

REGIONAL FOCUS

Accident and Incident Investigation for the Latin America and Caribbean Region

Wednesday 14, 21, 28 July and 4 August 2021

08:00 – 09:30 EDT



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Safety Programme Manager

CANSO



Mr. Javier Vanegas

Director Latin America and Caribbean Affairs

CANSO



Mr. Shayne Campbell

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Mr. James Fee

ATO Safety Intelligence and Response Group
Manager

FAA



Dr. Christina Filipowski

Team Manager Safety Intelligence and Response
Group

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Mr. James Fee

ATO Safety Intelligence and Response Group Manager

FAA

Policy of Air Traffic Investigations



**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). This Order also specifies ATO policy and procedures for post-event investigation of events where ATO involvement could be a factor. Regardless of other investigations or assessments conducted by organizations outside the ATO, it is important that the ATO proceed with its own fact finding at every level to provide transparency of its operation of the National Airspace System (NAS). It provides direction and guidance to ATO Service Units, Service Areas, Service Centers, offices that deal with the dissemination of information following an event, and facilities that are called upon to assist in event reviews following such events. The ATO, through the processes in this Order, will ensure that the facts surrounding significant events are adequately compiled and reported in a most expeditious manner to the COO.

The mission to improve the safety and efficiency of the NAS is never complete. All concerned personnel must familiarize themselves with the provisions of this Order related to their operational responsibilities and use their best judgment if they encounter situations not specifically described in the Order.

- *Annex 13 — Aircraft Accident and Incident Investigation*
- *Manual of Aircraft Accident and Incident Investigation (Doc 9756):*
 - *Part I — Organization and Planning*
 - *Part II — Procedures and Checklists*
 - *Part III — Investigation*
 - *Part IV — Reporting*
- *Manual on Accident and Incident Investigation Policies and Procedures (Doc 9962)*
- *Training Guidelines for Aircraft Accident Investigators (Circ 298)*



THANK YOU



SHAPING OUR FUTURE SKIES



Dr. Christina Filipowski

Team Manager Safety Intelligence and Response Group

FAA

Overview-

- FAA Organization
 - Joint Air Traffic Operations Command (JATOC)
 - Safety
 - Accident Investigation (AVP)
 - Human Factors
 - Litigation
- Policies and Procedures
- Reporting Processes
 - Significant Events
 - Aircraft Accidents
- Safety Culture

Chicago Center Fire - 2014



Controller:

"Attention all aircraft on 121.5: If you can hear this, this is Chicago Center. We are evacuating the building due to a fire. If you need any assistance just try to contact a nearest FAA approach facility."

What is JATOC?





From equipment outages to aircraft emergencies and security issues, the JATOC helps the Air Traffic Organization (ATO) effectively prepare for, respond to, and recover from, significant incidents in the National Airspace System (NAS).

THE JATOC delivers:

- A holistic view of significant challenges in the NAS and the ATO's response.
- Accurate, timely information to FAA and ATO leadership for more effective decision-making.
- Real-time support to ATO personnel as they manage events affecting facilities and airspace.
- Greater situational awareness throughout the aviation community.

