



U.S. Department
of Transportation
**Federal Aviation
Administration**

800 Independence Ave., S.W.
Washington, D.C. 20591

February 7, 2014

The Honorable Bill Shuster
Chairman, Committee on Transportation
and Infrastructure
House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

The Federal Aviation Administration's independent Office of Audit and Evaluation (AAE) is pleased to submit its second Annual Report to Congress as the "Aviation Safety Whistleblower Investigation Office" in fulfillment of the mission and statutory requirements, established by the FAA Modernization and Reform Act of 2012, Section 341.

Enclosed please find our report.

Identical letters have been sent to Chairman Rockefeller, Senator Thune, and Congressman Rahall.

Sincerely,

A handwritten signature in black ink, appearing to read "H. Clayton Foushee".

H. Clayton Foushee
Director, Office of Audit and Evaluation

Enclosure



U.S. Department
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**Federal Aviation
Administration**

800 Independence Ave., S.W.
Washington, D.C. 20591

February 7, 2014

The Honorable John D. Rockefeller, IV
Chairman, Committee on Commerce, Science
and Transportation
United States Senate
Washington, DC 20510

Dear Mr. Chairman:

The Federal Aviation Administration's independent Office of Audit and Evaluation (AAE) is pleased to submit its second Annual Report to Congress as the "Aviation Safety Whistleblower Investigation Office" in fulfillment of the mission and statutory requirements, established by the FAA Modernization and Reform Act of 2012, Section 341.

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Sincerely,

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H. Clayton Foushee
Director, Office of Audit and Evaluation

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February 7, 2014

The Honorable Nick J. Rahall, II
Committee on Transportation
and Infrastructure
House of Representatives
Washington, DC 20515

Dear Congressman Rahall:

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February 7, 2014

The Honorable John Thune
Committee on Commerce, Science
and Transportation
United States Senate
Washington, DC 20510

Dear Senator Thune:

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U.S. Department of Transportation
Federal Aviation Administration

Office of Audit and Evaluation
Annual Report to Congress Fiscal Year 2013



Required by Public Law 112-95, Sec. 341

October 1, 2013

Executive Summary

The Federal Aviation Administration (FAA), Office of Audit and Evaluation (AAE) is pleased to submit its second Annual Report to Congress for the “Aviation Safety Whistleblower Investigation Office” in fulfillment of the mission and statutory requirements established by the FAA Modernization and Reform Act of 2012 (Public Law 112-95, Sec. 341).

This report summarizes work that AAE either initiated or completed on a number of critical aviation safety activities in support of the FAA’s continuing mission to provide the safest, most efficient aerospace system in the world. In addition to conducting investigations under Public Law 112-95, Sec. 341, we perform many other important safety-related investigations and safety oversight activities.

During this reporting period, our office investigated or oversaw disclosures pertaining to nearly every FAA organizational entity. Many of the allegations contained in these disclosures identified programmatic or operational deficiencies that could have directly impacted safety. In many cases, these allegations were substantiated by our investigations and our recommendations resulted in policy changes and the implementation of noteworthy corrective actions by the agency. We are grateful for the strong commitment to aviation safety displayed both by those who filed reports with our office, as well as our partnerships with a cadre of FAA professionals providing their subject matter expertise.

We are appreciative of the support that we have received from senior officials throughout the FAA, from the Department of Transportation, Office of Inspector General (OIG), the U.S. Office of Special Counsel (OSC), the U.S. Government Accountability Office (GAO), and from Members of Congress and their staffs during this reporting period. We are gratified by the overall level of receptiveness we have received in response to our recommendations for improving FAA operations and safety. We look forward to further enhancing our capabilities to carry out this important mission in the coming years.

Background

On February 14, 2012, Public Law (P.L.) 112-95 was enacted, and Section 341 requires that the FAA formally establish an “Aviation Safety Whistleblower Investigation Office,” headed by a Director who is appointed by the Secretary of Transportation to a five-year term. On September 11, 2012, H. Clayton Foushee was appointed by Secretary Ray LaHood to the position and is a direct report to the FAA Administrator.

The primary responsibility of the office under the statute is to receive and investigate safety disclosures submitted by FAA employees, as well as by employees of aviation companies certified under Title 14, Code of Federal Regulations (CFR). We evaluate these disclosures for violations of orders, policies, regulations, or any other provisions of federal law related to aviation safety.

AAE collaborates with all major entities within the FAA, including the safety offices of each FAA operational organization (e.g. Aircraft Certification Service, Air Traffic Organization, Office of Airports, the Flight Standards Service, etc.), as well as other FAA organizations

such as Human Resource Management, and the Office of Security and Hazardous Materials Safety. This process avoids the duplication of effort and enables the agency to share resources in fulfillment of our mission objectives of whistleblower protection, aviation safety, audit liaison, policy compliance, and oversight.

AAE has quickly evolved into an effective organization, which seeks to objectively address and resolve safety-related whistleblower disclosures and to proactively resolve system and process conflicts before they escalate into significant safety issues. The visibility and accomplishments of AAE have generated a critical awareness and widespread recognition among FAA employees that they can bring sensitive disclosures to an impartial and fair internal FAA organization, have them objectively evaluated, and have every expectation that they will be protected against retaliation. Our ability to accomplish this function demonstrates FAA's commitment to developing and maintaining a strong internal safety culture which is firmly anchored in a robust, responsive, and formalized process for addressing safety issues raised by employees, and protecting employees who report perceived, legitimate safety concerns.

Significant Activity October 1, 2012 – September 30, 2013

Safety Oversight, Investigations and Whistleblower Protection

The FAA's Aviation Safety Whistleblower Investigation Program receives and manages safety disclosures from FAA and aviation industry employees under P.L. 112-95, Sec. 341. Additionally, AAE receives disclosures from aviation industry employees including: individuals holding certificates under Title 14, Code of Federal Regulations; and air carriers, their contractors or sub-contractors as outlined under 49 U.S.C § 42121, "Wendell H. Ford Aviation Investment and Reform Act for the 21st Century," (AIR 21)¹.

An initial assessment is conducted of each complaint of the information submitted by the discloser to determine whether a substantial likelihood exists that a violation of an order, a regulation, or any other provision of federal law relating to aviation safety may have occurred. Disclosures meeting these criteria are investigated either by AAE investigators, or by, or in coordination with, other FAA subject matter experts. All investigations receive extensive AAE oversight.

