, Freedom of Information Act (FOIA) and Litigation, Operational Error/Deviation Prevention, Teamwork, Communications, and Customer Service/Feedback. Changed Operational Performance Reviews and QA Status Report requirements.
 - c. Paragraph 12. Changed notification requirements following operational occurrences and Operational Condition (OPCON) Level actions..

- d. Appendix 1 Added QA Spot Check Form for Evaluation Items
- e. Appendix 2 Added QA Spot Check Form for Operational Errors/Deviations
- f. Appendix 3 Changed the QA Status Report
- g. Appendix 6 Added an OPCON Level/Action Chart

7. **SCOPE.** The QA Program prescribed herein is supplemental to those contained in FAA Orders 7010.1, Air Traffic Evaluations, 3120.4, Air Traffic Technical Training, and 7210.56, Air Traffic Quality Assurance, as they pertain to facility evaluations, air traffic technical training, performance management systems, and agreements with the bargaining unit. While this order specifies ways to ensure compliance with national policies, goals and requirements, it also mandates certain proactive regional strategies to either help facilities prevent incidents or address incidents when they do occur to prevent recurrence.

8. **POLICY STATEMENT.** The AWP ATD is committed to providing the highest quality, error free air traffic control (ATC) services possible. This policy requires all employees to be cognizant of their role in the ATC system, to accept responsibility for maintaining a current knowledge of their job requirements and the associated procedures, and to consistently apply them in the performance of their duties in compliance with national, regional, and facility directives.

9. **QA PROGRAM OBJECTIVES.** To assist all parties in adhering to the regional QA policy statement, the ATD and its associated field facilities shall be proactive in developing, implementing, and utilizing programs based on the following general QA objectives:

- a. identify and acknowledge activities and efforts that facilitate the provision of the highest level of safe and efficient individual, facility and/or system performance.
- b. identify and analyze any system trends that are indicative of potentially negative impacts to the system's ability to provide safe and efficient ATC services. Provide recommendations and /or implement proactive initiatives to reverse any negative trends.
- c. identify system deficiencies and promptly develop and implement corrective actions that include adequate follow-up and management control steps.

10. **GENERAL RESPONSIBILITIES.**

- a. Air Traffic Division. The ATD Manager, through AWP-505:

(1) shall provide field facilities the direction, guidance, and assistance required to ensure that agency directives, standards, and policies are being adhered to and that QA goals and objectives are being achieved.

- (2) shall determine when, and where, facility on-site reviews are to be conducted.
- (3) shall provide assistance and support to Air Traffic Facilities to ensure that error/deviation prevention strategies are developed and implemented, as required.
- (4) may waive portions of this directive.

b. Facility ATMs shall:

- (1) annually review facility QA directives and/or programs for compliance with National and Regional directives and any applicable Collective Bargaining agreements.
- (2) utilize the appropriate QA Spot Check Form (Appendix 1 or 2), as required herein, to prepare for facility evaluations, correct identified evaluation problem items, identify OE causal factors, and/or determine the general success of facility QA programs.

11. REGIONAL QA PROGRAM REQUIREMENTS/PROCEDURES.

a. AAT Full-Facility and Follow-up Evaluations. All responses to any Problem item or Operational Deficiency identified during an AAT evaluation shall be prepared utilizing the 3-step closure process and required format(s) in accordance with FAA Order 7010.1. Additionally, the ATD requires responses for all Problem Items and Operational Support Deficient Items as follows:

(1) all facilities with access to the FAA Intranet shall complete evaluation responses via the National Statistics for Evaluations and Investigations (NSEAI) site. Each facility shall notify their respective Hub facilities, preferably via cc:mail, any time a response to an evaluation item has been submitted for review. The Hub facility shall review these facility responses, either concur with the facility's response or return them to the facility for further action, and forward completed responses to AWP-505. After completing the necessary review, Hub facilities shall then notify AWP-505, via the AWP-505 mailbox (9-AWP-505), when a facility response is ready for regional review.

(2) the first facility evaluation response must be received in AWP-505 no later than 45 days after the date of the AAT-140 out briefing.

(3) the second facility evaluation response shall be submitted to AWP-505 in the same manner that first responses are submitted no later than 165 days from the date of the AAT-140 out briefing.

(4) facilities without access to the FAA Intranet shall notify the ATD as soon as possible after their facility evaluation. The ATD will then determine the method of response for these facilities.

