



Federal Aviation
Administration

Considerations in the Investigation of Incidents:

An Extension of Just Culture

Presented to: **Air Traffic Incident Analysis Workshop**

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FAA ATO Safety and Technical Training

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ATS Incident Analysis Group



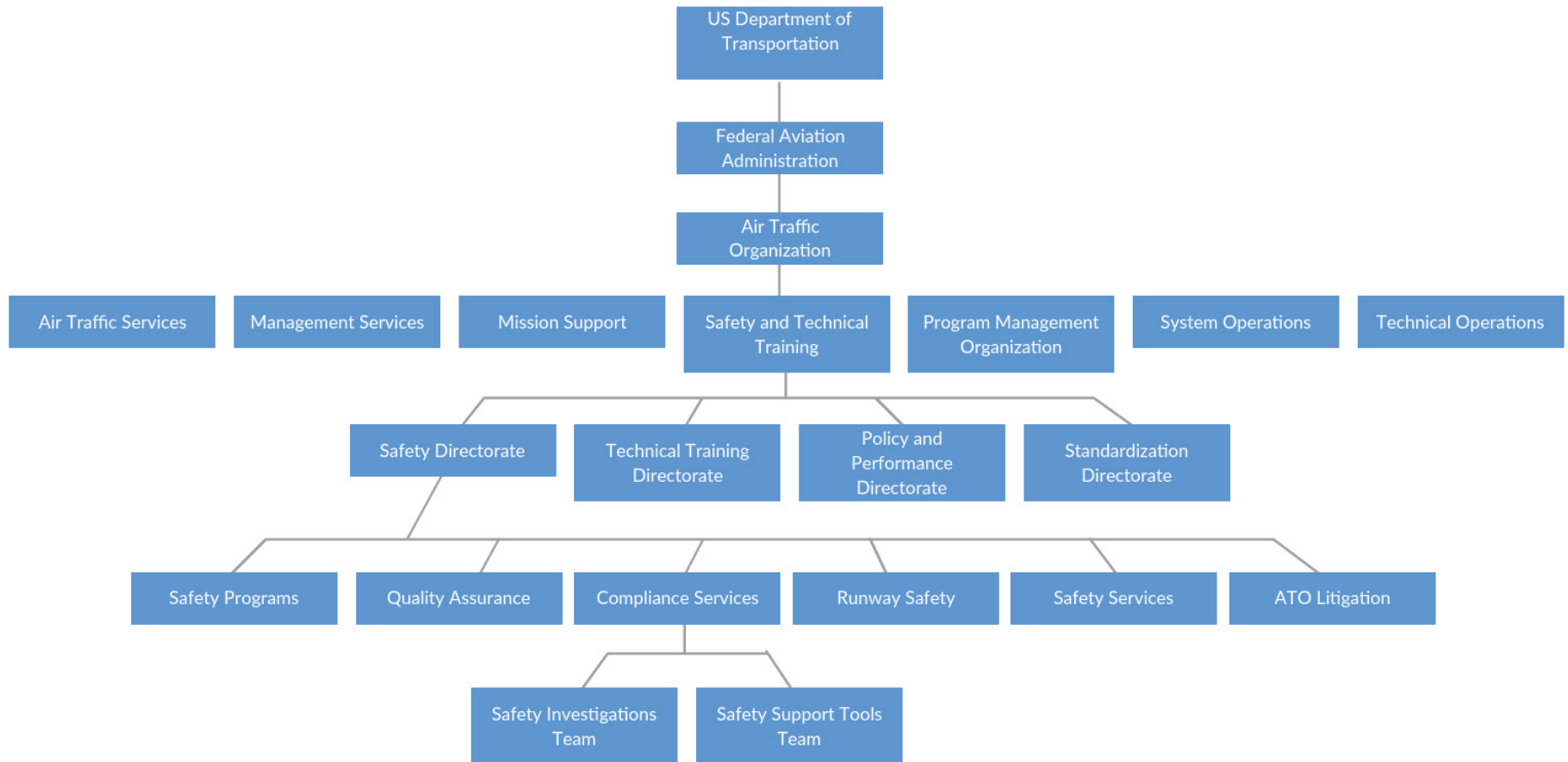


Introductions:

- Andy Johnson
Compliance Services Group Manager (A)
- Lenard Carter
Event Investigation Manager



Air Traffic Investigations within the FAA



Video 1:

Compliance Philosophy Order

Michael Huerta Compliance Video

Recap:

- Proactive Safety Culture
- Order provides enabling guidance for risk based decision making
- Find problems and then find the most effective ways to fix them
- The importance of addressing non-compliance
- No tolerance for irresponsible risk taking
- Mitigate risk and ensure positive and permanent changes
- Focus on what the data is telling you
- Align thinking and actions with compliance philosophy



JO 1030.3 - Initial Event Response



**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**
Air Traffic Organization Policy

**ORDER
JO 1030.3B**

Effective Date:
01/06/ 14

SUBJ: Initial Event Response

This Order prescribes Federal Aviation Administration (FAA) Air Traffic Organization (ATO) procedures and responsibilities for immediate notification and response to significant or noteworthy events (for example, major aircraft accidents, near mid-air collision reports, major service disruptions) that necessitate an event review and reporting to the Chief Operating Officer (COO).



Purpose of JO 1030.3

- Describes the Air Traffic Organization's (ATO) processes, roles and responsibilities, and timelines for collecting and reporting data in response to significant, noteworthy, or media events in the National Airspace System (NAS).



Background of JO 1030.3

- Standardized data collection and reporting process.
- Meets ATO reporting obligations in an accurate and timely manner.

