







MODULE 1 OBJECTIVES

• Recognize NATCA's role in maintaining the safety of the National Airspace System

• Understand the general safety processes that are used at the national and local levels to identify and correct safety issues

- Module 2 References:
- NATCA National Constitution
 CBA
- CBA
 Article 114
 Appendix P-8, Sec. 7

- Appendix F.e., Soc. 1.
 Air Safey, Investigation (ASI) Committee Charter
 National Safery & Technology Leadership Council (NSTLC) Charter
 National Safery Committee (ISSC) Charter
 MOU dated 9-18-2020
 JO 7210-554

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2016 Collective Bargaining Agreement (CBA) CBA Articles: 112: Corrective Action Requests/Plans 113: Runway Safety 29: Excused Absence 114: Collaboration 119: Covered Event Review 52: Professional Standards 122: Partnership for Safety 55: Human Performance 123: Safety Management System Appendix O: ATSAP 62: ASRS Appendix P-1: Implementation of the Credentialing and CTO Certification Programs 63: NTSB Union Representatives 64: Safety Events Reporting and Review Appendix P-5: Air Traffic Safety Guidance (ATO-SG) Appendix P-6: ATO Fatigue Risk Management 65: Controllers/Employee Performance System/FSSC Charter 74: Critical Incident Stress Management (CISM) Appendix P-8: Safety Personnel

Quick Preview: Collaboration

· Service Reviews:

- System Service Review (SSR)
- Covered Event Review (CER)
- Traffic Management Review (TMR)
- Systemic Issue Review (SYSIR)
- Corrective Action Plan (CAP)
- Safety Risk Management Panel (SRMP)
- Internal/External Compliance Verifications (ICV/ECV)
- Quality Control Validations
- Services Rendered Telephone Conferences (SRT)*

*SRTs are **not** safety processes

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Quick Preview: Mitigating Risk							
DATA COLLECTION PROCESSES	DATA ANALYSIS PROCESSES	CORRECTIVE ACTION PROCESSES					
Air Traffic Safety Action Program (ATSAP)	Event Review Committee (ERC)	ATSAP Corrective Action Requests (ATSAP CAR)					
ATSAP-X	Barrier Analysis Review (BAR)	Runway Safety Action Plan (RSAP)					
Confidential Information Sharing Program (CISP)	QC Service Reviews (i.e., SSR, TMR, CER, SYSIR)	Quality Assurance Corrective Action Plan (QA CAR)					
Mandatory Occurrence Reports (MOR)	Aviation Safety Information Analysis and Sharing (ASIAS)	Safety Management System (SMS) Safety Requirements					
Preliminary ARIA Reports (PAR)	Safety Risk Management Panels (SRMP)	Facility Corrective Action Plan					
Quality Control Operational Skills Assessments (QC OSA)	Partnership for Safety (PFS)	National Corrective Action Plan					



Partnership for Safety	Event Response Group	Quality Assurance	Quality Control	Mandatory Reporting	Performance Management	Voluntary Reporting
	Connec	ted	1			>
Local Safety Councils	ERG Investigation	TOP 5	Service Review (SSR, CER, etc)	MOR – Known Event	Performance Discussion	ATSAP, ER Feedback Process, SET, CAR AIR



mance

MODULE 2 OBJECTIVES

- · Recognize the tools that can be used to conduct performance management
- Understand the performance management processes

Module 3 References:

- CBA
 Article 64
 Article 65
 JO 3400.20
 JO 7210.634A
 JO 7200.20B
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Individual Performance Tools

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IPM Tools

- Performance Discussions
- Performance Records of Conference (PRoC)
- Individual Performance Management Operational Skills Assessment (IPM OSA)
- Skill Enhancement Training (SET)

Individual	Performance Administration
The adi snapsho assessm	ninistration of IPM is not based on a single t, event, or reported occurrence, but is an on-going ent of overall observed employee performance.
	JO 3400.20 Paragraph 3a(2)

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Individual Performance Administration

Let's chat:

When is IPM being done right, and when is it being done wrong? Do you have any examples?

Individual Performance Process 1. Observing and Identifying Performance 2. Discussing Performance 3. Documenting Performance 4. IPM OSA 5. Training

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JO 3400.20 Paragraph 5a(2)



Individual Performance Key Points

- QC OSAs are a method of systemic data collection and may not be used to trigger IPM
- QC activities must not generate or be used as a source of IPM follow-up activities, and are not to be attributed to an individual employee
- When justification for the assignment of SET includes safety events and/or problems accepted into ATSAP, the facility must submit any SET and IPM OSA proposals to the ATSAP Event Review Committee (ERC) for approval

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Individual Performance Key Points

To comply with the Orders and CBA, facilities must operate QC as a systemic (de-identified) data collection process, and perform IPM as separate process following the specific steps outlined in JO 3400.20

Individual Performance Management Individual Performance Management: What happens if the IPM processes do not work?	Individual Performance Management What does administration of IPM look like when done correctly?	MODULE 3 Safety Reporting
/3	14	



MODULE 3 OBJECTIVES

- · Understand reporting requirements
- · Recognize when an ATSAP does/does not meet the reporting requirements
- Define a significant event
- · Identify when a personnel statement is required

Module 4 References:

- CBA Article 64
 JO 7210.632A
 JO 7200.20B
 JO 1030.3B
 JO 8020.16C

Safety Reporting Requirements

Employee Responsibilities.

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(1) 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 it results in multiple submissions of the same occurrence.

