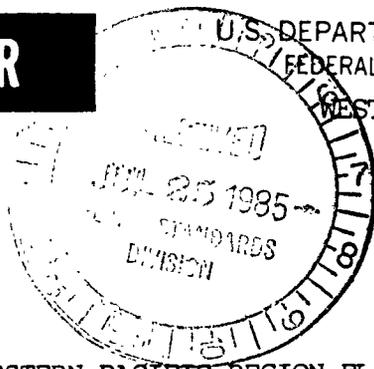


**ORDER**

U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION  
WESTERN-PACIFIC REGION

WP 2150.1B



7/19/85

SUBJ: WESTERN-PACIFIC REGION FLIGHT STANDARDS SPECIAL SAFETY INVESTIGATION

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1. PURPOSE. This order establishes procedures for Flight Standards Division, branch, staff, and field offices in the conduct of special safety investigations and follow-up actions.

2. DISTRIBUTION. This order is distributed to branch level and above, in the Flight Standards Division, and standard distribution to all Flight Standards field offices in the Western-Pacific Region.

3. CANCELLATION. WP 2150.1A, dated 5/21/84, is cancelled.

4. BACKGROUND. To clarify and revise the procedures as needed to support the enforcement program in FAA Order 2150.3 through special safety investigations.

5. PROCEDURES.

a. When unfavorable air carrier, air agency, or other certificate holder safety trend indicators require, the division, branch, staff, or field offices may request a special safety investigation.

b. Special safety investigation requests shall be made in writing to the Division Manager, AWP-200, in sufficient detail to identify the problems, subject, and scope of the requested investigation. In an emergency, request may be made orally. The Division Manager will approve or disapprove all special safety investigations.

c. Upon approval, the Situation Monitor Staff, AWP-205, will organize an investigation team consisting of personnel with appropriate technical expertise. The personnel will be furnished from elements of the division and/or other FAA elements, as outlined in Appendix A of this order.

d. The investigation, and associated enforcement investigative reports, will be in accordance with FAA Order 2150.3, Compliance and Enforcement Program.

e. Enforcement responsibilities will remain with the field office having jurisdiction unless otherwise authorized by the Division Manager.

f. The District Office Manager will designate a district office coordinator for each inspection. The district office coordinator will normally be the principal inspector holding responsibility for the particular certificate.

g. The Situation Monitor Staff, AWP-205, will prepare an action plan as needed to provide comprehensive instructions for the performance of each special safety investigation or evaluation. The plan will include emphasis areas and assign responsibility to each team member.

#### 6. PRE-INSPECTION RESPONSIBILITIES.

a. The inspection team will have free access to manuals, correspondence, and records pertaining to the operator, and any other appropriate data maintained by the district offices. All material and data pertinent to the inspection will be studied by the team members to acquaint them with the operator's policies, instructions, and procedures.

b. During the preliminary planning, the district office coordinator should inform the team leader of any areas that may require special attention.

c. The district office coordinator will inform the operator to be reviewed of the actual inspection dates, time, and the nature of the inspection approximately 15 days prior to the planned inspection. In the event of an emergency special inspection, the 15 day notice to the operator may not be possible.

d. The team leader will work directly with the district office coordinator when planning an inspection.

e. The team leader will brief the team members prior to the start of the inspection. This briefing should include the inspection plan and analytical techniques to be used, the specific areas to be assigned to each team member, team conduct and actions in working with the operator, and the estimated time to complete the inspection. This briefing should also include any special information available from other sources such as financial information and complaints.

f. The assigned district office coordinator shall arrange for and chair the initial meeting of the inspection team with the operator. The coordinator will explain the purpose and scope of the inspection. In cases where a problem area is suspected to exist, it should be frankly discussed with the operator. This straightforward approach will help to foster a feeling of mutual trust and respect that is beneficial. The operator will be advised that they will be informed of the team's findings at a meeting to be arranged by the district office, at the conclusion of the inspection. The operator should be advised that rumors relating to FAA findings while the inspection is in progress are not unusual and should be disregarded. Such rumors usually stem from the searching nature of questions posed by members of the team. The operator should be advised that items of a critical nature will be brought to their attention as soon as they are discovered.

#### 7. TEAM RESPONSIBILITIES.

a. All inspections will be accomplished and reported in accordance with the appropriate orders and directives for the specialty concerned.

b. The team members should make notes and references during the inspection. Although the primary purpose is to determine compliance with the regulations, it may be discovered that a problem area is caused by a management system deficiency. If possible, the system deficiency should be identified and documented.

c. In cases where noncompliance is found by the team, the team report will include sufficient evidence to support the findings. Special inspection teams do not process enforcement reports. The district office has the responsibility to determine whether a violation occurred and the course of enforcement action that is appropriate in accordance with order 1000.9D Enforcement Policy and order 2150.3 Compliance and Enforcement Program.

d. Team members should not confine their inquiries to any particular group of personnel or organizational level. It may be anticipated that supervisory personnel should be well versed in the policies, organization, and procedures governing the work functions for which they are responsible. However, they may be unaware of problem areas existing at lower echelons or short cuts taken at the working level that may adversely affect compliance with the regulations.

e. Team findings and conclusions may be discussed with the operator prior to team departure. However, any such discussion must take place with the team leader present. It is also essential that the discussion of problems or conclusions should be confined to the certificate holder's managerial personnel. The team leader should make sure the operator understands that the certificate holding district office has the final responsibility for acceptance of any corrective action taken by the operator. If a serious safety problem is disclosed during the inspection, the operator and the district office will be informed immediately by the team leader so that prompt corrective action can be taken.