(5) facility ATM's shall be responsible for completing required follow-up activities with the appropriate AWP branch to ensure satisfactory closure of any evaluation response by the applicable evaluation response deadline.

(6) if, during a facility evaluation, AAT-140 re-opens previously closed problem items, identifies recurring problem items or a significant number of problem items during a facility evaluation, the ATD may require the affected facility to utilize the Evaluations QA Spot Check Form (Appendix 1) to address those items identified.

b. Freedom of Information Act (FOIA)/Privacy Act Handling. AWP-505 is the focal point for the handling of FOIA and Privacy Act requests involving the Air Traffic Division (ATD). FOIA and Privacy Act records are maintained in accordance with FAA Order 1350.15.

(1) Freedom of Information Act (FOIA).

(a) all FOIA requests must be in writing.

(b) all requests received are to be directed to AWP-505. These requests cover a wide range of subjects including, but not limited to, aircraft accidents/incidents, facility evaluations, operational errors/deviations, and pilot deviations.

(c) AWP-505 will notify facilities via facsimile when the release of requested data is authorized.

(d) all requested data in the possession of the facilities is to be forwarded to AWP-505. AWP-505 will then forward all releasable data to the requester.

(e) all information in response to a FOIA request from the field shall be copies; originals shall be maintained at the facility.

(f) it is imperative that the amount of time and the Pay Band of the specialist who worked on the request are included in the response to AWP-505 to ensure the requester is charged appropriately.

(g) requests for data that do not specifically ask for information via the FOIA procedures shall still be processed as FOIA requests.

(h) FOIAs that do not concern accidents are retained for 2 years. FOIAs that concern accidents are filed in the accident file and are retained for the life of the file.

(i) contact AWP-505 before destroying accident files, FOIA requests, and pilot deviations to verify any pending litigation or enforcement actions.

(2) Privacy Act Procedures. Privacy Act requests are handled much the same as FOIA requests. Privacy Act requests can be received in verbal and written form; however, only written Privacy Act requests for personnel records are accepted. A Privacy Act request can be submitted in letter format.

c. Litigation. AWP-505 is the ATD focal point for collecting necessary data if litigation ensues.

(1) the Notice of Litigation is sent via facsimile to the appropriate facilities.

(a) the requested list of data shall be sent via cc: mail to AAT-200 in compliance with the instructions in the Notice of Litigation.

(b) future correspondence regarding the litigation may require sending copies of all documents in the accident file. The documents are to be sent via express mail to AAT-200 within the requested timeframes.

(2) once AWP-505 receives a Notice of Completed Litigation, it is sent via facsimile to the appropriate field facilities 30 days after receipt. The completion notice advises that standard retention applies in accordance with FAA Orders 1350.15 and 8020.11.

d. Operational Error/Deviation Prevention. The prevention of OE/Ds requires the active participation of every employee.

(1) The ATD Manager, through AWP-505, shall:

(a) provide trend analysis, statistical data, technical assistance, and other pertinent information to assist the field facilities in preparing their OE/D prevention programs and for use in developing mandatory refresher training items, briefing items, etc.

(b) disseminate AWP Alert bulletins to notify AWP facilities to any identified instances of repeated OE/D causal factors, repeated misapplication of ATC procedures, system deficiencies, or significant operational occurrences.

(c) share suggestions or action plans implemented by AWP field facilities to address their OE/D occurrences. These suggestions or action plans may be utilized by other facilities to address similar OE/D.

(d) assist field facilities in maintaining and updating their OE/D Prevention plans, as requested, to ensure they remain current and effective.

(e) conduct random field Operational Error Detection Program (OEDP) reviews quarterly.

(f) require identified facilities to utilize the OE/D Prevention QA Spot Check Form (Appendix 2). This requirement may occur regardless of facility OPCI level and at the discretion of the ATD.

(g) shall maintain an AWP OE/D database. This database shall be used to ensure reports are processed within the required time parameters and will include the date of each OE/D occurrence, the date the final report is due, and actions completed. Additionally, the database shall be used to track OE/D occurrences and their associated trends and causal factors. The database shall contain the following information:

- Region.
- 1 Comparison of OEs year-to-date for all facilities in the Western-Pacific
 - 2 Monthly synopsis of errors.
 - 3 AWP rate of occurrences per 100,000 operations.
 - 4 Total number of OE/D's per facility fiscal year (FY) to date.
 - 5 AWP performance compared to ATS OE/D reduction plan.
 - 6 OE/D causal factors.
 - 7 Alert bulletins

(h) shall review OE/D data each quarter for facilities with reported OE/Ds. For each facility where the review indicates a need for follow-up action, the OE/D reports shall be reviewed for trends and appropriate follow-up activities scheduled.