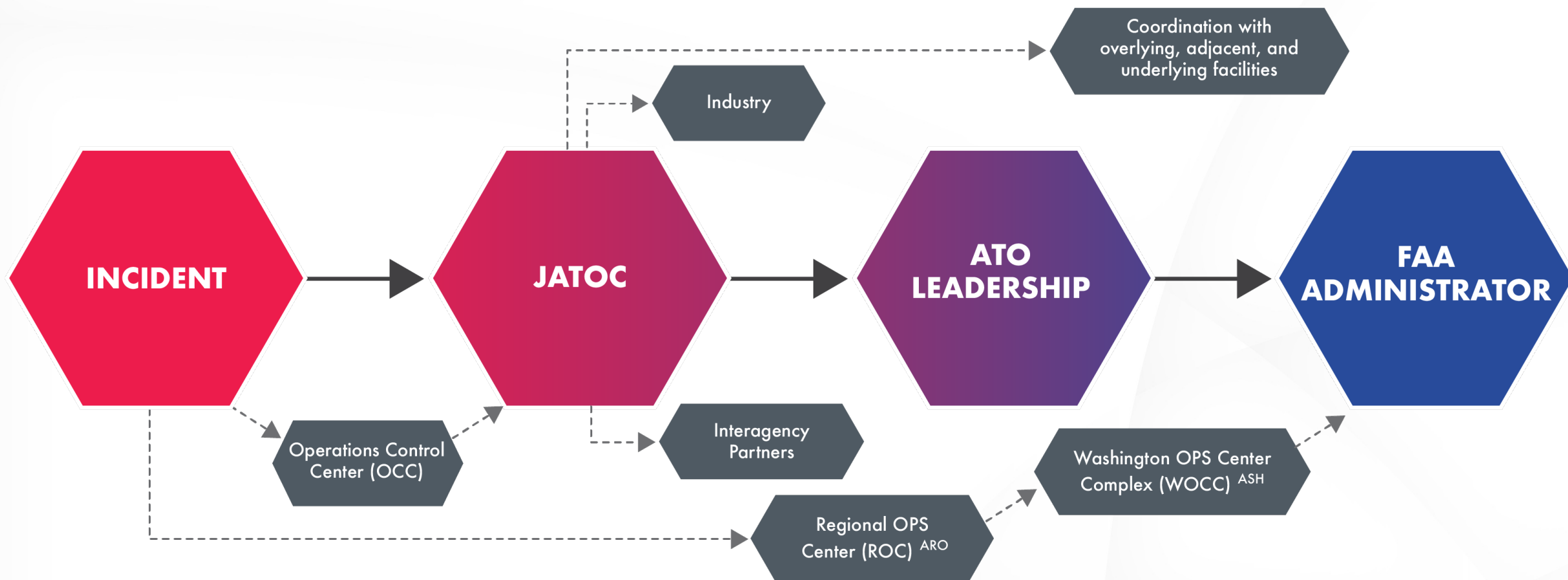
One Mission
One System
One Team



For more information, contact:
9-ATO-JATOC@faa.gov

CANSO

 **JATOC**
One Mission: One System: One Team



Safety and Technical Training

- **Safety Intelligence and Response Group (SIRG)**
- **Runway Safety**
- **Human Performance**
- **Quality Assurance**
- **Voluntary Safety Reporting Programs**
- **Litigation**

JO 1030.3 - Initial Event Response

CANSO



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Reporting

Employees must ensure that all occurrences of which they are aware, through either direct involvement or observation, are reported.

All personnel with knowledge of an occurrence are encouraged to report, even if this results in multiple submissions of the same occurrence.



Mandatory Occurrence Report Criteria

- **Airborne Loss of Separation**
- **Unmanned Aircraft System (UAS)**
- **Airport Surface Loss of Separation**
- **Terrain/Obstruction**
- **Airborne Air Traffic Control Anomaly (Airspace/Altitude/Route/Speed) Not Involving a Loss of Separation**
- **Airport Environment**
- **Oceanic Environment**
- **Communication**
- **Emergency or In-Flight Hazard**
- **Inquiry**

Incident Occurs



Charleston (CHS) International Airport





CHS - DEATH41.mp4

Begin the Investigation

- Conduct initial investigation of event
- Determine safety risk-advise FAA senior management if necessary.
- Gather relevant data related to event
- Recommend Services Rendered Telcon (SRT) when appropriate
- Conduct on site investigation when required
- Provide a report to the Deputy Chief of Operations outlining activities undertaken during the investigation.

2 Fatal – N3601V/C150 – VFR – Tuesday, July 7, 2015, at 11:00 a.m. EDT:

Death41/F16 enroute from Myrtle Beach, SC (MYR) to Shaw AFB (SSC) was north of CHS making a practice approach to CHS when the F-16 collided with N3601V/C150 that had departed the Berkeley County (MKS) Airport eastbound. The F-16 pilot flew for several more miles and ejected from the aircraft and is safe on the ground. The Fixed Base Operator at MKS reports that 2 occupants were on the C150. Jacksonville ARTCC (ZJX) issued and cancelled an ALNOT for N3601V. The aircraft has been located with the aircraft occupants reported as fatal. The weather was VFR.





RISK



SAFETY



ATO Safety Report Monday, April 20, 2020

Significant/Noteworthy Incidents/Activities

Accidents: 1 Reported

1 Fatal – N756TH/C206, VFR – Saturday, April 18, 2020 at 10:42 a.m. PDT:
N756TH/C206, VFR, crashed near Auburn, CA. No ATC services were provided. There were two people on board. The Placer County Sheriff reported the accident. Auburn Mayor Bill Kirby, a vocal critic of the current administration, was killed in the crash. The other person on board received a serious head injury and was transported to the hospital. The NTSB reported the aircraft was destroyed.