JO 7210.632 2-3b

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Mandatory Occurrence Report Categories

Airborne loss of separation

Terrain/obstruction

Airport environment

Communication

Oceanic

Inquiry

Airport surface loss of separation
Unmanned aerial system

· Emergency or in-flight hazard

· Airborne anomaly not involving loss of separation



Unmanned Aerial System Any instance where a pilot reports or air traffic control (ATC) becomes aware of unauthorized UAS activity or authorized UAS activity that is conducted in an unsafe or hazardous manner. For authorized UAS activities conducted in an unsafe manner, please note in the MOR the Certificate of Authorization (COA) number, when available, and the violation that occurred. JO 7210.632A 53

Airport Surface Loss of Separation Any ground surveillance alert [Airport Surface Detection Equipment (ASDE) or Airport Movement Area Safety System (AMASS)] between: - Two aircraft - An aircraft and a vehicle. Any suspected loss of runway/airport surface separation between: - Two aircraft - An aircraft and a vehicle - An aircraft and a pedestrian JO 7210.632A

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Terrain/Obstruction

- Any suspected loss of separation between an IFR aircraft and terrain or obstacles; for example, operations below minimum vectoring altitude (MVA) or minimum IFR altitude (MIA).
- Any operation of a VFR aircraft in proximity to terrain or obstructions that the employee providing air traffic services determines affected the safety of flight. These occurrences normally result in ATC issuing a safety alert or control action.

Airborne Air Traffic Control Anomaly (Airspace/Altitude/Route/Speed) Not Involving a Loss of Separation.

- Any instance in which an aircraft enters airspace on anything other than the expected or intended altitude, routing, or airspeed, or without a point-out or hand-off.
- Any instance where an aircraft operates at an altitude, routing, or airspeed that the employee providing air traffic services determines affected the safety of flight or operations. These occurrences normally result in ATC issuing a safety alert or control action. All nonloss TCAS-RAs and/or spillouts must be reported under this MOR.
- Any occurrence where an aircraft enters special use airspace (for example, a warning area, military operations area, or ATC-assigned airspace) without coordination and/or authorization.

NOTE – A suspected anomaly not involving loss of separation that occurs in oceanic airspace is covered in Appendix A, paragraph 8, Oceanic Environment.

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Airport Environment

 The presence of an aircraft, vehicle, or pedestrian on any movement area or runway safety area not expected/intended by ATC.

- Any instance in which an aircraft unexpectedly lands or departs, or attempts to land or depart, a runway or surface. All ASDE Taxiway Arrival Prediction (ATAP) alerts are captured under this MOR.
- Any instance in which an aircraft lands or departs on, or flies an unrestricted low approach to, a closed runway (or portion thereof).

 Any go-around initiated by either a flight crew or ATC involving turbojet aircraft within a half mile of the arrival threshold not involving practice approaches.

- · Any instance in which any part of the aircraft has crossed over the runway hold-short line and
- the controller cancels the takeoff or the flight crew aborts the takeoff.
- Any instance in which an aircraft unintentionally maneuvers off the runway/taxiway.
 Any improper/unexpected presence of a vehicle or aircraft inside the instrument landing
- system (ILS) critical area.

Oceanic

- Any instance where aircraft operating in oceanic airspace are suspected of:
- Losing separation.
- · Operating at a time, altitude, routing, or reporting point other than what was expected/cleared.
- Not maintaining communication (to include timely position or other reports) as required or expected/intended resulting in additional notifications/queries, or alternative actions by ATC or a flight crew.
- · Experiencing an Emergency or In-Flight Hazard

Communication

Except for occurrences in oceanic airspace (which are reported in Appendix A, paragraph 8), any instance in which communication with an aircraft was not established or not maintained as expected/intended and results in alternative control actions or additional notifications by ATC or a flight crew or in a landing without a clearance.

NOTE – Examples of "additional notifications" would include notifications required according to FAA Order JO 1030.3 or to the Domestic Events Network for NORDO aircraft.

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Emergency or In-Flight Hazard

The following are provided as examples and are not intended to be all-inclusive.

NOTE - Emergency or in-flight hazards may be declared by ATC, flight crew, facility personnel, or officials responsible for the operation of the aircraft.

- Medical emergency
- · Inflight equipment malfunction requiring special handling
- Passenger/flight crew injury due to turbulence other than wake
 Fuel quantity
 Pilot disorientation

- VFR pilot in or trapped on top of clouds
- Laser light illumination Hijack
- · Bomb threat
- Bird strike
- Other

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Inquiry

Any expression of concern or inquiry by any external entity, to include a flight crew, to a management official/CIC or to ATC on the radio concerning:

 The proximity or operation of an aircraft, either airborne or on the surface, including NMAC notifications from a flight crew.

An upset, pitch, or roll attributed to wake turbulence from another aircraft.
 NOTE – The AIM instructs pilots, when notifying ATC of a wake event, to be as descriptive as possible (e.g., bank angle, altitude deviations, intensity, duration of event).

Safety Reporting Requirements

Who has to file? MOR or ATSAP?

All employees must ensure that these occurrences, of which they are aware, through either direct involvement or observation, are reported.

These occurrences or conditions must be reported using the mandatory occurrence report (MOR) process described in this directive or in FAA Order JO 7200.20A, Voluntary Safety Reporting Program (VSRP).

Submission of a VSRP report satisfies non-management employees' requirement to report according to this directive except when the employee providing air traffic services determines that pilot actions affected the safety of operations. When such a determination is made, pilot actions must also be reported as an MOR in accordance with paragraphs 2-9.

JO 7210.632A Appendix A

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Safety Reporting Requirements Employee Responsibilities.