Once an investigation is completed, an independent report of investigation is prepared that outlines the findings. This report is provided to the Administrator and/or the affected FAA organization (e.g. Flight Standards Service, Aircraft Certification, Air Traffic Organization, Airports, etc.) for corrective action, as recommended. Depending upon the nature of the investigative findings, AAE makes recommendations for corrective actions when required. In response, the Administrator and/or affected FAA organization provides a formal response to the recommendations to include any corrective actions implemented or planned. Although, the ultimate responsibility for implementing a corrective action plan falls upon the appropriate FAA

¹ Under AIR 21, the Occupational Safety and Health Administration (OSHA) is responsible for investigations of alleged reprisal or discrimination for reporting aviation safety-related violations filed by employees of air carriers or their contractors or subcontractors. FAA is responsible for investigation of the initial safety-related disclosure(s) that led to the alleged reprisal. Although the investigations are conducted separately, OSHA and the FAA closely coordinate their activities.

functional organization, AAE monitors those corrective actions made as a result of our findings to ensure that they are implemented and evaluates their effectiveness.

During this reporting period, AAE initiated a number of detailed investigations based upon disclosures of regulatory non-compliance, policy violations, deficiencies in management oversight of safety programs, retaliation for whistleblower disclosures, improper discipline, and job restrictions.

Appendix A contains a complete summary of FY 2013 P.L. 112-95 § 341 disclosures made by FAA employees, and includes safety disclosures made by FAA employees referred for investigation by the Department of Transportation, Office of Inspector General (OIG), and the U.S. Office of Special Counsel (OSC). Appendix B contains a summary of disclosures made by aviation industry employees accepted under the “Wendell H. Ford Aviation Investment and Reform Act for the 21st Century (AIR 21) whistleblower program.

Examples of the work completed in FY 2013

- *Drug Abatement Division Program Deficiencies*

On December 17, 2012, AAE issued a report of investigation based upon a disclosure made by several drug abatement investigators. The investigators alleged that FAA policy, guidance, or regulations related to the management and operation of the Drug Abatement Program were not followed. Of the ten allegations, AAE substantiated two allegations, and partially substantiated two others. The investigation found that regulatory non-compliance was not processed in accordance with the FAA’s enforcement policy and procedures. AAE made four recommendations to the Administrator and the Office of Aerospace Medicine either fully- or partially-concurred with all of the recommendations. All corrective actions have been completed.

- *Contractor violations of safety standards*

On April 22, 2013, AAE issued a report of investigation based upon a disclosure made by an engineering technician in December 2013, via the U.S. Office of Special Counsel (OSC). In January 2013, the Secretary of Transportation directed AAE to investigate four of the five allegations contained in the disclosure. The complainant identified four primary allegations, which detailed 28 specific contractor violations of existing safety codes, non-conformance or non-compliance with FAA standards and specifications related to safety standards, and failures by FAA management to address and correct the safety and non-compliance issues that the technician raised and elevated to management attention.

The investigation substantiated one allegation and partially substantiated two other allegations related to non-compliance with FAA standards. We found that a lack of program integration in an FAA program office led to flaws in FAA’s processes that were responsible for these violations of policy. These instances of non-compliance with policy could have had negative consequences on both the safety and reliability of the National Airspace System (NAS). We made nine recommendations, and in response, the ATO committed to several corrective actions, most of which are complete. Surveillance of the non-compliant facilities will continue into FY 2014. Our report was transmitted to OSC in

early May, 2013. While AAE has not received any additional requests for information from OSC, the case is still open pending completion of OSC's sufficiency review.

- *Air Carrier Oversight Deficiencies*

On January 28, 2013, AAE issued a report of investigation based upon a disclosure made by two FAA aviation safety inspectors. The inspectors alleged that FAA policy, guidance, or regulations were not routinely followed by an FAA Certificate Holder District Office (CHDO) in its oversight of a regional air carrier's operations and aircrew qualifications. AAE's investigation substantiated or partially substantiated 18 of the 25 specific allegations, finding significant deficiencies with the CHDO's air carrier oversight responsibilities. AAE made 13 recommendations for corrective action to the Administrator and the Associate Administrator for Aviation Safety. A corrective action plan is under development.

- *Safety Communication Deficiencies*

On May 21, 2013, AAE issued a report of investigation to the Air Traffic Organization (ATO) for development of a corrective action plan, based upon a disclosure made by an ATO employee. The discloser alleged deficiencies pertaining to FAA's quality assurance, program and performance management of the Notice to Airmen (NOTAM) system. The investigation substantiated 9 of the 11 allegations and partially substantiated one allegation. A comprehensive corrective action plan, impacting multiple divisions across the FAA has been developed and is awaiting final approval.

- *Radar Outages*

On August 30, 2013, AAE issued a report of investigation based upon a disclosure made by an air traffic controller on June 18, 2013, via the OIG. The controller alleged that controllers at the air traffic tower had reported "years of ongoing sporadic losses" of aircraft radar targets for extended periods of time. During these reported outages, other facilities utilizing the same equipment did not experience the same losses of radar targets. The controller also expressed frustration that FAA management officials have known about the issue for some time, and that no fix has been planned.

The investigation fully substantiated the radar outages, including an instance while investigators were onsite. The investigation found that FAA personnel have tried to identify and repair the source of the outage; however, they have been unsuccessful. Further, it appears that efforts to correct these reoccurring outages were inadvertently discontinued, in part because of multiple FAA reorganizations, restructurings, and personnel changes over the past several years. The team was unable to identify a single individual who possessed a comprehensive understanding of the depth and breadth of the problem, or was familiar with the previous efforts to correct the outages. In response to our investigation, senior officials within the ATO have implemented a series of immediate efforts to identify and remedy the situation. AAE will continue to receive updates on the status of these corrective measures and monitor the efforts until the outage problem cause is identified and corrected.

- *Certificate Management Office Deficiencies*

On August 20, 2013, AAE issued a report of investigation based upon a disclosure made by an FAA employee, who requested confidentiality. The employee alleged that a Certificate Management Office (CMO) was understaffed, and personnel had limited experience with repair station, regulatory oversight. AAE investigated three allegations, of which two were partially substantiated. The investigation found that regulatory non-compliance was not processed in accordance with FAA’s enforcement policy and procedures. AAE made two recommendations to the Administrator and the Associate Administrator for Aviation Safety. A corrective action plan is under development.