(i) recognize facilities that meet OE/D free milestones. Facility type, level, and past operational occurrence history shall be taken into consideration in identifying significant milestones.

(2) ATMs shall:

(a) ensure facility/Hub OE/D prevention plans include "back to basics" with emphasis on adherence to air traffic control standards, including positive control, adherence to standard phraseology, ensuring pilot readbacks are complete and correct, and the conduct of position relief briefings.

(b) develop and maintain a 2-year summary of facility OE/Ds causal factors and trends and incorporate them into classroom training, or annual refresher training programs, or simulation programs where the capability exists, (e.g., TRACON-PRO, ETG, SATORI, CBI, etc.).

(c) ensure briefings to all operational personnel are conducted quarterly on national, regional, and facility OE and/or OD causal factors.

(d) ensure applicable AWP Alert Bulletins are briefed to personnel as soon as possible. Managers are encouraged to review AWP Alert Bulletins for application and tailor to specific facility needs.

(e) ensure a current listing of OE/D causal factors are posted in a conspicuous location or otherwise readily available to the operational workforce.

e. Teamwork

(1) The ATD Manager, through AWP-505, shall:

(a) meet regularly as a staff to discuss specific on-going QA issues, national and regional emphasis items, and staff projects.

(b) participate, as resources permit, in Operational Supervisor Workshops.

(2) ATMs shall:

(a) ensure semi-annual team-building briefings are included in the facility's refresher training program. These briefings shall focus on teamwork and include briefing topics; i.e., good operating practices, techniques, identification of potential problem areas, and discussion of past operational occurrences and their prevention. Opportunities for feedback or employee suggestions shall be included in these briefings. Identify proactive ideas/suggestions and forward to AWP-505.

(b) conduct discussions on operational expectations, requirements, and follow-up/corrective actions that will be taken to ensure that controller performance is in accordance with prescribed standards and procedures as identified in paragraph 12.c.

f. Communications

(1) The ATD Manager, through AWP-505, shall:

(a) disseminate information relating to QA programs, national and regional special emphasis items, and surface incident data on the AWP QA Bulletin Board.

(b) shall periodically publish an AWP AT Bulletin placing emphasis on the prevention of OE/Ds and other national and regional special emphasis items, heighten awareness to operational issues and disseminate information relating to QA programs. This bulletin shall be disseminated via the AWP QA Bulletin Board.

(c) shall conduct a quarterly QA telephone conference (TELECON) with all Western-Pacific Region Hub and Stand-Alone Air Traffic facilities.

(d) conduct regional QA seminars, as resources permit. These seminars are provided as an introduction to field facility personnel on the topics including, but not limit to, evaluations, FOIA requests, accident/incident documentation, and operational error/deviation reporting.

(2) ATMs shall:

(a) ensure AWP Air Traffic Bulletins applicable to type facility, are obtained from the QA bulletin board, briefed to all personnel, and documented in accordance with FAA Order 7210.3, Paragraph 2-2-8.b, "Personnel Briefings Regarding AT Bulletin Items."

(b) ensure participation in regional quarterly QA TELECONs if designated a Hub or Stand-Alone facility. Hub facilities shall ensure pertinent information from regional QA TELECONs are cascaded to their satellite facilities.

g. Customer Service/Feedback

(1) The AWP-505 staff serves as a customer resource to the ATD, AWP air traffic field facilities, aviation, and the general public. The ATD Manager, through AWP-505, shall:

(a) conduct facility site visits.

(b) conduct in-flight reviews and provide feedback to facilities via the Flight Management Review Program.

(c) coordinate with Flight Standards, Airports Division, Regional Counsel, other staff offices, and the National Transportation Safety Board (NTSB) on accident/incidents, pilot deviations and surface incident investigations.

(d) serve as a liaison with military representatives concerning OE/Ds, pilot deviations, and accident investigations.

(e) serve as a liaison to the general public on FOIA requests.