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(2) Non-management employees eligible to participate in a VSRP such as Air Traffic Safety Action Program (ATSAP) may satisfy the reporting requirements of this directive by reporting occurrences through those programs, except as specified in FAA Order JO 7200.20A and this order.

(3) Management employees must report occurrences according to this directive. In addition, if eligible to participate they may also file a VSRP report.

JO 7210.632A 2-3b

Safety Reporting Requirements
 Non-management Employees Acting in a Management Role. The responsibilities of employees performing this function (for example, controller-incharge) vary based on the situation. When reporting according to the FAA Order JO 7210.632A is required, a VSRP report may also be filed. If the employee observes a developing event, he/she must take action to correct the situation and must report according to the FAA Order JO 7210.632A. If an event is reported to an employee performing this function, he/she must report according to the FAA Order JO 7210.632A. If the employee is directly involved in or observes an event, other than as described in paragraph 3-3.b.(1), he/she must report following either FAA Order JO 7210.632A or the VSRP, or he/she may report through both. "Directly involved" means userking CIC combined with an operational position

JO 7200.20A 3-3

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Safety Reporting Requirements

Management employees must report occurrences according to JO 7210.632A. In addition, if eligible to participate they may also file a VSRP report.

JO 7200.20A 3-3

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Subi	nission of a VSRP repo	rt does not exempt em	ployees from making
appr	opriate notifications wh	en the employee provi	ding air traffic services
dete	mines an occurrence in	volved national securi	ty or the immediate safety of
fligh	t (for example, in-flight	emergencies, overdue	aircraft, no radio [NORDO]/
radio	o acknowledgement [NO	ORAC] aircraft, aircra	ft accidents).

JO 7210.632A A.1.b JO 7200.20A 3-3

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Any event in the NAS that may attract regional/national media attention or regional/national political attention, any aircraft proximity with less than 33 percent of the standard, any report of a Near Mid Air Collision (NMAC) with evasive action, or any major event that requires immediate upward notification to the Service Area or Headquarters level. **Note:** this list is not all-inclusive.

JO 1030.3B

Personnel Statements

deviation.

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CBA: Signed employee statements will only be required in the event of a pilot

JO 8020.16: Personnel statements are not required for aircraft accidents/incidents.

Personnel statements must be completed when an employee providing air traffic services determines that pilot, airman, or other's actions may have violated the Code

of Federal Regulations, an air traffic control procedure, a North American Aerospace Defense Command Zone, or an Air Defense Identification Zone tolerance.

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CBA Article 64, Section 4 JO 8020.16C 91 FAA Form 8020-26 Air Traffic Safety Action Program (ATSAP)

Voluntary Safety Reporting

Voluntary Reporting:

What can you report?

Voluntary Safety Reporting

There are two kinds of ATSAP reports:

- Safety Events
- Safety Problems

What Can You Report?

Safety Events

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Events are the result of an actual or potential loss of required separation, or other situations

- When an individual is involved in, observes, or identifies an operational safety hazard/problem, or experiences a safety-related event.

 - A single event can involve multiple individuals.
 Quality Assurance (QA) validates MORs and electronically reported encounters (PARs) for compliance/noncompliance. This determination is never made at the local level.

Note: PARs are not generated based on measurements of compliance. More on this tomorrow.

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What Can You Report?

Safety Problems

Safety problems are issues at a local, regional, or national level. They are not normally related to individuals and may be determined to be systemic. They may include:

- Poor airport signage or markingsUnsafe policies or procedures

- Onsate polices or procedures
 Equipment, software, or automation problems
 Unclear publications used to provide ATC services
 Traffic management initiatives that don't address sector needs
 Airspace configuration
 Human factors (fatigue, distractions)
 Staffing issues that impact the safety of the NAS

- Inadequate training practices
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ATSAP: Our Responsibilities.

Everyone:

- •Protect confidentiality in all aspects
- •Protect program integrity
- Facilities
- •Provide information to Event Review Committee (ERC) when requested

Provide information to ERC regarding potential Skill Enhancement Training (SET)
 Feedback on SET effectiveness

ERC:

- Communicate with Facility Management and Union
 Work with the facility to provide effective SET, when needed •Identify systemic corrective actions
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ATSAP: Best Practices for Interacting with ERC

Feedback on an event

All relevant Information SET Recommendation

SET Recommendation - 7200.20A 3-1b (1) (c)Note: The ERC is interested in any additional information that facility management, union representative, and submitter can provide that would help the ERC understand not only what happened during a safety event, but also why the event happened. If SET is proposed, the information that forms the basis of the recommendation (for example, relevant portions of the employee's performance history, involvement in similar types of events, ongoing training, and other performance directly related to this type of event) must be supplied. A collaborative proposal from facility management and the union representative provides the most useable feedback for the ERC. - Article 95, section 8. The Parties at the local level shall exchange Skill Enhancement Training (SET) recommendations made to the Event Review Committee (ERC) that were not jointly develored.

developed.

ATSAP: Best Practices for Interacting with ERC

Infoshares/AIRs/CISP Infoshares

Article 64 Section 8. The Union, at the appropriate level, shall have the opportunity to provide a response to a request for information regarding a safety event or safety problem. The Agency will work with the Union in a predecisional, collaborative manner in developing a response to a Corrective Action Request (CAR). If the Parties cannot achieve a consensus on a resolution, they are free to pursue traditional processes for resolution.

ATSAP: Best Practices for Interacting with ERC

What happens when FacRep and ATM do not agree on a response to the ERC?