Summary of Disclosures Submitted to AAE in Fiscal Year 2013	
Total Submissions	196
<i>Disclosures requiring further investigation</i>	132
Regulatory Compliance – 100	
Air Traffic Control and Equipment – 23	
Medical Qualifications – 6	
Hazardous Materials & Security – 1	
Airports – 2	
<i>Disclosures that did not require further investigation¹</i>	64
Investigations Completed, Report Issued²	78
Report Completed, Undergoing Review	16
Report Issued, Awaiting Corrective Action	9
Investigations Closed ²	60
<small>¹ Further investigation not required because complaint was: duplicate, previously investigated, or referred outside FAA.</small>	
<small>² There were seven cases closed for which the investigation and report were completed in FY 2012 but not closed until FY 2013 due to the corrective action required. This accounts for the discrepancy between the Investigations completed and the remaining categories.</small>	

Source of Complaints Referred for Further Investigation	
FAA Employees¹	24
Aviation Safety – 9	
Air Traffic Organization – 15	
Commercial Space – 1	
Aviation Industry Employees	96
Pilots – 35	
Mechanics or Repairmen – 21	
Flight Attendants – 13	
Manufacturers – 8	
Others ² – 19	
<small>¹Two contributors submitted multiple unrelated complaints. Each contributor was counted as one employee.</small>	
<small>²Includes: Gate agents; cargo, aircraft or ground handlers; trainers; dispatchers; fuel farms, etc.</small>	

OIG and GAO Audits

AAE serves as FAA’s primary interface to, and maintains a continuous liaison for audits and recommendations on aviation matters conducted by the GAO and the OIG. AAE is also the final approval authority within FAA for the agency’s formal response to external audits. AAE reviews the sufficiency and responsiveness of draft FAA responses to these external audits and monitors the implementation of corrective action commitments by FAA organizations in response to these external audits.

OIG and GAO Audit Activity in FY 2013	
Audit Reviews Initiated	49
Audit Reports Reviewed and Responses Drafted	29
Audit Recommendations Resulting from Completed Audits	117
Recommendations Resolved Based Upon FAA Responses	72

Hotline Operations

AAE hotline staff screened contacts from the public and FAA employees via mail, telephone, fax and email. Based upon these contacts, we opened 1038 hotline complaints, which were referred to the FAA organizations for investigation and response.

Summary of Hotline Activity in FY 2013	
Hotline Contacts (calls, emails, letters, etc. from all sources including referrals from OIG and GAO.)	3677
Number of FAA Hotlines Closed Through Internal Handling and Investigation ¹	3208
Number of FAA Hotlines Referred for Investigation	1038
¹ Hotlines closed include hotlines opened in prior fiscal years, information requests and those closed due to insufficient information.	

Appendix A: FAA Employee Whistleblower Investigations

TRACKING NUMBER: AAE-2013-SP1700-P	<i>Date Opened:</i> October 1, 2012
<i>Allegation(s):</i> An air traffic controller alleged that a large air traffic control tower improperly certified controllers on a specific position without adequate training and resulted in confusion by controllers on what to do when assigned to work the position.	
<i>Finding(s) & Recommendation(s):</i> Our November 29, 2012, Report of Investigation (ROI) unsubstantiated two allegations. No recommendations were made.	
<i>Status:</i> Closed	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE10-12-0024(A)	<i>Date Opened:</i> October 3, 2012
<i>Allegation(s):</i> An aviation safety inspector alleged that the Flight Standards Service oversight program, currently under development, was mismanaged and not a comprehensive safety system.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5), Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1100-P	<i>Date Opened:</i> October 4, 2012
<i>Allegation(s):</i> A controller alleged that an air traffic tower failed to follow FAA Orders by not having two required supervisors present in the tower at all times to monitor operations while Air Force Two was in its airspace.	
<i>Finding(s) & Recommendation(s):</i> Our November 29, 2012, ROI did not substantiate the allegation. No recommendations made.	
<i>Status:</i> Closed	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1101-P	<i>Date Opened:</i> October 9, 2012
<i>Allegation(s):</i> An Air Route Traffic Control Center (ARTCC) supervisor alleged facility-wide non-compliance and lack of management action to address safety and security concerns, which result in repeated violations of FAA orders and policy.	
<i>Finding(s) & Recommendation(s):</i> Our March 18, 2013, ROI substantiated five allegations, and partially substantiated two others. All six of our recommendations for corrective action were fully implemented by July 8, 2013.	
<i>Status:</i> Closed	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE10-12-0025	<i>Date Opened:</i> October 15, 2012
<i>Allegation(s):</i> An inspector received disciplinary action for providing derogatory information to the Office of Inspector General during an ongoing audit of a safety-related program.	
<i>Finding(s) & Recommendation(s):</i> Our September 19, 2013, ROI substantiated the allegation, five recommendations were made to the Flight Standards Service and Human Resources, and include personnel actions, changes to policies, and proactive measures to heighten awareness on the handling of OIG inquiries.	
<i>Status:</i> Open, Corrective Action Plan pending.	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1102-P	<i>Date Opened:</i> October 17, 2012
<i>Allegation(s):</i> A controller alleged the cover-up of operational errors and non-compliance with air traffic control orders and FAA policy at a California Terminal Radar Approach Control (TRACON).	
<i>Finding(s) & Recommendation(s):</i> Our November 29, 2012, ROI did not substantiate four allegations. No recommendations were made.	
<i>Status:</i> Closed	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-10-12-0024(B)	<i>Date Opened:</i> November 10, 2012
<i>Allegation(s):</i> An inspector alleged FAA orders and policies were not followed regarding regulatory non-conformance by an on-demand air carrier.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> Yes, issued June 6, 2013	