#### 8. POST INSPECTION RESPONSIBILITIES.

a. The team leader will brief the district office coordinator prior to the time of the operator's formal debriefing.

b. The district office coordinator and the team leader will review the supporting documentation which may result in enforcement action.

c. Any questions regarding the items found during the inspection will be resolved before the operator is debriefed by the district office coordinator.

d. The team leader, and any team members he/she may select, will normally attend the operator debriefing.

e. The district office coordinator will establish a debriefing date with the operator, advise the team leader, arrange for any technical assistance needed, and chair the meeting. All items discussed at the meeting must be fully supported by facts acquired by the team. However, the operator should be given ample opportunity to present additional facts which they feel mitigate discrepancies found by the inspection team.

7/19/85

• REPORT.

a. The investigation team shall prepare a written report of the items found as a result of the investigation. The report will provide a explanation of any deficiencies in adequate detail to be readily understood by all who may be required to take corrective action. Where necessary to provide clarity, specific examples and evidence should be provided. The report shall provide sections on findings, discussions, recommended corrective action and conclusions. If appropriate, the report shall provide exhibits to support the recommendation /conclusion. The report will be prepared in accordance with the inspection action plan instructions as outlined in paragraph 5.g. of this order.

b. The original of the team report shall be forwarded to the AWP-200 within 15 working days after completion of the investigation. A copy shall be provided to the regional director and/or the appropriate Washington division upon request.

c. The responsible Branch/Staff and action office shall receive one copy of the report, after review and acceptance of the report by AWP-200, for accomplishment of the required corrective action.

d. In the event that the required corrective action is of an emergency nature, appropriate elements of the report will be sent to the appropriate office as the situation dictates.

10. CLOSEOUT REPORT.

a. The action office assigned to accomplish the corrective action will reply in writing to the findings and recommendations within 30 days of receipt of the report. The closeout report shall list each finding and describe action taken on each specific item. The status of each item shall also be included i.e., "Open or Closed". If corrective action cannot be initiated or accomplished within 30 days, a supplemental report shall be provided on a 30-day follow-up until all items are resolved. Items not resolved within 60 days will require justification in the follow-up report. The report shall be addressed to AWP-200 thru AWP-250.

b. All closeout reports will be reviewed by AWP-250/AWP-205. The Flight Standards Branch, AWP-250, will be responsible for final review of all closeout action taken to insure that such action conforms to acceptable FAA policy and procedures. Unresolved items will be decided by the Division Manager.

c. A memorandum accepting or rejecting the action taken in the closeout report will be sent to the action office by AWP-250.



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Manager, Flight Standards Division

APPENDIX 1TEAM MEMBER SELECTION, TRAINING AND BACKGROUND

1. It is well known that any indepth safety analysis investigation can be no better than the team that conducts the inspection. Therefore, it is imperative that a pool of competent and experienced inspectors of all specialties be maintained as an "immediate response" team. Membership on the team is voluntary. It is open to any inspector wanting the invaluable experience gained from participating in in-depth systemsworthiness evaluations.
2. Each field office manager shall select one operations and one airworthiness inspector as a primary nominee for this team. In addition, he/she shall select back-up nominees in the event the primary inspector is unavailable for a particular call.
3. The name, specialty, and professional qualifications of each nominee must be submitted to the Manager, Situation Monitor Staff, AWP-205, and the names kept current on an annual basis. Further, the office manager must notify each nominee, in writing, that he/she has been selected as a member of the immediate response team. This procedure is to simplify the task of assembling a special safety investigation team when needed, and to ensure that the team consists of competent willing members.
4. To qualify for nomination to the team, an inspector should have an extensive background in the inspection process. Experience in systemsworthiness inspections or participation in in-depth safety investigation normally qualifies an inspector for membership. Care should be taken however, to consider his/her performance on previous assignments before nominating a person for this critical mission.
5. If a field office has no qualified nominees, the office manager shall select suitable candidates for training. At the discretion of the Division Manager, one operations and/or one airworthiness inspector, from that list of candidates may be assigned to participate in an ongoing in-depth safety investigation for on-the-job training. Thus, the call-up pool will expand as more inspectors meet the selection criteria.
6. Those team candidates who have not previously participated in in-depth inspections must be provided proper training. In addition to the on-the-job training referred to above, the following courses should have been completed.
  - a. Evaluation of Aviation Management Systems, Course Number 22600.
  - b. Compliance and Enforcement, Course Number 12020.
7. In addition, each experienced member of the immediate response team should review this order prior to beginning a special safety investigation.