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NASA Aviation Safety Reporting System (ASRS)	
What is ASRS? It is a program funded by the FAA and administered by the National Aeronautics and Space Administration (NASA).	
Under the ASRS program, ATO employees may submit information that NASA will de-identify, except where it involves criminal activities or accidents, before submitting to the respective agencies participating in the program.	
Reports and information are available at http://asrs.arc.nasa.gov/.	
JO 7200.20B	

NASA Aviation Safety Reporting System (ASRS)
Protections: When an employee submits an ASRS report, disciplinary action may not be taken for a reported event if all of the following conditions are met:

action was inadverten;
action did not involve a criminal offense,
accident; or
action under 49 United States Code, Section 44709, which discloses a lack of qualification or competency; and
The employee shows proof that within 10 days after the occurrence, he/she completed and submitted
When completing a VSRP report, employees may choose to electronically submit a copy of their VSRP report to ASRS via the VSRP database.

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Safety Reporting

Rep's Role in Safety Reporting

- Promote ATSAP Including education
- Support members during event reporting
- Review MORs
- Can you think of anything else?

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MODULE 4

Partnership for Safety (PFS)



MODULE 4 OBJECTIVES Comprehend the purpose of PFS Describe the role of the LSC

 Understand the purpose of the monthly Safety Awareness for Excellence (SAFE) Discussions

Module 5 References: • CBA Article 122 • JO 7200.21A

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Partnership for Safety PFS

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- **PFS Program**: Facilitate the identification and mitigation of safety issues at the local level through the support of collaborative Local Safety Councils (LSC).
- Makeup: LSCs are required at every FAA ATC facility. The LSC shall consist of one Union participant* and one Agency participant. Additional participants may be designated by mutual agreement, LSCs will meet once per month or as mutually determined by the parties at the local level.

2016 CBA Article 122 JO 7200.21A

• Scoping Document: Created and signed by sponsors (FacRep and ATM), establishing an LSC and defining its process.

*Any Bargaining Unit Employee that is a member of the LSC must be a NATCA member in good standing.



What are some assumption of the conditions assumption of the conditions assuming an automatic that could delay a compoler's response to its

TREASING ALERT

Share an experience when an automated alert may not have received the most appropriate expedition response. "



Reports describe occasions when a controller recognizes the alert but, for varying reasons, hesitates to respond, delays their reaction, or even ignores the alert. A few commonly described reasons for this include a desensitization to the alert due to a high frequency of alerts that require little or no action and incorrect assumptions about the conditions that any be provideng the alert."

PFS

Facility Discussion • What are some best practices you can use to ensure that automated alerts always receive the more appropriate and expeditions response? • What are some assumptions that may be made about the conditions causing an automated alert that could delay a counted or separate to al? • Share an experience when an automated alert may not have received the most appropriate or expeditions requesting.

"THESE SLIDES ARE NOT TO BE USED AS AN MBI. THIS APPLICABLE MATERIAL WILL BE INCLUDED IN THE REQUIRED [JO 7200.21A] MONTHLY FACE TO FACE SAFE DISCUSSIONS.

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2016 CBA Article 122

JO 7200.21A

REPERENCE REFERENCE PAA clear 20 1155 ERA (5-15-1, CORPLOT ALERT (CA) AND HODE offin, 6. When CA or NCL and is displayed offin, 6. Takeober costneller is invelved in the Costnellation is not required when in



Partnership for Safety PFS

LSC Barriers/Obstacles

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Partner	ship for Safety PFS	
	Rep's Role in PFS	
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MODULE 5

Service Reviews & Corrective Action Plans (CAP)

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MODULE 5 OBJECTIVES

 Define the purpose of a Quality Control (QC) Operational Module 6 References:
 Skills Assessment (OSA)
 Charles 1 CBA - Article 51 - Article 64 - Article 122

• JO 7210.634A

- · Define different types of service reviews and their uses
- Understand the representative's role in Service Reviews
- · Understand the purpose of a Corrective Action Plan (CAP)
- Identify what triggers a CAP
- · Identify the Union's role in the CAP process

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Local QC Order Requirements

Facilities and/or districts must not create QC orders that either duplicate or contradict the national order or collective bargaining agreement. Facility/district QC orders may only contain the following elements: QC OSA sampling plan Plan for conducting random/scheduled System Service Reviews (SSRs) (and Traffic Management Reviews (TMRs) for facilities with Traffic Management Units) · Designation of points of contact for Systemic Issue Reviews (SYSIRs) · QC OSA Validation sampling plan to be documented in the CEDAR. Certification and Performance Skill Check Validation process to be documented in CEDAR • OJT Documentation Validation process to be documented in CEDAR · Requirements for recurring reports on performed QC processes, results of analyses of safety data, implemented corrective action plans, and data monitoring activities.

JO 7210.634A Ch. 2-2



Traffic Management Review (TMR)

Systemic Issue Review (SYSIR)

JO 7210.634A; CBA Art. 64, Sec. 7

Service Reviews



JO 7210.634A; CBA Art. 64, Sec. 7

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JO 7210.634A; CBA Art. 64, Sec. 7

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ervice Reviews

national level.

System Service Review (SSR)

Covered Event Review (CER)

CSBR processes. Or when systemic issues are otherwise suspected.

Service Reviews

Intent of a SYSIR: Identify areas that have potential system impact, whether at facility, service area, or

When to conduct a SYSIR? When a suspected systemic issue is found during OSAs, SSRs, CER, or

Who may conduct a SYSIR? Each SDP must identify designees for the systemic areas of training,

efficiency, airspace/airport, procedures, directives, and technical operations. These designees shall collaborate with FacReps (or their designees) and findings should be jointly developed.