(f) serve as a liaison to Headquarters on litigation requests.

(g) respond to applicable Administrator's and Safety Hotline Complaints.

(2) ATMs shall:

(a) identify their facility customer base and specific means for soliciting employee and customer feedback regarding the quality of service provided by the facility and the organization's impact on others.

(b) develop and/or utilize programs that incorporate system user participation and feedback strategies such as user surveys, user workshops, and joint user/operator meetings. These programs should take place at least annually. Documentation of the completion of these programs shall be prepared and retained in the facility files for review. Retention periods shall be in accordance with applicable directives.

h. Operational Performance Reviews (OPR). Continuously assess an employee's technical performance through both direct and indirect methods to determine if nationally and locally prescribed standards and procedures are being met, identify and document deficiencies, identify and document commendable performance, support recognition of outstanding performance, support a performance coaching session, refresher or remedial training plans, and Opportunity to Demonstrate Performance (ODP) plans. Any issues identified during a Performance Skill Check (PSC) or Tape Monitor Evaluation (TME) that are not identified as a deficiency but may benefit from technical training shall be handled in accordance with FAAO 7210.56, Paragraph 3-1-2.a.2. However, any issue that is identified as a deficiency requires an action plan to specifically address the deficiency as well as follow-up activities to ensure that correction of the deficiency was successful. These follow-up activities will vary, as deemed appropriate. They should measure the success of the corrective action, such as a verbal test, written test, or subsequent OPR. Any training to correct a performance deficiency or issue that may benefit from technical training shall be conducted in accordance with FAA Orders 3120.4, 7210.3, and 7210.56. OPR's shall be accomplished as follows:

(1) Performance Skill Checks:

(a) shall be conducted at least semi-annually on each employee that is certified on at least one operational position.

(b) shall be documented utilizing FAA Forms 3120-25/3120-26/3120-32, as appropriate, and retained for one year from the date of the PSC.

(c) may be used to support a Technical Training Discussion (TTD) but shall not be the sole source for a TTD.

(2) Tape Monitor Evaluations. A TME is an assessment of a voice recording made of a specialist performing duties on an assigned position. This assessment is to be used to determine if national and local handbook requirements are being met; identify and document deficiencies; identify and document commendable performance; support counseling session, refresher training, remedial training, and Opportunity to Demonstrate Performance (ODP) plans; support recognition of outstanding performance. A TME:

(a) shall be conducted at least annually on each employee that is certified on at least one operational position.

(b) shall consist of at least 30 minutes and/or ten successive transmissions/landline coordination/briefings made by the ATCS that contained control instructions or other information pertaining to the separation/movement/safety of air traffic. This requirement does not apply to Oceanic operations.

(c) shall be documented utilizing FAA Forms 3120-25/3120-26/3120-32, or a locally developed form, as appropriate, and retained for one year from the date of the TME.

(d) may be used to support a Technical Training Discussion (TTD) but shall not be the sole source for a TTD.

i. QA Status Report (QASR).

(1) The QASR (see Appendix 3) summarizes the number of OEs and/or OD occurrences, facility activities to prevent recurrence, OPRs conducted and any identified deficiencies, and commendable activities.

(2) Completion of the QASR is required on an annual basis at the end of each fiscal year for all facilities no later than October 15 of each year. Attach a copy of the last facility proficiency technical training report compiled per FAA Order 7210.56, paragraph 3-1-2.c.

(3) Additional QASR submissions may be required in accordance with paragraph 11.g.

(4) Facilities shall forward the completed QASR to the ATD via electronic means through AWP-505 (cc: Mail address is 9-AWP-505). When applicable, this report shall be forwarded through the Hub Facility first.

12. REGIONAL REPORTING REQUIREMENTS FOR OPERATIONAL OCCURRENCES.
Operational Error/Deviations.

a. Once the validity of an occurrence has been determined by facility supervisory personnel, in addition to the requirements for OE/D notification requirements contained in FAAO 7210.56, facility Management representatives shall adhere to the following procedures.

(1) Preliminary Notification:

(a) ensure the Facility Manager and Hub Manager are verbally advised as soon as possible. The facility ATM, or his/her designated management representative, is expected to be available to participate during preliminary OE/D notification to the ATD Manager and AAT-200.