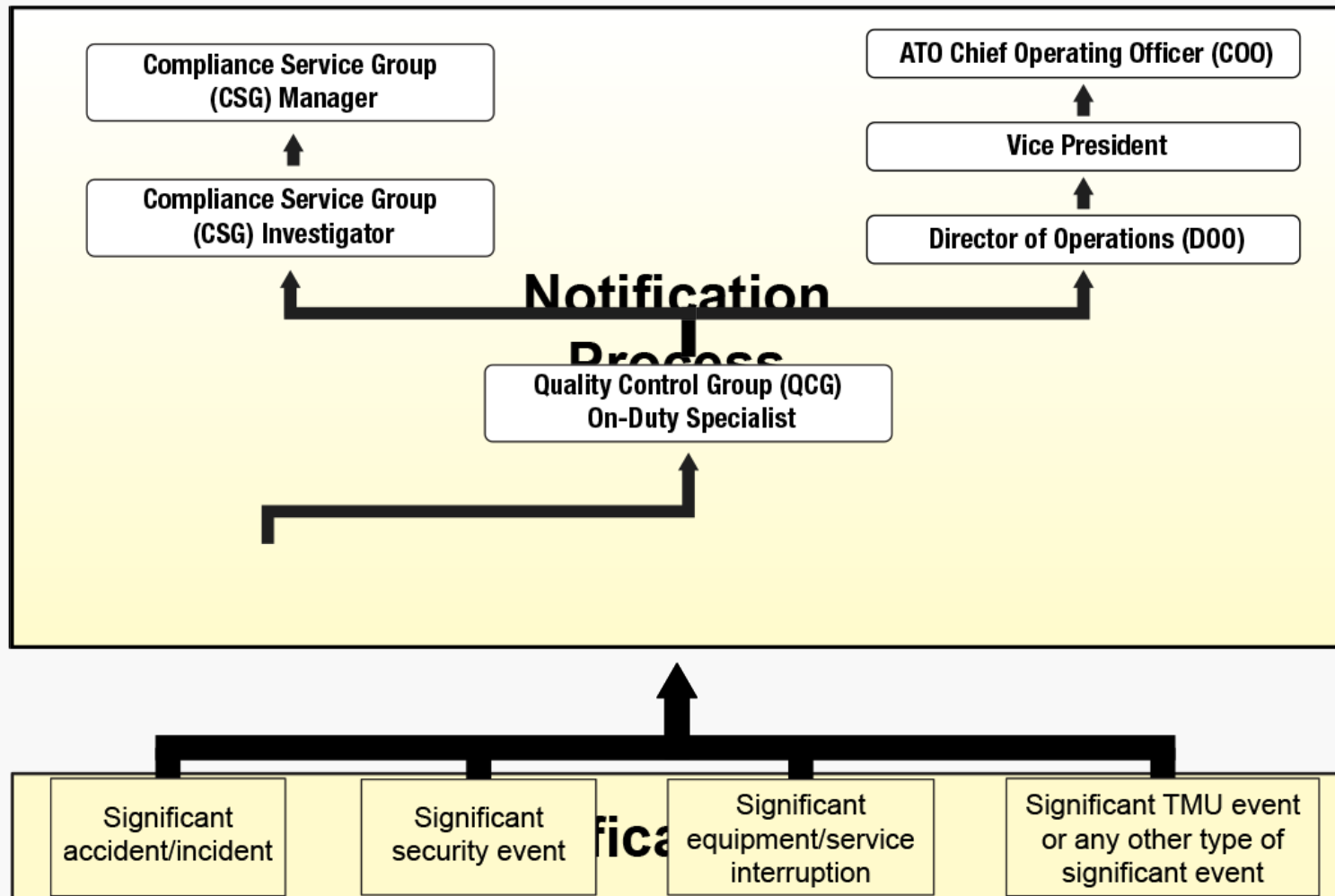


Scope of JO 1030.3

- Gives guidance.
- Includes example events.
- Identifies who may invoke the on-site investigation.



Upward Reporting Chain



Services Rendered Telephone Conference (SRT)

- Assess ATO services.
- Managers openly discuss critical operational information.
- Creates a snapshot of conditions surrounding the event.



The purpose of an SRT

- To establish whether all pertinent orders and procedures were followed
 - Reasons for non-compliance?
 - Personnel Performance?
 - Facility Culture of non-compliance?
 - Did something prevent controllers from complying?
 - Rules or Procedures followed, but event still occurred:
 - Weakness in the rule or procedure
 - Rule does not exist to address the issue

CLT



Review 1

What are some examples of information that may be sought during an SRT?

- Staffing levels
- Training
- Weather
- Unusual circumstances
- Previous similar events
- Local Procedures



Which of the following is not an SRT Focus?

- A. Training
- B. Staffing
- C. Discipline
- D. Weather



What are the possible outcomes from an SRT?

- All services were in accordance with all Orders and Directives – Green Event
 - Fatal aircraft accident where controller performance was IAW all Orders/Procedures
- Procedures were in place to prevent the event – Yellow Event
 - Performance issues? i.e. Non-Compliance
 - Inadequate procedures (National/local) i.e. event occurred despite compliance
 - Procedures were in place and followed – pilot deviation



What are the possible outcomes from an SRT? (cont.)

- Red Events





On-Site Event Investigations

- NTSB:
 - Investigates civil aviation accidents and incidents
 - Is an independent federal agency
 - Charged by Congress to investigate transportation accidents, determine probable cause, and issue safety recommendations to prevent similar accidents.
 - Also investigates select rail, marine, highway, and pipeline accidents, as well as those involving transportation of hazardous materials.
- Event Response Team
 - No probable cause; upwardly report the facts