Traffic Management Review (TMR)

Systemic Issue Review (SYSIR)

JO 7210.634A; CBA Art. 64, Sec. 7

Service Reviews

How do you conduct a Service Review?

- A service review is a tool to be utilized in a proactive manner and is intended to be used to identify areas of improvement, and areas of system risk from the Service Delivery Point (SDP).
- It is used to perform a collaborative, in-depth analysis for identifying and/or validating a facility's compliance and/or non-compliance status on a particular issue.
- · A written report of the results is generated. However, all interviewed participants will remain anonymous and all names will be sterilized from the report, except in a CER.

JO 7210.634A

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• Data will provide a more complete picture of the operation as it relates to the report.

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Service Reviews

comments section.

Attach Supporting Documentation

• Finalize in CEDAR (and if needed, create a CAP)

· Send findings memorandum to the ATM

• Review Team

Creating a Service Review in CEDAR

Complete the Question Tree in CEDAR— Observations are entered in the tree

Establishes what happened, why, and how. Mitigation recommendations may also be established by the team.

· Replays with audio, audio files, documents, and other pertinent information.

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Service Review Recap

What is NATCA's

Role in Service

Reviews?

Collaboration

ARTICLE 64

Verifications and Validations

SAFETY EVENTS REPORTING AND REVIEW

Section 9. The principles and processes contained within Article 51 of this Agreement shall be utilized for a Compliance Verification (CV). <u>Quality Coursed Check QCC</u> or Quality Control Validation (QCV), regardless of the level at which the activity is conducted.

ARTICLE 51

FACILITY EVALUATIONS, AUDITS, AND ASSESSMENTS

Section 1. When an evaluation, audit or assessment is conducted at an air traffic facility, the Union at the local level may designate one (1) member to serve on the evaluation team. The designee shall function at the direction of the evaluation team leader as a full member of the evaluation team. The designee's schedule shall be adjusted so he/she may participate in a duty status.

CBA Art. 64, Sec. 9; CBA Art. 51, Sec 1

Collaboration

Verifications Compliance Verifications (CV). CVs are a way to assess SDP (Service Delivery Point) performance and identify areas for improvement.

- Internal Compliance Verification (ICV). Planned assessments accomplished using a checklist and random sampling methods such as, but not limited to, direct observations, discussions with SDP personnel, review of data, equipment parameters, certification parameters, and examination of other documentation. All FAA air traffic control SDPs and federal contract towers must conduct an ICV annually each fistal year
- External Compliance Verification (ECV). Assessments of SDPs conducted as-needed as determined by the service unit, director of operations at the service area, and/or the QCG, with the concurrence of the director of operations. Determinations to conduct ECV swill be based on data analysis that identifies potential risk within specific SDPs. ECVs may be conducted through various methods that may include developing a custom checklist and a review of available data, direct observation, interviews with personal and other appropriate means.

JO 7210.634A

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Collaboration

ICV / ECV Findings Exemplary (E): This finding is assigned to items that demonstrate exemplary performance in quality and

efficiency.

Compliant (C): This finding is assigned to items that are completed in compliance with national, service area, and local requirements. Details are not required to be entered into the CVT.

Non-compliant Low Risk (NL): This finding is assigned to items that are non- compliant, but do not represent a moderate or significant safety risk to the National Airspace System (NAS).

Non-compliant Medium Risk (NM): This finding is assigned to items that are non- compliant and represent a moderate safety risk to the NAS.

Non-compliant High Risk (NH): This finding is assigned to items that are non-compliant and represent a significant safety risk to the NAS.

Not Observed (NO): This item is assigned to items that are not observed during the verification. The reason the item was not observed must be documented.

JO 7210.634A

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Corrective Action Plans What is a Corrective Action Plan (CAP)? Process used as a method of correcting validated safety issues and a means for measuring the completion and effectiveness of identified mitigations. CAPs may be generated from the following: Service Reviews Compliance Verifications QC Validations Significant events (require an SSR to validate) LSC analysis (validation of issues through SSRs is encouraged) Runway Safety Action Teams (RSATs) · For issues identified externally such as AOV audits, NTSB investigations, and/or AJI audits. 7210.634A 7-2

Corrective Action Plans

CAP Collaboration

Section 4. Non-ATSAP Terminal/En Route Facility CAP Process: The Agency will collaborate with the Facility Representative, or his/her designee, in the development and implementation of CAPs, as well as the review of the effectiveness of mitigations prior to the closure of a CAP at a terminal/en route facility.

Section 5. The Agency will collaborate with the Union at the appropriate level if there is a need to amend a CAP developed at the local level.

Section 6. If the Parties cannot achieve consensus during any phase of the CAR/CAP process, they shall follow the provisions identified in Section 7 of Article 114 of this Agreement.

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2016 CBA Article 112

Corrective Action Plans

ensure all information is considered in creating a CAP.

CAP Development: Gathering Input

CAP development teams should ensure that they gather input from relevant facility personnel to

Facility management (e.g., support managers, facility manager, staff manager)

7210.634A 7-2

Facility staff personnel (e.g., Quality Control, airspace/procedures, training)

Facility personnel could include the following depending on the specific issue:

· Operational staff (e.g., controllers, supervisors, operations managers)

Corrective Action Plans

How to create a CAP

The following steps are required to complete a CAP:

· Describe the specific corrective actions that will mitigate the facility non-compliance/risk

• Examples of corrective actions include, but are not limited to:

- Training (must target the specific knowledge gap)
 - Changes to local procedures and/or processes
 - Realignment of airspace
- Changes to letters of agreement with adjacent facilities, airport operators, etc.
- Identify the scope of the correction (e.g., facility-wide, area-wide, etc.)
- · Identify a timeframe for completion of the action(s) taken
- · Identify a monitoring plan for determining effectiveness of the implemented corrective actions
- · Identify the target for mitigation effectiveness

7210.634A 7-2

Corrective Action Plans

How to create a CAP

Critical Points

- · CAPs must be developed for all validated systemic facility non-compliance/risk.
- CAPs must be documented primarily in CEDAR (and the CVT or ATC InfoHub when

- Orly since very since of the constraint of the constraint

 - Define a timeframe for completion of the CAP.
 - Define a monitoring plan, including what data will be used, a
 - timeframe, and who is responsible for accomplishing monitoring. Define mitigation effectiveness, including how the facility will determine the CAP was effective using the collected data.
- · If the CAP does not effectively mitigate the validated systemic non-compliance, a revised CAP must be developed, documented, and implemented.