TRACKING NUMBER: IWB13-801	<i>Date Opened:</i> November 20, 2012
<i>Allegation(s):</i> An air traffic employee alleged FAA order and policies were not followed when addressing a significant air traffic incident. In addition, funding challenges diminished outreach by FAA’s runway safety office. Also, an air traffic data analysis and reporting system was deployed without adequate training.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1103-P	<i>Date Opened:</i> December 10, 2012
<i>Allegation(s):</i> An FAA engineering technician alleged lack of FAA oversight of contractor compliance with OSHA requirements and FAA standards related to the installation and maintenance of a generator at a remote Alaska facility.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1104-P	<i>Date Opened:</i> December 12, 2012
<i>Allegation(s):</i> An anonymous FAA employee alleged that a large Terminal Radar Approach Control (TRACON)'s manager made changes to a specific airspace design after the design document was approved via the Safety Risk Management (SRM) process; and that unnamed employees fabricate the steps taken to evaluate risk to airspace changes during the SRM process.	
<i>Finding(s) & Recommendation(s):</i> Our March 11, 2013, ROI did not substantiate the allegations. No recommendations made.	
<i>Status:</i> Closed	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1106-P	<i>Date Opened:</i> December 12, 2012
<i>Allegation(s):</i> A controller raised concerns regarding a fire life safety report which identified 80 safety deficiencies in a contractor's performance at an air traffic control tower.	
<i>Finding(s) & Recommendation(s):</i> Our March 28, 2013, ROI substantiated the allegation, and a Corrective Action Plan was initiated. AAE is awaiting completion of the safety deficiencies, which are being corrected based on the highest risk.	
<i>Status:</i> Open, pending completion of the Corrective Action Plan.	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: DI-12-2447	<i>Date Opened:</i> December 20, 2012
<i>Allegation(s):</i> The U.S. Office of Special Counsel (OSC) referred allegations from an FAA engineering technician contractors hired to perform installation and repair of FAA air traffic equipment fail to perform the work in accordance with industry codes, FAA Standards, and OSHA safety requirements.	
<i>Finding(s) & Recommendation(s):</i> Our April 22, 2013 ROI substantiated one allegation and partially substantiated the other three allegations. A Corrective Action Plan was implemented on May 1, 2013, and is ongoing.	
<i>Status:</i> Open, under sufficiency review at OSC.	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: IWB13-802	<i>Date Opened:</i> December 26, 2012
<i>Allegation(s):</i> An inspector alleged FAA orders and policies were not followed when granting Flight Standards Service (AFS) related regulatory deviations. Safety Issues Reporting System complaints were not handled in accordance with Quality Management System processes and an employee was retaliated for filing two reports.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1107-P	<i>Date Opened:</i> January 7, 2013
<i>Allegation(s):</i> An FAA employee alleged safety and management deficiencies pertaining to FAA's quality assurance, program and performance management of the Notice to Airmen (NOTAM) system.	
<i>Finding(s) & Recommendation(s):</i> Our June 30, 2013, ROI substantiated nine of the 11 allegations and partially substantiated one allegation.	
<i>Status:</i> Open, a Corrective Action Plan was approved and is being implemented. The plan affects multiple program offices in both the Air Traffic Organization (ATO) and Aviation Safety (AVS).	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: IWB13-803	<i>Date Opened:</i> February 13, 2013
<i>Allegation(s):</i> An inspector who made a safety-related disclosure to AAE under Public Law 112-95, § 341, claimed retaliation as a result of the disclosure. The disclosures made by the inspector were mostly substantiated in January 2013, by AAE.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: IWB13-804	<i>Date Opened:</i> February 13, 2013
<i>Allegation(s):</i> An inspector who made a safety-related disclosure to AAE under Public Law 112-95, § 341, claimed retaliation as a result of the disclosures. The disclosures made by the inspector were mostly substantiated in January 2013, by AAE.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1108-P	<i>Date Opened:</i> February 21, 2013
<i>Allegation(s):</i> An FAA technician alleged numerous examples of improper equipment maintenance, falsification of log entries, mismanagement, lack of proper tools and poor policy at a Systems Service Center (SSC).	
<i>Finding(s) & Recommendation(s):</i> Our March 7, 2013 and June 12, 2013, ROIs substantiated two allegations, finding 15 issues, one critical - related to certification parameters of equipment used by the technicians to maintain air traffic equipment, and problems with documentation. Immediate corrective action was taken.	
<i>Status:</i> Closed	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: IWB13-805	<i>Date Opened:</i> March 7, 2013
<i>Allegation(s):</i> A Flight Standards Service manager who made a safety-related disclosure to AAE under Public Law 112-95, § 341, claimed retaliation as a result of the disclosures.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1110-P	<i>Date Opened:</i> March 14, 2013
<i>Allegation(s):</i> A technician provided a white paper prepared by a contractor citing numerous deficiencies in FAA compliance with OSHA regulations, citing concerns that FAA has endangered its workforce across the NAS by failing to act on the paper's conclusion(s).	
<i>Finding(s) & Recommendation(s):</i> Our August 30, 2013, ROI substantiated the allegation. No recommendation was made as corrective actions were implemented prior to completion of the ROI.	
<i>Status:</i> Closed	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1111-P	<i>Date Opened:</i> March 14, 2013
<i>Allegation(s):</i> An engineering technician alleged the FAA was aware it was not in compliance with OSHA requirements related to: fire and life safety; electrical wiring and grounding at air traffic towers and equipment centers; improper maintenance of fuel tanks; and improper handling of power cables by FAA technicians and engineering staff and contractors.	
<i>Finding(s) & Recommendation(s):</i> Our August 29, 2013, ROI substantiated the allegations. No recommendations were made as corrective actions were identified and briefed to Secretary Foxx by ATO officials on August 15, 2013.	
<i>Status:</i> Closed	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1112-P	<i>Date Opened:</i> March 22, 2013
<i>Allegation(s):</i> A technician raised safety concerns regarding FAA's lack of specific guidance for the installation of specific air traffic equipment at new and existing facilities, resulting in consistent practices and incorrect installation by contractors.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1113-P	<i>Date Opened:</i> March 26, 2013
<i>Allegation(s):</i> An engineering technician air traffic employee alleged waste of funds, failure by a contractor to comply with a contract statement of work, and concerns that FAA officials failed to correct safety and noncompliance with OSHA requirements related to a contractor's installation of an uninterrupted power supply at a NEXRAD facility after it was identified.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1114-P	<i>Date Opened:</i> March 26, 2013
<i>Allegation(s):</i> An engineering technician alleged FAA officials failed to address unsafe workmanship including improper handling of asbestos, lack of personal protective equipment and failure by FAA and contractor personnel to follow FAA standards pertaining to electrical safety requirements at a work site housing an FAA long range radar.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1116-P	<i>Date Opened:</i> March 27, 2013
<i>Allegation(s):</i> An engineering technician alleged that since 2010, FAA management has not corrected a failing and corroded transformer and associated components at an FAA radar facility, despite knowledge that such condition could result in failure of the equipment and an impact to the NAS.	
<i>Finding(s) & Recommendation(s):</i> Our July 25, 2013, ROI did not substantiated the allegations. The transformer was replaced in 2012.	
<i>Status:</i> Closed	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1118-P	<i>Date Opened:</i> April 1, 2013
<i>Allegation(s):</i> A technician alleged improper safety practices, lack of training, lack of reporting of system outages at a Systems Operation Center.	
<i>Finding(s) & Recommendation(s):</i> Our June 4, 2013, ROI substantiated one allegation pertaining to training failures. Training was immediately initiated.	
<i>Status:</i> Closed	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1120-P	<i>Date Opened:</i> April 11, 2013
<i>Allegation(s):</i> A technician alleged FAA’s Academy training course on the installation and repair of a new air traffic system (containing hardware and software) was insufficient, resulting in the technicians’ inability to properly troubleshoot, maintain and repair the new automation system. The technician also alleged their air traffic facility does not have facility specific documentation and drawings showing the configuration of the newly installed automation equipment, leaving the technicians no useable reference documents for research, troubleshooting and repair.	
<i>Finding(s) & Recommendation(s):</i> Our June 26, 2013, ROI substantiated one allegation.	
<i>Status:</i> Open, Corrective Action Plan pending.	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1121-P	<i>Date Opened:</i> April 15, 2013
<i>Allegation(s):</i> A technician alleged that improper cables are being installed at a new air traffic control tower which could result in fires, or failure of air traffic control equipment.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: IWB13-809	<i>Date Opened:</i> May 2, 2013
<i>Allegation(s):</i> An inspector alleged that FAA orders and policies were not followed to address non-compliance by an avionics manufacturer that produced, sold and repaired air traffic related equipment for general aviation aircraft, without FAA production or repair approval.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open, Conducting Assessment of Allegations	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> Yes, May 3, 2013	