(b) verbally notify the ATD via the AWP-505 duty specialist within 2 hours of the time the occurrence is first reported or suspected through the Regional Operations Center Duty Officer (RDO). This reporting deadline shall be accomplished regardless of any internal Hub or facility procedures (i.e. "Go Teams") and should include a completed FAA Form 7210-2, Preliminary OE/D Notification for ATD review.

(c) make any requests for additional time to complete the investigation or the necessary documentation prior to the 2-hour deadline and directly to the AWP-505 duty specialist via the RDO.

(2) After Preliminary Notification:

(a) as requested by the ATD, a conference with the AWP-505 staff will be accomplished prior to issuing recertification and remedial training plans or skill enhancement letters to involved air traffic specialists.

(b) as determined by the ATD, ATMs of facilities involved in an OE/D may be required to brief AWP-500 via an ATD call-in on the specifics and related issues of any operational occurrence. The Facility Manager may be required to present this briefing in person at the WP Regional Office.

(c) the facility shall coordinate with the AWP-505 staff within 3 administrative days of the occurrence to determine whether an ATD Call in Briefing will be required; and, if so, to schedule one. The OE/D Briefing shall normally take place within 7 calendar days of the operational occurrence. The following briefing procedures shall apply:

1 unless circumstances preclude and prior notification is made to the ATD, the Hub Manager, Facility Manager, Operations Manager, and the Supervisor in Charge at the time of the incident shall participate in the briefing.

2 ATMs shall ensure a completed WP ATD OE/D Briefing Worksheet (Appendix 5), a pictorial of the event if needed, the final written employee recertification plan, and any other supporting documentation/data requested, are submitted to the ATD, via the AWP-505 staff, at least 1 administrative day prior to the OE/D briefing.

b. Operational Condition (OPCON) Level. An OPCON Level is assigned to each AWP facility based on the rate of OE/D occurrence. Each OPCON level has incremental requirements for facility management actions.

(1) The OPCON rate is the rate of OE/D occurrences at an Air Traffic facility and is used to assign a corresponding OPCON Level to the facility. The OPCON level then mandates certain facility actions to address the causal factors present and reduce and/or eliminate these occurrences. OPCON rates are determined as follows:

(a) all facilities begin the FY with OPCON occurrence rate of zero (0) and a corresponding OPCON Level 1.

(b) facilities reporting an OE/D during the month of September shall meet OPCON level actions in submitting an Alert Bulletin and Action Plan.

(c) facilities operating five months without an operational occurrence shall revert to OPCON 1 level. Any future operational occurrences within the fiscal year will result in OPCON placement as identified below.

(d) for facilities with less than 210,000 operations in the previous FY, the occurrence rate is automatically assigned as follows:

1. one (1) occurrence per FY results in assignment of an OPCON 2 level.
2. two (2) occurrences per FY result in assignment of an OPCON 3 level.

(e) for facilities with 210,000 or more operations in the previous FY, the operational occurrence rate is determined by dividing the number of OE/D's for the current FY by the facility's total operations for the previous FY and then multiplying the product by 100,000.

Formula:
$$\frac{(\text{Number of facility OE/D's for the current FY})}{(\text{Total Facility Traffic Count from previous FY})} \times 100,000$$

(f) Automated Flight Service Stations (AFSS's) will be advised by AWP-505 of any changes to their OPCON level.

(2) OPCON Level Actions. The OPCON level determines required facility actions to address the causal factors present and reduce and/or eliminate OE/D's.

(a) OPCON Level 1: No Occurrences. The following actions shall be accomplished while at this OPCON level:

1. ATMs shall spend at least 10% of their workweek in the operational quarters, actively observing air traffic operations and the effectiveness of the management team.
2. annually, second-level facility managers and first-level supervisors shall meet to discuss operational expectations, requirements, and follow-up/corrective actions that will be taken to ensure that controller performance is in accordance with prescribed standards and procedures and that QA objectives are being met. First-level supervisors and team members shall then meet and continue the same discussion on operational expectations and actions.

3. a QASR shall be submitted to the ATD, through AWP-505, on an annual basis in accordance with paragraph 11.i. above.

(b) OPCON Level 2: Occurrence Rate of 0.01 to 0.480. The following actions shall be accomplished while at OPCON level 2:

1. ATMs shall spend at least 15% of their workweek in the operational quarters, actively observing air traffic operations and the effectiveness of the management team.