Operational Incidents: 2 Reported

Tulsa Riverside (RVS) ATCT – Thursday, April 16, 2020 at 10:40 a.m. CDT:
N981WU/C172 crossed Runway 19R at Taxiway H and conflicted with N4976G/C172, which was landing on Runway 19R. The facility-estimated closest proximity was 4,750 feet and an overflight did not occur.



The Local Control controller cleared N4976G to land Runway 19R. N981WU landed Runway 19L, exited the runway at Taxiway H, and the controller instructed them to hold short of Runway 19R. The facility reported that N981WU crossed onto Runway 19R as

N4976G was over the landing threshold. The facility reported that N981WU completed the crossing as N4976G was abeam Taxiway A5.

Philadelphia (PHL) ATCT – Friday, April 17, 2020 at 6:30 p.m. EDT: (American)
AAL1997/B738 crossed Runway 27R without a clearance and conflicted with AAL1532/A319, cleared to land on Runway 27R. The closest proximity was 4,687 feet.



AAL1532 was in communication with the Local Control West (LCW) controller and cleared to land on Runway 27R. AAL1997 established communication with the Ground Control East (GCE) controller and requested taxi instructions for departure. The GCE controller instructed AAL1997 to taxi to Runway 27L via Taxiway T, hold short of Runway 27R. AAL1997 acknowledged the instruction to hold short of Runway 27R; however, crossed Runway 27R conflicting with AAL1532 who had crossed the Runway 27R threshold. The LCW controller instructed AAL1532 to go around. AAL1532 completed the landing and reported that they had already initiated reverse thrusts. It was reported the GCE controller first noticed the conflict and advised the LCW controller to send AAL1532 around. The facility reported that the ASDE-X did not alarm.