TRACKING NUMBER: 201305290002	<i>Date Opened:</i> May 30, 2013
<i>Allegation(s):</i> A controller alleged that a large ARTCC improperly assumed a sector of airspace normally controlled by a U.S. Air Force base, resulting in confusion and “a very unsafe situation.”	
<i>Finding(s) & Recommendation(s):</i> Our June 27, 2013, ROI did not substantiate the allegation.	
<i>Status:</i> Closed	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: IWB13-806	<i>Date Opened:</i> June 5, 2013
<i>Allegation(s):</i> An inspector alleged that FAA orders and policies were not followed related to aviation safety inspector training and qualifications, safety oversight and management effectiveness.	
<i>Finding(s) & Recommendation(s):</i> Our August 23, 2013, ROI substantiated two of seven allegations related to management’s oversight effectiveness and duties performed by inspectors for which they were not qualified. The ROI is pending review and issuance of recommendations.	
<i>Status:</i> Open, Report of Investigation being reviewed by AAE for sufficiency.	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: H13Z003CC	<i>Date Opened:</i> June 21, 2013
<i>Allegation(s):</i> The Department of Transportation Office of Inspector General (DOT OIG) referred a complaint from an air traffic tower controller who reported “years of ongoing sporadic losses” of aircraft radar targets for extended periods of time. During these reported outages, other facilities utilizing the same equipment did not experience the same loss of radar targets. The complainant also expressed frustration that FAA management officials have known about the issue for some time, but no fix has been planned	
<i>Finding(s) & Recommendation(s):</i> Our August 30, 2013, ROI substantiated the allegation and corrective actions are ongoing.	
<i>Status:</i> Open, Correction Action Plan pending.	

TRACKING NUMBER: H13Z005CC	<i>Date Opened:</i> July 10, 2013
<i>Allegation(s):</i> The DOT OIG referred a complaint from a retired federal employee alleging that the air pressure sensor belonging to another Department but used by FAA for the Automated Surface Observing System (ASOS) was improperly vented, increasing risk that pilots arriving at the airport would receive erroneous weather information, which would increase risk, especially during times of rapid weather changes.	
<i>Finding(s) & Recommendation(s):</i> Our August 26, 2013, ROI substantiated the allegation and corrective action was made August 28, 2013.	
<i>Status:</i> Closed	

TRACKING NUMBER: IWB13-807	<i>Date Opened:</i> July 18, 2013
<i>Allegation(s):</i> An inspector alleged that FAA orders, policies and guidance were not followed when authorizing the use of use of an electronic display system for use by an air carrier.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1132-P	<i>Date Opened:</i> August 15, 2013
<i>Allegation(s):</i> An air traffic technician employee alleged poor safety conditions at a System Support Center (SSC), including incomplete maintenance routine, failure to perform preventative maintenance, resulting in air traffic equipment failure, and unqualified technicians repairing air traffic equipment.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: AAE-2013-SP1131-P	<i>Date Opened:</i> September 4, 2013
<i>Allegation(s):</i> An FAA employee alleged management disregards FAA’s rules and requirements in a rush to award commercial space permits.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

TRACKING NUMBER: IWB13-808	<i>Date Opened:</i> September 20, 2013
<i>Allegation(s):</i> An inspector alleged FAA orders, policy and guidance were not followed when processing voluntary disclosures filed by an air carrier.	
<i>Finding(s) & Recommendation(s):</i> N/A	
<i>Status:</i> Open investigation	
<i>Notification Under 112-95, §341(5) –Incident Reports:</i> No – N/A	

Appendix B: Aviation Industry Whistleblower Investigations

Tracking Number: EWB13501	<i>Date:</i> 10/2/12
<i>Allegation(s):</i> Air Carrier mechanic reported maintenance and inspection deficiencies.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13502	<i>Date:</i> 10/3/12
<i>Allegation(s):</i> Air Carrier pilot reported assault by another flight crewmember, and check ride bias including documentation falsification.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13512	<i>Date:</i> 10/18/12
<i>Allegation(s):</i> Air Carrier pilot reported international operations were not being conducted in accordance with the company operations manual.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegations were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13513	<i>Date:</i> 10/22/12
<i>Allegation(s):</i> Air Carrier ground crew reported ground handling personnel are not properly trained or supervised.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegations were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13514	Date: 10/24/12
<i>Allegation(s):</i> Air Carrier flight attendant disclosed being terminated for reported damage to an entry door to the flight crew.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13517	<i>Date:</i> 11/1/12
<i>Allegation(s):</i> Air Carrier gate agent reported inaccurate passenger manifests.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegations were not substantiated.	