2. after each/any OE/D, the ATM shall ensure an Alert Bulletin containing the details of the occurrence is prepared (see Appendix 4) and an electronic copy forwarded to AWP-505 within 30 calendar days of the date the OE/D is reported. The bulletin shall include a description of the incident, an analysis of the event indicating the causal factors/controller actions or techniques that were determined to have led to the event, a synopsis of what should have occurred and/or the correct procedures, and a discussion on how to prevent the occurrence in the future and alternate techniques. All facility personnel must complete a briefing on the contents of the Alert Bulletin within 30 days of its completion.

3. within 30 calendar days after reaching OPCON 2, the ATM shall submit a written action plan to the ATD Manager. This plan should include the schedule of required activities, their expected completion dates, and any additional activities planned at the facility level. The ATM should provide the facility representative an opportunity to provide input. Where appropriate, the written report shall be forwarded through the Hub Manager. This briefing may be in person.

4. the following shall be accomplished within 90 calendar days after the occurrence causing OPCON 2 (in multiple-area facilities, actions may be limited to the "Area(s)" responsible for the change in the OPCON level):

aa. second-level facility managers and first-level supervisors shall meet to discuss operational expectations, requirements, and follow-up/corrective actions that will be taken to ensure that controller performance is in accordance with prescribed standards and procedures and that QA objectives are being met.

bb. first-level supervisors and team members shall meet and continue the same discussion on operational expectations and actions.

cc. a QASR shall be submitted to the ATD. Where appropriate, this report shall be forwarded through the Hub Manager. Additional QASR updates may be requested by the ATD.

5. at the discretion of the ATD, the facility may be required to utilize the OE/D Prevention QA Spot Check Form (Appendix 2) until their OPCON level and/or occurrence rate decreases.

(c) OPCODE Level 3: Occurrence Rate 0.481 and above. The following actions shall be accomplished while at OPCODE level 3:

1. ATMs shall spend at least 20% of their workweek in the operational quarters, actively observing air traffic operations and the effectiveness of the management team.

2. after each/any OE/D, the ATM shall ensure an Alert Bulletin containing the details of the occurrence is prepared (see Appendix 4). An electronic copy shall be forwarded to AWP-505 within 30 calendar days of the date the OE/D is reported. The bulletin shall include a description of the incident, an analysis of the event, including the causal factors/controller actions or techniques that were determined to have led to the event, a synopsis of what should have occurred and/or the correct procedures, and a discussion on how to prevent the occurrence in the future and alternate techniques. All facility personnel must complete a briefing on the contents of the Alert Bulletin within 30 days of its completion.

3. within 30 calendar days after reaching OPCODE 3, the ATM shall submit a revised written action plan to the ATD Manager. This plan should include the schedule of required activities, their expected completion dates, and any additional activities planned at the facility level. The ATM should provide the facility representative an opportunity to provide input. Where appropriate, the written report shall be forwarded through the Hub Manager. This briefing may be in person. Quarterly reports shall be submitted on activities identified in the action plan.

4. the following shall be accomplished within 90 calendar days after the occurrence causing OPCODE 3 (in multiple-area facilities, actions may be limited to the "Area(s)" responsible for the change in the OPCODE level):

aa. second-level facility managers and first-level supervisors shall meet to discuss operational expectations, requirements, and follow-up/corrective actions that will be taken to ensure that controller performance is in accordance with prescribed standards and procedures and that QA objectives are being met.

bb. first-level supervisors and team members shall meet and continue the same discussion on operational expectations and actions.

cc. AWP-505 will coordinate a schedule for QASR submission based on individual facility circumstances. Where appropriate, this report shall be forwarded through the Hub Manager.

5. the facility shall be required to utilize the OE/D Prevention QA Spot Check Form (Appendix 2) to focus efforts on the elimination of OE/D causal factors/trends and until their OPCODE level and/or occurrence rate decreases.

c. Final Reports.

(1) The ATM may elect to respond to written comments provided by the employee in Part II, Block 68, of the final OE/D report. As a minimum, the ATM shall make a statement in Part II, Block 68, that the written comments provided by the employee were taken into consideration prior to completion of the final report. The employee's comments shall be attached to the final OE/D report. Ensure a statement indicating whether the employee or union comments were received is included in Block 68.

(2) Forward a copy of the automated final OE/D report via cc:Mail to the AWP-505 Mailbox at '9-AWP-505'.