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What is NATCA's Role in CAPs?	

MODULE 6

Occurrence/Encounter Follow-On Activities



Occurrence Follow-On Activities MODULE 6 OBJECTIVES • Understand the purpose of a Services Rendered Telephone Conference (SRT) and your role as a participant • Recognize what to do when you don't agree with something said during SRT • ARIA processes • CBA • Article 51 • Article 12 • ARIA MOU • SRT NOU • JO 7210.651A • JO 1030.3B

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Services Rendered Telcon SRT

A management telephone conference conducted with the ATO Safety and Technical Training Compliance Services Group (CSG), the Service Area Director(s) of Operations, Mission Support Staff, Office of Accident Investigation and Prevention, Operations Control Center, the involved facility, and others as needed, to review and assess the ATO services associated with a significant or noteworthy event.

JO 1030.3B

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Services Rendered Telcon SRT

- If there is a difference of opinion, those topics will be discussed outside of the SRT in a collaborative manner.
- National Safety Rep. (NSR) and FacRep shall be invited and afforded the opportunity to participate.
- FacRep shall also be given the opportunity to participate in associated activities (e.g.: review ATC communications, display/radar playback).
- The Agency will not delay an SRT if the NSR or FacRep are unable to participate.

SRT MOU

SRT Notification Example

described below.

Event Summary:

other aircraft.

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A Services Rendered TELCON will be conducted at 2/29/2025 4:00 PM for the event

Salt Lake ARTCC (ZLC) / Los Angeles ARTCC (ZLA) – Sunday, Feb. 29, 2025, at 6:43 p.m. MDT: (AirSmart) XSM26/PC12 flew for approximately 88 miles on a limited

data block at FL220 and entered ZLA Sector 7 airspace without coordination. XSM26's

flight plan was inadvertently removed by the ZLC Sector 44 Radar (R44) controller. The ZLA Sector 7 Radar (R7) controller observed the limited data block 11 miles inside their

airspace, coordinated with the R44 controller to establish communication with XSM26, and re-acquired their full data block. ZLC and ZLA reported XSM26 did not conflict with

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SRT Results Example Salt Lake ARTCC (ZLC) / Los Angeles ARTCC (ZLA) -Sunday, March 9, 2025, at 6:43 p.m. MDT Sunday, Merch & 2025, at 6-64 p.m. MDT (Alfsmat) XSM26PC12 letter for approximately 88 miles on a limited data block at FL220 and enterned ZLA Sector 7 Aladar (FR) angewe twickout coordination. SXR268 fighth plan was inalvertently removed by the ZLO Sector 4.4 Haadar (FM4) controller. The ZLAR For controller observed the limited data block 11 miles inale their angeae, coordinated with the ZLO Healtonic to establish communication with X20 MIC and ZLA Sector 4.2 miles and X2.4 miles and ZLA reported XSM26 did not conflict with any aircraft. ZLA

Sector 7

vent Response Team ERT	Event Response Team ERT
Event Response Team (ERT): A diverse group of subject matter experts led by the Event Investigation Manager (EIM), responsible for reviewing events and performing other duties as set forth in JO 1030.3B.	 SRT Color Code Determination. After a review of the services provided the CSG Manager or designee, using sound judgment and expertise, will determine a color code designation. Red Events: The CSG Manager or designee should classify events as red when they believe that an ERT should be launched immediately to conduct an on-site review of air traffic services. Red events might include, but are not limited to: Significant or noteworthy accident involving an air carrier, air taxi, or general aviation aircraft Events with significant/noteworthy regional or national media or political interest (3) Natural disasters affecting air traffic services Near Mid Air Collision reports Yellow Events: The CSG Manager or designee should classify events as yellow when more information is needed to determine whether an on-site event review of air traffic services is required or when the on-site event review does not need to occur immediately. Green Events: The CSG Manager or designee should classify events as green when no headquarters response appears to be required or headquarters may be able to monitor/review
JO 1030.3B	the post-event process without launching an ERT. JO 1030

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Event Response Team ERT

An ERT must be launched immediately to conduct an on-site investigation for all **red events**. For events color-coded **yellow** the CSG Manager or designee in consultation with the Director of Operations, Service Unit, and Director of Safety may, when necessary, determine the need to launch an ERT. Whenever possible, this determination will either be made during the SRT or no later than 4 hours following conclusion of the SRT. An ERT need not be launched for any events color-coded **green**.

The Vice President for Safety and Technical Training may initiate an ERT review for any event or to address safety concerns. Additionally, if the NTSB determines it will launch an ATC Workgroup, an Event Investigation Manager (EIM) will be assigned and an ERT will be launched.