Tracking Number: EWB13518	<i>Date:</i> 11/9/12
<i>Allegation(s):</i> Air Carrier flight attendant reported pressure by company for crews to fly aircraft with open maintenance discrepancies and other regulatory noncompliance issues.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegations were not substantiated.	

Tracking Number: WB13520	<i>Date:</i> 11/19/12
<i>Allegation(s):</i> Air Carrier flight attendant reported training inconsistencies to include improperly certifying trainees, differences between operations and training procedures, and new hires observed sleeping through training.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13521	<i>Date:</i> 11/20/12
<i>Allegation(s):</i> Air Carrier pilot reported lack of maintenance, aircraft operating without proper records, pressure for pilots to defer documenting maintenance discrepancies until arrival at a maintenance base, ignoring regulatory flight crew rest requirements, using flight crew members to perform maintenance.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13522	<i>Date:</i> 11/20/12
<i>Allegation(s):</i> Repair Station mechanic reported improper maintenance and documentation along with lack of supervision of work performed.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Allegations were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13523	<i>Date:</i> 11/23/12
<i>Allegation(s):</i> Air Carrier pilot reported falsification of training records, drug/alcohol issues, flight duty-time noncompliance.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service and Office of Aerospace Medicine for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13524	<i>Date:</i> 11/23/12
<i>Allegation(s):</i> Air Carrier pilot reported incomplete and fraudulent training documentation.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13527	<i>Date:</i> 11/23/12
<i>Allegation(s):</i> Air Carrier pilot reports falsification of check rides and accomplishment of training activities.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13529	<i>Date:</i> 11/28/12
<i>Allegation(s):</i> Air Carrier mechanic reported use of unapproved parts, unairworthy operations, lack of documentation of maintenance discrepancies, and lack of aircraft-specific training.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13532	<i>Date:</i> 12/2/12
<i>Allegation(s):</i> Air Carrier pilot reported regulatory violations of flight and duty rest limitations along with inadequate training.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13533	<i>Date:</i> 12/8/13
<i>Allegation(s):</i> Air Carrier pilot reported issues with operations and maintenance in Afghanistan during international operations.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13534	<i>Date:</i> 12/12/12
<i>Allegation(s):</i> Air Carrier pilot reported numerous violations related to maintenance, and flight/duty/rest time limitations.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13535	<i>Date:</i> 12/12/12
<i>Allegation(s):</i> Air Carrier pilot reported improperly qualified trainers.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13537	<i>Date:</i> 1/10/13
<i>Allegation(s):</i> Air Carrier employee reported inadequate training and falsification of training records.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13538	<i>Date:</i> 1/11/13
<i>Allegation(s):</i> Air Carrier pilot reported inappropriate transport of aircraft parts, deficiencies in the approved Aviation Safety Action Program, and lack of FAA oversight.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13542	<i>Date:</i> 1/14/13
<i>Allegation(s):</i> Air Carrier pilot was terminated for turning back to the airfield after low oil pressure indication. Pilot reported this event through the Aviation Safety Action Program where it was not accepted.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13543	<i>Date:</i> 1/16/13
<i>Allegation(s):</i> Air Carrier contract ground handler reported violations of company ramp safety violations.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13545	<i>Date:</i> 1/17/13
<i>Allegation(s):</i> Manufacturing mechanic reported improper work instructions for maintenance being performed on newly manufactured aircraft.	
<i>Action Taken:</i> Referred to FAA's Aircraft Certification Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13547	<i>Date:</i> 1/23/13
<i>Allegation(s):</i> Air Carrier mechanic reported intimidation by company to accomplish maintenance without the use of proper tools.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13550	<i>Date:</i> 2/4/13
<i>Allegation(s):</i> Air Carrier mechanic reported improper repairs.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13551	<i>Date:</i> 2/7/13
<i>Allegation(s):</i> Air Carrier contract ground handler reported violations of company ramp safety policies, and lack of required drug testing.	
<i>Action Taken:</i> Referred to the FAA's Office of Aerospace Medicine and Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13552	<i>Date:</i> 2/12/13
<i>Allegation(s):</i> Air Carrier flight attendant reported that he is fearful of retaliation for calling in fatigued.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13553	<i>Date:</i> 2/13/13
<i>Allegation(s):</i> Air Carrier pilot reported he was unable to pair with a different pilot due to personality issues that may affect Crew Resource Management.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13554	<i>Date:</i> 2/13/13
<i>Allegation(s):</i> Helicopter Emergency Medical Services (HEMS) pilot reported intimidation to fly below authorized weather minimums, and to not write up discrepancies	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13555	<i>Date:</i> 2/14/13
<i>Allegation(s):</i> Air Carrier pilot reported intimidation by company not to document mechanical discrepancies.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13556	<i>Date:</i> 2/14/13
<i>Allegation(s):</i> Air Carrier flight attendant reported being pressured to fly while fatigued.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13557	<i>Date:</i> 2/15/13
<i>Allegation(s):</i> Air Carrier pilot reported lack of drug testing for mechanics, and unapproved mechanics working on aircraft.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13559	<i>Date:</i> 2/18/13
<i>Allegation(s):</i> Repair Station mechanic reported an undocumented crack in an aircraft wheel well.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13560	<i>Date:</i> 2/20/13
<i>Allegation(s):</i> Manufacturing mechanic reported Boeing 787 wire bundles were improperly installed.	
<i>Action Taken:</i> Referred to FAA's Aircraft Certification Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13561	<i>Date:</i> 2/22/13
<i>Allegation(s):</i> An air carrier's former President reported interference with operational control procedures.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13562	<i>Date:</i> 2/25/13
<i>Allegation(s):</i> Air Carrier mechanic reported multiple maintenance documentation issues.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13563	<i>Date:</i> 2/26/13
<i>Allegation(s):</i> Air Carrier mechanic reported maintenance documentation and repair concerns.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13565	<i>Date:</i> 2/28/13
<i>Allegation(s):</i> Air Carrier mechanic reported multiple maintenance-related violations.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13567	<i>Date:</i> 3/6/13