(3) The original copy shall contain the appropriate signatures and be maintained in the facility file, as required. The electronic copy will reflect the names of the signatories and dates signed.

(4) Any attachments to the final report that cannot be included via cc: Mail shall include the OE/D number in the upper right corner of each page and forwarded to the Manager, AWP-505 via facsimile or regular mail.

(5) When electronic means cannot be utilized, forward a copy of the final OE/D report to the Manager, AWP-505 via regular mail.

John Clancy
Manager, Air Traffic Division

**APPENDIX 1: DIRECTIONS FOR USE OF THE QA SPOT CHECK FORM
FOR EVALUATIONS ITEMS**

1. Obtain the checklist items pertaining to Operations that will be utilized by AAT-140 during facility evaluations.
2. Using page 2 (back) of the form, place one (or more as needed) of these AAT evaluation checklist items into the weekly schedule of Special Emphasis evaluation items ensuring that at least one item is covered each week.
3. On the front page of the form, also list all the Operational Problem Items (A, P, M, or H only) that were identified in the most recent Full or Follow-up facility evaluation.
4. The Operations Supervisor shall then conduct an Evaluation QA Spot Check by first checking the weekly facility Special Emphasis Item and then each of the evaluation problem items previously identified during facility evaluations. Any items observed shall be annotated as appropriate on the form.

PROCEDURE When required, each Operations Supervisor shall perform Evaluation QA spot-checks each week. Items that have been identified in evaluations are listed below. On the reverse side of this checklist are additional national evaluation checklist items to be checked during specific weeks of the year. Supervisors shall familiarize themselves with the individual references prior to administering spot checks. Completed spot check checklists shall be routed to the QA Support Specialist each week. On-the-spot corrections shall be made for performance deficiencies noted during the spot checks.

ITEMS TO BE REVIEWED DURING EACH SPOT CHECK

1. Weekly Special Emphasis Item (check back of form)

OPERATIONAL PROBLEM ('P') ITEMS FROM LAST FACILITY EVALUATION

2. _____

3. _____

4. _____

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10. _____

11. _____

12. _____

13. _____

14. _____

Problems Noted:

Commendable :

WEEK #	SPECIAL EMPHASIS EVALUATION ITEM(S) FROM AAT-100 CHECKLIST	DATES
1		
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6		
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**APPENDIX 2: DIRECTIONS FOR USE OF THE QA SPOT CHECK FORM
FOR OE/D CAUSAL FACTOR/TRENDS**

1. Utilize this form if required by facility OPCI level, or at the discretion of the ATD.
2. Obtain the OE/D causal factors from the NSEAI database.
3. Using page 2 (back) of the form, place one (or more) of the OE/D causal factors into the weekly schedule ensuring that at least one item is covered each week for 52 weeks and so the presence of all of the OE/D causal factors are scheduled at least once annually.
4. On the front page of the form, then list the causal factors and trends identified for all facility OE/D's (including Technical Violations) that have occurred in the previous 12 months.
5. The Operations Supervisor shall then conduct a QA Spot Check by first checking the weekly Special Emphasis Causal Factor and then each of the previously identified facility OE/D causal factors/trends. Any items observed shall be annotated appropriately on the form.

PROCEDURE Each Operations Supervisor shall perform QA spot checks for the presence of OE/D causal factors and trends each week. Items that have been identified from previous facility OE/D occurrences during the preceding 12 months are listed below. On the reverse side of this checklist are Special Emphasis OE/D causal factors from the national database to be checked during specific weeks of the year. Supervisors shall familiarize themselves with the individual references prior to administering spot checks. Completed spot check checklists shall be routed to the QA Support Specialist each week. On-the-spot corrections shall be made for performance deficiencies noted during the spot checks.