Event Investigation Manager





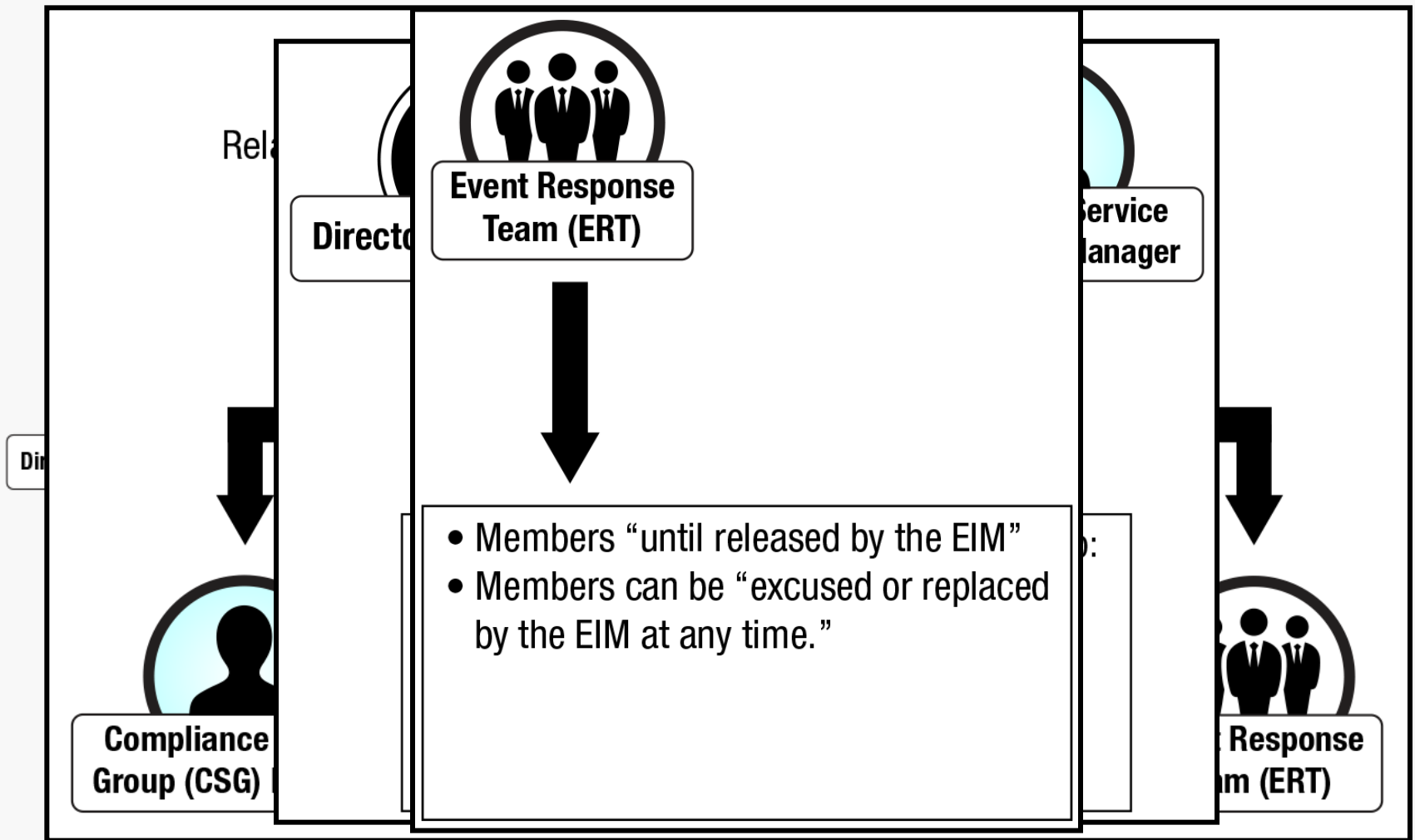
Initial EIM Activities

- Gathers all available information
- Assumes lead ATO role
- Convenes initial ERT meeting and coordinates the ERT's activities
- Coordinates with facility management
- Liaison between the NTSB and the ATC facility
- Upwardly reports the investigation's preliminary findings to senior FAA/ATO executives

• Find a new picture



Authorities



End-of-Lesson