<i>Allegation(s):</i> Air Carrier flight attendant reported being disciplined for enforcing the use of seat belts during operation of the aircraft.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13570	<i>Date:</i> 3/11/13
<i>Allegation(s):</i> Air Carrier pilot reported a dispatcher failed to provide required weather updates as well as attempting to dispatch below weather minimum standards.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13571	<i>Date:</i> 3/12/13
<i>Allegation(s):</i> Air Carrier flight attendant reported training deficiencies.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13576	<i>Date:</i> 3/25/13
<i>Allegation(s):</i> Air Carrier pilot reported that simulator check airmen are not qualified as pilot's in command as required.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13579	<i>Date:</i> 4/3/13
<i>Allegation(s):</i> Manufacturing mechanic reported manufacturing concerns with jet engine components.	
<i>Action Taken:</i> Referred to FAA's Aircraft Certification Service for investigation	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13580	<i>Date:</i> 4/4/13
<i>Allegation(s):</i> Air Carrier mechanic reported improper maintenance procedures and inadequate parts tracking.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13581	<i>Date:</i> 4/4/13
<i>Allegation(s):</i> Air Carrier mechanic reported improper repairs on a passenger aircraft which did not comply with FAA Airworthiness Directives and manufacturer Service Bulletins.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for Investigation	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13583	<i>Date:</i> 4/7/13
<i>Allegation(s):</i> Company administrative specialist reported aircraft maintenance records were missing required entries.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13584	<i>Date:</i> 4/8/13
<i>Allegation(s):</i> Three air carrier flight attendants reported improper aircraft maintenance and pressure by the company to exceed regulatory flight duty limitations.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13585	<i>Date:</i> 4/12/13
<i>Allegation(s):</i> Air Carrier mechanic reported repair and documentation deficiencies, and improper maintenance practices.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13588	<i>Date:</i> 4/18/13
<i>Allegation(s):</i> Air Carrier flight attendant reported a passenger who failed to comply with lighted seat-belt signs and crewmember instructions, contrary to regulatory requirements.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13589	<i>Date:</i> 4/23/13
<i>Allegation(s):</i> Air Carrier pilot reported poor aircraft maintenance, operation of un-airworthy aircraft, and operations contrary to authorized Operations Specifications.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13590	<i>Date:</i> 4/23/13
<i>Allegation(s):</i> Air Carrier flight attendant reported violations of crew rest requirements and crewmembers operating while fatigued.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13591	<i>Date:</i> 4/23/13
<i>Allegation(s):</i> Air Carrier mechanic reported improper aircraft maintenance, and improper manipulation of aircraft operating logs, resulting in operations beyond inspection and repair intervals.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13593	<i>Date:</i> 4/29/13
<i>Allegation(s):</i> Air Carrier flight attendant reported carbon monoxide poisoning from ground power unit.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13594	<i>Date:</i> 5/1/13
<i>Allegation(s):</i> Simulator technician reported maintenance deficiencies on flight simulators.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13596	<i>Date:</i> 5/6/13
<i>Allegation(s):</i> Manufacturing technician reported software testing deficiencies.	
<i>Action Taken:</i> Referred to FAA's Aircraft Certification Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13597	<i>Date:</i> 5/8/13
<i>Allegation(s):</i> Manufacturing technician reported being required by the company to repair parts contrary to FAA approved methods.	
<i>Action Taken:</i> Referred to FAA's Aircraft Certification Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13599	<i>Date:</i> 5/14/13
<i>Allegation(s):</i> Air Carrier gate agent reported improper documentation of employees and their guests when travelling as passengers.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service and to the Transportation Security Administration for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13600	<i>Date:</i> 5/14/13
<i>Allegation(s):</i> Cargo handling employee reported a lack of hazardous materials training.	
<i>Action Taken:</i> Referred to FAA's Office of Security and Hazardous Materials Safety for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13601	<i>Date:</i> 5/14/13
<i>Allegation(s):</i> Manufacturing technician reported improper testing and documentation of aircraft parts, and that potentially defective parts may have been delivered to aircraft manufacturer.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service and Aircraft Certification Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13608	<i>Date:</i> 6/10/13
<i>Allegation(s):</i> Air Carrier flight attendant reported a pilot from another air carrier was allowed to occupy the cockpit jumpseat without proper documentation.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13612	<i>Date:</i> 6/17/13
<i>Allegation(s):</i> FAA designated examiner reported air carrier training deficiencies.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13613	<i>Date:</i> 6/22/13
<i>Allegation(s):</i> Helicopter Emergency Medical Services (HEMS) pilot reported routine Instrument Flight Rules (IFR) operations with Visual Flight Rules (VFR) only aircraft.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13614	<i>Date:</i> 6/24/13
<i>Allegation(s):</i> Air Carrier pilot reported improper alcohol testing protocols.	
<i>Action Taken:</i> Referred to FAA's Office of Aerospace Medicine for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13615	<i>Date:</i> 6/25/13
<i>Allegation(s):</i> Air Carrier mechanic reported being pressured to release an un-airworthy aircraft for flight, and the use of improper tools.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13617	<i>Date:</i> 6/28/13
<i>Allegation(s):</i> Air Carrier ramp agent reported improper and/or insufficient maintenance on aircraft ground equipment.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13618	<i>Date:</i> 7/3/13
<i>Allegation(s):</i> Helicopter Emergency Medical Services (HEMS) check pilot reported being overruled by the company regarding another pilot's competence.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13619	<i>Date:</i> 7/5/13
<i>Allegation(s):</i> Air Carrier pilot reported improper drug/alcohol testing, violations of flight/duty/rest requirements, and that another pilot operated without required fuel reserves.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service and Office of Aerospace Medicine for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13621	<i>Date:</i> 7/8/13
<i>Allegation(s):</i> Air Carrier pilot reported improper and/or insufficient aircraft maintenance.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated and appropriate corrective and/or enforcement actions initiated.	