JO 1030.3B



JO 7210.634A



- Samantha Navarro: <u>snavarro@natca.net</u>
- Central Service Area:
 Nathan Vinson: nvinson@natca.net
- Eastern Service Area
 Sandii Follmer: sfollmer@natca.net

Follow-On Activities

Rep's Role in Follow-On Activities

- Services Rendered Telcon (SRT)
- Barrier Analysis Review Outcome Discussion

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MODULE 7 Accident/Incident Response

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Position Relief Representation Notification Bargaining Unit Employees (BUEs) Provide representation to all As soon as possible, call your last providing services to an aircraft involved BUEs. As soon as Regional Vice President (RVP) the providing is facts out an actual involved DU as, as soon as the result in a fact accident shall be practicable, move each BUE to a relieved from position as soon as operationally possible in accordance operationally possible in accordance the sound and neash with a contact. Be preserved to provide the sound and neash with a contact the preserved to provide the sound and the sound of the s with Article 64, Section 2 of the CBA n accordance with FAA Order JO NATCA representative herein and speak with a contact. Be prepared to provide the following: Your name, facility, and NATCA position (FacRep, Local Officer, Member) 1030.3B 4.1, for every fatal accident where ATC services were provided, a Covered Event Review (CER) must · A list of phone numbers where you be conducted in accordance with FAA Order JO 7210.634, within three (3) administrative days. The can be contacted; and • A description of the accident/incident and an initial employee(s) last providing ATC assessment of any potential ATC concerns services must remain relieved from operation/control positions until the CER and any CER-associated training, if assigned, is completed.

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Media Issues	Personnel Statements	CISD/CISM
Do NOT interact with the media under any circumstances and advise BUEs NOT to post or comment about the accident/incident on social media. Direct all media requests to NATCA's Deputy Director of Public Affairs.	Signed personnel statements are only required in the event of a pilot deviation pursuant to Article 64, section 4. If management requests a signed personnel statement as a result of the accident/incident, contact your RVP as soon as possible. If management orders a BUE to provide a signed personnel statement is an instance other than a pilot deviation, he or she should comply with the devine ord exercise his on been RVD. Deteret	Encourage BUEs to engage in Critical Incident Stress Debriefing (CISD) and refer them to the NATCA Critical Incident Stress Management (CISM) team, as established in Article 74. The NATCA CISM team provides confidential, nonjudgmental, pee toppeer support in the wake of
Unauthorized statements in the media and/or on social media could result in disciplinary action and may affect NATCA's participation as a party to any NTSB investigation.	provide a signed contact into or her KVF. Fror to provide a signed personnel statement, listen to voice tapes of each pertinent control position with each BUE and review video replay, if applicable. BUEs should provide only a brief outline of the pertinent facts (e.g., name, position, basic events) and include the following statement: "The above statement is true and factual to the best of my knowledge, based upon the information available to me at this time."	stressful events to promote recovery following a difficult experience (for more information contact the NATCA CISM team BUEs do not have to have been directly involved in the accident/incident to contact CISM. All contact with the CISM team is confidential.

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Injury Compensation Forms	ATSAP	NASA ASRS
BUEs who believe they have suffered a traumatic emotional injury as a result of an accident/incident may file an injury compensation form with the Office of Workers' Compeso fOWCP Form CA-1 will be available at every facility and are used to document when an injury has occurred. Contact your RVP and the NATCA OWCP Representative if you have questions about filing out the form.	All BUEs involved in an accident/incident should file an ATSAP report. It is important that all statements within an ATSAP report are as accurate as possible and are consistent with the BUE's other interviews and comments. Be aware that reports related to an accident/incident may be ordered to be released during litigation.	NATCA does not recommend that controllers file a NASA ASRS report in the event of an accident. NASA cannot accept accident reports and is required to send the ASRS report to the NTSB with submitter contact information.

Release from Facility	Drug/Alcohol Testing	Stay Calm
If a BUE is unable to safely perform his or her duties because of his or her emotional state, you should request that management release the involved BUE from the facility as soon as practicable. If the requested release is denied, the BUE is entitled to use leave on the basis that he or she is "incapacitated for duty." Contact your RVP immediately if the release request is denied. Work with local management to determine when the BUE is	A BUE's release from the facility may be delayed pending a decision by the FAA on whether to test the involved BUE for drugs and/or alcohol. Post accident/incident testing is a mandatory condition of employment and BUEs must comply. Post in accordance with Article 73, section 14 of the CBA. It may take several hours to receive the decision to test. For issues related to drug/alcohol testing, contact your RVP. BUEs are entitled to transcrution, such testing process but must request such representation, so be sure to advise them to make the request. If union representation is not readly available, the employee should request on coffer with a Union enviar teedbace	Do your best to stay focused and represent your BUEs to the best of your ability, and remembe your rights in the CBA. Try to be reasonable with management's requests but stay in regular contact with you RVP BUEs should always comply with direct orders from management, but be sure to carefully document any issues and relay those to your RVP. If you are unsure about something, call your RVP for assistance.
expected to return for duty and make sure that the BUE can be contacted	NOTE: NISB investigators sometimes ask BUEs to take a separate drug test. However, unlike FAA testing, NISB testing is not	



Accident/Incident Respo	n s e
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Rep's Role in an Accident/Incident



Safety Management System (SMS)

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MODULE 8 OBJECTIVES

- Understand the purpose of SMS
- Identify when an SRM panel is required
- Identify everyone involved in an SRM panel and their role

Module 9 References: • CBA Article 123 • FAA Order 8000.369 • SMS Manual

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Safety	M a n a	gement	System	SMS
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When SRM must be conducted:

The SRM process is used to assess the safety risk of NAS changes or existing safety issues associated with the provision of air traffic management services. For the ATO, a NAS change is a modification to any element of the NAS that pertains to or could affect the provision of air traffic management and communication, navigation, and surveillance services. Air traffic controllers and technicians, their training, and their certification are elements of the NAS and directly relate to the provision of air traffic services.