ITEMS TO BE REVIEWED DURING EACH SPOT CHECK

1. _____ Weekly Special Emphasis Causal Factor(s) (from list on back of form)

**CAUSAL FACTORS IDENTIFIED FROM OE/D's PREVIOUS 12 MONTHS
and/or
FACILITY IDENTIFIED OE/D TRENDS.**

2. _____

3. _____

4. _____

5. _____

6. _____

7. _____

8. _____

9. _____

10. _____

11. _____

12. _____

13. _____

Problems Noted:

Commendable :

Week #	OE/D CAUSAL FACTOR(S) FROM AAT-20 NATIONAL DATA BASE	Dates
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		
16		
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52		

APPENDIX 3: QA STATUS REPORT (QASR)

Facility:	Quarter/FY: /	OE/D Occurrence Rate:	OPCON Level:
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A. OPERATIONAL ERRORS/DEVIATIONS

Number of OEs: Number of ODs:

This Period:

Facility activities to prevent OE/D recurrence:

B. OPERATIONAL PERFORMANCE REVIEWS (OPR).

Number of PSCs Conducted:

Type and percentage of deficiencies and corrective actions:

Number of TMEs Conducted:

Type and percentage of deficiencies and corrective actions:

Annual Report: attach a copy of the facility's last proficiency technical training report.

D. COMMENDABLE ACTIVITIES.

Summary of acknowledged commendable activities and any other proactive measures.

APPENDIX 4. ALERT BULLETIN SAMPLEALERT BULLETIN

All reports are based on preliminary information and are being investigated by the appropriate authorities. Public availability to be determined under 5 U.S.C 552.

Distribution of this document is limited. Duplication, reproduction, or further distribution shall not be made unless approved by AAT-1 or AAT-20.

SUBJECT: Operational Error/Deviation XXX-X-01-E-0XX

FACILITY:

DATE OF OCCURRENCE:

TIME: LOCAL: 0000
UTC: 0000

ACFT ID/TYPE: Aircraft #1) NXXXX/type
Aircraft #2) XXX/type

LOCATION:

ALTITUDE:

WEATHER:

PROXIMITY: VERTICAL: / LATERAL:

TRAFFIC VOLUME:

SUMMARY:
(Summarize the event - be specific)

ADDITIONAL INFORMATION:

ANALYSIS.

DISCUSSION.
(Discuss what should have been done. Use pictorials as needed.)

NOTE: Supervisors are required to brief their teams on this Alert Bulletin and provide feedback to the QA Office.

APPENDIX 5. AWP OPERATIONAL ERROR/DEVIATION CALL-IN WORKSHEET

The following items shall be addressed specifically:

- A. Summary of events. Forward a pictorial depicting traffic movement.
- B. If the specialist(s) has/have been involved in an OE/D in the previous 2 ½ years, are there any similarities?
- C. What deficiencies were identified in this error?
- D. What does the trend analysis reveal?
- E. Were positions combined?

If yes, how were they combined?

- F. Was a Safety Alert or Traffic Advisory issued?
- G. Was TCAS a factor?

H. Staffing:

Shift Guidelines	Time of the Incident	Breaks/Details
OSIC	OSIC	OSIC
CPC	CPC	CPC
DEV/RADAR ASSOC.	DEV/RADAR ASSOC.	DEV/RADAR ASSOC.
OTHER	OTHER	OTHER

- I. Was the supervisor/CIC supervising the operation?

If yes, what was he/she doing?

J. Are OPR's current?

K. What were the results of the last Technical Training Discussion?

If deficiencies were identified, what were the issues and corrective action?

L. When did the controller(s) involved receive initial certification on the involved position(s)?

M. What were the target training hours allotted for the position(s) and how many hours did the controller(s) use this allotment?

N. Were any local procedures or facility directives not adhered to?

O. What is the "return to duty" plan?

P. Based on the identified deficiencies and trend analysis, what are the corrective and follow-up actions planned by the facility to prevent future occurrences? Include action due dates.

APPENDIX 6. OPCON LEVEL/ACTION CHART

<u>WP AT 7210.6C OPCON Requirements</u>			
	OPCON 1	OPCON 2	OPCON 3
Alert Bulletin	N/A	Within 30-calendar days of date OE/D is reported	
Action Plan	N/A	Within 30-calendar days after reaching OPCON 2	REVISED Action Plan within 30-calendar days after reaching OPCON 3 & submission of quarterly progress reports
QA Status Report	Annually	Within 90-calendar days after reaching OPCON 2 (additional updates may be requested)	Report submission will be based on individual facility circumstances and events
Managerial Involvement: Operational Expectations Discussions	Annually	Within 90-calendar days after reaching OPCON 2	Within 90-calendar days after reaching OPCON 3
ATM Time in Operational Quarters	At least 10% of workweek	At least 15% of workweek	At least 20% of workweek
OE/D Prevention QA Spot Check Form	May be used at ATM's discretion	May be required at ATD discretion	Required