Follow-Up Activities: None Reported

Services Rendered TELCONS: None Scheduled

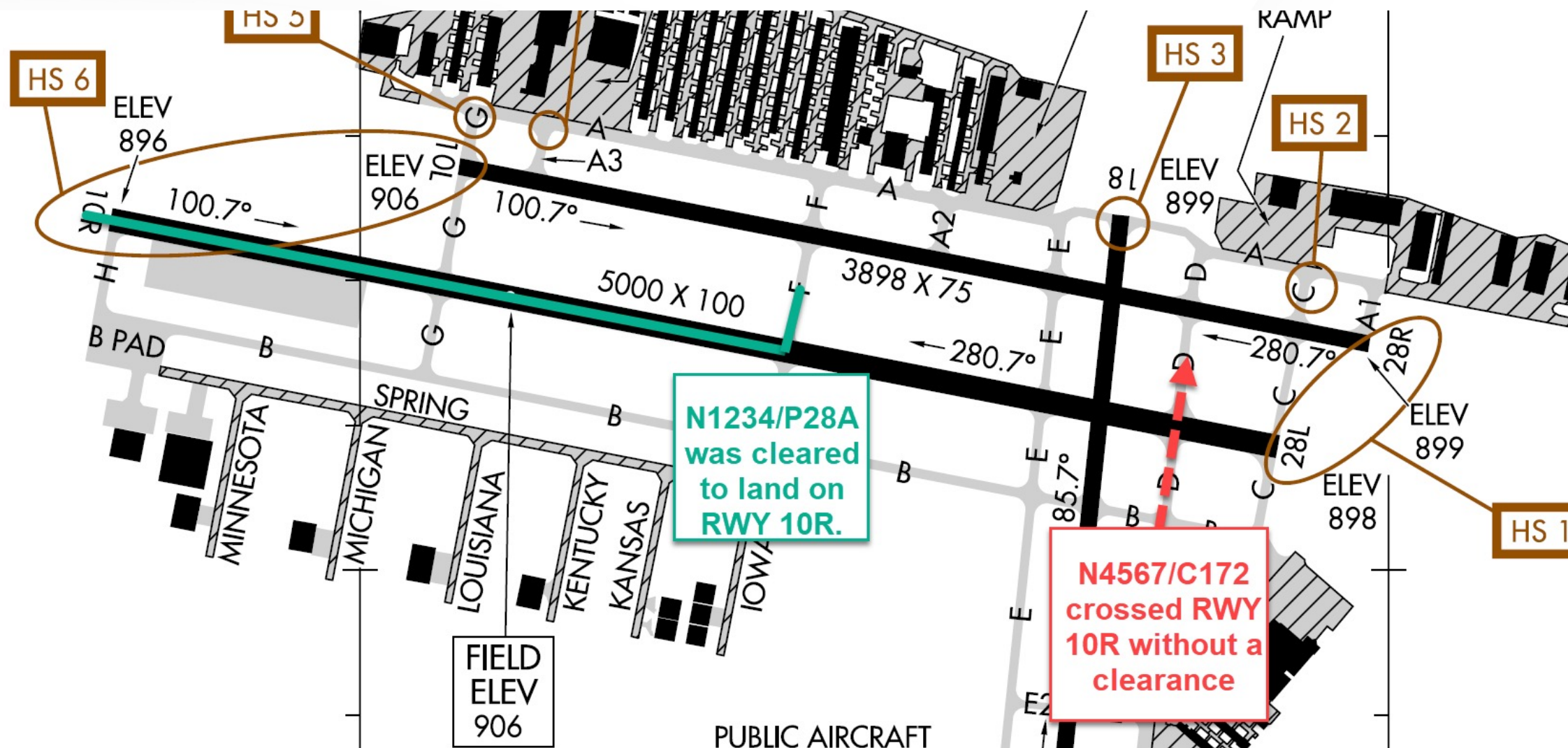
Current NTSB Activities: None Reported

"KEEP SAFETY FIRST"

Air Traffic Organization
Safety and Technical Training
Compliance Service Group

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INFORMATION CONTAINED HEREIN IS BASED ON PRELIMINARY REPORTS AND IS SUBJECT TO REVISION.

ALL POINTS/SAFETY
everyone. everywhere. everyday.



Services Rendered Telcon (SRT)

- SRT is a management review to assess the ATO services associated with a significant or noteworthy event. It is intended for managers to be able to openly discuss critical operational information associated with the significant or noteworthy event.
- The SRT is intended to give all participants a snapshot of the conditions surrounding the event.
- SRT will determine seriousness of the event using a color code:
 - **Red** - An ERT must be launched immediately
 - **Yellow** – An ERT may be launched
 - **Green** - An ERT is not necessary

Services Rendered Telcon (SRT)

- Common Questions
 - Traffic volume and complexity
 - What positions were open
 - Supervision
 - Weather
 - Did controllers observe the event?
 - Notification process
 - emergency services
 - management

Charleston Services Rendered Telecon Findings

- A Services Rendered TELCON was conducted and the event was color coded “Yellow” with an Event Response Team (ERT) launch. CHS management provided a briefing on the event that included a review of voice communications.
- The facility briefed that there were 2 controllers on duty in the TRACON at the time of the event. One controller was working the WR position and one was working the WR Handoff position combined with CIC. The ATM considered the traffic volume moderate and not complex. The FLM on duty was in the ATCT. The ATM had just entered the TRACON at the time of the event.
- DEATH41 was on a westbound vector to the TACAN approach to Runway 15 at CHS Airport at 1,600 feet. The facility briefed that the F16 pilots prefer to be at 1,600 feet on the base leg and that it is not unusual for F16s to exceed 250 knots below 10,000 feet. The Minimum Vectoring Altitude (MVA) in that area is 1,600 feet.
- The WR controller issued traffic to DEATH41 when the aircraft were 2 miles apart while the VFR target indicated 1,200 feet.

Charleston Services Rendered Telecon Findings

- The WR controller then instructed DEATH41 to turn to a 180-degree heading if the traffic was not in sight. The WR controller did not issue a safety or traffic alert
- DEATH41 made several unintelligible transmissions before broadcasting “Mayday” three times. No further transmissions were received
- Immediately after the collision, the CIC/handoff controller informed the ATM that they may have an aircraft down and marked the position on the radar scope with a grease pencil
- The FLM initiated the emergency response and suspended operations at CHS Airport and notified Jacksonville ARTCC (ZJX) to issue an ALNOT
- The facility will conduct a Covered Event Review

Event Response Team (ERT)



Investigations

- **Office of Accident Investigation and Prevention (AVP).**

AVP is the office responsible for directing aircraft accident investigation policy and standards for the FAA.

AVP's Vision. Being recognized as an FAA and industry leader in safety investigation, analysis, and information sharing.

AVP's Mission. Making air travel safer through investigation, data collection, risk analysis, and information sharing.

Safety Management Systems – Safety Promotion Component



Responsibilities

- Safety Culture
- Reporting Culture
- Just Culture





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QUESTIONS AND ANSWERS

Next webinars

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- **Wednesday 21 July:** Human Factors in Air Traffic Events
- **Wednesday 28 July:** Event Investigation Process (Microsoft Teams)
- **Wednesday 4 August** – Accident Investigation and Transition from Compliance to Risk

08:00-09:30 EDT // 12:00-13:30 UTC



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