Tracking Number: EWB13622	<i>Date:</i> 7/11/13
<i>Allegation(s):</i> A quality assurance worker for an aircraft parts manufacturer reported improper documentation and use of parts.	
<i>Action Taken:</i> Referred to FAA's Aircraft Certification Service for investigation. It was subsequently referred by them to FAA's Flight Standards Service as a Suspected Unapproved Parts (SUPS) investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13623	<i>Date:</i> 7/15/13
<i>Allegation(s):</i> Repair Station test inspector reported unqualified supervisors and improper drug/alcohol testing.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service and Office of Aerospace Medicine for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13624	<i>Date:</i> 7/16/13
<i>Allegation(s):</i> Department of Defense contract mechanic reported improper maintenance on an air carrier which may be operating without proper FAA certification.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13626	<i>Date:</i> 7/19/13
<i>Allegation(s):</i> Air Carrier mechanic reported poor maintenance practices and problems with management.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13627	<i>Date:</i> 7/19/13
<i>Allegation(s):</i> Helicopter Emergency Medical Services (HEMS) pilot reported violations of flight and duty requirements, improper maintenance, and poor operational decision making.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13628	<i>Date:</i> 7/23/13
<i>Allegation(s):</i> Repair Station mechanic reported concerns with flame retardant testing protocols.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13629	<i>Date:</i> 7/26/13
<i>Allegation(s):</i> Manufacturing test engineer reported concerns with testing processes.	
<i>Action Taken:</i> Referred to FAA's Aircraft Certification Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13630	<i>Date:</i> 7/30/13
<i>Allegation(s):</i> Air Carrier pilot reported lack of proper maintenance.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13632	<i>Date:</i> 8/1/13
<i>Allegation(s):</i> Air Carrier pilot reported use of out-of-date charts and company pressure to not write up maintenance irregularities.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13633	<i>Date:</i> 8/1/13
<i>Allegation(s):</i> Helicopter Emergency Medical Services (HEMS) flight paramedic reported improper flight planning and dispatch.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were not substantiated.	

Tracking Number: EWB13634	<i>Date:</i> 8/2/13
<i>Allegation(s):</i> Helicopter Emergency Medical Services (HEMS) pilot reported pressure to fly aircraft which were legally airworthy, but unsafe for the flight conditions (i.e. night, mountainous terrain, etc.)	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13637	<i>Date:</i> 8/7/13
<i>Allegation(s):</i> Airport fueling technician reported fuel tank farm discrepancies.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service and Office of Airports for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13638	<i>Date:</i> 8/7/13
<i>Allegation(s):</i> Fixed Based Operator (FBO) employee reported violations of company safety procedures, Transportation Security Administration (TSA) regulations, and contaminated fuel drums.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service and TSA for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13639	<i>Date:</i> 8/7/13
<i>Allegation(s):</i> Air Carrier mechanic reported improper maintenance and inspections, poor documentation, and installation of unapproved parts on air carrier aircraft.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13640	<i>Date:</i> 8/8/13
<i>Allegation(s):</i> Aircraft parts broker employee reported improper ground transportation of hazardous materials and possible use of un-airworthy parts on air carrier aircraft.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service and the Federal Motor Carrier Safety Administration for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13641	<i>Date:</i> 8/8/13
<i>Allegation(s):</i> Air Carrier customer service representative reported a passenger flew on an air carrier aircraft but was not on the passenger manifest.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Allegation(s) were substantiated but no enforcement actions were initiated because the complainant had manipulated the passenger manifest system without the company's knowledge.	

Tracking Number: EWB13642	<i>Date:</i> 8/11/13
<i>Allegation(s):</i> Air Carrier pilot reported a temporary aircraft repair was removed without a proper permanent repair in place, causing the aircraft to operate in an un-airworthy status.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13643	<i>Date:</i> 8/11/13
<i>Allegation(s):</i> Helicopter Emergency Medical Services (HEMS) mechanic reported improper documentation of repair on a fuel hose, and alcohol abuse by a co-worker.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service and Office of Aerospace Medicine for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13644	<i>Date:</i> 8/21/13
<i>Allegation(s):</i> Helicopter Emergency Medical Services (HEMS) pilot reported violations of flight duty requirements.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13648	<i>Date:</i> 9/5/13
<i>Allegation(s):</i> Air Carrier flight attendant reported that a passenger, who refused to follow crewmember instructions, and threatened crewmembers, was not removed from the flight.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13650	<i>Date:</i> 9/10/13
<i>Allegation(s):</i> Air Carrier mechanic reported failures to follow required maintenance work cards, and improper maintenance documentation.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13651	<i>Date:</i> 9/17/13
<i>Allegation(s):</i> Air Carrier pilot reported improper aircraft repair.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13653	<i>Date:</i> 9/18/13
<i>Allegation(s):</i> Helicopter Emergency Medical Services (HEMS) flight paramedic reported a lack of security and accountability for controlled substances, and lack of drug testing for flight paramedics.	
<i>Action Taken:</i> Referred to FAA's Office of Aerospace Medicine for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13655	<i>Date:</i> 9/23/13
<i>Allegation(s):</i> Air Carrier pilot reported aircraft was returned to service without all required maintenance procedures accomplished.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13657	<i>Date:</i> 9/25/13
<i>Allegation(s):</i> Air Carrier pilot reported pressure to operate an aircraft when it was overweight for the existing conditions.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13660	<i>Date:</i> 9/26/13
<i>Allegation(s):</i> Air Carrier pilot reported pressure to operate an aircraft when it was overweight for the existing conditions.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13661	<i>Date:</i> 9/26/13
<i>Allegation(s):</i> Air Carrier pilot reported pressure to operate an aircraft when it was overweight for the existing conditions.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Tracking Number: EWB13662	<i>Date:</i> 9/26/13
<i>Allegation(s):</i> Air Carrier mechanic reported aircraft operation following improper maintenance.	
<i>Action Taken:</i> Referred to FAA's Flight Standards Service for investigation.	
<i>Finding(s):</i> Open investigation	

Contacts

Director

H. Clayton Foushee, (202) 267-9000

Senior Technical Advisor

Erika Vincent, (202) 267-8585

Manager, Safety Investigations and the AIR 21 Program

Douglas E. Peters, (202) 493-4949

Manager, Hotline and Data Analysis

Angelique Berry, (202) 267-3832

OIG/GAO Audit Coordinator and Liaison

Pierre McLeod, (202) 267-9440