> 2016 CBA Article 123 FAA Order 8000.369 SMS Manual

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Safety Management System SMS

 The ATO SMS focuses on the safe provision of air traffic control and navigation services. Accordingly, it does not directly apply to issues related to the environment, occupational safety and health, physical security, cybersecurity, or information security, unless those issues affect the operational safety of NAS services provided by the ATO.

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Components	The Four SMS Components
of SMS • Safety Policy • Safety Pomotion • Safety Assurance • Safety Risk Management (SRM)	Safety Policy Example of the service of the servic



Safety Policy

- The documented organizational policy that defines management's commitment, responsibility, and accountability for safety. Safety Policy identifies and assigns responsibilities to key safety personnel.

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- responsibilities to key safety personnel. Includes: CBA Article 123 SMS Orders SMS Manual Safety Guidance FAA/ATO Safety Orders Safety Risk Management Guidance for System Acquisitions (SRMGSA)

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Safety Policy is derived from other SMS

ICAO Annex 19, Safety Management

ICAO Document 9859, Safety Management Manual (SMM)

Order 8000.369, Safety Management System Order 8040.4, Safety Risk Management Policy Order 1100.161, Air Traffic Safety Oversight Order 8000.365, Safety Oversight Circulars Order JO 1000.37, Air Traffic Organization Safety Management System Order JO 1030.1, Air Traffic Organization Safety Guidance Safety Risk Management Guidance for System Acquisitions SMS Manual





Safety Risk Management

Safety Risk Management

- The processes and procedures established and used by ATO safety practitioners to identify hazards, analyze and assess the associated risks, implement safety risk mitigations, and, as applicable, define safety performance targets.
- Simply put: SRM determines the need for and adequacy of risk controls.

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Safety Risk Management

- Safety analyses are most frequently performed in response to a NAS change.
- For the ATO, a NAS change is a modification to ANY element of the NAS that pertains to or could affect the provision of <u>air traffic management and</u> <u>communication, navigation, and surveillance services. Air traffic controllers and technicians, their training, and their certification are elements of the NAS and directly to the provision of air traffic services.
 </u>





DEVELOP PRELIMINARY HAZARD LIST (if no

DEVELOP HAZARD ANALYSIS WORKSHEET

azards are identified, go to last step)

DEVELOP MONITORING PLAN





Salety Kisk Management	If we do not find any
Let's try one	hazards The panel will prepare the SRM Documentation stating so.



Safety Risk Management What the
HAW
accomplishes. Safety Risk Management Controls: Understand the impact of the
control Must be associated with the change,
hazard, cause and system state Cite the specific version, paragraph
and/or section number(s) when using FAA
Orders Include information explaining how the
control mitigates the risk





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Safety Management System SMS

Rep's Role in SMS



LRSAT Participants

- Airport Operator
- Air Traffic Control Manager
- NATCA Representative (Designee)
- Office of Airports
- Terminal Operations
- Regional Runway Safety Team
- Local Stakeholders (Invite flight schools, tenants, airlines (management and union), fire and rescue, etc.

LRSAT Data Review

- Runway Incursions/Safety Incidents
- Safety Concerns
- Identified Hazards
- Airport Construction
- Runway Safety Areas
- Hot Spots
- These meetings allow for an open discussion thru all of these topics, develop mitigations, action items and more.
- When we contribute and participate with these meetings the better we build upon the relationships on the airfield, and create mitigations that actually work

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LRSAT Process

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- · The LRSAT will go over some national statistics, but will not go into this much detail
- · Your LRSAT will follow the national statistics with your local statistics
- · This statistic portion is a good opportunity for you to get involved.
- . Ask your ATM if you can brief the statistics and local runway incursions
- This is a good opportunity for the audience to get involved as there will most likely be questions
- . Keep this very professional and just brief the facts

LRSAT Process



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LRSAT Participation

- The Parties agree that prevention of runway incursions is a top priority and acknowledge the
 value of runway safety initiatives in addressing runway safety problems/issues
- The FacRep (Designee) shall be afforded the opportunity to <u>Participa</u>te in <u>All Local Runway</u> <u>Safety Meetings</u>
- The Agency shall notify the facility at least thirty (30) days prior to the scheduled runway safety meeting(s) unless an exigency exists
- The Surface Incident Prevention Plan (SIPP), also known as the Runway Safety Action Plan (RSAP) shall be provided to National Runway Safety Representative and the FacRep concurrently with its submission to the Facility Manager. For more information on Corrective Action Plans refer to Article 112 of the NATCA/FAA 2016 CBA

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LRSAT Outcome

Runway Safety Action Plans:

- Has your discussions today prompted any thoughts as to what can be done differently at your airport to improve surface safety?
- Capture those initiatives in your annual Runway Safety Action Plan (RSAP).

Note: RSAP's are about 7 pages (includes: Airport Stats, Incident History, RSAT Meeting Overview, Review of Previous Action Items, New Action Items, Best Practices)

- When developing Action Items, please remember that they are non-regulatory, voluntary and flexible.
- The party responsible for implementing and/or funding the action item must be in agreement.
- Each action item should be specific and include a point of contact and anticipated completion date.

Rep's Role in an LRSAT Meeting	LRSAT Contact Contact your National Runway Safety Representative at: runwaysafety@natca.net	Any future questions, please email us at <u>QAQC@natca.net</u>
264	265	278